



Business Continuity Plan Departmental Template

Questions regarding this template may be directed to:

Laurel Wood, MPA
Business Continuity Coordinator
University of Kentucky Police Department
Division of Crisis Management & Preparedness
305 Euclid Avenue, Lexington, KY 40506
Office: (859) 257-6655
Mobile: (859) 537-0387
Fax: (859) 257-4143
laurel.wood@uky.edu
www.uky.edu/EM



Business Continuity

Introduction

University of Kentucky faces a variety of risks from disasters and events that can disrupt teaching, research, extension services, and health care. These risks can be all encompassing (major earthquake, ice and snow, pandemic illness, terrorism) or localized (fire in a specific building) or personal (failure of a hard drive). Because disasters often cause loss of life, loss of income, property damage and adversely affect individuals and families, the University must make plans to continue their critical work no matter what happens. Some departments, particularly on UK's campus, will be expected not only to continue but to expand their services during these times.

The expectation of University of Kentucky Police Department's Division of Crisis Management and Preparedness is that each college, department, and administrative unit will develop action items that are most appropriate for their unit, determine baseline measures, and set short and long term goals for achievement. The completion of your Business Continuity Plan (BCP) will help ensure your department is prepared to respond to various types of operational interruptions, whether it is major disasters or lesser interruptions. It puts planning in perspective and makes it more likely that crisis response will run smoothly, maximum service levels are maintained, and departments recover as quickly as possible. In addition, business continuity planning helps establish annual exercise schedules used to test BCPs and Building Emergency Action Plan (BEAPs).

For additional training, FEMA's Independent Study Program offers self-paced courses designed for people who have emergency management responsibilities and the general public. All are offered free-of-charge and can be found at [FEMA Independent Study Courses](#).

The following two courses introduce the concept of continuity planning, provides a brief overview of continuity, including its definition, the legal basis for continuity planning, the Continuity Program Management Cycle, and essential elements of a viable continuity program.

IS-546.12 - Continuity of Operations Awareness Course
IS-547.a - Introduction to Continuity of Operations

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Scope

When developing the Business Continuity Plan of your Department, keep in mind the following objectives:

- Serves as a guide for UK Police and the Division of Crisis Management & Preparedness in emergency planning and response.
- Helps reduce or mitigate disruptions to operations, the loss of life, and property damage and loss.
- Executes an order of succession with accompanying authorities in the event disruption renders University and/or Departmental leadership unable, unavailable, or incapable of assuming and performing their authorities and responsibilities of the office.
- Ensures that each Department has facilities where it can continue to perform its Emergency Support Functions and Mission Essential Functions.
- Protects essential facilities, equipment, records, and other assets.
- Identifies alternate sources for supplies, resources and locations.
- Identifies vendors and customers that must be notified in the event of a disaster.
- Provides procedures and resources needed to assist in a timely and orderly recovery and reconstitution from an emergency.
- Validates continuity readiness through a dynamic and integrated test, training and exercise program by documenting and reviewing recovery procedures.

The real work of implementing the BCP through specific action items takes place at the department level. Recognizing that in a complex and diverse organization such as UK, a simple and single set of actions and measures of progress for the University are not sufficient to capture every important goal for individual units. For each University department to complete an individualized "do-it-yourself" BCP, the process should be thought-provoking but not time-consuming.

Authority



This plan has been developed in accordance with recommendations and guidelines from the following federal regulations and Executive Orders:

- 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).
- Federal Continuity Directive 1 (FDC 1)
- Continuity Guidance Circular 1 (CGC 1)
- Incident Command System (ICS)
- National Response Framework (NFR)
- National Incident Management System (NIMS)



Phase I: Readiness and Preparedness

DEPARTMENT IDENTIFICATION

Type of Department
(Research, Instruction, Administration, Service):

If Instruction, does your unit provide undergraduate and/or graduate courses?

High Priority Courses: the courses whose interruption would most threaten the progress of students and the integrity of the curriculum. (Large enrollment or pre-requisite)

| Course Name & Number | High Priority Justification |
|----------------------|-----------------------------|
| 1. | |
| 2. | |
| 3. | |

The mission of [Department Name] is to:

To accomplish this mission, your department must ensure its operations are performed efficiently with minimal disruption, especially during an emergency. This document provides planning and program guidance for implementing the Business Continuity Plan to ensure the organization is capable of executing its Emergency Support Functions (ESFs) and Mission Essential Functions (MEFs) under all threats and conditions. These functions may be required by law, protect essential facilities, equipment, vital records, and other assets.

