

GAP ANALYSIS

Report Notes

1. Emergency Plans and Procedures
1.1 Procedures Included
<i>Employee General Advisory Communication Policy Document</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Employee General Advisory Communication Design (Plan Requirements) Document</i> EXAMPLES: Unable to reference plan design requirements addressing Advisory Communications
<i>Employee General Advisory Communication Procedures Document</i> EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.
<i>Employee Alert Notification Policy Document</i> EXAMPLES: Reporting criteria and alert notification mentioned, but no policy to define Who outside of the security guard activates the notification and their scope of control. The activation criteria suggest "following a disaster" but does not mention a decision making criteria for levels of notification, or logical steps for each of the different levels. There is no authorizing authority (who and contact information) cited as typically found in a policy document, nor how that authorization is granted and reported.
<i>Employee Alert Notification Design (Plan Requirements) Document</i> EXAMPLES: Communications methods are mentioned, but no design requirements are defined (who must be notified using which preferred method), and the escalation of methods if one or more should fail (in what time frame), and what constitutes a successful notification. A Call Tree is referenced but there is no horizontal inter-dependency requirements defined (agency, fire, emergency) if DRC's are not available.
<i>Employee Alert Notification Procedures Document</i> EXAMPLES: Communications procedures is limited to building ????? and does not provide procedure requirements for health and safety to inter-dependants. Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.
<i>COOP/COG Plan Activation Policy Document</i> EXAMPLES: There is no authorizing authority (who and contact information) cited as typically found in a policy document, nor how that authorization is granted and reported. It cites in other places that "(DEPARTMENT/AGENCY) has decided in advance who has authority to order an evacuation plan", but no mention on who this is, there contact information or where this plan is kept for reference or authorized access for review.
<i>COOP/COG Plan Activation Design (Plan Requirements) Document</i> EXAMPLES: There are some missing design elements (co-locating primary and secondary DOC's in the same building and assuming that in a disaster the building impacted would still be available for use) and other elements that do not seem logical (establishing communications with OES after relocating the SRT to the (DEPARTMENT/AGENCY) Operations Center) Several critical components of the plan is mentioned (evacuation plan, emergency response team handbook) but no references to who the custodian is, where it can be located, who has access to them.
<i>COOP/COG Plan Activation Procedures Document</i> EXAMPLES: Steps are defined but not all seem logical (activating an emergency internet page prior to relocating the SRT to the (DEPARTMENT/AGENCY) Operations Center) Several critical components of the plan is mentioned (evacuation plan, emergency response team handbook) but no references to who the custodian is, where it can be located, who has access to them. A chain of command is mentioned but no reference can be found to that document, how it is activated, who authorizes others to act on behalf of unavailable (DEPARTMENT/AGENCY) designated person(s), or who has custody of it.

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1.2 Provisions Included
<i>Personnel Accountability Policy Document (Pre Authorization, Declaration, During, Post)</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Personnel Accountability Design (Plan Requirements) Document (Pre Authorization, During, Post)</i> EXAMPLES: Assumes design concept comprises of the Business Continuity Process Flow.
<i>Personnel Accountability Procedures Document (Declaration, During, Post)</i> EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.
1.3 Procedures exist for annual review
<i>Annual Review Policy Document</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Annual Review Design (Plan Requirements) Document</i> EXAMPLES: Some requirements are given regarding test data and uniquely identifying the test reports (reference number and date). No design document for who, where, when, or how it will be performed, who will monitor it, and who and how it will be reported. No design requirements on what the success criteria and approval of the test will look like or how critical change controls are implemented into the plan design or procedures as a result of the tests.
<i>Annual Review Procedures Document</i> EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.
<i>COOP/COG Revision Control Policy Document</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>COOP/COG Revision Control Design (Plan Requirements) Document</i> EXAMPLES: Some requirements are given regarding test data and uniquely identifying the test reports (reference number and date). No design document for who, where, when, or how it will be performed, who will monitor it, and who and how it will be reported. No design requirements on what the success criteria and approval of the test will look like or how critical change controls are implemented into the plan design or procedures as a result of the tests.
<i>COOP/COG Revision Control Procedures Document</i> EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.
1.4 Includes a risk or hazard analysis
<i>Risk Assessment Policy Document (External & Internal)</i> EXAMPLES: Unable to reference policy document citing authorizing authority for the conducting of an RA, ownership of the RA process, compliance criteria for a successful RA, and reporting criteria of the RA results.
<i>Risk Assessment Design (Plan Requirements - Facilities & Operations) Document</i> EXAMPLES: Some definition of design strategy is given (Administrative and Operational) and an overview checklist for the BCP lifecycle. The design document cites that the review process will be done by SRT but does not mention who, where, when, or how the actual RA will be performed. The design document does not cite who, where, when or how the maintenance of the document will be performed, only "as required" (What are the requirements criteria?). The design document cites that a report will be circulated to BCP staff but does not

