



(YEAR)

# Continuity of Operations (COOP) Multi-Year Strategy and Program Management Plan Template

(Agency Name)

(Address)

(City, State, Zip Code)

## GUIDE INSTRUCTIONS

This guide provides instructions for developing a Continuity of Operations (COOP) Program Multi-Year Strategy and Program Management Plan (MYSPMP) as described in *Federal Preparedness Circular 65* (FPC 65). Although general guidance and sample information is provided in this guide for reference, organizations are encouraged to tailor their MYSPMP to meet their own needs and requirements. These instructions accompany an electronic template that may be downloaded from the Federal Emergency Management Agency (FEMA) Office of National Security Coordination (ONSC) website at the following address: [www.fema.gov/onsc/](http://www.fema.gov/onsc/)

Per FPC 65 guidance, viable COOP programs must include the development, maintenance, and annual review of organization COOP capabilities using a MYSPMP.

FPC 65 states that the MYSPMP will outline the process the organization will follow to:

- (1) Designate and review essential functions and resources,
- (2) Define short and long-term COOP goals and objectives,
- (3) Forecast COOP budgetary requirements,
- (4) Identify COOP program issues, concerns, potential obstacles, and the strategy for addressing these, as appropriate, and
- (5) Establish COOP planning, training, and exercise activities and milestones for these activities.

These instructions and the accompanying template were developed to assist Federal Executive Branch Departments and Agencies in developing COOP MYSPMPs that satisfy the FPC 65 guidance and improve the COOP capabilities of the organization.

Questions concerning this guide can be directed to:

Office of National Security Coordination  
Plans Division, Special Programs Branch  
Federal Emergency Management Agency  
500 C Street, SW  
Washington, DC 20472  
(202) 646-3858

## TABLE OF CONTENTS

<u>I. Executive Summary</u> .....	4
<u>II. Introduction</u> .....	4
<u>III. Purpose</u> .....	5
<u>IV. Authorities and References</u> .....	6
<u>V. Program Management and Responsibilities</u> .....	6
<u>VI. Summary of Strategic Planning Objectives</u> .....	6
<u>VII. Essential Functions</u> .....	7
<u>VIII. Performance Measures and Enabling Tasks</u> .....	7
<u>IX. External Factors</u> .....	15
<u>X. COOP Program Resource Requirements</u> .....	15
<u>XI. MYSPMP Maintenance</u> .....	16
<u>Annex A: Suggested Authorities and References</u> .....	17
<u>Annex B: Essential Functions Information</u> .....	18

## **I. EXECUTIVE SUMMARY**

The executive summary should briefly outline the organization's mission and content of the COOP MYSPMP and describe what it is, whom it affects, and how the document is to be used to ensure a viable COOP capability. Further, the executive summary should summarize the key components of the organization's COOP strategic planning and program management process, the current and future objectives of the COOP program, and the performance measures, enabling tasks, and resources required to achieve those objectives. Finally, the executive summary should highlight the responsibility and review requirements associated with this document.

---

### **SAMPLE**

The following is an example executive summary:

The mission of the organization is to provide coordination and oversight in support of programs to ensure public safety. To support this mission, the organization must be operationally prepared to continue operations during any type of threat or emergency, and be able to effectively resume essential operations if they are interrupted. Included in this responsibility is the requirement to formulate guidance and establish common objectives for the organization and all subordinate organizations to use in developing viable, executable COOP plans; facilitate interagency coordination, as appropriate; and oversee and assess the status of its COOP capabilities and programs. This COOP Multi-Year Strategy and Program Management Plan provides the strategic guidance, objectives, performance measures, and resource requirements for implementation of the organization's Continuity of Operations Program.

Using the guidance provided in this plan, the organization offices and sub-elements will develop organizational COOP plans and programs that implement this guidance and provide for the continuity of essential functions that will enable the organization to provide vital services in the event of an emergency that prevents occupancy of its primary offices.

---

## **II. INTRODUCTION**

The introduction section should explain the importance of the COOP MYSPMP in relation to the organization COOP capability. It may also discuss the background of the organization's COOP program and the development of its MYSPMP including references to appropriate policies and guidelines.

