

Illinois Tool Works Inc.

Records Retention Schedule Detail

February 2010

1 RECORDS RETENTION SCHEDULE

The Illinois Tool Works Inc. ("ITW") Records Retention Schedule is a tool that ITW uses in order to ensure that its records are being kept as long as legally and operationally required. The Records Retention Schedule prescribes the timetable for retaining records.

The Retention Schedule contains the following information:

- **Business Function:** The broad classification used to represent a core business function irrespective of departmental ownership.
- **Record Class:** A group of records that result from the same process or activity and that have the same retention period. A Record Class is a subset of a business function. For example, a business function of Accounting may include a Record Class of Accounts Payable.
- **Record Class Code:** The alphanumeric code assigned to uniquely identify the Record Class.
- **Record Class Name:** The name used to identify the Record Class.
- **Record Class Description:** A brief description given to the Record Class that describes the type of records included within the Record Class.
- **Record Types (Examples):** Specific examples of record types included within each Record Class.
- **Legal Group:** The alphanumeric code identifies the group of laws and regulations used to set the retention period for the Record Class.
- **Official Retention Period:** The total retention period for official records based on legal and operational requirements.
- **Retention Event:** The base date upon which the retention period is calculated.

2 RECORD CLASSES

The Records Retention Schedule is made up of record groups called **Record Classes**. Record Classes are categories of records that relate to the same (or similar) business process. By grouping like records together, it allows ITW to apply consistent retention practices to similar records. Each Record Class has a name and description. It also has some **Record Types** that are specific examples of forms, reports, documents, etc. that all belong to the Record Class.

Each Record Class has an Official Retention period based on legal research and ITW's business needs. All records must be kept for the Official Retention period for the applicable Record Class.

Record Classes do not necessarily reflect how records are filed or stored. The criteria used to create a Record Class include:

- **Similar Business Function.** The records within a Record Class should support a similar business function, such as “accounts payable processing.”
- **Similar Retention Requirements.** The records within a Record Class should have similar retention periods (as they will all be stored that same amount of time).

3 IMPLEMENTATION OF INDEFINITE RETENTION PERIODS

There are some groups of records that have IND (indefinite) retention periods. These records will need to be reviewed periodically to determine if they have surpassed their useful life and can be destroyed. A Record Class that has an IND retention period refers to records that must be retained for an extended time period, but not permanently. All retention decisions should be made at a Record Class level, and not at a box level.

Appropriate decisions might be:

- All records for this Record Class created before 1954 can be destroyed, OR
- All records for this Record Class related to “sold” properties can be destroyed after 30 years.

4 RETENTION PERIOD ACRONYMS

ACT: Active - While the matter is active. Common activity periods include:

While the contract is in effect;

While an employee is still employed;

While an employee benefit is in effect; or

While you own the property/equipment/asset.

CY: Current Year - All records created in the same year are treated as though they were created on December 31 of that year.

IND: Indefinitely - A group of records that must be retained for an extended time period, but not permanently. These records should be periodically reviewed and retention decisions should be made on a class basis. For example, you might decide it is okay to destroy all records in an IND class that are older than 30 years.

MAX: Maximum – keep records no longer than the numerical period stated.

SUP: Superseded - Keep the records until they are replaced by more current ones.

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
ACC1000	Accounts Payable Records related to the payment of financial obligations, petty cash, the management and distribution of commissions, employee relocation expenses, and the management of the employee expense reimbursement function. These records verify the purchase of goods and services, the accuracy of the invoice, and authorize payment. Includes check requests, vendor invoices, travel expenses, and cash disbursements. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Accounts Payable Distribution Posting Logs Accounts Payable Reconciliations Accounts Payable Vouchers Bonus Calculations and Support Cash Disbursements Check Requests Employee Expense Reports Employee Relocation Expenses Invoices Material Receipts Monthly Billing Statements Monthly Commissions Payments Monthly Royalty Payments Payment Authorizations Payment Requests Petty Cash Receipts Petty Cash Signature Cards Royalty Payments Travel Expenses Vendor Invoices Wire Requests	6
ACC1020	Accounts Receivable Records related to receipts of payments received from customers. Includes customer invoices, monthly customer statements, collection receipts, and cash receipts. Retention Event: The retention period begins when the record is created.	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	<p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Accounts Receivable Reconciliations Billing Fees and Invoices Cash Receipts Collection Receipts Credit Memos Customer Invoices Customer Statements Royalties 	
ACC1040	<p>Bad Debts and Collections</p> <p>Records related to the monitoring, collecting, and writing off of bad debts. Includes collection records and uncollectible accounts.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Accounts Receivable Reserve Calculations Charge-Off Records Debt Collection Records Supplier or Customer Bankruptcy Records Uncollectible Accounts Write-Off Documentation 	6
ACC1060	<p>Budgets and Financial Forecasts</p> <p>Records related to budgetary planning, financial management, financial planning, and forecasting. Includes budget analysis and data, budget workpapers, capital budgets, foreign exchange analyses, operating budgets, and operating and capital forecasts.</p> <p>Retention Event: Retain for the current budget period. The retention period begins when budget and financial forecasts have been superseded.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Budget Analysis and Data Budget and Cost Files Budget to Actual Results Budget Workpapers Business Area Profits and Losses 	ACT+1

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	<ul style="list-style-type: none"> Capital Budgets Departmental Budgets Estimates and Projections Financial Forecasts Financial Planning Records Foreign Exchange Analyses Monthly Earnings Forecasts Monthly Sales Results Operating and Capital Forecasts Operating Budgets Spending Sheets 	
ACC1080	<p>Cost Accounting</p> <p>Records related to the evaluation, documentation, and analysis of the costs of products or services sold. These records detail total production costs (direct labor costs, fixed and variable overhead costs) and production output. Includes cost summaries, production cost analyses, work-in-process summaries, perpetual inventory reports, and inventory summaries. May also include records related to projects and production-related costs of products sold.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Annual Inventory Reports Cost of Sales Reports Cost Summaries Delivery Schedule Reports Forecast Cost Reports Inventory Reconciliation Histories Inventory Reports Inventory Summaries Inventory Variances Labor / Overhead Cost Reports Labor Cost Records Material Cost Summaries Perpetual Inventory Reports Physical Inventory Edits Physical Inventory Support 	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Production Cost Analyses Variance Analysis Work-in-Process Summaries	
ACC1100	Financial Statements Periodic Records related to periodic and interim financial statements, reports, and background information. Includes periodic financial statements from subsidiaries and divisions. Does not final certified year-end financial statements. See ACC1105 for Financial Statements - Year-End / Certified. Retention Event: The retention period begins when the record is created. Examples Include: Accounting Fees - Financial Statements - Periodic Blue Books and Support - Financial Statements - Periodic Cash by Country - Periodic Cash Flow Binder - Periodic Cash Flow Statements - Periodic Customers/Suppliers - Financial Statements - Periodic Earnings Registers - Financial Statements - Periodic Hyperion Changes, Tie-Outs, Rolls - Periodic Hyperion Data - Periodic Improved Performance/CTA - Periodic Interim Balance Sheet and Income Statement - Periodic Minority Interest - Periodic Other Assets - Periodic Other Income/Expenses - Periodic Periodic Financial Reports Periodic Financial Statements Periodic Subsidiary Financial Statements Unit Changes/Correspondence - Periodic	3