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mention what the reporting criteria should be, who accepts the report and who authorizes the report for release.

Risk Assessment Procedures Document (External & Internal)

EXAMPLES: A checklist of monitoring progress is given, but no reference to any logical step-by-step procedures for these checklist items. No reference to any logical step-by-step maintenance of the plan.

1.5 Includes operational plans

Operational Plan Adoption Policy

EXAMPLES: Unable to reference policy document citing authorizing authority for adopting the Operational Plan, ownership of the Operational Plan, compliance criteria and reporting criteria for the Operational Plan.

Operational Plan Design (Plan Requirements - Activation, Responsibilities, C&C) Document

EXAMPLES: Plan design concepts are given, but how they are exercised or interact is unclear.

Operational Plan Activation Procedures Document

EXAMPLES: Functionary roles are defined and resources are assigned to each function. Responsibilities are defined for each functionary but how they perform their roles (step-by-step procedures) are not defined or referenced.

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2. Essential Functions
2.1 Listed and Prioritized
<i>Policy Document of Essential Functions & Priority Levels</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Design Document (Plan Requirements) of Essential Functions and their Co-dependencies</i> EXAMPLES: Design concepts are given, elements of essential functions are referenced, and business impact priorities are referenced. It is unclear of how the business objectives are dependant on the listed essential functions, or if there is any co-dependent relationship between essential functions, or how the functions were determined to be essential.
<i>Procedures Document for Functional Priority Setting (Cross Functional Matrix)</i> EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.
2.2 Staffing requirements identified
<i>Essential Function Staffing Policy Document</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Essential Function Staffing Design (Plan Requirements) Document</i> EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.
<i>Essential Function Staffing Procedures Document</i> EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.
2.3 Resource requirements identified
<i>Essential Function Resourcing Policy Document</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Essential Function Resourcing Design (Plan Requirements) Document</i> EXAMPLES: Resource requirements were quantified in Appendix ?, but was not readily apparent under referenced pages. Unable to reference design scope (how many of what type, and how did you quantify the numbers?) or design concept requirements used to qualify the cost summary in Table ? (procurement, street price, or maintenance support, or ?). How do you justify the numbers and how do you prove they are adequate?
<i>Essential Function Resourcing Procedures Document</i> EXAMPLES: The plan references the procedures for developing the essential function resourcing as part of the BIA to quantify minimum requirements, but does not explain how the BIA results were determined, validated, accepted as fact, or authorized by agency.
2.4 Critical Data and Data Systems Identified (Data & Data Systems Classification)
<i>Identification (Qualifying, Identifying, Marking & Reviewing) Critical Data Policy Document</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Critical Data Identification Design (Plan Requirements) Document</i> EXAMPLES: Tool Requirements matrix was referenced in Appendix ? but it is not apparent how the data was classified, marked, or what identification was developed, approved, authorized or how it would be administered. Nor was it apparent how the data's identification and markings would be reviewed or inventoried?

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Critical Data Identification Procedures Document

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

Identification (Qualifying, Identifying, Marking & Reviewing) Critical Data Systems Policy Document

EXAMPLES: No policy document citing authorizing authority, compliance criteria, and reporting criteria.

Critical Data Systems Identification Design (Plan Requirements) Document

EXAMPLES: Requirements matrix was referenced in Appendix ? but it is not apparent how the data systems were classified, marked, or what identification was developed, approved, authorized or how it would be administered.