---

### **SAMPLE**

The following is an example introduction section:

This document contains the strategy and program management concepts that will be used to ensure and improve upon the organization's COOP capability over the next five years. The guidance included in this plan meets all requirements of Federal Preparedness Circular (FPC) 65, Federal Executive Branch Continuity of Operations, the organization's Strategic Plan, and Executive Order Number 12656. This MYSPMP provides the objectives, performance measures, and resource requirements to support the COOP plan and program for FY-06 through FY-10.

---

### **III. PURPOSE**

The purpose section should explain why the organization is developing a COOP MYSPMP, the expected results that will be achieved as a result of the MYSPMP, the expected conditions under which this document is applicable, and a description of the organizational applicability and scope.

---

### **SAMPLE**

The following is an example purpose section:

COOP planning is a good business practice and part of the fundamental mission of agencies as responsible and reliable public institutions. Today's changing threat environment and recent emergencies, including localized acts of nature, accidents, technological emergencies, and military or terrorist attack-related incidents, have increased the need for COOP capabilities and plans that enable agencies to continue their essential functions across a broad spectrum of emergencies. This environment, coupled with the potential for terrorist use of weapons of mass destruction, has emphasized the importance of COOP programs that ensure continuity of essential government functions across the Federal government. This COOP MYSPMP provides multi-year planning guidance to all organizational offices and sub-elements for development of effective COOP plans and programs to support the ORGANIZATION COOP mission.

The organization is comprised of 15,500 personnel and 23 offices and sub-elements. This COOP MYSPMP meets all COOP requirements to support this organization's need to continue its essential function under all conditions in accordance with FPC 65.

---

#### **IV. AUTHORITIES AND REFERENCES**

This section lists the authorities and references used to support the MYSPMP. A list of suggested authorities and references is provided in Annex A. Individuals should tailor this list to meet their individual organizational requirements.

#### **V. PROGRAM MANAGEMENT AND RESPONSIBILITIES**

This section identifies the organizational elements and personnel responsible for the organization's COOP program and, specifically, the COOP MYSPMP. The section will assign those personnel responsible for management and support of the organization's COOP MYSPMP. This section will also identify those organizations and personnel that will provide specific components or information to the plan such as the financial and strategic planning elements of the organization.

#### **VI. SUMMARY OF STRATEGIC PLANNING OBJECTIVES**

This section defines the strategic planning objectives of the organization's COOP program. The COOP strategic planning objectives should be developed utilizing an all-hazards planning approach to ensure that essential functions are continued regardless of the type of emergency. These strategic planning objectives will be used to derive the performance measures, enabling tasks, and resource requirements. Strategic planning objectives are intended to be broad statements identifying the desired achievements of the project. The objectives do not necessarily have to be directly measurable and tend to be more general in nature.

The strategic planning objectives listed below are the objectives of viable COOP programs as defined by FPC 65. The objectives may be tailored by the individual organization to meet the specific needs of the organizations MYSPMP; however, the resulting strategic objectives defined by the organization must ultimately ensure that the organizations can accomplish the FPC 65 objectives.

FPC 65 Objectives of Viable COOP Programs:

- (1) Ensuring the performance of essential functions/operations;
- (2) Reducing loss of life, minimizing damage and losses;
- (3) Executing as required, successful succession to office with accompanying authorities in the event a disruption renders agency leadership unable, unavailable, or incapable of assuming and performing their authorities and responsibilities of office;
- (4) Reducing or mitigating disruptions to operations;
- (5) Ensuring that alternative facilities are available from which to continue to perform their essential functions;
- (6) Protecting essential facilities, equipment, vital records, and other assets;
- (7) Achieving a timely and orderly recovery from a COOP situation and maintenance of essential functions to both internal and external clients;

- (8) Achieving a timely and orderly reconstitution from an emergency and resumption of full service to both internal and external clients; and
- (9) Ensuring and validating COOP readiness through a dynamic, integrates test, training, and exercise programs to support the implementation of COOP plans and programs.

## **VII. ESSENTIAL FUNCTIONS**

FPC 65 states that the MYSPMP will outline the process the organization will follow to designate and review essential function. This section should include a list of the organization's prioritized essential functions. Additionally, this section should define how the organization will designate and review the essential functions and who will accomplish this task. If applicable, this section should also outline the process that the organization will use to ensure that its sub-organizational elements and regional offices and facilities, throughout the country, can support performance of their essential functions. Information on the national essential functions program that should be used in designating and reviewing essential functions is provided in Annex B.