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
ACC1105	<p>Financial Statements</p> <p>Year-End / Certified</p> <p>Records of the Company's year-end / certified financial statements, reports, and background information submitted to government agencies, shareholders and others. Includes annual reports and other financial statements from subsidiaries and divisions. Does not include Securities and Exchange Commission (SEC) filings.</p> <p>See COM1020 for Governmental Compliance and Reporting - General for SEC filings.</p> <p>Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Accounting Fees - Financial Statements - Year-End / Certified Blue Books and Support - Year-End / Certified Cash by Country - Year-End / Certified Cash Flow Binder - Year-End / Certified Cash Flow Statements - Year-End / Certified Division / Subsidiary / Unit Financial Statements - Year-End / Certified Earnings Registers - Financial Statements - Year-End / Certified Financial Accounting Standards Board Annual and Quarterly Disclosures / Year-End / Certified Financial Reports - Year-End / Certified Financial Statements - Year-End / Certified Hyperion Changes, Tie-Outs, Rolls - Year-End / Certified Hyperion Data - Year-End / Certified Improved Performance/CTA - Year-End / Certified Other Assets - Year-End / Certified Other Income/Expenses - Year-End / Certified Restructuring Reserves Year-End / Certified Balance Sheet and Income Statement 	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
ACC1120	Fixed Assets Records related to the purchase, sale, and improvement of real property and equipment, as well as depreciation and amortization. Includes amortization records, fixed asset ledgers, and property disposal records. Does not include contracts related to the purchase and sale of real property. See LEG1040 for Contract and Agreements - Real Property Purchase and Sale. Retention Event: Retain for the life of the asset. The retention period begins upon the sale or disposition of the asset. <u>Examples Include:</u> Amortization Records Authorization for Capital Expenditures Capital Expenditure Summary Capital Requests Depreciation Schedules Fixed Asset Detail Fixed Asset Disposals Fixed Asset Ledgers Fixed Asset Records Fixed Asset Transfers Fixed Asset Write Ups Property Acquired Records	ACT+6
ACC1140	General Accounting Records related to general accounting functions not covered elsewhere. Includes special accounting projects and accounting project notes. Does not include payroll or tax accounting. See PAY1040 for Payroll Accounting. See TAX1160 for Tax Accounting. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Account Project Records Accounting Project Notes Benefit Committee Statements	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Chart of Accounts Updates DOL Inquiries and Support Reconciliations Reorganization Binders Restructuring Projects and Reorganizations Special Accounting Projects	
ACC1160	General Ledger Periodic Records related to the periodic and interim reporting of Company accounts. Includes periodic ledgers, trial balances and journals. Does not include final year-end general ledgers. See ACC1165 for General Ledger - Year-End. Retention Event: The retention period begins when the record is created. Examples Include: Accounts Payable Journal Entries - Periodic Accounts Receivable Journal Entries - Periodic Accruals - Periodic Adjustments - Periodic Edit Cycle Records - Periodic General Ledgers - Periodic Journal Vouchers - Periodic Subsidiary Ledgers - Periodic Suspense Accounting - Periodic Trial Balances - Periodic	3
ACC1165	General Ledger Year-End Records related to the transfer of charges between accounts, summaries of account information, general ledger, subsidiary ledgers, the year-end ledger, and trial balances. Includes accounts payable journal entries, accounts receivable journal entries, adjustments, journal vouchers, the actual general ledger that summarizes all corporate accounts and trial balances. Retention Event: The retention period begins when the record is created.	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	<p><u>Examples Include:</u></p> <p>Accounts Payable Journal Entries - Certified / Year-End</p> <p>Accounts Receivable Journal Entries - Certified / Year-End</p> <p>Accruals - Certified / Year-End</p> <p>Adjustments - Certified / Year-End</p> <p>Edit Cycle Records - Certified / Year-End</p> <p>General Ledgers - Certified / Year-End</p> <p>Journal Vouchers - Certified / Year-End</p> <p>Subsidiary Ledgers - Certified / Year-End</p> <p>Suspense Accounting - Certified / Year-End</p> <p>Trial Balances - Certified / Year-End</p> <p>Year-End Ledgers - Certified / Year-End</p>	
ACC1180	<p>Intangible Assets</p> <p>Records related to the purchase, sale, and financial management of intangible assets such as copyrights, distribution agreements, non-compete agreements, and goodwill. Includes intangible asset ledgers, amortization records, transfer records, and intangible asset purchase records.</p> <p>Retention Event: Retain for the life of the asset. The retention period begins upon the sale or disposition of the asset.</p> <p><u>Examples Include:</u></p> <p>Goodwill and Intangibles Records</p> <p>Goodwill Testing</p> <p>Intangible Asset Additions</p> <p>Intangible Asset Amortization Records</p> <p>Intangible Asset Authorizations for Expenditure</p> <p>Intangible Asset Disposals</p> <p>Intangible Asset Ledgers</p> <p>Intangible Asset Purchase Agreements</p> <p>Intangible Asset Purchase Price Allocation and Valuation</p> <p>Intangible Asset Transfers</p>	ACT+6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
ACC1200	Intercompany Accounting Records related to the review and management of the intercompany accounting process. Includes intercompany account summaries, reconciliations, and transmittals. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Annual Unit Billings and Support Intercompany Account Summaries Intercompany Account Transfers Intercompany Dividends Intercompany Reconciliations Intercompany Transactions Intercompany Transmittals Netting - BMG Netting - Bookkeeping Entries Netting - Clearing Netting - Participating Data	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
ADM1000	Administrative Inventory and Supply Control Records related to the type, model, location, and quantities of corporate property, such as supplies and equipment. These records are used for operational purposes only. Includes inventory lists, and other inventory and supply-related documentation. Does not include the management of Company product inventories or the cost accounting company inventories. See DIS1000 for Inventory Management. See ACC1080 for Cost Accounting. Retention Event: Retain these records until they have been superseded. <u>Examples Include:</u> Information Technology Inventories Inventory Lists Inventory Records Inventory Tags Inventory Turns Warehousing Records	SUP
ADM1020	Departmental Management and Administration Records documenting departmental administration, planning, and management activities, as well as general, administrative correspondence. Includes chronological files, internal memoranda, employee work assignments, schedules, presentations, desk calendars, and other miscellaneous administrative records not covered elsewhere. Retention Event: Retain these records only as long as they are needed, up to a maximum of three years. The retention period begins when the record is created. <u>Examples Include:</u> Chronological Files Contact Sheets Departmental Correspondence Departmental Procedures Desk Calendars E-mail Lists Employee Work Assignments Employee Work Schedules Internal Memoranda	MAX3

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Internal Presentations Meeting Folders, Notes, and Information	
ADM1040	Internal Services Records related to providing internal administrative support for Company personnel, including services and products not covered elsewhere. Includes material and supply orders, postal operations, forms management, and travel itineraries. Also includes records storage and retrieval records. Does not include records destruction certification. See COM1100 for Records Destruction Certification. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Administrative Support Records Forms Requisitions Phone Requests Postal Logs Print Shop Records Print Shop Requests Records Box Tracking Programs Records Inventory Reports Records Shipping Reports Records Transmittal Forms Supply Orders Travel Itineraries Travel Ticket Copies Voicemail Hard Drive Voicemails	3

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
ADM1060	<p>Project Management</p> <p>Records related to the management of internal projects, special studies, analyses, and other department events not covered elsewhere. Includes ad hoc studies performed at the corporate or work group level. Also includes project notes, presentations, special studies, project plans, and meeting minutes. Does not include annual research project reports.</p> <p>See MEQ1080 for Laboratory and Engineering Notebooks and Research Documents.</p> <p>Retention Event: Retain for the life of the project. The retention period begins when the project has concluded.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Ad Hoc Studies Monthly Project Reports Presentations and Case Studies Project Checklists Project Logs Project Meeting Agendas Project Meeting Minutes Project Notes Project Plans Project Presentations Project Related Documents Project Reports Project Sign-Off Sheets Project Timelines Quarterly Project Reports Requests for Project Approval Special Studies 	ACT+1
ADM1080	<p>Reference Materials</p> <p>Records used specifically for reference purposes, such as copies of periodical articles, legislative and regulatory materials, or related project materials. Includes reference articles, white papers, and subject correspondence.</p> <p>Retention Event: Retain these records only as long as they are needed. These records may then be destroyed.</p>	ACT