Nor was it apparent how the data systems identification and markings would be reviewed or inventoried?

Critical Data Systems Identification Procedures Document

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

2.5 Support Activities Addressed

Essential Function Support Activities Policy Document

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Essential Function Support Activities Design (Plan Requirements) Document

EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.

Essential Function Support Activities Procedures Document

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

2.6 Resumption or Recovery Plans Exist

12hr RTO Essential Function Recovery Plan Policy Document

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

12hr RTO Recovery Essential Function Plan Design (Plan Requirements) Document

EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.

12hr RTO Recovery Essential Function Plan Procedures Document

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

2.7 Process to Acquire Resources

30 day RPO Essential Function Resourcing Policy Document

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

30 day RPO Essential Function Resourcing Design (Plan Requirements) Document

EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.

30 day RPO Essential Function Resourcing Procedures Document

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

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3. Line of Succession / Delegation of Authority
3.1 Line of Succession for highest position
<i>Line of Succession highest position Policy Document</i>
EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Line of Succession highest position Design (Plan Requirements) Document</i>
EXAMPLES: Referenced design concept (page ?); however, was unable to determine plan requirements (Emergency Functions or Executive Functions), or plan success criteria (Who authorizes succession – one of the two Disaster Recovery Coordinators, Senior or Key member staff ?).
<i>Line of Succession highest position Procedures Document</i>
EXAMPLES: Referenced contact list (Appendix ?); however, could not cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.
3.2 Line of succession for other leaders
<i>Line of Succession key leaders position Policy Document</i>
EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Line of Succession key leaders position Design (Plan Requirements) Document</i>
EXAMPLES: Referenced design concept (page ?); however, was unable to determine plan requirements (Emergency Functions or Executive Functions), or plan success criteria (Who authorizes delegation of authority – one of the two Disaster Recovery Coordinators, Senior or Key member staff ?).
<i>Line of Succession key leaders position Procedures Document</i>
EXAMPLES: Referenced contact list (Appendix ?); however, could not cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.
3.3 Policy for the delegation of emergency authorities
<i>Policy Document for Delegation of Emergency Authority</i>
EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Design Document (Plan Requirements) for limitations of delegated authorities</i>
EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria. Procedures Document described for Delegation of Emergency Authority
EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.
3.4 Lines of succession for continuity plans
<i>Lines of succession continuity plan Policy Document</i>
EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Lines of succession continuity plan Design (Plan Requirements) Document</i>
EXAMPLES: Referenced design concept (page ?); however, was unable to determine plan requirements (Disaster Recovery, Business Continuity or both ?), or plan success criteria (Does the plan provide oversight for (DEPARTMENT/AGENCY), LSCA's, or both ?).
<i>Lines of succession continuity plan Procedures Document</i>

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EXAMPLES: Referenced contact list (Appendix ?); however, could not cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

3.5 Rosters of trained personnel

Roster Maintenance of trained personnel and authority designation Policy Document

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Roster Maintenance Design (Plan Requirements) Document

EXAMPLES: Referenced a list of personnel with assigned roles/functions (pages ?); however, was unable to determine plan requirements (certifying training or maintaining roster), or plan success criteria (what percent of staff require training, how often, and which functions have priority ?).

Roster Maintenance Procedures Document

EXAMPLES: Referenced a list of personnel with assigned roles/functions (pages ?); however, could not cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized for the certification and maintenance of the roster.

3.6 Rules and procedures for order of succession

Lines of Succession implementation rules Policy Document

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Lines of Succession implementation rules & procedures Design (Plan Requirements) Document

EXAMPLES: Referenced design concept (page ?); however, was unable to determine plan requirements (rules for engagement), or plan success criteria (successful order of authorization, activation, delegation, and reporting).

Lines of Succession implementation Procedures Document

EXAMPLES: Referenced contact list (Appendix ?); however, could not cite logical step-by-step procedures, prioritized process flow, or decision making rules with a checklist of expected results and alternate steps when those desired results are not realized.