## **VIII. PERFORMANCE MEASURES AND ENABLING TASKS**

This section defines each of the performance measures and enabling tasks corresponding to each of the strategic planning objectives defined in Section VI. The performance measures and enabling tasks identified in the MYSPMP will be the focus for the organization's planning and preparedness throughout the time period covered by the MYSPMP. These measures and tasks should be developed and reviewed annually by each of the offices and sub-elements affected by the MYSPMP. This development and review process will identify specific COOP planning and preparedness activities, along with the supporting COOP test, training, and exercise programs, to support accomplishment of the strategic planning objectives. Annex C provides the performance measures and enabling tasks that correspond to the strategic planning objectives as defined by FPC 65. The information contained in Annex C can be tailored to the individual organization and included as part of the organization's performance measures and enabling tasks.

### **OBJECTIVE 1: ESSENTIAL FUNCTIONS**

#### Performance Measure 1.1

- Identify and Prioritize Priority and Secondary Essential Functions
  - Enabling Task 1.1.1
    - Review the National Essential Functions and identify and prioritize the organization's Priority and Secondary Essential Functions
  - Enabling Task 1.1.2
    - Identify functional interdependencies that support the organization's essential Functions

Performance Measure 1.2

- Identify and prioritize subordinate organizations' essential functions
  - Enabling Task 1.2.1
    - Identify functional interdependencies that support subordinate organizations' essential functions

Performance Measure 1.3

- Ensure the Performance of all essential functions
  - Enabling Task 1.3.1
    - Provide facilities and other resources to support essential functions
  - Enabling Task 1.3.2
    - Identify required staffing, logistics, information assets, and other requirements to support essential functions and in concordance with Objective 7 requirements

## **OBJECTIVE 2: MINIMIZING LOSS**

Performance Measure 2.1

- Develop COOP Policy, Plans and Guidance
  - Enabling Task 2.1.1
    - Review, update, coordinate, and distribute internal COOP documentation and guidance to support COOP planning and preparedness
  - Enabling Task 2.1.2
    - Maintain the COOP Working Group to support the organization's COOP capability
  - Enabling Task 2.1.3
    - Develop and maintain the COOP Plan and subordinate organization COOP Implementation Plans
  - Enabling Task 2.1.4
    - Coordinate COOP planning with Occupant Emergency Plans and Procedures to include shelter-in-place procedures
  - Enabling Task 2.1.5
    - Develop and maintain the Devolution Plan
  - Enabling Task 2.1.6
    - Coordinate COOP planning with IT contingency procedures and the disaster recovery process
  - Enabling Task 2.1.7
    - Update and maintain the COOP MYSPMP
  - Enabling Task 2.1.8

- Coordinate COOP planning with critical infrastructure protection and risk management activities

#### Performance Measure 2.2

- Maintain and enhance effective, redundant, and interoperable communications to support the COOP Plan
  - Enabling Task 2.2.1
    - Review and maintain interoperable communications capabilities and requirements to support the COOP Plan
  - Enabling Task 2.2.2
    - Develop and maintain an interagency COOP website that identifies COOP resources and other supporting information

#### Performance Measure 2.3

- Review COOP risk assessments to include hazard analysis and vulnerability assessments (threat assessment)
  - Enabling Task 2.3.1
    - Review COOP risk assessments to include hazard analysis and vulnerability assessments (threat assessment) at primary and alternate sites and facilities

#### Performance Measure 2.4

- Periodically review policy guidance for reducing loss of life and minimizing damage to critical assets
  - Enabling Task 2.4.1
    - Conduct periodic threat briefings to COOP Team members focusing on activities that could affect essential functions and COOP capability

### **OBJECTIVE 3: EXECUTING SUCCESSION / DELEGATIONS OF AUTHORITY**

#### Performance Measure 3.1

- Ensure successful execution of leadership succession
  - Enabling Task 3.1.1
    - Include leadership succession guidance in the COOP Plan
  - Enabling Task 3.1.2
    - Distribute succession guidance and ensure access to this guidance in the vital records at the alternate facilities