ESFs & MEFs



Emergency Support Function (ESF): The functions which represent the overarching responsibilities to lead and sustain the University during a catastrophic emergency. These functions must be continued throughout, or resumed shortly after, a disruption of normal operations.

Mission Essential Function (MEF): the limited set of University-level functions that are secondary or tertiary to carrying out the responsibilities of the department.



DEPARTMENT FUNCTIONS

Emergency Support Functions (ESFs) and Mission Essential Functions (MEFs) enable an organization to provide vital services, exercise civil authority, maintain the safety of the public, and sustain the industrial and economic base, during the disruption of normal operations. For each ESF and MEF that is carried out by [Department Name], assign a level of criticality using the criteria on the right.

Emergency Support Functions (ESFs)

FEMA identifies 15 ESFs as having an immediate effect on preventing loss of life, personal injury, or loss of property. Refer to the table below to compare the ESF scopes to [Department Name]'s services, programs and resources that are provided to save lives, protect property and the environment, to restore essential services and critical infrastructure, and help victims and the University to return to normal operations.

| Roles and Responsibilities of ESFs | |
|---|--|
| ESF | Scope |
| ESF #1 - Transportation | Use of vehicles for transportation of passengers or goods to support, response, relief and recovery of University Departments. |
| ESF #2 – Communications | Emergency Alerts, Notifications or Announcements. |
| ESF #3 – Public Works and Engineering | Emergency repair of damaged infrastructure or provision of power, water, sanitation, etc. |
| ESF #4 – Firefighting | Protection of life, property, and environment from fire incidents. |
| ESF #5 – Emergency Management | Managing preparedness, response, recovery & mitigation. |
| ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services | Shelter, feeding operations, emergency first aid, bulk distribution of emergency items, collecting and providing information on survivors to family members. |
| ESF #7 – Resource Support | Logistical, operational, or financial support to locate, procure and issue resources. |
| ESF #8 – Health and Medical Services | Public health and medical support to University students, faculty and staff. |
| ESF #9 – Search and Rescue | Field operations to assist individuals in distress due to the demise or collapse of campus structures. |
| ESF #10 – Hazardous Materials | Minimize impact of an unplanned hazardous materials release to protect life and property. |
| ESF #11 – Nutrition Services | Dining operations and nutritional needs. |
| ESF #12 – Energy | Critical utility services and energy systems. |
| ESF #13 – Public Safety and Security | Force and critical infrastructure protection, security planning and technical assistance, technology support and general law enforcement assistance. |
| ESF #14 – Long-Term Recovery | Coordinating and conducting recovery operations. |
| ESF #15 – External Affairs | Disseminating consistent, timely, and accurate public information and instructions. "Maximize disclosure with minimum delay". |

Levels of Criticality



Critical 3: Must be continued at normal or increased service load. Cannot pause. Necessary to life, health, and security.

Critical 2: Must be continued if at all possible, perhaps in reduced mode. Pausing completely will have grave consequences.

Critical 1: May pause if forced to do so, but must resume in 30 days or sooner.

Deferrable: May pause; resume when conditions permit.

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If the [Department Name] carries out any of the above FEMA-defined ESFs, please identify, assign responsibility, and classify the level of criticality and its time sensitivity for each describe, classify a level of criticality, and assign responsibility for each Emergency Support Function in the following table:

| ESF Component (1-15) | Responsible Unit | Responsible Position | Level of Criticality 3=High 2=Moderate 1=Low 0=Deferrable | Time Sensitivity 0-12 hrs 12 hrs - 30 days > 30 days | Peaks of High Activity Annually Quarterly Seasonally Monthly |
|----------------------|------------------|----------------------|---|---|--|
| Ex: | | | | | |
| 1. | | | | | |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

Mission Essential Functions (MEFs)

Disruption to normal operations may result in consequences that may affect departmental practices and / or special teaching issues. Consider the following:

