IT QUESTIONNAIRE

VITAL RECORDS LEVELS CHECKLIST

QUESTIONS/TIERS	YES	NO	COMMENTS
Continuity of Operations (COOP) and Emergency Preparedness vital records have been identified.			
TIER 1 – IT Support Vital Records			
Business roles for each phase of recovery operations have been identified.			
All IT Applications and time requirements necessary to support the Business Roles have been identified.			
All personnel required to support the IT applications by functionality?			
All Systems Owners or responsible offices have included contact information for all identified applications.			
Have all Data Communications currently active been identified?			
The process of obtaining Data Communications: Key Personnel, Contracts and Procedures has been identified.			
Non-application software necessary for recovery has been identified.			
Has an Emergency Response Network Interface Equipment Kit (E.R.N.I.E.) been established and if so, where is it stored?			
Backup and Recovery Procedures and Locations have been established: • What are the business vital records to be restored? • Where are they stored? • How frequent are the backups? • How can you obtain backups? • Who is authorized? • How long will it take to retrieve a backup?			

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QUESTIONS/TIERS	YES	NO	COMMENTS
Backup and Recovery Procedures and Locations have been established: (Continued)			
• Where will they be delivered?			
• How long will it take to a restore once received?			
• Who will do the restore?			
• Have you identified LAN recovery Procedures?			
Suggestive examples of TIER 1			
• **Emergency Plans or Directives** • Continuity of Operations Plans • **Emergency Occupant Plan** • Emergency Management Program • Rapid Recall List/Cascade Plan • Delegations of Authority • Orders of Successions • Vital Records plan and inventory • Policy on media relations • Staffing Assignments • Related records of a policy or procedural nature • Emergency Operation Budget			
TIER 2			
What records are necessary to respond to an emergency?			
What records are necessary to handle the crisis?			
What records are necessary to reduce or mitigate disruptions to operations?			
Suggestive examples of TIER 2			
▪ Personnel records ▪ Time and attendance records ▪ Payroll Records ▪ Backup tapes for LAN and Databases ▪ Systems manuals for critical electronic databases and LAN's ▪ Essential forms (hardcopy or PDF formats)			

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QUESTIONS/TIERS	YES	NO	COMMENTS
TIER 3			
Assume building has been destroyed, what are the most critical projects need to be continued off site without disruption?			
Have records that involve specific projects that are the most critical to the Agencies mission been identified?			
Records that are necessary to achieve a timely and orderly recovery from an emergency and to resume full service to customers have been identified and located?			
Daily operational records have been recreated by coping and storing offsite, which does not include records available from off site sources i.e. intranet, Central Office?			
Suggestive Examples of TIER 3			
▪ Procedural manuals for databases used to manage critical record systems ▪ Cost recovery records ▪ Enforcement records ▪ Lists of external contacts where records can be recreated ▪ Working Documents or Official files ▪ Contracts			