



Handout 1.3—Potential Candidates for Essential Records Status

Table 1: Potential Candidates for Essential Records Status by Category

CATEGORIES	SPECIFIC RECORDS
1. Proof of ownership by the agency	Property and equipment inventories; real estate records (titles, deeds); Accounts Receivable
2. Proof of monies owed to the organization	Accounts Receivable, contracts, leases
3. Fiscal obligations of organization	Accounts Payable, loans, and other fiscal obligations
4. Employee compensation and benefits	Labor contracts, payroll registers, insurance, and retirement plans
5. Records regarding physical plant	Engineering drawings, building plans or blueprints, equipment specifications, hardware inventories, civil defense plans, hazardous material inventories, etc.
6. Records relating to production or work product	Product processes, formulae designs, warehouse inventories, inventory controls lists, process specifications
7. Operating policies and procedures	Orders of succession, delegations of authority, staffing assignments, task specifications, policies and procedures manuals, directives
8. Records regarding computer infrastructure	System documentation and backups, software documentation manuals
9. Future directions	Strategic plans, forecasts
10. Past management	Board and executive meetings, reports, and official statements
11. Research findings and product development	Formulae, patent authorizations, product development plans, research and development (R & D) records, baseline data, specifications
12. Location of records	Essential records inventory lists; file plans and retention schedules
13. Records regarding the maintenance of public health, safety, and order in emergency	Emergency procedures, emergency contact lists, computer program documentation, disaster and emergency plans
14. Records needed to protect the rights and interests of individual residents or associations of residents	Legal records, identity documentation, voting registration lists, property titles, education transcripts, etc.

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