- Disruption of research
- Disruption of patient care
- Disruption of animal care
- Departure of faculty
- Departure of students
- Well-being of students
- Payment deadlines unmet
- Loss of revenue
- Legal obligations unmet
- Legal harm to the Institution
- Impact on other units
- Impact on important business partner(s)

Identify, assign responsibility, and classify the level of criticality and its time sensitivity for each Mission Essential Function in the following table:

| MEF Component | Responsible Unit | Responsible Position | Level of Criticality 3=High 2=Moderate 1=Low 0=Deferrable | Time Sensitivity 0-12 hrs 12 hrs - 30 days > 30 days | Peaks of High Activity Annually Quarterly Seasonally Monthly |
|----------------------------|------------------|----------------------|---|---|--|
| Ex: Meet Payment Deadlines | | | | | |
| 1. | | | | | |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |



HUMAN CAPITAL

One person doesn't run the department; one person cannot identify, plan, and prioritize the work needed to get operations up and running when disaster strikes. University's and their departments grow and change; new systems and services come online and older systems are retired, and most importantly, staff turns over.

Identify [Department Name]'s Human Capital by the Number of Personnel (as of this date):

| | |
|--|--|
| Faculty and other academic appointees: | |
| Residents/Fellows: | |
| Staff (full-time): | |
| Staff (part-time, excluding students): | |
| Student Staff: | |
| Volunteers: | |
| Guests: | |
| Other: | |

Continuity Personnel

People are critical to the operations of any organization. Choosing the right people for an organization's staff is vitally important, and this is especially true in a crisis situation. Leaders are needed to set priorities and keep focus. During a continuity event, emergency employees and other special categories of employees will be activated to perform assigned response duties. One of these categories is continuity personnel, commonly referred to as Emergency Relocation Group (ERG) members.

In respect to ERG members, [Department Name] has designated the following positions and personnel, known to possess the skill sets necessary to execute ESFs and MEFs, to be critical to operations in any given emergency situation:

| ERG Member / Continuity Personnel | Position Title | Contact Info (Work Station, Phone(s), Email) |
|-----------------------------------|----------------|--|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |



LEADERSHIP

Orders of Succession

Pre-identifying orders of succession and under which conditions succession will take place, the method of notification, and the limitations of authority is critical to ensuring effective leadership during an emergency. In the event an incumbent is incapable or unavailable to fulfill essential duties, successors need to be identified to ensure there is no lapse in essential decision making authority.

Orders of succession are:

- At least three positions deep, where possible, ensuring sufficient depth to ensure the department's ability to manage and direct its essential functions and operations
- Include devolution counterparts, where applicable
- Geographically dispersed, where feasible
- Described by positions or titles, rather than by names of individuals holding those offices
- Reviewed by the department as changes occur
- Included as a vital record

For Example:

| Position | Designated Successors |
|---------------------------------------|---|
| UK Vice President for Student Affairs | 1. Associate Vice President for Student Affairs / Dean of Students |
| | 2. Associate Vice President for Student Affairs |
| | 3. Director, Counseling Center: Consultation and Psychological Services |

[Department Name] has identified successors for the positions of [insert leadership positions requiring orders of succession, including the department head and other key positions].

| Position | Designated Successors |
|----------|-----------------------|
| | 1. |
| | 2. |
| | 3. |

| Position | Designated Successors |
|----------|-----------------------|
| | 1. |
| | 2. |
| | 3. |



Delegations of Authority

This section should identify, by position, the legal authority for individuals to make key policy decisions during a continuity situation. Delegations of authority should outline explicitly, in a statement or formal document, who is authorized to make decisions or act on behalf of the department. Generally, pre-determined delegations of authority will take effect when normal channels of direction are disrupted and terminate when these channels have resumed.

