Unit 3: Elements of a Viable Continuity Program (Part I)
Objectives

At the end of this unit, you should be able to:

1. Identify your agency’s essential functions.
2. Determine whether your agency’s orders of succession meet the requirements of FCD 1 and CGC 1 guidance.
3. Determine whether your agency’s delegations of authority cover all critical functions.
4. Determine whether your agency has identified adequate continuity facilities.
5. Describe the requirements for continuity communications.

Scope

- Unit Overview and Objectives
- Essential Functions
- Orders of Succession
- Delegations of Authority
- Continuity Facilities
- Continuity Communications
- Summary and Transition
Time Plan

The suggested time plan for this unit is shown below.

<table>
<thead>
<tr>
<th>Topic</th>
<th>Time</th>
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</thead>
<tbody>
<tr>
<td>Unit Overview and Objectives</td>
<td>5 minutes</td>
</tr>
<tr>
<td>Essential Functions</td>
<td>40 minutes</td>
</tr>
<tr>
<td>Orders of Succession</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Delegations of Authority</td>
<td>40 minutes</td>
</tr>
<tr>
<td>Continuity Facilities</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Continuity Communications</td>
<td>10 minutes</td>
</tr>
<tr>
<td>Summary and Transition</td>
<td>5 minutes</td>
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</tbody>
</table>

**Total Time**

2 hours
All Continuity of Operations plans have certain elements in common. An effective continuity plan includes all of these elements, providing “viability” to the plan. Unit 3 will address five of the ten elements that make a continuity plan viable. The elements covered in this unit are:

- Essential functions.
- Orders of succession.
- Delegations of authority.
- Continuity facilities.
- Continuity communications.

The remaining elements will be covered in Unit 4.
Unit Objectives

- Identify your agency's essential functions.
- Determine whether orders of succession meet the requirements of FCD 1 and CGC 1 guidance.
- Determine whether delegations of authority cover all critical functions.
- Determine if continuity facilities are adequate.
- Describe the requirements for continuity communications.
What Is an Essential Function?

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FCD 1 and CGC 1 define essential functions as those functions that are required to:

- Provide vital services.
- Exercise civil authority.
- Maintain the safety of the general public.
- Sustain the economic base during an emergency.

Essential functions are an agency's business functions that must continue with no or minimal interruption.
FCDs 1 and 2 define three types of essential functions:

- National Essential Functions (NEFs)
- Primary Mission Essential Functions (PMEFs)
- Mission Essential Functions (MEFs)

State, local, territorial, and tribal governments use CGC 1 as a guide to define essential functions.
National Essential Functions (NEFs)

NEFs are the subset of government functions necessary to lead and sustain the Nation during a catastrophic emergency.

- NEFs must be supported through continuity capabilities.
- State and tribal governments may have an equivalent to NEFs.
National Essential Functions (NEFs)

The following NEFs are the foundation for all continuity programs and capabilities and represent the overarching responsibilities of the Federal Government to lead and sustain the Nation during a crisis, and therefore, sustaining the following NEFs shall be the primary focus of the Federal Government leadership during, and in the aftermath of, an emergency that adversely affects the performance of government functions:

- Ensuring the continued functioning of our form of government under the Constitution, including the functioning of the three separate branches of government.
- Providing leadership visible to the Nation and the world and maintaining the trust and confidence of the American people.
- Defending the Constitution of the United States against all enemies, foreign and domestic, and preventing or interdicting attacks against the United States or its people, property, or interests.
- Maintaining and fostering effective relationships with foreign nations.
- Protecting against threats to the homeland and bringing to justice perpetrators of crimes or attacks against the United States or its people, property, or interests.
- Providing rapid and effective response to and recovery from the domestic consequences of an attack or other incident.
- Protecting and stabilizing the Nation’s economy and ensuring public confidence in its financial systems.
- Providing for critical Federal Government services that address the national health, safety, and welfare needs of the United States.
**Primary Mission Essential Functions (PMEFs)**

PMEFs are those agency mission essential functions that must be performed to support or implement the performance of NEFs before, during, and after an emergency.

**PMEFs:**
- Must be performed continuously during an event or resumed within 12 hours of an event.
- Need to be maintained for up to 30 days after an event or until normal operations can be resumed.
Mission Essential Functions (MEFs) must be performed to support or implement the performance of Federal, State, local, territorial, or tribal essential functions before, during, and after an emergency.

MEFs include:

- Personnel safety.
- Public safety.
- A safe, functioning infrastructure.

Departments and agencies will identify additional MEFs based on their missions and responsibilities. State, local, territorial, and tribal organizations should consider the MEFs identified at higher levels of government.
Identifying Mission Essential Functions

Identify PMEFs and MEFs by referring to laws, Presidential Directives, Executive Orders, and other authorities that dictate agency functions.

Consider functions that:
- Must be continued in all circumstances.
- Cannot be interrupted for more than 12 hours.
FCD 2 Guidance

FCD 2: Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process

FCD 2:

- Provides guidance for identifying MEFs and PMEFs.
- Applies to all Federal Executive Branch departments and agencies.
- Is useful for State, local, territorial, and tribal governments, and nongovernmental organizations (NGOs).