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	<p><u>Examples Include:</u></p> <p>Government Codes and Regulations</p> <p>Industry Reference Materials</p> <p>Legislative Reference Materials</p> <p>Reference Materials</p> <p>Regulatory Reference Materials</p> <p>Subject Correspondence</p> <p>Subscriptions and Publications</p> <p>Vendor Reference Materials</p> <p>White Papers</p>	
ADM1100	<p>Security</p> <p>Records related to routine security actions taken to protect employees, equipment, buildings, and information as well as security investigations of incidents involving or related to Company employees or property. Includes building access lists, visitor registration logs, employee misconduct cases, violent crime investigations, harassment investigations, and computer security investigations. Does not include investigations that lead to litigation.</p> <p>See LEG1160 for Litigation and Claims.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p><u>Examples Include:</u></p> <p>Attorney Work Product Investigations</p> <p>Building Access Lists</p> <p>Classified Materials Violations</p> <p>Computer Security Investigations</p> <p>Employee / Contractor Misconduct Cases</p> <p>Employee Badge Lists</p> <p>Employee Clearance Lists</p> <p>Fire Prevention Records</p> <p>Guard Badge Lists</p> <p>Personnel Investigations</p> <p>Property Crime Investigations</p> <p>Security Incident Reports</p> <p>Special Investigations</p> <p>Subcontractor Clearances</p> <p>Threats / Harassment Investigations</p>	3

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Violent Crime Investigations	
	Visitor Clearance Records	
	Visitor Registration Logs	

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
AUD1000	External Financial Audits Board Audit Committee Issues Records related to complaints made to the Board Audit Committee regarding external financial audits of accounting practices. Includes audit complaints and Audit Committee responses. Retention Event: The retention period begins when the record is created.	3
AUD1020	External Financial Audits External Auditor Board Oversight Records related to the oversight, monitoring, and management of external financial auditors by the Board Audit Committee. Includes external financial audit-related correspondence, Audit Committee papers, and supporting documentation. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Audit Committee Papers External Auditor Oversight Supporting Documentation External Financial Audit Correspondence	3
AUD1040	External Financial Audits General Records related to external financial audits of the Company and its business units not covered elsewhere. Includes audit workpapers, final audit reports, and related response materials. See AUD1000 for External Financial Audits - Board Audit Committee Complaints. See AUD1020 for External Financial Audits - External Auditor Oversight. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> External Financial Audit Letters of Direction External Financial Audit Workpapers External Financial Final Audit Reports External Financial Preliminary Audit Reports Management Responses SAS70 Reports	10

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
AUD1060	External Operational Audits Records related to external operational audits of Company facilities not covered elsewhere. Includes external operational audit work papers, final audit reports, and audit notifications. Does not include external manufacturing and quality assurance audits. See COM1000 for External Manufacturing and Quality Assurance. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> External Operational Audit Findings External Operational Audit Notifications External Operational Audit Work Papers	3
AUD1100	Internal Audits Sarbanes-Oxley Testing, Other (Corporate Governance, Acquisitions, etc.) Records demonstrating management's assessment and approval of the design and effectiveness of the internal control structure not covered elsewhere. Includes regulatory requirements, validation reports, and testing documentation. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> 302 Requirements 402 Requirements 404 ICQ Support 404 Requirements Accept / Reject Reports Acquisition Monthly Reports Application Compliance Testing Audit Committee Board Reports Cycle Count Workpapers Desktop Reviews Ethics Reports Fraud Audits Internal Control Questionnaires Investigations and Workpapers Monthly and Quarterly Internal Audit Summaries	7

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Officer's Expense Report YE Reviews Physical Inventory Workpapers and Audits Representation Letters Risk and Control Documentation Sarbanes-Oxley Internal Process Documentation SOX and ICQ Testing and Workpapers Special Reviews Test Programs Testing Documentation Tests / Workpapers Variance Explanations Whistleblower Reports	
AUD1080	Internal Financial Audits General <p>Records related to internal financial audits of the Company and its business units. Includes audit workpapers, final audit reports, and related response materials. Does not include financial audits conducted by external entities.</p> <p>See AUD1040 for External Financial Audits - General.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p>Examples Include:</p> Financial Audit Notifications HI SPOT Audits and Workpapers Internal Financial Audit Responses Internal Financial Audit Workpapers Internal Financial Final Audit Reports Internal Financial Preliminary Audit Reports Management Response	3

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
AUD1120	Internal Operational Audits Records related to internal operational audits of facilities for compliance with internal policies and procedures not covered elsewhere. Includes personal computer audits, health and safety audits, compliance audits, and other internal non-financial operational audits. See AUD1080 for Internal Financial Audits - General. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Audit Corrective Actions and Responses Audit Findings and Responses Audit Reports Audit Status Logs Business Unit Operational Audit Checklists Compliance Audits Compliance Incident Reports Construction Safety Audits Environmental Audits Health and Safety Audits ICQ Management Responses Internal Audits ISO 9001 Quality Management Reviews New Process Reviews Operational Audit Notifications Operational Audits and Workpapers Post Entry Audit and Review Findings Procedural Audits Quality Assurance Audits Safety Audits	3

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
COM1000	<p>External Manufacturing and Quality Assurance Audits</p> <p>Records related to external manufacturing and quality assurance audits of Company facilities. Includes manufacturing and quality assurance audit work papers, final audit reports, and audit notifications.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Manufacturing and Quality Assurance Audit Notifications Manufacturing and Quality Assurance Audit Work Papers Manufacturing and Quality Assurance Final Audit Reports Quality Assurance Third Party Surveillance Audits 	6
COM1020	<p>Governmental Compliance and Reporting</p> <p>General</p> <p>Records created, managed, and/or submitted to governmental agencies in order to comply with local, state, and federal requirements. Includes anti-trust reporting, environmental reporting, securities reporting, and other governmental compliance reporting. Includes acquisition disclosures, SEC filings and reports, EPA Biennial Reports, and federal and state government compliance records. Does not include Toxic Substances Control Act (TSCA) compliance reporting, employee accident/injury, hazardous exposure, or medical records.</p> <p>See COM1040 for Governmental Compliance and Reporting - Toxic Substances Control Act (TSCA). See EHS1000 for Accident and Injury. See EHS1080 for Hazardous Exposure. See HUM1200 for Employee Medical Records.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Acquisition Disclosures Environmental Protection Agency (EPA) Biennial Reports Environmental Reporting Records Federal Government Compliance Records Federal Trade Commission (FTC) Pre-Merger Notifications FRIDA Submission Records Letters of Compliance 	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Lobbyist Compliance Reports Local Government Compliance Records OSHA Hours Exposed Reports Pension Benefit Guaranty Corporation (PBGC) Filings Restriction of Hazardous Substances (ROHS) Directive Compliance Records SARA Title III Reports Securities and Exchange Commission (SEC) Comment Letters Securities and Exchange Commission (SEC) Filing Support Securities and Exchange Commission (SEC) Filings Securities and Exchange Commission (SEC) Filings (10Qs, 10Ks, 8Ks) State Government Compliance Records Uniform Commercial Code (UCC) Filings	
COM1040	Governmental Compliance and Reporting Toxic Substances Control Act (TSCA) Records created, managed, and/or submitted by the Company to governmental agencies such as the Environmental Protection Agency (EPA) and Food and Drug Administration (FDA) in order to comply with the Toxic Substances Control Act. Includes EPA and FDA toxic substances reporting. Does not include governmental audits and investigations. See COM1060 for Governmental Investigations, Hearings, and Audits. Retention Event: Retain for the current reporting period. The retention period begins when reports have been superseded. <u>Examples Include:</u> Pre-Manufacture Notices (PMN) Significant New Use Reports Toxic Chemical Release Reporting Toxic Substances Control Act (TSCA) Disposal Reports Toxic Substances Control Act (TSCA) Inventory Reporting Toxic Substances Control Act (TSCA) Reporting	ACT+10

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
COM1060	<p>Governmental Investigations, Hearings, and Audits</p> <p>Records related to audits and investigations by governmental agencies. Includes governmental agency orders, hearing notices, audit reports, and correspondence. Does not include litigation or tax audits and appeals.</p> <p>See LEG1160 for Litigation and Claims. See TAX1180 for Tax Audits and Appeals.</p> <p>Retention Event: Retain for the life of the investigation. The retention period begins when the investigation has concluded.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Environmental Protection Agency Notices Government Inspection Notices Governmental Agency Audits Governmental Agency Citations Governmental Agency Correspondence Governmental Agency Hearing Notices Governmental Agency Inspection Reports Governmental Agency Notices of Violation Governmental Agency Orders Governmental Agency Warnings US Customs Binding Rulings 	ACT+3
COM1080	<p>Policies and Procedures</p> <p>Records documenting the policies and procedures intended to ensure compliance with internal requirements. Includes requirements contained in governmental regulations and records relating to programs designed to document good Company practices not covered elsewhere. Also includes corporate policies and procedures posted to internal websites and standard operating procedures.</p> <p>Retention Event: Retain for the life of the policy or procedure. The retention period begins when these are either superseded or discontinued.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Accounting Procedures Affirmative Action Plans Business Conduct and Compliance Policy Code of Ethics 	ACT+10