3.7 Succession initiating conditions

Policy Document for rules on initiating conditions, notification methods and terminating conditions

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) Document on rules and procedures for initiating conditions

EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.

Procedures Document on initiating conditions, notification methods and terminating conditions

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

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4. Alternate Operating Facilities (AOF)
4.1 Immediate Capability exists to operate
<i>Policy Document for operations under potential threat conditions including WMD threats</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Design (Plan Requirements) Document for operations under potential threat conditions</i> EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.
<i>Procedures Document for operations under potential threat conditions including WMD threats</i> EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.
4.2 Sufficient space and equipment at AOF
<i>AOF space and equipment relocation Policy Document</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>AOF space and equipment relocation Design (Plan Requirements) Document</i> EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.
<i>AOF space and equipment relocation Procedures Document</i> EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.
4.3 Pre-positioned resources are identified for AOF
<i>Policy Document for Pre-positioned resources, contingency contracts, and resource providers</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Design (Plan Requirements) Document for Pre-positioned resources</i> EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.
<i>Procedures Document for identifying, contracting, and establishing Pre-positioned resources</i> EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.
4.4 Plan includes interoperable communications at AOF
<i>Policy Document for interoperable communications</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Design (Plan Requirements) for interoperable communications (internal, external, customers, public)</i> EXAMPLES: Interoperable Communications at AOF was cited in Appendix ? – Call Tree. A brief summary of possible scenarios is used to provide the design scope and concept. The plan design requirements were assumed to be summarized in the chart on page ?, but could not be verified. The success criteria was defined by communication confirmation methods.
<i>Procedures Document for establishing interoperable communications</i> EXAMPLES: Interoperable Communications at AOF was cited in Appendix ? – Call Tree. Step-by-step procedures were defined with expected results for success criteria and alternate steps if desired results are not realized.

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4.5 Logistical support, services and infrastructure at AOF
<i>Policy Document for logistical support, services and infrastructure systems</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Design (Plan Requirements) Document for logistical support, services and infrastructure systems</i> EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria. AOF's were cited in Appendix ? and on Page ?; however, it could not be determined what the design requirements were for supporting those sites, or which services could be performed at which sites, or what infrastructure design requirements could/should be used. It was also not apparent how the facilities were selected (space requirements, infrastructure access, service agreements, logistical levels of support). There was no apparent decision making chart or design process to feed into the procedures document for determining which facility would be better suited for what needs and which facility had what priority?
<i>Procedures Document for providing logistical support, services and infrastructure systems</i> EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized. AOF's were cited in Appendix ? and on Page ?; however, it could not be determined what steps should be taken to activate support, services or infrastructure support services at the facilities.
4.6 Sustain operations for up to 30 days at AOF
<i>Policy Document for 30 day sustainable operations at AOF</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Design (Plan Requirements) for 30 day sustainable operations at AOF</i> EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.
<i>Procedures Document for 30 day sustainable operations plan execution at AOF</i> EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.
4.7 Considerations for the health and safety at AOF
<i>Policy Document for health and safety of relocated employees at AOF</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Design (Plan Requirements) for health and safety of relocated employees at AOF</i> EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.
<i>Procedures Document for providing health and safety to relocated employees at AOF</i> EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.
4.8 Physical security and access controls
<i>Policy Document for physical security and access controls at AOF</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Design (Plan Requirements) for physical security and access controls at AOF</i> EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.
<i>Procedures Document for providing physical security and access controls at AOF</i> EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps

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with a checklist of expected results and alternate steps when those desired results are not realized.

5. Interoperable Communications

5.1 Plans exist for contingency staff, management, and organizational interoperable communications

Policy Document for interoperable communications

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) Document for interoperable communications

EXAMPLES: Referenced a design concept for communications (page ?). Was able to reference the scope (response time and type of incident – “any type of disruption”). The plan requirements are not clear (which were the preferred methods of communications, for which members/functions). It was also not clear what contingency methods would be invoked if all options were exhausted. The escalation process was not apparent. The invocation of process for notifying DRC outside the agency, or how internal staff may contact the security desk is not apparent. The plan design requirements, and what success criteria must be met, for ensuring that all employees are notified is not apparent.