#### Performance Measure 3.2

- Review and distribute Delegations of Authority(ies) guidance

- Enabling Task 3.2.1
  - Include Delegations of Authority(ies) references in the COOP Plan
- Enabling Task 3.2.2
  - Ensure access to Delegations of Authority(ies) guidance in the vital records at the alternate facilities

## **OBJECTIVE 4: MITIGATING OPERATIONS INTERRUPTIONS**

### Performance Measure 4.1

- Mitigate disruptions to operations through a comprehensive COOP plan
  - Enabling Task 4.1.1
    - Develop and maintain within the COOP Plan guidance for mitigating disruptions to essential functions
  - Enabling Task 4.1.2
    - Use GEOSPATIAL OR SIMILAR TECHNOLOGY to assist in identifying hazards and other potential threats to the alternate facilities

## **OBJECTIVE 5: ALTERNATE FACILITIES**

### Performance Measure 5.1

- Provide guidance and manage plans and resources to identify and support alternate COOP facilities
  - Enabling Task 5.1.1
    - Develop and manage COOP alternate facility guidance and resources to support COOP sites and programs

### Performance Measure 5.2

- Ensure at least one fully resourced alternate facility is available to continue performance of all essential functions
  - Enabling Task 5.2.1
    - Establish and maintain a fully resourced and functional alternate COOP facility to support its COOP mission and essential functions
  - Enabling Task 5.2.3
    - Conduct periodic reviews of COOP resource availability and of safeguards for resources at the alternate facility

## **OBJECTIVE 6: PROTECTION OF ASSETS**

### Performance Measure 6.1

- Ensure the availability, maintenance and protection of assets to support COOP operations
  - Enabling Task 6.1.1
    - Facilities will be available, maintained, and protected

- Enabling Task 6.1.2
  - Equipment and other resources, identified in the COOP Plan and Implementation Plans will be available, maintained and protected
- Enabling Task 6.1.3
  - Other items deemed essential for COOP operations will be available, maintained and protected

#### Performance Measure 6.2

- Develop and ensure availability of a COOP vital records and databases management plan
  - Enabling Task 6.2.1
    - Develop a COOP vital records and databases management plan
  - Enabling Task 6.2.2
    - Identify vital records and data bases required for COOP
  - Enabling Task 6.2.3
    - Develop an infrastructure to facilitate off-premise storage of vital records and data bases and ensure accessibility at the COOP alternate facility
  - Enabling Task 6.2.4
    - Update vital records and data bases continually
  - Enabling Task 6.2.5
    - Protect vital records and data bases
  - Enabling Task 6.2.6
    - Reconstitute vital records and data bases, as required
  - Enabling Task 6.2.7
    - Prepare COOP facility for activation and operations and for availability and safekeeping of vital records and data bases to support COOP operations

## **OBJECTIVE 7: COOP RECOVERY**

#### Performance Measure 7.1

- Develop and support plans and procedures to ensure a timely and orderly recovery from a COOP event so that essential functions are continued despite any threat or operational interruption
  - Enabling Task 7.1.1
    - Plan for and address internal and external requirements to support essential functions
  - Enabling Task 7.1.2
    - Coordinate business recovery, to include human capital, equipment, resources, and other activities – and meet recovery time objectives – to support essential functions Performance Measure 7.2

- Develop and provide support for a recovery transition plan to assist in the return to normal operations
- Enabling Task 7.2.1
  - Coordinate plans and procedures for sustainment of communications with internal and external organizations and clients during reconstitution

## **OBJECTIVE 8: RECONSTITUTION**

### Performance Measure 8.1

- Ensure an effective and orderly reconstitution from an emergency to attain full service without interruption and continued operation of essential functions
  - Enabling Task 8.1.1
    - Develop guidance for a timely and orderly reconstitution from an emergency or other business interruption, to reestablish full service without interruption and continued operations of essential functions
  - Enabling Task 8.1.2
    - Identify and address internal and external client issues related to reconstitution
  - Enabling Task 8.1.3
    - Identify systems at the reconstitution site(s) requiring vendor/contract support, as required

### Performance Measure 8.2

- Establish a partnership with GSA to form the reconstitution team
  - Enabling Task 8.2.1
    - Coordinate reconstitution needs and requirements with GSA

## **OBJECTIVE 9: COOP TESTS, TRAINING AND EXERCISES (TT&E)**

### Performance Measure 9.1

- In accordance with guidance in FPC 65, provide COOP training to support the implementation of COOP Plans and Program
  - Enabling Task 9.1.1
    - Provide training for the following personnel: COOP Program Managers, COOP Points of Contact, COOP Team Members, personnel that do not relocate to the alternate facilities, and organization leadership.