For example, The Board of Trustees at the University of Kentucky is designated to perform the purchasing and capital construction contracting functions. The Board of Trustees has delegated these responsibilities to the Executive Vice President for Finance and Administration, who has furthered delegated them to the Director of Purchasing.

| Delegating Action | Delegating Authority |
|---|---|
| The Board of Trustees at the University of Kentucky is designated to perform the purchasing and capital construction contracting functions. | Executive Vice President for Finance & Administration |
| | Director of Purchasing |

[Department Name] has identified the following delegating actions and authority:

| Delegating Action | Delegating Authority |
|-------------------|----------------------|
| | |
| | |

| Delegating Action | Delegating Authority |
|-------------------|----------------------|
| | |
| | |

List (3) Action Items / Preventable Measures for Phase I: Readiness & Preparedness.

| | |
|----|--|
| 1. | |
| 2. | |
| 3. | |



Phase II: Activation and Relocation (0-12 hours)

COMMUNICATION

It is important to keep all staff; especially individuals not identified as continuity personnel or a member of the emergency relocation group, informed and accounted for during a continuity event. All University of Kentucky employees are responsible for keeping informed of emergencies by monitoring news media reports and UK's informational web page updated with the latest news: **UK-NOW:** <http://uknow.uky.edu/>.

Most importantly, **UK Alert** is an emergency notification system used to communicate information during an emergency or crisis that disrupts normal operation of the campus or threatens the immediate health or safety of members of the campus community. All University students, faculty and staff are automatically registered for **UK Alert** with their official university e-mail address. The Division of Crisis Management & Preparedness encourages each employee and student to add other contact information such as mobile numbers (voice/text) and personal email addresses to their **UK Alert** account. Parents, media, visitors, and other interested parties may also register for **UK Alert** account on a voluntary, self-subscription basis. UK students and employees may access their accounts via the **myUK** portal at <https://myuk.uky.edu/irj/portal>. Parents, media, visitors and other interested parties, click www.getrave.com/login/uky to create/edit your account.

Employees are expected to remain in contact with their supervisors during any closure or relocation situation. The [insert office/title/supervisor] will determine the communication procedures and extent to which employees are expected to remain in contact. Further, [insert office/title/supervisor] communicates human capital guidance for emergencies (pay, leave, staffing, work scheduling, benefits, telework, hiring authorities and other human resources flexibilities) to managers in an effort to help continue essential functions during an emergency.

Procedures for contacting and accounting for employees in the event of an emergency, including operating status, are outlined below:



To rapidly communicate with employees in an emergency, the Division of Crisis Management & Preparedness encourages all departments to prepare and maintain a call tree. Departments should also identify multiple communications systems that can be used for backup, after hours, off campus, or for other contingencies.

Check the system(s) that are used to contact employees in an emergency:

- | | |
|---|--|
| <input type="checkbox"/> Phone (Voice/Text) | <input type="checkbox"/> Department Website |
| <input type="checkbox"/> Pager | <input type="checkbox"/> Instant Messaging |
| <input type="checkbox"/> Email | <input type="checkbox"/> Social Media (Facebook/Twitter) |
| <input type="checkbox"/> Call Tree | <input type="checkbox"/> Other (describe) |



STAFF READINESS

It is important to provide information and support to accommodate employee stress and family life issues that will include child and elder care, and counseling and mental health. University of Kentucky personnel must plan in advance what to do in an emergency and develop a Family Support Plan to increase personal and family preparedness. To develop your Family Support Plan, use the templates available at www.ready.gov. This site includes a "Get Ready Now" pamphlet, which explains the importance of planning and provides a template that you and your family can use to develop your specific plan.

Among the resources available to UK personnel are the CRISIS (Crisis Relief in Situations Involving Staff) program and the Shared Leave Pool. The CRISIS Program is in place to help University of Kentucky staff members that are experiencing personal hardship. This program provides temporary financial assistance in the form of a onetime payment of up to five hundred dollars. [University of Kentucky CRISIS Program](#)

The Staff Shared Leave Pool is a pool of donated Vacation Leave (VL) time, which can be used by a staff employee who has exhausted all accrued paid leaves because of illness or injury affecting themselves or their family members. [University of Kentucky Staff Shared Leave Pool](#)

CONTINUITY FACILITIES

Relocation involves the actual movement of essential functions, personnel, records, and equipment to the alternate operation facility. Relocation may also involve transferring communications capabilities to the alternate facility, ordering supplies and equipment that are not already in place at the alternate facility, and other planned activities, such as providing network access.