Procedures Document for activating interoperable communications

EXAMPLES: Referenced the instruction to activate DRT's via the contact call tree; however, the call tree did not provide logical step-by-step procedures to execute the instruction. Referenced a contingency for the security guard to contact a list of 5 people, but could not located what happens if the lower floor is inaccessible (flood, fire or terrorist), and how the call tree would provide logical step-by-step procedures to execute alternate plans if the security guard was incapacitated or if the 5 contacts could not be reached. Specific decision making steps with a checklist of expected results (communications feedback) and alternate steps (pagers first then cell phones, or email first then sms or ???) when those desired results are not realized is not apparent. What procedures must be followed when all technical communications options are unavailable?

5.2 Interoperable Communications with other agencies and emergency personnel

Policy Document includes communications with agencies and emergency personnel

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) Document includes communications with agencies and emergency personnel

EXAMPLES: Referenced a OES (DEPARTMENT/AGENCY) Communication Flowchart which illustrated the strategy for communications. While communications methods are mentioned (page ?) design requirements for OES (DEPARTMENT/AGENCY) communications was not defined (which agency must be notified using which preferred method), and the escalation of methods if one or more should fail (in what time frame), and what constitutes a successful notification to agency or emergency personnel. A Call Tree is referenced but there is no horizontal inter-dependency requirements defined (agency, fire, police) if DRC's are not available.

Procedures Document includes performing communications with agencies and emergency personnel

EXAMPLES: Referenced instructions to delegate LCSA communication (page ?); however, could not discern how Administrative Resource Branch team member (part of DRT) receives notification, and what procedures should be executed to fulfill that obligation. It was not discernable from the OES (DEPARTMENT/AGENCY) Communications Flowchart how the (DEPARTMENT/AGENCY) Senior Response Team communicated with Operation Recover Coordinator, or how the Operational Recovery Coordinator communicated with the OES. It was also unclear whether the Divisional Disaster Recovery Coordinators initiated communications feedback to the Business, Technical and Human Coordinator or if the Operational Recovery Coordinator waited for approval from the Divisional Disaster Recovery Coordinator. It was not discernable what optional procedures were available if the Operational Recovery Coordinator was not available, or if the Business, Technical, and Human Coordinator was unreachable by the Divisional Disaster Recovery Coordinator. If the line of succession failed such that one or more of the coordination groups became inoperable, how would the critical functions consolidate, how would the command structure change, how would the OES (DEPARTMENT/AGENCY) Communication Flowchart change, and how would communications continue? The chain of command is not

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apparent.

5.3 Access to data and systems

Policy Document for data and systems access communications

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) Document for access to data and systems communications

EXAMPLES: Referenced a design concept for communications (page ?) and a Call Tree (page ?); however, the design or methods for data and systems communications could not be discerned. The plan references the design model of relocating the SRT to the (DEPARTMENT/AGENCY) Operations Center (page ?), which eludes to a supportable infrastructure for data and systems communications, but does not state this to be so. Was unable to reference the scope (intranet, internet, external vpn access, or broadband) of the data and systems communications requirements. The plan requirements are not clear (which methods of access were preferred, what the priority levels were, for which systems/functions). The design requirements did not clarify what contingency methods would be invoked if all primary options were exhausted.

Procedures Document for access to data and systems communications

EXAMPLES: The escalation process and procedures for critical system alerts was not apparent. It was also not apparent who would authorize and initiate the buildup of data and data systems communications access. There was no apparent reference to the notification process or procedures for executing access to data and data systems. Specific decision making steps for activating data and systems communications, with a checklist of expected results (system response notifications) and alternate steps (broken feeds, lost addressing, dropped bandwidth, or unsecured connections, or ???) when those desired results are not realized is not apparent. What procedures must be followed when all technical data and systems communications options are unavailable?