### Performance Measure 9.2

- Develop assessment tools and provide an integrated test program to support the implementation of the COOP Plans
  - Enabling Task 9.2.1
    - Develop an assessment tool to assist offices and sub-elements in reviewing, improving, and amending their COOP Implementation plans and programs
  - Enabling Task 9.2.2
    - Conduct quarterly testing of COOP alert, notification, and activation procedures
  - Enabling Task 9.2.3
    - Conduct quarterly testing of COOP communication capabilities
  - Enabling Task 9.2.4
    - Conduct semi-annual testing of plans for the recovery of vital classified and unclassified records, critical information systems, services, and data
  - Enabling Task 9.2.5
    - Conduct annual testing of primary and secondary (backup) infrastructure (systems and services) at the alternate facility

#### Performance Measure 9.3

- Conduct COOP exercise(s) to train and validate COOP capabilities
  - Enabling Task 9.3.1
    - Conduct annual COOP exercises to train and test personnel, plans, and capabilities
  - Enabling Task 9.3.2
    - Conduct annual exercise(s) at the alternate facility, to include comprehensive debriefings, to help identify systemic weaknesses and to identify areas requiring COOP plan and program updates and revisions
  - Enabling Task 9.3.3
    - Perform internal, agency, and related audits in order to ensure compliance with alert notifications and other COOP actions
  - Enabling Task 9.3.4
    - Identify and develop best practices for the COOP Working Group following exercises and other compliance activities
  - Enabling Task 9.3.5
    - Complete After-Action Reports (AARs) for exercises and actual COOP events.

#### Performance Measure 9.4

- Perform assistance to office and sub-element Points of Contact to support their COOP plans and programs
  - Enabling Task 9.4.1

- Conduct COOP assistance meetings with each of the organizational element Principals and COOP Points of Contact to provide advice and assistance to support their COOP plans and programs
- Enabling Task 9.4.2
  - COOP Points of Contact will identify and develop best practices following any exercise(s) or COOP-related activities. The Office of National Security Coordination will collect and distribute the results.
  - Conduct quarterly testing of COOP alert, notification, and activation procedures
- Enabling Task 9.2.3
  - Conduct quarterly testing of COOP communication capabilities
- Enabling Task 9.2.4
  - Conduct semi-annual testing of plans for the recovery of vital classified and unclassified records, critical information systems, services, and data
- Enabling Task 9.2.5
  - Conduct annual testing of primary and secondary (backup) infrastructure (systems and services) at the alternate facility

#### Performance Measure 9.3

- Conduct COOP exercise(s) to train and validate COOP capabilities
  - Enabling Task 9.3.1
    - Conduct annual COOP exercises to train and test personnel, plans, and capabilities
  - Enabling Task 9.3.2
    - Conduct annual exercise(s) at the alternate facility, to include comprehensive debriefings, to help identify systemic weaknesses and to identify areas requiring COOP plan and program updates and revisions
  - Enabling Task 9.3.3
    - Perform internal, agency, and related audits in order to ensure compliance with alert notifications and other COOP actions
  - Enabling Task 9.3.4
    - Identify and develop best practices for the COOP Working Group following exercises and other compliance activities
  - Enabling Task 9.3.5
    - Complete After-Action Reports (AARs) for exercises and actual COOP events.

#### Performance Measure 9.4

- Perform assistance to office and sub-element Points of Contact to support their COOP plans and programs

- Enabling Task 9.4.1
  - Conduct COOP assistance meetings with each of the organizational element Principals and COOP Points of Contact to provide advice and assistance to support their COOP plans and programs
- Enabling Task 9.4.2
  - COOP Points of Contact will identify and develop best practices following any exercise(s) or COOP-related activities. The Office of National Security Coordination will collect and distribute the result.

## **IX. EXTERNAL FACTORS**

The advent of all-hazard emergencies or disasters, or terrorist events in the United States may alter the current plan and require additional, accelerated planning and preparedness activities to support the organization’s COOP capability. This section should address any strategic planning or program management concepts necessary to address such external factors to the extent possible.

