

# ESSENTIAL FUNCTIONS

## DOCUMENT CHANGE CONTROL

| Version | Contributor | Changes            | Date Change | Reviewed By |
|---------|-------------|--------------------|-------------|-------------|
| 1.0     | M KELLEY    | Framework Creation |             |             |
| 1.1     | M KELLEY    | Format Update      |             |             |
| 2.0     | M KELLEY    | First Draft        |             |             |
| 2.1     | M KELLEY    | First Build        |             |             |
| 3.0     | M KELLEY    | First Article      |             |             |

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# 1. Essential Functions

While the full plan for restoring and sustaining all essential functions continues to develop, the Department has identified the essential functions and continues to refine the plans for restoration of these functions. These areas include.....

As outlined above, concurrent with the activities to restore operations within the department, there is a high likelihood the department will also be required to provide support to communities and local government concurrent with COOP/COG activities. The process of completing the COOP/COG plan has provided the opportunity to identify the staffing, data, and other resource requirements to restore and sustain these functions in the event of a catastrophic event... (Add any specific info here)

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## 2. Operational Plan

Essential functions are those tasks, functions or activities that, if not performed, would result in [redacted] failing to meet its legal and constitution requirements. For a pandemic, sufficient alternates should be identified and trained to perform the essential functions and entered into the template because of anticipated high absenteeism (perhaps 40% over 18-24 months)..... (Add any specific info here)

*This section should contain operational checklists for use during an event. A checklist is a simple tool that ensures all required tasks are accomplished so that the organization can continue operations at an alternate location. Checklists may be designed to list the responsibilities of a specific position or the steps required to complete a specific task.*

Sample operational checklists may include:

- Emergency Calling Directory
- Key Personnel Roster and Essential Functions Checklist
- Emergency Relocation Group Roster
- Emergency Relocation Group Checklist
- Alternate Site Acquisition Checklist
- Emergency Operating Records and IT Checklist
- Emergency Equipment Checklist

| PRIORITY | ESSENTIAL FUNCTION | NUMBER OF ESSENTIAL PERSONNEL | EQUIPMENT AND SYSTEMS | VITAL RECORDS AND DATABASES | SUPPLIES |
|----------|--------------------|-------------------------------|-----------------------|-----------------------------|----------|
|          |                    |                               |                       |                             |          |
|          |                    |                               |                       |                             |          |

Client should decide how soon after COOP plan activation (also known as recovery time objective) each prioritized essential functions should be available. Essential functions must be ranked according to their priority so the Emergency Response Team knows how to prioritize response efforts.

For example, those functions classified as one, may be those that impact life, death, safety, and freedom.

The chart below illustrates five priority levels:

(NOTE: OES requirements for essential function operational capability RTO is 12hrs or Priority 1)

| Priority | Recovery Time Objective |
|----------|-------------------------|
| 1        | 0 – 12 hours            |
| 2        | 12 - 48 hours           |
| 3        | 3 – 5 days              |
| 4        | 5 - 30 days             |
| 5        | Indefinite              |

For example, client business units could categorize essential functions according to priority levels with recovery time objectives that are practical for each business unit's unique response requirements.

| Priority | Recovery Time Objective | Essential Function | Location 1 | Location 2 | Location 3 |
|----------|-------------------------|--------------------|------------|------------|------------|
| 1        | 12 hours                |                    | Required   | Required   | Required   |
| 2        | 48 hours                |                    |            | Required   |            |
| 3        | 30 days                 |                    | Required   | Required   | Optional   |

For example, essential resource requirements for each essential function could be identified, along with alternates as contingency measures.

| Essential Function | Primary | Alternate 1 | Alternate 2 | Alternate 3 |
|--------------------|---------|-------------|-------------|-------------|
|                    |         |             |             |             |
|                    |         |             |             |             |
|                    |         |             |             |             |

## **2.1 Essential Functions**

*(Identifies a list of all essential functions, and priorities them in the order of criticality)*

## **2.2 Staffing Requirements**

*(Identifies levels of staffing associated with each essential function)*

## **2.3 Resource Requirements**

*(Lists necessary resources {people, equipment, and materials} to facilitate the ability to perform essential functions)*

## **2.4 Critical Data and Systems**

*(Identifies critical data and data systems associated with each essential function)*

## **2.5 Support Activities**

*(Lists necessary support activities to help facilitate the performance of each essential function)*

## **2.6 Resumption or Recovery Plans**

*(Identifies a resumption or recovery plan to ensure operational capability within 12 hours for each of the identified essential functions)*

## **2.7 Process to Acquire Resources**

*(Identifies process and procedures to acquire resources necessary to sustain operations for up to 30 days)*

### 3. Policy and Procedures

*(Outlines rules and procedures necessary to implementing recovery of essential functions)*

#### 3.1 Policy for Implementation

*(CLIENT through [redacted] (client " - " Policy ###) identifies that each essential function of it's critical operations must have a resumption or recovery plan. This policy is consistent with State and Federal governmental agencies who have also been required to develop plans to ensure that critical operations are maintained during an emergency with the ability to return to normal operations)*

Comment [MK1]: Reference Policy

#### 3.2 Procedures for Implementation

*(Per FPC 65 guidance 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)*