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Corporate Compliance Manuals Drug-Free Workplace Policies Email Policies Employee Handbooks Employee Policies Financial Policies and Procedures Health and Safety Policies and Procedures Human Resources Guidelines Import/Export Procedures Manual Operating Policies Policy Manuals Purchasing Policies Records Management Policies Records Management Procedures Records Retention Schedule Standard Operating Procedures Statement of Principles of Conduct Statement of Principles of Conduct Exceptions Travel Policies Workplace Violence Policies	
COM1100	Records Destruction Certification Documentation supporting the record management program's destruction process to demonstrate that records were destroyed according to the corporate retention schedule. Includes certificates of destruction, destruction eligibility reports, and inventories of destroyed records. Retention Event: The retention period begins when the record is created. Examples Include: Certificates of Destruction Destruction Certificate Reports Destruction Eligibility Reports Inventories of Destroyed Records Legal Hold Orders Legal Hold Release Orders Records Destruction Correspondence	10

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
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Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
COR1000	Board and Shareholder Meetings Records related to proceedings of the board, board committees, shareholders, and other legally required meetings. Includes board committee meeting minutes and meeting notices, shareholder voting records, and shareholder proxies. Does not include records for non-legally required meetings or shareholder communications. See COR1100 for Shareholder and Investor Relations. Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created. <u>Examples Include:</u> Annual Meeting Preparations Annual Proxy Files Board Books and Support Board Committee Meeting Minutes Board Committee Meeting Notices Board Committee Voting Records Board Meeting Minutes Board Reports Director and Officer Questionnaires Minute Books Shareholder Meeting Minutes Shareholder Meeting Notices Shareholder Proxies Shareholder Voting Records	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
COR1020	Business Organization and Incorporation Records related to the creation, structure, and governance of the Company and its subsidiaries, both foreign and domestic. Includes articles of incorporation, corporate by-laws, and charters. Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created. <u>Examples Include:</u> Articles of Incorporation Corporate and Subsidiary By-Laws Corporate Committee Charters Corporate Seal	IND
COR1040	Corporate Stock Transactions Records related to the recorded transactions of corporate stock. Includes stock ledgers, transfers, and history reports. Does not include intercompany dividends. See ACC1200 for Intercompany Accounting. Retention Event: Retain for stock currently owned. The retention period begins when the stock is sold, transferred, or cancelled. <u>Examples Include:</u> Cancelled Stock Certificates Cash Dividend Records Dividend Listing Spreadsheets Revenue Bond Records Sale of Stock Securities Stock History Reports Stock Ledgers Stock Redemptions Stock Transfer Sheets	ACT+6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
COR1060	Organization Charts Records related to the structure and staffing of the organization including positions, titles, and employee names. Does not include records related to the incorporation or organization of the business. See COR1020 for Business Organization and Incorporation. Retention Event: Retain these records until they have been superseded. <u>Examples Include:</u> Department Organization and Structure Records Organization Charts	SUP
COR1080	Registered Shareholders Records related to registered shareholders. These records are used to identify who the active shareholders are and the dividends paid to them. Includes shareholder records and shareholder lists. Retention Event: Retain for the life of the corporation. The retention period begins when the corporation is either sold or dissolved. <u>Examples Include:</u> Shareholder Lists Shareholder Records	ACT+6
COR1100	Shareholder and Investor Relations Records related to general communication with shareholders, security analysts, and institutional investors not covered elsewhere. Includes shareholder publications, investor correspondence, and shareholder/investor presentations. Does not include shareholder meeting notices, voting records, or proxies. See COR1000 for Board and Shareholder Meetings. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Closed Acquisition Listings Daily Stock Activity Reports Investor Relations Announcements Investor Relations Annual Presentations and Support	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Investor Relations Correspondence Investor Relations Earnings Reports Investor Relations Presentations Monthly Revenue and Earnings Projections Pending Acquisition Notifications Shareholder Correspondence Shareholder Publications Stock Surveillance Reports	
COR1120	Strategic and Business Planning Records related to the strategic and business plans of the Company and its business units. Includes long-range plans. Retention Event: Retain for the life of the plan. The retention period begins when the plan has been superseded or is no longer in effect. <u>Examples Include:</u> Business Plan Records Long-Range Planning Reports Restructuring/Reorganization Plans Strategic Plan Records	ACT+1

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
DIS1000	Inventory Management Records used to track and monitor on-hand inventory of Company manufactured products and its associated value at Company support centers, third party warehouses, and other business units. Includes physical inventory adjustments and cost adjustments as a result of product price changes and price-protection agreements, records that document exact inventory levels at the time of a price change, associated billing adjustments, and other information entered into the inventory management system. Includes cycle count compliance, daily cut reports, and inventory write-off sheets. Does not include cost accounting of Company product inventories. See ACC1080 for Cost Accounting. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Cost Adjustments Cycle Counts Inventory Adjustment Records Inventory Maintenance Balance Reports Inventory Maintenance Records Inventory Write-Off Sheets Receiving Exceptions Warehouse Inventory Records Warehouse Transfers	1
DIS1020	Product Returns and Exchanges Records related to the return and exchange of damaged, outdated, or surplus products at Company support centers and other business units. Includes product return forms, product exchange forms, return authorizations, and chargeback requests. Does not include related records of payment. See ACC1000 for Accounts Payable. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Chargeback Requests Over and Short Damage Claims Product Exchange Forms	5

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Product Return Forms Returned Goods Authorizations Surplus and Damage Documentation	

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
EHS1000	Accidents and Injuries Records related to general liability and on-the job accidents as required by Occupational Safety and Health Administration (OSHA) regulations. Includes summaries of injury and illness logs, investigation reports, and accident records. Does not include related employee medical records. See HUM1200 for Employee Medical Records. Retention Event: Retain while the accident is being evaluated. The retention period begins when the accident evaluation is settled. <u>Examples Include:</u> Accident Records First Report of Injury/Illness Investigation Reports OSHA Form 300 - Log of Work-Related Injuries and Illnesses OSHA Form 300A - Summary of Work-Related Injuries and Illnesses (Annual) OSHA Form 301 (or equivalent) - Injury and Illness Incident Report	ACT+6
EHS1040	Environmental Testing and Monitoring General Records related to the environmental testing, monitoring, permit record keeping, periodic reporting, and environmental records not covered elsewhere. Includes environmental testing, hazardous waste tests, and air and water quality monitoring. Does not include site assessment or remediation. See EHS1220 for Site Remediation. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Air Compliance Demonstration Records Air Emission Inventory Reports Air Quality Test Records Emission Inventories Calculations Emissions Test Records Facility Ambient Air Quality Site Assessments	CY+5

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Hazardous Waste Materials Test Records Solid Waste Monitoring Records Stack Testing Surface Water Site Assessments Surface Water Test Records Waste Profiles Waste Water Discharge Test Records	
EHS1020	Environmental Testing and Monitoring Tanks and Electrical Equipment Records related to the environmental testing, monitoring, and assessment of the Company's use of above and below ground fuel tanks. Includes leak testing and tightness testing. Retention Event: Retain while the test is current and valid. The retention period begins when the test is not current. <u>Examples Include:</u> Closure Records Leak Testing Tightness Testing Transformer Inspection Records Transformer Testing Records	ACT+10
EHS1060	Environmental, Health, and Safety Plans Records related to the environmental, health, and safety plans developed by the Company. These records document Company plans to mitigate the environmental, health, and safety impact of Company actions. Includes environmental plans and health and safety plans. Retention Event: Retain for the life of the plan. The retention period begins when the plan has been superseded or is no longer in effect. <u>Examples Include:</u> Environmental Plans Health and Safety Plans Spill Prevention, Control, and Countermeasure (SPCC) Plans Storm Water Pollution Prevention Plans	ACT+3

