Answer Sheet—Essential Records Webinar Post-Test

This answer sheet is provided with the understanding that it is for *your* reference only. Please do not share it with others.

Correct answers are shown in **bold**.

1. True or false? Typically, less than five percent of government records are essential records.

   - **True**

   - False

   (Answer location: PG 1-32)

2. True or false? A record that is necessary to resume or continue operations is an essential record.

   - **True**

   - False

   (Answer location: PG 1-28)

3. Is an agency's Continuity of Operations (COOP) Plan an essential record?

   - **Yes**

   - No

   (Answer location: PG 1-28)

4. To identify your essential records, it's important to know your agency's essential functions. Which of the following will be most valuable with respect to identifying your agency's essential functions? Select one.

   - **Agency mission and departmental statements**

   - Executive meeting minutes

   - Agency file plans

   - Industry standards

   (Answer location: PG 1-34)

5. True or false? To identify essential records, you should talk to the people on whom you depend to provide services.

   - **True**

   - False

   (Answer location: PG 1-36)

6. True or false? Essential functions enable governments to exercise civil authority during an emergency.

   - **True**

   - False

   (Answer location: PG 1-42)

7. In order to identify essential business functions, there are several questions you may ask. Which one of the questions noted below would be helpful in determining essential business functions? Select one

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

   - What records are created by your agency's essential functions?

   - Is there an alternative method of carrying out your agency's essential functions during the stabilization period?

   - **All of the above**

   (Answer location: PG 1-44)

8. A longtime agency employee who is known for keeping information in his head and not documenting anything is retiring soon. This presents what type of risk? Select one.

   - **Risk from loss of agency memory**

   - Emergency-related risk

   - Records-management-related risk

   - Technology risk

   (Answer location: PG 2-13)

9. True or false? One benefit of the brainstorming technique for identifying risk is that it stimulates thinking outside the box.

   - **True**
   - False

   (Answer location: PG 2-21)

10. What are the three categories of emergency-related risks that records managers may encounter? Select one.

    - **Natural emergencies, Technological emergencies, Civil emergencies**
    - Natural emergencies, Civil emergencies, Organizational emergencies
    - Natural emergencies, Civil emergencies, Personnel emergencies
    - Natural emergencies, Technological emergencies, Security emergencies

    (Answer location: PG 2-14)

11. True or false? Risk analysis evaluates the probability and the impact of identified risks.

    - **True**
    - False

    (Answer location: PG 2-23)

12. You have records stored in a high-humidity basement where mold is likely to grow. Which of the following is NOT a good example of a mitigation strategy for handling this risk? Select one.

    - Placing a dehumidifier in the basement
    - Sending the records to a records center
    - **Putting the records on shelving that is 6" above the floor**
    - Microfilming the records so that copies can be sent offsite

    (Answer location: PG 3-11)

13. True or false? One of the most effective ways you can protect the information contained in your agency's essential records is by making copies of those records.

    - **True**
    - False

    (Answer location: PG 3-12)

14. What protection strategy is used to duplicate data at one or more sites, such as a primary processing site and an alternative site, so that the information is accessible continuously or very quickly in the event that the primary site becomes unavailable? Select one.

- Backup tapes

- Routine duplication

- On-site protection

- **Data replication**

(Answer location: PG 3-14

15. True or false? You will need all essential records immediately (within the first 0–12 hours) after an emergency.

- True

- **False**

(Answer location: PG 4-12, PG 4-14)

16. Records that are needed 12–72 hours after an incident are classified as what priority level? Select one.

- Priority 1

- **Priority 2**

- Priority 3

- Priority 4

(Answer location: PG 4-15)

17. Building blueprints and telephone trees are classified as what priority level? Select one.

- **Priority 1**

- Priority 2

- Priority 3

- Priority 4

(Answer location: PG 4-14)

18. Which of the choices listed below is an advantage associated with using computer tape back-ups to create and maintain essential record copies? Select one.

- May not be structured for easy access

- **May be created routinely**

- Must be located distant from original records

- Legal discovery may be cumbersome or impossible

(Answer location: PG 3-16)

19. What information should you include when developing and documenting procedures for the use of essential records during an emergency? Select one.

- Policies

- Delegation of authority

- Responsibilities of agency officials

- **All of the above**

(Answer location: PG 4-22)

20. Which of the following is a component of the Essential Records Template? Select one.

- Essential records

- Access priority level

- Maintenance frequency

- **All of the above**

(Answer location: PG 4-33; Handout 4.4—Essential Records Template)

21. True or false? To identify your essential records, you must perform a Business Impact Analysis.

- True

- **False**

(Answer location: PG 1-43; Slide 1-38)

22. You have determined that your list of contact information for recovery vendors is an essential record and that you would need this record immediately if an emergency occurred. At what priority level should this record be classified?

- **Priority 1**

- Priority 2

- Priority 3

- Priority 4

(Answer location: PG 4-14)

23. True or false? You've identified your essential records and performed a risk assessment and risk analysis; your next step should be to identify your business functions.

- True

- **False**

(Answer location: PG 2-31)

24. True or false? Environmental conditions causing deterioration to the physical media on which records are stored is a records management related risk.

- **True**

- False

(Answer location: PG 2-17)

25. After analyzing the risks to your agency's essential records and identifying which risks require action, you must prioritize these risks. Which of the choices listed below is a factor when prioritizing the risks? Select one.

- Accessibility to copies of the essential records

- **Cost to reconstruct the data**

- Number of personnel in agency offices

- The likely natural disasters in your area

(Answer location: PG 2-26)