In the event that a department's primary operating facility is unavailable and that emergency support functions or mission essential functions will require relocating. At least one alternate facility must be identified and maintained, which could include alternate uses of existing facilities or virtual office options. The facility must provide sufficient space and be located where the potential disruption of the organization's ability to initiate and sustain operations is minimized. When designating an alternate continuity facility, consider access to, or the provision of, food, lodging, and transportation, as well as, whether other UK departments have designated the same alternate facilities. Please make considerations for shared space and implementing an agreement or contact with the alternate facility(ies).

| Locations Occupied | Owned / Leased | Number of workstations | Security / Access Requirements |
|---|----------------|------------------------|--------------------------------|
| 1. [Insert primary facility name & address] | | | |
| 2. [Insert alternate facility] | | | |
| 3. [Insert alternate facility] | | | |

List (3) Action Items / Preventable Measures for Phase II: Activation & Relocation:

| | |
|----|--|
| 1. | |
| 2. | |
| 3. | |



Phase III: Continuity of Operations

(12 hours – 30 days or until resumption of normal operations)

Following activation of the [Department Name]'s Business Continuity Plan and notification of personnel, vital records and supplies must be moved to the continuity facility. Upon arrival, continuity personnel must establish an operational capability and perform emergency support functions and/or mission essential functions within 12 hours from the time of the activation of the Continuity Plan, for up to a 30-day period or until normal operations can be resumed.

RECORDS MANAGEMENT / INFORMATION TECHNOLOGY

It is important to identify and protect those files, records, and databases that are imperative for departmental operations. Some records are needed to make and receive payments, protect legal and financial rights, and maintain confidential information.

Full and incremental backups preserve informational assets and should be performed on a regular basis for files that are irreplaceable, have a high replacement cost, or are considered critical. Backup media should be stored in a secure, geographically separate location from the original and isolated from environmental hazards.

In this section, please outline the departmental-specific vital records and their locations. You may also attach maps, facility floor plans, equipment inventory, and [insert other applicable documents].

| Vital Record | Hard Copy Location | Electronic Copy Location | Responsible Contact | Level of Confidentiality |
|--------------|--------------------|--------------------------|---------------------|--------------------------|
| 1. | | | | |
| 2. | | | | |
| 3. | | | | |
| 4. | | | | |
| 5. | | | | |

Departments are accountable for carrying out the provisions of record retention for specific data. Please explain the current record retention policy and specify which records must be retained and for how long.

| Record Retention Policy: | | |
|--------------------------|--------------------|---------------------|
| Record Description | Retention Duration | Mandating Authority |
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |

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If access to your department's information and systems is essential in an emergency, describe the emergency access plan below. This may include remote access (or authorization to allow remote access), contacting IT support, Blackboard, off-site data backup, backup files on flash drives, hard copies, Blackberry or use of alternate email systems (i.e., Yahoo).

[Department Name]'s policy for virtual office and telework operations:

DEPENDENCIES

Identify the products and services upon which your department depends on and the internal (within UK) and external departments/organizations that provide them. When determining the internal and external dependencies of your department, consider the following access requirements and check the mechanisms appropriate for your departmental continuity of operations:

- | | |
|--|--|
| <input type="checkbox"/> Equipment & Supplies <input type="checkbox"/> Non-Secure Phones <input type="checkbox"/> Secure Phones <input type="checkbox"/> Mobile Phones <input type="checkbox"/> Pagers <input type="checkbox"/> Fax Lines | <input type="checkbox"/> Satellite <input type="checkbox"/> E-mail <input type="checkbox"/> Internet Access <input type="checkbox"/> Data Lines <input type="checkbox"/> Two-Way Radios <input type="checkbox"/> Other (describe) |
|--|--|

Internal Dependency

Recognizing that some services or products must be continuously delivered without interruption, identify the dependencies that are provided internally, within University of Kentucky and its departments. (i.e. Information Technology, Facilities, Physical Plant, Motor Pool, etc.)

| Internal Dependency | Provider (UK Department) | Contact Info |
|---------------------|--------------------------|--------------|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |

External Dependency

What are the products and services that must be continuously delivered without interruption that are sought outside the University, with other public and/or private institutions? (i.e. Kentucky Utilities, AT&T, Windstream, Office Max, etc.)

| External Dependency | Provider | Contact Info |
|---------------------|----------|--------------|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |



List (3) Action Items / Preventable Measures for Phase III: Continuity of Operations:

| | |
|----|--|
| 1. | |
| 2. | |
| 3. | |

Phase IV: Reconstitution

(recovery, mitigation and termination)

DEVOLUTION OF CONTROL

When considering procedures and resources needed to assist in timely and orderly recovery and reconstitution, a time phased approach may be most appropriate. This may include procedures for returning to the primary facility, if available, or procedures for acquiring a new facility. Notification procedures for all employees returning to work must also be addressed. The development of an After-Action Report (AAR) to determine the effectiveness of the college/department's Business Continuity Plans and procedures should be considered.