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
EHS1080	Hazardous Exposure Records documenting employee and contractor exposure to hazardous or toxic substances. Includes industrial hygiene monitoring records. Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created. <u>Examples Include:</u> Asbestos Exposure Records Audiometric Test Records Biomedical Surveillance Records General Area (Air) Sampling Industrial Hygiene Monitoring Records Radiation Exposure Monitoring Records	IND
EHS1100	Hazardous Materials and Employee Warnings Records related to the use and disposal of hazardous materials at facilities. Includes safety bulletins and warnings to employees regarding hazardous materials used and stored by the Company. Does not include Material Safety Data Sheets for Company manufactured products or records related to the shipment of hazardous materials. See LOG1080 for Shipping and Receiving - Hazardous Materials. See MEQ1020 for Consumer Warnings. Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created. <u>Examples Include:</u> Chemical Inventories Employee Safety Warnings Hazardous Material Certificates Material Safety Data Sheets (Purchased Products) Safety Bulletins	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
EHS1120	Hazardous Waste Disposal Records related to the treatment and disposal of hazardous waste. Includes approved waste disposal facilities lists, waste profiles, and waste sampling and testing. Does not include shipping and receiving of hazardous materials. See LOG1080 for Shipping/Receiving - Hazardous Materials. Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created. <u>Examples Include:</u> Approved Waste Disposal Facilities Lists Hazardous Waste Certificate of Destruction/Disposal Landfill Records Sewage Sludge Disposal Records Waste Generation Reports	IND
EHS1140	Health and Safety Testing General Records related to tests conducted to ensure the health and safety of employees not included elsewhere. Includes protective equipment, emergency response tests, and general area sampling. See EHS1160 for Health and Safety Testing - Noise Exposure. See EHS1180 for Health and Safety Testing - Radiation Monitoring. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Backflow Prevention Inspections Boiler Inspections Elevator Inspections Emergency Response Tests Equipment and Processing Tests Fire Extinguisher Inspections Fire System Inspections	3

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Protective Equipment Tests Safety Shower Inspections Sprinkler Inspections	
EHS1160	Health and Safety Testing Noise Exposure <p>Records related to noise exposure tests conducted to ensure the health and safety of employees. Includes tests of noise exposure and audiometric equipment and procedures. Does not include audiometric testing.</p> <p>See EHS1080 for Hazardous Exposure for audiometric testing records.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Audiometric Equipment and Process Tests Audiometric Protective Equipment Tests Noise Exposure Equipment and Process Tests Noise Exposure Protective Equipment Tests Noise Surveys 	2
EHS1180	Health and Safety Testing Radiation Monitoring <p>Records related to radiation monitoring tests conducted to ensure the health and safety of employees. Includes tests of radiation monitoring equipment and procedures.</p> <p>Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Radiation Monitoring Emergency Response Tests Radiation Monitoring Equipment and Process Tests Radiation Monitoring Protective Equipment Tests 	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
EHS1200	Process Safety Management Records related to the integrity and safety of physical and chemical processes performed by the Company as required by the Occupational Health and Safety Administration and the Environmental Protection Agency. Includes process safety analyses, reliability records, management of change, and materials of construction. Retention Event: The retention period begins when the record is created. Examples Include: Chemistry Changes Control Function Diagrams Materials of Construction Process Documentation Process Safety Analysis Process Safety Change Management Process Safety Information Process Safety Management Drawings Reliability Records Risk Management Program Documents Safety Hazards Temperature Logs and Thermometer Standardizations	6
EHS1220	Site Remediation Records related to the contamination of property by the Company or on property acquired by the Company, the clean-up efforts implemented, and any related investigation of such occurrences. Includes environmental testing records, incident investigations and reports, and site remediation records. Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created. Examples Include: CERCLA (aka Superfund) Records (including notices of liability, responses to such notices, settlement agreements, etc.) Groundwater Site Assessments	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Groundwater Test Records	
	Release Incident Investigations	
	Release Incident Reports	
	Remediation Project Files	
	Site Assessment Records	
	Site Assessment Reports	
	Site Remediation Records	
	Site Remediation Testing Records	
	Soil Site Assessments	
	Soil Test Records	
	Superfund Records	

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
FAC1000	Design and Construction Records related to the design, construction, and remodeling of facilities, corporate offices, and field offices. Includes drawings, blueprints, construction reports, and floor plans. Does not include environmental testing and monitoring records or building permits. See EHS1040 for Environmental Testing and Monitoring - General. See LEG1140 for Licenses, Permits, and Certifications. Retention Event: Retain for the life of the facility or equipment. The retention period begins when the facility or equipment is sold or destroyed. <u>Examples Include:</u> As-Builts Blueprints Construction Reports Design and Construction Drawings Design Engineering Documents Facilities Requests Floor Plans Landlord Approval Documentation Piping and Instrument Drawings Price Estimates Process Design for Construction	ACT+6
FAC1020	Maintenance, Repair, and Inspection Records related to the repair and general maintenance of facilities and equipment. Includes building inspections and reports, equipment histories, maintenance records, and repair records. Also includes reference and technical instruction manuals provided by the manufacturer for products and equipment used internally Retention Event: Retain for the life of the facility or equipment. The retention period begins when the facility or equipment is sold or destroyed. <u>Examples Include:</u> Building Inspections and Reports E911 System Equipment Histories Equipment Operating Manuals and Logs Freon Records	ACT+3

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Industrial Sling Repair Records Maintenance Manuals Maintenance Records Manufacturer Maintenance Guidelines Occupational Safety and Health Administration (OSHA) Maintenance Certificates Phone System Warranties Preventative Maintenance Records Product Manuals Repair Records Routine Facility Work Orders Technical Reference Materials	
FAC1040	Real Property Valuations Records related to the valuation of real property. These records may be used to evaluate real estate acquisitions. Includes land and building appraisals. Does not include contracts and agreements related to the purchase and sale of real property or property tax returns. See LEG1040 for Contracts and Agreements - Real Property Purchase and Sale. See TAX1100 for Property Tax. Retention Event: Retain for the life of the asset. The retention period begins upon the sale or disposition of the asset. <u>Examples Include:</u> Broker's Opinions of Value Building Appraisals Land Appraisals Real Estate Valuations	ACT+6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
HUM1000	<p>Applicant Drug and Alcohol Testing Negative Test Results</p> <p>Records related to drug and alcohol screenings required by all individuals applying for a position. Includes negative lab results. Does not include random or periodic testing of employees.</p> <p>See HUM1360 for Personnel Records - General for random or periodic testing of employees.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Applicant Negative Lab Results Applicant Negative Test Result Chain of Custody Forms Applicant Negative Test Results 	1
HUM1020	<p>Applicant Drug and Alcohol Testing Positive Test Results</p> <p>Records related to drug and alcohol screenings required by all individuals applying for a position. Records include positive lab results. Does not include random or periodic testing of employees.</p> <p>See HUM1360 for Personnel Files - General for random or periodic testing of employees.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Applicant Positive Lab Results Applicant Positive Test Result Chain of Custody Forms Applicant Positive Test Results 	5

