



IPER Essential Records Pre-Test

Name: _____

1. True or false? Typically, ten percent of government records are essential.
True
False

2. True or false? A record that would require massive resources to reconstruct is an essential record.
True
False

3. If you print a personal copy of your office calendar, is that personal copy an essential record?
Yes
No

4. Fill in the blank. Your agency's essential functions, stakeholders, records, statutes, regulations and standards are all examples of information needed to determine_____. *Select one.*
Risks to your agency's records
Your agency's essential records
Protection strategies for your agency's records
The information needed to complete the Essential Records Template

5. Of the following stakeholders, who can help identify essential records? *Select one.*
A. People who depend on your agency's services
B. People on whom you depend to provide services
C. The IT Director
D. Legal staff
E. All of the above
F. A and C

6. Which of the following is least likely to be an essential business function during an emergency? *Select one.*
Provide vital services
Exercise civil authority
Maintain the safety and well-being of the general population
Sustain the jurisdiction's industrial, economic base
Perform routine building maintenance

7. Step 2 of the process to identify essential records requires you to analyze the business functions identified in step 1. Which of the questions noted below should you ask during this analysis? *Select one.*

What functions are essential to your agency that are not done elsewhere?

What are the program responsibilities?

What business functions are performed by your agency?

What is your agency's purpose?

8. True or false? Risk assessment is used to evaluate the probability of a risk and the impact the occurrence of that risk would have on your records and information.

True

False

9. Which of the techniques listed below helps you identify risks? *Select one.*

Physical site survey

Expert interviews

Brainstorming

All of the above

None of the above

10. Which of the choices listed below best describes the brainstorming technique of risk identification? *Select one.*

Useful in establishing agency program priorities.

Helps people search creatively for risks.

Involves a physical survey of the locations where essential records are stored.

Relies on "expert" judgment to identify and analyze risk events and to develop alternatives.

11. Which process involves evaluating the probability and the impact of identified risks? *Select one.*

Risk Assessment

Risk Analysis

Risk Management

Risk Evaluation

12. Transferring records to an authorized records storage facility is an example of what strategy for handling risk? *Select one.*

Acceptance

Avoidance

Mitigation

Risk controls

13. True or false? When we talk about safeguarding essential records, typically we are talking about safeguarding copies of the records, as well as the actual records themselves.

True

False

14. What protection strategy involves the duplication and distribution of essential record copies that are created specifically for protection purposes? *Select one.*

Planned dispersal

Recovery planning

On-site protection

Data replication

15. True or false? Records that are necessary to resume or continue operations are needed immediately (within the first 0–12 hours) after an emergency.

True

False

16. Records that would be needed to continue essential functions if normal agency records were unavailable for a prolonged period due to a catastrophic event are classified as what priority level? *Select one.*

Priority 1

Priority 2

Priority 3

Priority 4

17. Personnel records and time and attendance records are examples of records classified as what priority level? *Select one.*

Priority 1

Priority 2

Priority 3

Priority 4

18. True or false? The backup tapes routinely created by computer systems are an adequate means of keeping copies of essential records.

True

False

19. True or false? Agencies must develop and document procedures for the use of essential records during an emergency.

True

False

20. True or false? Priority levels are a component of the Essential Records Template.
- True
 - False
21. True or false? Essential records are those records that support your essential functions.
- True
 - False
22. You have determined that your system documentation and manuals are essential records, and that you would need these records immediately if an emergency occurred. At what priority level should these records be classified? *Select one.*
- Priority 1
 - Priority 2
 - Priority 3
 - Priority 4
23. You've identified your essential records; what's your next step? *Select one.*
- Perform a risk assessment and risk analysis
 - Determine access priorities
 - Perform a Business Impact Assessment
 - Determine preparedness and mitigation strategies
 - Complete the Essential Records Template
24. Which of the following is NOT a risk that is related to records management? *Select one.*
- Inability to respond to legal requests for information
 - Records being inaccessible due to technology obsolescence
 - Loss of records due to format deterioration
 - Information loss due to employee retirement
25. After analyzing the risks to your agency's essential records and identifying which risks require action, you must rank these risks to prioritize your planning and protection efforts. Which of the following is NOT a factor when ranking the risks? *Select one.*
- Cost to reconstruct the data
 - Cost of defending against legal actions associated with loss
 - Number of personnel in offices
 - The probability and impact of the risks