6. Protection of Government Resources, Facilities, and Personnel (Human Capital)

6.1 Dismissal of employees / closure of the facility

Policy Document for dismissal of employees and/or closure of the facility

EXAMPLES: Referenced the ERT Handbook; however, was unable to cite references to employee dismissal or closure of the facility (evacuation of facility was noted). It is unclear who authorizes the dismissal of an employee, what conditions must be met, and who this is reported to. Was able to reference authorization and compliance for Building Evacuation (Appendix ?, page ?). Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) Document for dismissal of employees and/or closure of the facility

EXAMPLES: Referenced the ERT Handbook; however, was unable to cite references to employee dismissal or closure of the facility (evacuation of facility was noted). It is unclear what requirements are to be met in the decision process of closing a facility and who this is reported to. It is also unclear what design criteria must be met prior to dismissal of employees, and who this is reported to. Unable to reference design scope, design concept, plan requirements, or plan success criteria.

Procedures Document for dismissal of employees and/or closure of the facility

EXAMPLES: Referenced the ERT Handbook; however, was unable to cite references to employee dismissal or closure of the facility (evacuation of facility was noted). It is unclear what the decision process is for closure of a facility, the steps to be taken to facilitate the closing of a facility, or what checks must be performed in the procedure. It is also unclear what procedures must be followed and checks met during, and after the dismissal of employees. Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

6.2 Designates COOP/COG Staff (including special category employees)

Policy Document for designating COOP/COG staff, roles and responsibilities

EXAMPLES: Referenced the ERT Handbook; however, was unable to reference a policy document citing authorizing authority, compliance criteria, and reporting criteria. Was able to cite authorization and compliance criteria for Area Coordinator (Appendix ?, page ?).

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Design (Plan Requirements) Document for designating COOP/COG staff, roles and responsibilities

EXAMPLES: Referenced the ERT Handbook; however, the design scope appears to concentrate on Emergency Response Team (ERT) roles/responsibilities. It is unclear how the ERT staff roles/responsibilities relate to COOP/COG staff, Senior Response Team staff, or Disaster Recover Team staff (managers/supervisors, key members, Area Coordinator). It is also unclear who has authorization and oversight (manager/supervisor, key members, Area Coordinator or Disaster Recover Coordinator). It is also unclear who is responsible for notification (Managers/Supervisors, Area Coordinator, or Disaster Recover Coordinator). The design concept, plan requirements, or plan success criteria is not discernable. Was able to reference a Business Continuity Process Flow table (page ?) but there is no apparent chain of command.

Procedures Document for designating of COOP/COG staff, roles and responsibilities

EXAMPLES: Referenced the ERT Handbook. Procedures appear to be logical and succinct. Some references seem to be missing critical elements (form numbers, floor map pages).

6.3 Procedures for non-COOP/COG Staff (including non-special category employees)

Policy Document for non-COOP/COG staff (including pay flexibilities and benefit issues)

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) Document for non-COOP/COG staff, roles and responsibilities

EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.

Procedures Document for non-COOP/COG staff, roles and responsibilities

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

6.4 Agency guidelines for communication to/with employees

Policy Document for agency guidelines on communication to/with employees following an emergency

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria following a disaster is not apparent. It is also not apparent who is authorized to execute or enforce such a policy. A reference to evacuation notification has been noted (“(DEPARTMENT/AGENCY) has decided in advance who has the authority to order an evacuation”), yet it remains unclear who would enforce such a decision, and who would know how to disseminate that decision if key members having that information were not accessible. Was able to reference a Business Continuity Process Flow table (page ?) for communications process design, but there is no apparent communications chain of command policy or policy guidelines.

Design (Plan Requirements) Document on communication to/with employees following an emergency

EXAMPLES: Referenced a design concept for communications (page ?). Was able to reference the scope (response time and type of incident – “any type of disruption”). The plan requirements are not clear (which were the preferred methods of communications, for which members/functions). It was also not clear what contingency methods would be invoked if all options were exhausted. The escalation process was not apparent. The invocation of process for notifying DRC outside the agency, or how internal staff may contact the security desk is not apparent. The plan design requirements, and what success criteria must be met, for ensuring that all employees are notified is not apparent.

Procedures Document on communication to/with employees following an emergency

EXAMPLES: While an outline of various options are listed, the logical step-by-step procedures are not apparent.