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
HUM1040	<p>Benefit Enrollment and Participation Benefits Summary Records</p> <p>Records summarizing total employee enrollment and participation in benefit programs. Includes benefits accrued and years of service reports.</p> <p>Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Benefit Summary Annual Reports (SAR's) Benefits Accrued Reports Eligibility Reports Employee Headcounts Summaries of Benefit Contributions Years of Service Reports 	IND
HUM1060	<p>Benefit Enrollment and Participation General</p> <p>Records related to the enrollment and participation of employees in benefits programs such as disability, pension, and 401(k) plans. Includes change of address forms, benefit enrollment and application forms, electronic enrollment records, and related correspondence.</p> <p>See HUM1040 for Benefit Enrollment and Participation - Benefits Summary Records. See HUM1080 for Benefit Enrollment and Participation - Loan Applications.</p> <p>Retention Event: Retain while the benefit plan is active and benefits are payable. The retention period begins when the plan becomes inactive and benefits are no longer payable.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Accidental Death and Dismemberment (AD&D) Request Beneficiary Designation Forms Benefit Enrollment/Disenrollment Records Benefit Open Enrollment Records Benefits Enrollment Correspondence 	ACT+6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Change of Address Forms Employee Benefit Election Forms Tuition Refund Application	
HUM1080	Benefit Enrollment and Participation Loan Applications Records related to money borrowed by an employee against their retirement plan. Includes employee loan applications and related correspondence. Retention Event: Retain for the life of the loan. The retention period begins when the loan is paid off. <u>Examples Include:</u> Employee Loan Applications Retirement Plan Loans Correspondence	ACT+6
HUM1090	Benefit Plan Administration Employee Benefit Distribution Records Records documenting the distribution of benefits to Company employees. Includes employee benefit distribution records. Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created. <u>Examples Include:</u> Employee Benefit Distribution Records	IND
HUM1100	Benefit Plan Administration General Records related to the general management and administration of benefit plans such as 401(k), retirement plans, pension plans, stock purchase plans, disability, leave of absence, and tuition reimbursement. Includes general employee communications relative to these benefits. Does not include annual valuation reports or benefit statements. See HUM1110 for Benefit Plan Administration - Valuations and Statements. Retention Event: The retention period begins when the record is created.	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	<p><u>Examples Include:</u></p> <p>401(k) Plan Administration 401(k) Plan Communications 5500 Forms Adoption Assistance Records Annual Summary of Stock Option Grants Benefit Communications Benefit Plan Administration Records COBRA Eligibility Lists Employee Benefit Claim Files Insurance Termination Records Medicare Part D Attestations Medicare Part D Credible Coverage Medicare Part D Subsidy Files Optionee Allocation Schedules Options Exercise Documentation Prescription Drug Reimbursement Records Retirement Plan Appeals Stock Option Grants Documentation Stock Option Summaries</p>	
HUM1110	<p>Benefit Plan Administration</p> <p>Valuations and Statements</p> <p>Records related to the valuation and statements for benefit plans such as 401(k), retirement plans, pension plans, stock purchase plans, disability, leaves of absence, and tuition reimbursement. Includes annual valuation reports and benefit statements.</p> <p>Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created.</p> <p><u>Examples Include:</u></p> <p>Annual Valuation Reports Benefit Statements</p>	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
HUM1120	<p>Benefit Plan Development</p> <p>Benefit Plan Vendor Selection and Renewal</p> <p>Records related to the assessment, selection, and renewal of benefit plan vendors. Includes employee communications related to the vendor selection and renewal process.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Benefit Plan Communications Plan Sponsor Compliance Fiduciary Records Vendor Assessment Records Vendor Renewal Records Vendor Selection Records 	6
HUM1140	<p>Benefit Plan Development</p> <p>General</p> <p>Records related to the design and development of the benefit plans not covered elsewhere. Includes benefit related merger information. May also include records documenting due diligence and the integration of acquired companies into corporate benefits programs.</p> <p>Retention Event: Retain while the benefit plan is active and benefits are payable. The retention period begins when the plan becomes inactive and benefits are no longer payable.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Benefit Plan Acquisition Files Benefit Plan Actuarial Reports Benefit Plan Analyses and Reports Benefit Plan Conversions Benefit Plan Divestiture Records Benefit Plan Due Diligence Benefit Plan Merger Reconciliations 	ACT+6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
HUM1160	Benefit Plan Texts and Amendments Records documenting and defining benefit plans. Includes benefit plan documentation and amendments. Retention Event: Retain while the benefit plan is active and benefits are payable. The retention period begins when the plan becomes inactive and benefits are no longer payable. <u>Examples Include:</u> Benefit Plan Amendments Benefit Plan Documentation Benefit Plan Texts	ACT+6
HUM1180	Compensation Planning Records related to the determination and monitoring of salary structures, incentive programs, job classifications, and placement. Includes incentive pay program documentation, salary guidelines, and compensation surveys. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> College Recruiting Starting Salary Guidelines Compensation Surveys Incentive Compensation Program Documentation Job Evaluation Documents Stock Incentive Records	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
HUM1200	<p>Employee Medical Records</p> <p>Records documenting individual employee medical history. Includes medical records resulting from on-the-job injuries and accidents, and any employee medical records required under OSHA or equivalent (e.g. blood testing, respirator physicals, hepatitis vaccinations). Does not include on-the-job accident and injury reports (OSHA) or drug and alcohol testing.</p> <p>See EHS1000 for Accidents and Injuries. See HUM1000 for Applicant Drug and Alcohol Testing - Negative Test Results. See HUM1020 for Applicant Drug and Alcohol Testing - Positive Test Results.</p> <p>Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Contractor Medical Records Employee Medical Records Employee Work Limitations Employment Physical Exams Executive Physicals Physician Reports 	IND
HUM1220	<p>Employee Recruitment and Selection</p> <p>Records related to personnel requests, job applications testing, advertising, position descriptions, and interviews. Includes job postings, help wanted ads, assessment tests, and background checks. Recruitment records for hired employees become part of the personnel file.</p> <p>See HUM1360 for Personnel Records - General. See HUM1380 for Personnel Records - Temporary Employees.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Background Check Results Candidate Evaluations Consent to Request Consumer Report Information Forms 	3

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Employment Reference Replies Help Wanted Ads Interview Notes Job Postings Personnel Requisitions Rejected Employment Applications Rejected Resumes Release of Information Forms Skills Assessment Test Results	
HUM1240	Employee Relations Records related to general relations with employees not covered elsewhere. Includes website communications. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Company Communications Corporate Intranet Records Employee Announcements Employee Communications Newsletters Website Communications	3
HUM1260	Equal Employment Opportunity Records documenting compliance with Company equal employment policies. Includes reports which are required to be filed with the Equal Employment Opportunity Commission (EEOC) identifying workforce demographics. Does not include EEO and Affirmative Action policy information. See COM1080 for Policies and Procedures. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Applicant Flow Logs Diversity and Inclusion Records EEO-1 Reports	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	EEO-2 Reports Employment Logs - Hires, Transfers, Layoffs, Recalls & Terminations Equal Employment Opportunity Reports Equal Employment Reference Materials Records of Accommodation Title VII Materials VETS100 Reports	
HUM1280	Immigration and Naturalization Records related to the immigration and naturalization of employees transferring to and from facilities. Includes federal Form I-9 which certifies employee identity and eligibility to work in the United States. Retention Event: Retain for 1 year following date of termination or 3 years following date of hire, whichever is longer. <u>Examples Include:</u> Employee Immigration Files Form I-9 Records H-1B Visa Documentation Labor Department Audit Records Naturalization Records Right to Work Documentation	ACT+3 or ACT+1
HUM1300	Job Descriptions Records related to job descriptions such as summary of position responsibilities, requirements, and reporting relationships. Includes job and position descriptions. Retention Event: Retain while job descriptions are active. The retention period begins when the job description is obsolete or superseded. <u>Examples Include:</u> Job Descriptions Position Descriptions	ACT+10

