

# Gap Analysis Outline

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## **Checklist:**

- Cite OES requirements from report (First Iteration)
  - Cite Federal requirements overlap (to assist in priority evaluation) (First Iteration)
  - Validate OES references to content in the COOP/COG plan (Second Iteration)
  - Rate maturity level of content in the COOP/COG plan (Third Iteration)
  - Collect feedback from client on priorities (Fourth Iteration)
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## **Gap Analysis Process:**

The Gap Analysis process has two goals:

1. Plan Validation
2. Plan Content Maturity Level Rating

### Plan Validation

Three primary objectives for the Plan Validation:

1. Policy (Control & Authorization)
2. Design (Scope & Requirements)
3. Procedures (Logical & Executable)

The following checks will be used to assess the gap analysis objectives:

1. Check for Policy
  - a. Policy must define scope of control
  - b. Policy must define compliance criteria
  - c. Policy must define reporting criteria
  - d. Policy must define authorizing authority
2. Check for Design
  - a. Design must quantify & qualify plan scope (who, where, what, when, how)
  - b. Design must define plan requirements (time, resources, inter-dependencies)
  - c. Design must define review and change control requirements
  - d. Design must define success criteria & approval requirements
3. Check for Procedures
  - a. Procedures must define logical steps
  - b. Procedures must define decision making processes
  - c. Procedures must be supportable, executable and repeatable
  - d. Procedures must define *User* review checks & expected results

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## Maturity Level Rating

Five primary ratings for the plan maturity are:

1. (F) Failing
2. (I) Incomplete (Not Fully Documented)
3. (L) Low (Documented)
4. (M) Medium (Exercisable)
5. (H) High (Repeatable & Efficient)

The following checks will be used to rate the plan maturity level:

1. Low Rating - Documented
  - a. Policy Documented
  - b. Inter-Agency Agreements Documented
  - c. Plan Design Requirements Documented
  - d. Plan Procedures Documented
  - e. Change Controls in place for Plan Policy, Design, and Procedures
  - f. Plan Design-Element Tests (Scenario, Scripts & Routines) Documented
2. Medium Rating – Exercisable
  - a. Policy Document Reviewed & Authorized
  - b. Inter-Agency Agreements Reviewed (Table Top Exercise) & Approved
  - c. Plan Design Requirements Reviewed (Table Top Exercise) & Approved
  - d. Plan Design-Element Testing Performed
  - e. Plan Procedures Reviewed (Table Top Exercise) & Approved
3. High Rating – Repeatable & Efficient
  - a. Plan Procedures Testing Performed
  - b. Plan Procedures Quality Controlled (Documented Lessons Learned)
  - c. Agency Wide Plan Testing & Reporting