A prioritized process flow is not apparent (some of the options appear to be out of sequence, i.e. Health & Safety First, activating an emergency internet page prior to evacuating the building or communicating with OES). Specific decision making steps with a checklist of expected results (communications feedback) and alternate steps (pagers first then cell phones, or email first then sms or ???) when those desired results are not realized is not apparent. What procedures must be followed when all technical communications options are unavailable?

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7. Safeguarding Vital Records and Databases
7.1 Essential emergency operating plans
<i>Policy Document for identifying and protecting essential emergency operating plans</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Design (Plan Requirements) Document for identifying and protecting essential emergency operating plans</i> EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.
<i>Procedures Document for identifying and protecting essential emergency operating plans</i> EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.
7.2 Essential legal / financial records
<i>Policy Document for identifying and protecting legal and financial records</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Design (Plan Requirements) Document for identifying and protecting legal and financial records</i> EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.
<i>Procedures Document for identifying and protecting legal and financial records</i> EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.
7.3 Provisions for classified or sensitive data
<i>Policy Document for identifying and protecting classified or sensitive data</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.
<i>Design (Pan Requirements) Document for identifying and protecting classified or sensitive data</i> EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.
<i>Procedures Document for identifying and protecting classified or sensitive data</i> EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.
7.4 Procedures for data backup and restoration
<i>Policy Document for identifying and protecting data through backup and restoration</i> EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria. It could not be determined who has oversight of these procedures or if/and how, they belong to, and are managed by, the overall plan.
<i>Design (Pan Requirements) Document for identifying and protecting data through backup and restoration</i> EXAMPLES: Some general backup strategy on technology options is offered on pages ?. It is assumed that there is a design concept for each option and for identifying backup and restoration sequencing, routines, hardware and software requirements, support agreements, how they will be authorized and executed; however, it could not be referenced in the plan. Unable to reference design scope, design concept, plan requirements, or plan success criteria.
<i>Procedure Document for identifying and protecting data through backup and restoration</i> EXAMPLES: Unable to cite references in the plan to external documentation, document ownership or

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maintenance on logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

7.5 Location and accessibility to vital records

Policy Document for the location and accessibility to vital records

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) Document for the location and accessibility to vital records

EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.

Procedures Document for the location and accessibility to vital records

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

8. Tests, Training, and Exercises

8.1 Annual individual and team training of agency COOP/COG emergency personnel

Policy Document for annual individual training of COOP/COG emergency personnel

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) for annual individual training of COOP/COG emergency personnel

EXAMPLES: Referenced a table of training categories (page ?); however, was unable to reference design scope (key members or all staff ?), design concept (which training categories belong to which functions ?), plan requirements (how many training categories for which functions ?), or plan success criteria (training certification requirements, authorized by who ?).

Procedures Document for executing annual individual training of COOP/COG emergency personnel

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized for executing training.

Policy Document for annual team training of COOP/COG emergency personnel

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) for annual team training of COOP/COG emergency personnel

EXAMPLES: Referenced a table of training categories (page ?); however, was unable to reference design scope (what belongs to COOP/COG emergency personnel ?), design concept (which training categories belong to which functions ?), plan requirements (how many COOP/COG emergency training categories for which functions ?), or plan success criteria (training certification requirements, authorized by who ?).

Procedures Document for executing annual team training of COOP/COG emergency personnel

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized for executing training.

8.2 Annual agency testing and exercising

Policy Document for annual testing of COOP/COG plans and procedures

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria. It is unclear who authorizes the testing, who performs the testing, who verifies the testing results, and who certifies the testing requirements are met.

Design (Plan Requirements) Document for annual testing of COOP/COG plans and procedures

EXAMPLES: Referenced a table of training categories (page ?); however, was unable to reference design

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scope (which functions are exercised, which functions are tested ?), design concept (which training categories can be tested in isolation, which categories require coordination ?), plan requirements (who authorizes, who schedules, who reports, who signs off on the testing, who records lessons learned ?), or plan success criteria (how is the testing certified, what requirements are met, how is the information collected and used for policy adjustments and process improvements ?).