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
HUM1310	<p>Labor Relations</p> <p>Collective Bargaining Agreements</p> <p>Records related to collective bargaining agreements between the Company, labor unions, and employees. Includes collective bargaining agreements. Does not include arbitration records or labor union meeting materials.</p> <p>See HUM1320 for Labor Relations - General.</p> <p>Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created.</p> <p><u>Examples Include:</u></p> <p>Collective Bargaining Agreements</p>	IND
HUM1320	<p>Labor Relations</p> <p>General</p> <p>Records related to relations between the Company, labor unions, and employees. Includes arbitration records, labor unit contracts, bargaining unit records, and labor union meeting materials. Does not include collective bargaining agreements.</p> <p>See HUM1310 for Labor Relations - Collective Bargaining Agreements.</p> <p>Retention Event: Retain while the contract, arbitration, or bargaining relationship is active. The retention period begins when the contract is not active, the arbitration is closed, or the bargaining relationship terminates.</p> <p><u>Examples Include:</u></p> <p>Arbitration and Mediation Records</p> <p>Labor Relations</p> <p>Labor Union Contracts</p> <p>Labor Unit Bargaining Relationship</p> <p>Union Grievances</p>	ACT+6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
HUM1340	<p>Leaves of Absence</p> <p>Records related to time taken off by an employee for medical, non-medical and FMLA covered reasons. Includes doctor's authorization for time off, work directives, employee leave of absence requests and approvals. Does not include employee medical records.</p> <p>See HUM1200 for Employee Medical Records.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Birth, Marriage & Death Certifications for Leave Purposes Doctor's Authorization for Time Off Family Medical Leave Act (FMLA) Application and Physician Statement Family Medical Leave Act (FMLA) Requests Family Member Medical Certificate Leave of Absence Approvals Leave of Absence Requests Leaves of Absence Rejections Long-Term Disability Leave Records Military Service Leave Records Short-Term Disability Leave Records Sick Leave Records 	6
HUM1360	<p>Personnel Records</p> <p>General</p> <p>Records providing a history of employment from initial hiring, including promotion, performance appraisals, and transfers. Includes employment applications, letters of acceptance, performance appraisals, and resumes. Also includes employee relocation records.</p> <p>See HUM1380 for Personnel Files - Temporary Employee Files.</p> <p>Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created.</p>	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	<p><u>Examples Include:</u></p> <p>Address Changes</p> <p>College Transcripts</p> <p>Continuing Education Records</p> <p>Employee Disciplinary Records</p> <p>Employee Handbook and Benefit Receipt Forms</p> <p>Employee Performance Reviews</p> <p>Employee Relocation Records</p> <p>Employment Applications</p> <p>Employment Drug Test Reports</p> <p>Employment Termination Forms</p> <p>Letters of Acceptance</p> <p>New Hire Data and Forms</p> <p>Orientation Checklists</p> <p>PeopleSoft HRIS Reports</p> <p>References</p> <p>Resumes</p>	
HUM1380	<p>Personnel Records</p> <p>Temporary Employees</p> <p>Records related to the hiring and management of temporary employees. Includes temporary employee applications, resumes, and contracts.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p><u>Examples Include:</u></p> <p>Temporary Employee Applications</p> <p>Temporary Employee Correspondence</p> <p>Temporary Employee Resumes</p>	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
HUM1400	<p>Training and Development Programs</p> <p>Records related to the creation and operation of corporate training and development programs. Includes course manuals, schedules, and course evaluation sheets. Does not include training attendance and certification records.</p> <p>See HUM1420 for Training Attendance and Certification.</p> <p>Retention Event: Retain for the life of the training program. The retention period begins when the program has been superseded or is no longer offered to employees.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Training Course Evaluation Sheets Training Course Instructor Guides Training Course Manuals Training Course Materials Training Course Schedules Training Presentation Materials Training Program Documentation 	ACT+3
HUM1420	<p>Training Attendance and Certification</p> <p>Records related to employee attendance at corporate training programs and seminars. Includes employee attendance records and records related to certification for individuals to perform certain tasks.</p> <p>Retention Event: Retain for current employees. The retention period begins when the employee terminates.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Course Sign-In Sheets Quality Training Records Safety Meeting Attendance Records Training Attendance Records Training Certifications Training Logs Training Requirements 	ACT+3

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
ISY1000	<p>Application Documentation</p> <p>Records documenting the development of new functionality and architecture for computer systems and applications. Includes change management, requirements documents, and scope documents. Does not include source code.</p> <p>See ISY1040 for Source Code.</p> <p>Retention Event: Retain for the life of the computer system. The retention period begins when the system is no longer in use.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Application Change Management Records Application Testing Records Computer Programming Design Specifications Computer Programming Standards Data Models Object Models Process Models Requirement Records Scope Records Technical Design Records User Acceptance Results User Acceptance Test Plans User Requirements 	ACT+6
ISY1010	<p>Backup Copies of Electronic Files</p> <p>Copies of electronic records that are maintained on backup tapes for disaster recovery purposes. Includes backup tapes and other backup media.</p> <p>Retention Event: Retain these records only as long as they are needed, up to a maximum of one year. The retention period begins when the record is created.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Backup Media Backup Tapes 	MAX1

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
ISY1020	Network and Computer Access Records Information used to provide details and history of network and computer system access records. Includes access and network security logs. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Network / Computer Access Logs Network Security Logs Systems Access Records	6 Months
ISY1040	Source Code Records related to source code for software that is either internally or externally developed and used internally by employees. Includes program and source code. See ISY1000 for Application Documentation. Retention Event: Retain for the life of the computer software. The retention period begins when the software has been superseded or is no longer in use. <u>Examples Include:</u> Program Code Software Source Code Web Properties	ACT+6
ISY1060	System Conversions Records related to internal testing, details, and history of systems conversions. Includes records related to systems conversions resulting from mergers and acquisitions. Retention Event: Retain for the life of the computer system. The retention period begins when the system has been superseded or is no longer in use. <u>Examples Include:</u> Conversion History Conversion Records Conversion Test Data Merger-Related System Conversion Records System Conversion Document Trail	ACT+6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
ISY1080	<p>System Technical Administration</p> <p>Records used to provide details of the information systems environment. Includes design reports that detail the layout and configuration of the network servers and printers, including the physical layout of hardware on the individual floors. Also documents network and server storage space allocation. Does not include application documentation.</p> <p>See ISY1000 for Application Documentation.</p> <p>Retention Event: Retain for the life of the computer system. The retention period begins when the system has been superseded or is no longer in use.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Asset Tracking Inventories Data Security / Data Transmission Database Access Design Records Encryption System Passwords Information Security Risk Assessments Log-In Keys Network and Server Space Allocation Records Network and Server Storage Management Network Security Administration Network Server Records Performance Monitoring Records Problem Tracking Records Schematics Security Administration Records Systems Development Specifications Systems Testing Records Web Data, Records, and Logs 	ACT+6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
ISY1100	Technical Support Requests Records related to external customer and internal employee requests for technical support. These records identify the caller's concern or request for information and identify the response and resolution. Includes help desk records, problem tracking documentation, and telecommunications service requests. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Development Service Requests Help Desk Records Performance / Trouble Logs and Reports Problem Tracking Documentation Product Support and Advice Production Service Requests Technical Support Equipment / Maintenance Records Telecommunications Service Requests	3

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
LEG1000	<p>Contracts and Agreements</p> <p>General</p> <p>Records related to obligations under contracts, leases, and other agreements with outside parties not covered elsewhere. Includes contract and agreement amendments, breach of contract notifications, and contract management and administration. Also includes disputes that do not progress to litigation. Does not include collective bargaining agreements or merger, acquisition, and divestiture agreements.</p> <p>See HUM1320 for Labor Relations. See LEG1020 for Contracts and Agreements - Real Property Construction and Improvement. See LEG1040 for Contracts and Agreements - Real Property Purchase and Sale. See LEG1160 for Litigation and Claims. See LEG1180 for Mergers, Acquisitions, and Divestitures.</p> <p>Retention Event: Retain for the life of the contract or agreement. The retention period begins when the contract or agreement terminates or expires.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> At-Will Employment Agreements Broker/Forwarder Powers of Attorney and Contracts of Service Business Development Agreements Carrier Agreements Commission and Royalty Agreements Confidentiality Agreements Consulting Agreements Contract and Agreement Amendments Contract and Agreement Negotiations Contract Status Reports Corporate Hedging Contracts Distribution Agreements Employee Consent to Guidelines Employment Agreements Government Contracts HIPAA Business Associate Agreements Intellectual Property Agreements Intercompany Agreements Leases 	ACT+6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Legal Agreements Licensing Agreements Loan Agreements Maintenance Agreements Non-Compete Agreements Non-Disclosure Agreements Notifications of Contract Breach or Dispute Patent and Confidentiality Agreements Power of Attorney Documents Provider Service Agreements Purchase and Supply Agreements Sales Contracts Sales Representative Agreements Separation Agreements Software Licenses and Escrow Agreements Third Party Agreements	
LEG1020	<p>Contracts and Agreements</p> <p>Real Property Construction and Improvement</p> <p>Records related to contracts and agreements for improvements to real property. Includes construction and property improvement bids, service contracts, and property improvement contracts. Also includes disputes that do not progress to litigation and claims.</p> <p>See LEG1160 for Litigation and Claims.</p> <p>Retention Event: Retain for the life of the contract or agreement. The retention period begins when the contract or agreement terminates or expires.</p> <p><u>Examples Include:</u></p> Architect Agreements Construction Bid Records Construction Contracts Construction Disputes Design-Build Agreements General Contractor Agreements Project Management Agreements Property Improvement Contracts	ACT+15