Note that government agencies at all levels should also identify all government functions that they must perform that are not identified as essential.
Prioritizing MEFs

Prioritize MEFs according to:
- Their relationships to PMEFs.
- The criticality of the function.
- Likely continuity activation protocols and scenarios.

Sometimes, priorities may be situation dependent. Note the following example:

The Centers for Disease Control and Prevention’s, or other public health service’s, essential functions will be an extremely high priority in the event of a suspected biological attack or a pandemic. The essential functions of this agency would not be as critical for a widespread flooding event.
Drivers of Essential Functions

Essential functions are driven by:

- Trained personnel (human capital).
- Vital records and databases.
- Supplies.
- Equipment and systems.

These vital resources must be safeguarded, available, and accessible to support Continuity of Operations.
Other Government Functions

Agencies also need to identify all functions that they perform that do not rise to the level of PMEFs or MEFs. Example:

Payroll and personnel actions are government functions that must continue during a continuity situation.

During the continuity planning process, the planning team should also identify their agency’s and customers’ functions and ensure that those functions can continue during a continuity situation.
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Activity: Identifying Essential Functions

**Purpose:** The purpose of this activity is to give you an opportunity to identify essential functions required of your agency.

**Instructions:** Follow the steps below to complete this activity.

1. Work in your table group to complete this activity.
2. Consider your agency’s mission and critical services, and identify one agency PMEF.
3. Identify one MEF that supports the identified PMEF.
4. Identify one function that does not rise to the level of PMEF or MEF but is required to support those identified.
5. You will have 10 minutes to complete this activity.
6. Select a spokesperson to present your group’s essential functions to the class. Be prepared to discuss your rationale for selecting the supporting function.

**PMEF:**

**MEF:**

**Support Function:**
The next element of a viable continuity program is to identify orders of succession. Succession to office is critical in the event that the agency leadership is unavailable, debilitated, or incapable of performing their legally authorized duties, roles, and responsibilities.

Orders of succession provide for the orderly and predetermined assumption of senior agency positions during an emergency in the event that the agency leadership is unavailable or unable to execute their legal duties.

Orders of succession are not merely a continuity function. They should be developed to support day-to-day operations. Orders of succession should be at least three deep and include at least one person whose day-to-day job is physically located at a different site from the primary facility.
Information in Orders of Succession

All orders of succession should include the:
- Conditions under which succession takes place.
- Method of notification.
- Conditions under which authority returns to the agency leader.

All orders of succession should be:
- Reviewed by the agency's General Counsel or equivalent.
- Maintained with the agency's vital records.
Delegations of Authority

Delegations of authority:

- Specify the activities that may be performed by those authorized to act on behalf of the agency head or other key officials.
- Document the legal authority for officials to make key policy decisions during a continuity situation.

Delegations of authority ensure:

- Continued operation of essential functions.
- Rapid response to any emergency situation requiring continuity plan implementation.
### Information in Delegations of Authority

Delegations of authority state specifically:

- The authority being delegated.
- The limits of that authority.
- To whom the authority is delegated.
- The circumstances under which delegated authorities become effective and when they terminate.
- The successor’s authority to redelegate those authorities.

Like orders of succession, delegations of authority are not exclusive to continuity but are necessary for day-to-day operations. Delegations of authority should be determined **before** an emergency to ensure continued operations of critical functions.
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Activity: Delegations of Authority

**Purpose:** The purpose of this activity is to give you an opportunity to develop a delegation of authority for a senior position within your agency.

**Instructions:** Follow the steps below to complete this activity.

1. Work in your table group to complete this activity.

2. Refer to the PMEF developed in the previous activity.

3. Using the space below, develop a delegation of authority for the senior position responsible for the PMEF.

4. You will have 15 minutes to complete this activity.

5. Select a spokesperson to present your group’s delegation of authority to the class.
Continuity Facilities

FCD/CGC 1 requires the identification of a location, other than the primary facility, that can be used to carry out essential functions in a continuity situation. Agencies should also identify one or more devolution sites in case the continuity facility is inoperable.
Continuity Facilities

Selecting a suitable continuity facility involves:

- Analyzing a range of factors.
- Prioritizing the factors based on the agency’s requirements.
- Locating a distance from the primary facility to avoid impact from the incident.

It is important to note that:

- Continuity facility selection should be based on an analysis of a combination of factors, including:
  
  - Size requirements.
  - Security requirements.
  - Distance from probable hazards.
  - Accessibility for ERG personnel.
  - Utilities needed and available.
  - Proximity to hotels, restaurants, medical facilities, etc.

Prioritizing the factors based on the organization’s requirements is the first step in locating a suitable continuity facility.

- If possible, the continuity facility should be far enough from the primary facility so that it will not be impacted by the incident that is occurring at or near the primary facility.
Continuity Communications

... The capability to continue communications with internal and external customers until normal operations can be resumed.

Effective continuity communications supports:

- Execution of the agency’s essential functions.
- Internal and external communications.
- Access to data, systems, and services.
Continuity Communications

Continuity communications must be:

- Redundant.
- Available within 12 hours of activation.
- Sustainable for up to 30 days, or until normal operations can be resumed.
This unit reviewed some of the elements of a viable continuity program.

Unit 4 will cover the remaining essential elements of a viable continuity program.
Summary and Transition

Questions?