## **X. COOP PROGRAM RESOURCE REQUIREMENTS**

This section provides a summary of the organization’s budget requirements to support the COOP program. The detailed COOP budget requirements should be maintained as a separate addendum to this MYSPMP and should contain the resource requirements to support each of the COOP objectives, including personnel, equipment, and other costs. Subordinate organizational elements COOP resource requirements should be identified in either this MYSPMP or in their internal MYSPMPs, as appropriate.

---

### **SAMPLE**

The following is an example of the resource requirements summary table that should be included in this section:

<b>FY06</b>	<b>FY07</b>	<b>FY08</b>	<b>FY09</b>	<b>FY10</b>	
PERSONNEL	\$80,000	\$80,000	\$60,000	\$50,000	\$50,000
RENT	\$140,000	\$140,000	\$160,000	\$160,000	\$170,000
COMMUNICATIONS	\$100,000	\$20,000	\$20,000	\$20,000	\$20,000
EQUIPMENT	\$1,000	\$1,000	\$5,000	\$5,000	\$5,000
IT SUPPORT	\$17,000	\$17,000	\$17,000	\$18,000	\$18,000
TRAVEL / TRANSPORTATION	\$10,000	\$10,000	\$21,000	\$20,000	\$13,000
SUPPLIES	\$350	\$350	\$1,500	\$1,500	\$1,500
<b>TOTALS</b>	<b>\$348,350</b>	<b>\$268,350</b>	<b>\$284,500</b>	<b>\$274,500</b>	<b>\$277,500</b>

## **XI. MYSPMP MAINTENANCE**

This section describes how the MYSPMP will be maintained. At a minimum, this section should define how often the MYSPMP will be update and who is responsible for conducting the review and updates.

---

### **SAMPLE**

The following is an example maintenance section:

This plan, including essential functions and supporting activities, shall be reviewed annually, and depending on the changes, will be either updated or rewritten to ensure the MYSPMP contains the most current information. This review shall be complete no later than March 31 of each year. The Emergency Management and Continuity Program Office (EMCPO) will have overall responsibility for updating and managing this plan. Please provide any comments or suggestions for updating and improving the COOP MYSPMP to EMCPO.

---

## ANNEX A: SUGGESTED AUTHORITIES AND REFERENCES

### Authorities

- The Homeland Security Act of 2002, PL 107-296, enacted 11/25/02.
- The National Security Act of 1947, 50 U.S.C. 401 (as amended).
- Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. 5121, et seq.).
- Executive Order 12656, *Assignment of Emergency Preparedness Responsibilities*, dated November 18, 1988, as amended.
- Executive Order 12472, *Assignment of National Security and Emergency Preparedness Telecommunications Functions*, dated April 3, 1984.
- Executive Order 12148, *Federal Emergency Management*, dated July 20, 1979, as amended.
- PDD 62, *Combating Terrorism – Homeland Defense*, dated May 22, 1998.
- PDD 67, *Enduring Constitutional Government and Continuity of Government Operations*, dated October 21, 1998.
- White House Memorandum, *Continuity Policy/Department and Agency Essential Functions*, dated January 10, 2005, by Francis Fragos Townsend
- White House Memorandum, *Background paper on Essential Functions Concept and Implementation and Recommended Guidelines for Submitting Department/Agencies Priority Mission Essential Functions Information*, dated January 10, 2005, by David W. Howe

### References

- Title 44, Code of Federal Regulations (CFR) Part 2, Subpart A – *Organization, Functions, and Delegations of Authority*, dated October 1, 2002.
- Title 41, Code of Federal Regulations (CFR) 101.20.003, *Occupant Emergency Program*, revised on July 1, 2000.
- Title 36, Code of Federal Regulations (CFR) Part 1236, *Management of Vital Records*, revised on May 16, 2001.
- Homeland Security Presidential Directive 3 (HSPD 3), *Homeland Security Advisory System*, dated, March 11, 2002.
- HSPD 7, *Critical Infrastructure Identification, Prioritization, and Protection (CIP)*, dated Dec 17, 2003.
- HSPD 8, *National Preparedness*, dated December 17, 2003.
- Federal Preparedness Circular (FPC) 60, *Continuity of the Executive Branch of the Federal Government at the Headquarters Level during National Security Emergencies*, dated November 20, 1990.
- FPC 65, *Federal Executive Branch Continuity of Operations (COOP)*, dated June 15, 2004.