In describing your Plan to fully resume operations, identify and address the who will evaluate the structural soundness, considering the overall safety of the building, the presence of hazardous materials and their clean-up, and authorization of re-occupancy. At what point and who will be responsible for resumption/scheduling of normal activities and services, resupply of inventories, continued absenteeism, the use of earned time off, and emotional needs.

Example:

| Reconstitution Activity | Responsible Authority |
|---|---|
| Phase I: Assess condition of the interior and exterior utilities and coordinate repair. | UK Physical Plant Division (PPD) |
| Phase II: Secure building while they are being inspected, repaired, and cleaned up. | UK Police Department |
| Phase III: Evaluation of fire and life safety aspects of the facility's intended use after structures are deemed safe for entry, appropriate for clean-up, and repairs are accomplished. | UK Environmental Health & Safety / Fire Marshal |
| Phase IV: Departmental reconstitution team allowed entry and usage of facility. | Building Emergency Coordinator |
| Phase V: General occupancy of the facility and departmental space. | [Department Name] |

[Department Name] has identified the following reconstitution course of action:

| Reconstitution Activity | Responsible Authority |
|-------------------------|-----------------------|
| Phase I: | |
| Phase II: | |
| Phase III: | |
| Phase IV: | |
| Phase V: | |



TEST, TRAINING, & EXERCISE

Should an area of weakness be found in the completion of your department's Business Continuity Plan, components should be tested and corrective actions developed to ensure familiarity with activation and reconstitution procedures and compliance by all continuity personnel. Tests confirm whether or not procedures, processes, and systems function as intended. Training ensures that all personnel what to do, how to do it, and when it should be done. Exercises provide practice and verification of whether parts of the plan or the entire plan works as intended.

University of Kentucky maintains a robust Training and Exercise program in accordance with recommendations from FEMA and the U.S. Department of Homeland Security. Tabletops, drills, and functional exercises are scheduled regularly and provide measures to ensure the departmental plan is capable of supporting the execution of emergency support functions and /or mission essential functions throughout the duration of a continuity situation. Data from exercise evaluations and actual incidents are collected and analyzed and serve as the basis for After-Action-Reports and lessons learned.

The Division of Crisis Management and Preparedness is available to assist with training and exercises on key issues affecting the University or multiple departments on a limited and essential basis as schedules permit. For questions regarding Training, Evaluation and Vulnerability Assessments, or to complete a Building Emergency Action Plan (BEAP), contact Sergeant Brad Kinckiner in the Division of Crisis Management and Preparedness at 257-9665 or brad.kinckiner@uky.edu.

PLAN MAINTENANCE

Organizations that achieve full alignment between people, process, and technology not only become highly efficient, they also become agile and adapt to changing circumstances and capitalizing on opportunities. Disaster recovery planning is an ongoing, never ending process. Annual review and assessment of your plan's effectiveness is required but should also be updated when a member of your department's Business Continuity Planning Team is added, removed or changes roles. It should also be revised following a change in response protocol or any departmental incident involving business continuity activation.

| Date: | Justification for plan update: |
|-------|--------------------------------|
| | |
| | |
| | |
| | |

List (3) Action Items / Preventable Measures for Phase IV: Reconstitution

| | |
|----|--|
| 1. | |
| 2. | |
| 3. | |



[Department Name]'s Business Continuity Plan Contact:

[Insert Name]
[Insert Title]
[Insert Address]
[Insert Phone Number]
[Insert Email Address]

Signature

Date

[Department Name]'s Authorizing Official:

[Insert Name]
[Insert Title]
[Insert Address]
[Insert Phone Number]
[Insert Email Address]

Signature

Date