Procedures Document for annual testing of COOP/COG plans and procedures

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized for executing testing. It is unclear what lead time tables are required for data system testing and recovery routine testing. The step-by-step procedures and priority of which systems should be tested is not clear.

Policy Document for annual exercising of COOP/COG plans and procedures

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria. It is unclear who authorizes the plan exercise, who performs the plan exercise, who verifies the exercise results, and who certifies the exercise requirements are met.

Design (Plan Requirements) Document for annual exercising of COOP/COG plans and procedures

EXAMPLES: Referenced a table of training categories (page ?); however, was unable to reference design scope (which functions are exercised, which functions are tested ?), design concept (which training categories can be tested in isolation, which categories require coordination ?), plan requirements (who authorizes, who schedules, who reports, who signs off on the testing, who records lessons learned ?), or plan success criteria (how is the testing certified, what requirements are met, how is the information collected and used for policy adjustments and process improvements ?).

Procedures Document for annual exercising of COOP/COG plans and procedures

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized for executing testing. It is unclear what lead time tables are required for coordinating agency and inter-agency exercises. The step-by-step procedures and priority of which functions or inter-agency functions should be exercised is not clear.

8.3 Quarterly testing of emergency alert and notification procedures

Policy Document for quarterly testing of emergency alert and notification procedures

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) Document for quarterly testing of emergency alert and notification procedures

EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.

Procedures Document for quarterly testing of emergency alert and notification procedures

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

8.4 Refresher orientation for COOP/COG Staff

Policy Document for refresher orientation for COOP/COG staff

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) Document for refresher orientation for COOP/COG staff

EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.

Procedures Document for refresher orientation for COOP/COG staff

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps

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with a checklist of expected results and alternate steps when those desired results are not realized.

8.5 Inter-agency exercising COOP/COG plans

Policy Document for inter-agency exercising of COOP/COG plans

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) Document for inter-agency exercising of COOP/COG plans

EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.

Procedures Document for inter-agency exercising of COOP/COG plans

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

9. Devolution of Command and Control

9.1 Identifies likely triggers of Devolution option

Policy Document for likely triggers and activation of Devolution option

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) Document for likely triggers and activation of Devolution option

EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.

Procedures Document for activation of Devolution option

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

9.2 Specifies direction and control of agency transfer to Devolution site

Policy Document for transfer of direction and control of agency operations to the Devolution site

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) Document for transfer of direction and control of agency operations

EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.

Procedures Document for transfer of direction and control of agency operations to the Devolution site

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

9.3 Lists of resources at Devolution site

Policy Document for resource allocation at Devolution site (people, equipment, and materials)

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) Document for resources at Devolution site (people, equipment, and materials)

EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.

Procedures Document for resource activation at Devolution site (people, equipment, and materials)

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

9.4 Capabilities to restore or reconstitute agency authority

Policy Document to restore or reconstitute agency authority

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EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) Document to establish capability to restore or reconstitute agency authority

EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.

Procedures Document on how to restore or reconstitute agency authority

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

10. Reconstitution

10.1 Plan to transition from COOP/COG status to normal operations status

Policy Document for transition from COOP/COG status to normal operations status

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) Document for transition from COOP/COG status to normal operations status

EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.

Procedures Document for transition from COOP/COG status to normal operations status

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

10.2 Options for reconstitution of the agency regardless of the level of disruption

Policy Document for coordinated and pre-planned options for reconstitution of agency

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) Document of coordinated and pre-planned options for reconstitution of agency

EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.

Procedures Document for coordinated and pre-planned options

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.

10.3 Procedures necessary to affect a smooth transition from the relocation site

Policy Document for transition of standard COOP/COG and devolution scenario

EXAMPLES: Unable to reference policy document citing authorizing authority, compliance criteria, and reporting criteria.

Design (Plan Requirements) Document for transition of standard COOP/COG and devolution scenario

EXAMPLES: Unable to reference design scope, design concept, plan requirements, or plan success criteria.

Procedures Document for smooth transition of standard COOP/COG and devolution scenario

EXAMPLES: Unable to cite logical step-by-step procedures, prioritized process flow, or decision making steps with a checklist of expected results and alternate steps when those desired results are not realized.