## ANNEX B: ESSENTIAL FUNCTIONS INFORMATION

There are critical essential functions that government organizations must be able to perform, either continuously or without significant disruption, during and following a crisis, if required, in the assurance of COOP. Though it may not be necessary for every function to be performed during every emergency, procedures must be in place to enable each function to be performed regardless of the disruption that is occurring, or has occurred.

Further, government organizations must ensure that its sub-organizational elements and regional offices and facilities, throughout the country, can support performance of their essential functions, as required.

On January 4, 2005, the Homeland Security Council reviewed and approved eight National Essential Functions (NEFs) that must be performed by the Federal government during an emergency and, on January 10, 2005, guidance was provided to the Federal Departments and Agencies on development of Priority Mission Essential Functions (PMEFs) to support these national functions.

**National Essential Functions (NEFs)** are functions that represent the overarching responsibilities of the Executive Branch to lead and sustain the country and will generally be the primary focus of the President.

**Priority Mission Essential Functions (PMEFs)** are those Department specific mission essential functions that support the NEFs and flow directly up from supporting activities or capabilities within Department or Agency COOP Plans.

The following are the National Essential Functions:

- 1. Preserve our Constitutional Form of Government.** Ensure the continued functioning of our duly elected representative form of government, and in particular, the functioning of the three independent branches of government. This NEF includes Department and Agency functions that respect and implement the check and balance relationship among the three branches of the Federal government.
- 2. Provide visible leadership to the Nation; maintain the trust and confidence of the American people.** This NEF includes Department and Agency functions to demonstrate that the Federal government is viable, functioning, and effectively addressing the emergency.
- 3. Defend the country against all enemies, foreign or domestic, and prevent and interdict future attacks.** This NEF includes Department and Agency functions to protect and defend the worldwide interests of the United States against foreign or domestic enemies, to honor security agreements and treaties with allies, and to maintain military readiness and preparedness in furtherance of national interests and objectives.
- 4. Maintain and foster effective relationships with foreign nations.** This NEF includes Department and Agency functions to maintain and strengthen American foreign policy.

**5. Protect against threats to the homeland and bring to justice perpetrators of crimes or attacks against the nation, its citizens or interests.** This NEF includes Department and Agency functions to protect against, prevent, or interdict attacks on the people or interests of the nation and to identify, incarcerate and punish those who have committed violations of the law.

**6. Provide rapid and effective response to and recovery from the domestic consequences of an attack or other incident.** This NEF includes Department and Agency functions to implement response and recovery plans, including, but not limited to, the National Response Plan.

**7. Protect and stabilize the nation's economy; ensure confidence in financial systems.** This NEF includes Department and Agency functions to minimize the economic consequences of an attack or other major impact on national or international economic functions or activities.

**8. Provide for critical Federal government services that address the national health, safety and welfare needs of the Nation.** This NEF includes Department and Agency functions that ensure that the critical national level needs of the nation are met during an emergency with regard to Federal government activity.

To support the NEFs, organizations should identify a list of essential functions using the following guidance.

- 1. Priority Mission Essential Functions (PMEFs):** Those mission essential functions that must be performed to support or implement the NEFs before, during, and in the immediate aftermath of an emergency. Generally, these PMEFs must be uninterrupted, or resumed, during the first 24-48 hours after the occurrence of an emergency and continued through full resumption of all government functions.
- 2. Secondary Mission Essential Functions (SMEFs):** Those mission essential functions that the Department must perform in order to bring about full resumption of its normal functions, but which are not PMEFs. Resumption of SMEFs may need to occur within a very short period of time or only after several days depending on the nature of the Department's mission and the nature of the disruption to normal Department functions.
- 3. Supporting Activities:** Those specific activities that the Department must conduct in order to perform its mission essential functions.
- 4. Capabilities:** Communications, facilities, information, trained personnel, and other assets necessary to conduct the Department's mission essential functions and supporting activities.

The COOP MYSPMP should provide the guidance, objectives, performance measures, enabling tasks, and resources necessary for the organization to accomplish its overall mission, and its priority and secondary mission essential functions.