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Real Property Construction and Improvement Notifications of Contract Breach or Dispute Real Property Service Contracts	
LEG1040	<p>Contracts and Agreements</p> <p>Real Property Purchase and Sale</p> <p>Records related to the purchase and sale of real property, the proof of ownership, and access to real property. Includes real property purchase agreements, deeds, titles, easements, sale agreements, and environmental reports. Also includes disputes that do not progress to litigation and claims.</p> <p>See FAC1040 for Real Property Appraisals. See LEG1160 for Litigation and Claims.</p> <p>Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Building Property Descriptions Easements Environmental Reports Land Loan Agreements Non-Legal Contract Disputes Property Deeds Real Property Closing Documents Real Property Due Diligence Real Property Purchase Agreements Real Property Purchase and Sale Notifications of Contract Breach or Dispute Real Property Sale Agreements Real Property Surveys Real Property Titles 	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
LEG1080	Escheat Property Records that document the inability to locate the recipient of monies or property and the associated compliance with abandoned property laws. Includes abandoned property records. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Abandoned Property Records Escheat Records Unclaimed Property Records	10
LEG1100	Garnishment and Levy Orders Records related to garnishment orders received from the court requesting garnishment of employee wages. Includes garnishment orders and child support levy orders. Does not include garnishment accounting records. See PAY1040 for Payroll Accounting. Retention Event: Retain for the life of the garnishment or levy order. The retention period begins when it has been superseded or is no longer in effect. <u>Examples Include:</u> Child Support Levy Orders Federal Levies Garnishment Orders Wage Deduction Orders	ACT+3
LEG1140	Licenses, Permits, and Certifications Records related to licenses, permits, and certifications which are obtained from government agencies in order to perform certain tasks. Includes building permits, zoning permits, construction permits, business licenses, and environmental permits. Retention Event: Retain for the life of the license, permit or certification. The retention period begins when it has been superseded or is no longer in effect. <u>Examples Include:</u> Air Quality Permits Building Permits	ACT+5

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Business Licenses Business Permits Certificates of Occupancy Certifications Construction Permits Environmental Impact Statements Environmental Permits Export Licenses Export Licenses - CCL Export Licenses - ITAR and USML Hazardous Waste Permits Land Use Permits National Pollutant Discharge Elimination System (NPDES) Permits Publicly Owned Treatment Works (POTW) Permits Resource Conservation and Recovery Act (RCRA) Permits Water Quality Permits Zoning Permits	
LEG1160	Litigation and Claims Records related to threatened or asserted litigation for a range of issues including employment, intellectual property, product liability, and environmental. Includes pleadings, discovery records, exhibits, and final judgments. Retention Event: Retain for the life of the litigation or claim, including appeal periods. The retention period begins upon closure of the litigation or claim. Examples Include: Affidavits Case Files Cease and Desist Letters Charge of Discrimination Charges of Infringement Depositions Discovery Records Exhibits Final Judgments Litigation	ACT+6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Litigation and Claims Legal Opinions Litigation Arbitration Litigation Strategy Meeting Minutes Mediation Motions Patent Infringement Lawsuit Files Pleadings Prosecution Matters Settlement Documents Trademark Infringement Lawsuit Files Trial Documents	
LEG1180	Mergers, Acquisitions, and Divestitures Records related to the purchase or sale of a company or business unit. Includes acquisition, sales, and merger agreements. Does not include acquisition or divestment of real property that is independent of a business unit's purchase or sale or anti-trust filings. See LEG1040 for Contracts and Agreements - Real Property Purchase and Sale. See COM1020 for Governmental Compliance and Reporting - General for anti-trust filings. Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created. Examples Include: Acquisition Agreements Acquisition Checklists Acquisition Letters of Intent Acquisition Offering Memorandum Acquisition Opening Balance Sheet Assignment / Assumption Agreements Bills of Sale Closing books / Binders Disbursement Agreements Divestiture / Sales Agreements Divestiture Workpapers	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Due Diligence Workpapers and Reports Merger Agreements Merger Escrow Agreements Merger Studies Merger, Acquisition, and Divestiture Closing Records Merger, Acquisition, and Divestiture Escrow Agreements Merger, Acquisition, and Divestitures Purchase Agreements Valuation Reports	
LEG1200	Third Party Discovery Documents related to disputes involving third parties, including vendors or employees, in which the Company is not directly involved but has been requested to provide information regarding the third party dispute. Includes court orders, protective orders, and subpoenas. Retention Event: Retain for the life of the dispute plus appeal periods. The retention period begins when the dispute is closed. <u>Examples Include:</u> Court Orders Protective Orders Responses to Discovery Requests Subpoenas Third Party Litigation Correspondence	ACT+6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
LOG1000	<p>Fleet Management</p> <p>Vehicle / Driver Accident Records</p> <p>Records documenting accidents in which Company-owned vehicles/equipment and/or operators/drivers are involved. Includes analysis of the accident and any relevant findings, as well as accident logs, which provide a history of driver records and prior accidents. Does not include general vehicle records.</p> <p>See LOG1020 for Fleet Management - Vehicle Records.</p> <p>Retention Event: Retain while the accident is being evaluated. The retention period begins when the accident evaluation is settled.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Accident Analyses Equipment / Vehicle Accident Logs Equipment / Vehicle Damage Reports Operator / Driver Accident Claims Operator / Driver Accident Reports Operator / Driver Histories 	ACT+3
LOG1020	<p>Fleet Management</p> <p>Vehicle Records</p> <p>Records related to vehicle licensing, mileage, vehicle destinations, and fuel purchases. Includes vehicle registrations, certificates of insurance, fuel reports, maintenance records, and mileage reports. Does not include vehicle/driver accident records.</p> <p>See LOG1000 for Fleet Management - Vehicle / Driver Accident Records.</p> <p>Retention Event: Retain for the life of the vehicle. The retention period begins when the vehicle is sold or disposed of.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Mileage Reports Motor Vehicle Records Vehicle Certificates of Insurance Vehicle Destination Reports Vehicle Fuel Reports Vehicle Licenses Vehicle Maintenance Records 	ACT+3

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Vehicle Registrations	
LOG1040	<p>Shipping and Receiving</p> <p>Foreign Trade</p> <p>Records related to the importing and exporting of goods not covered elsewhere. Includes documentation required by the North American Free Trade Agreement (NAFTA) and re-export documentation. Also includes certificates of origin, export certificates, customs bonds, customs investigations, and shipping papers. Does not include US Customs post entry audits and reviews, binding rulings, export licenses, import/export procedures manuals, training logs, powers of attorney or contracts for service.</p> <p>See AUD1120 for Internal Operational Audits. See COM1060 for Governmental Investigations, Hearings, and Audits. See COM1080 for Policies and Procedures. See HUM1420 for Training Attendance and Certification. See LEG1000 for Contracts and Agreements - General. See LEG1140 for Licenses, Permits, and Certifications.</p> <p>Retention Event: The retention period begins for: Imports - the date of entry Exports - the date of export, re-export, or other termination of the transaction All others - when the record is created</p> <p>Additionally, please note while records may be maintained electronically, for import purposes, if they are maintained in other than the original format, notice must be given to CBP Regulatory Audit 30 days before implementing an alternative storage method. (If documents are received electronically, then that is the 'original' format).</p> <p>For export purposes, the documents must be reproducible; both front and back, so they appear as they were in the original format.</p> <p>Examples Include: Boycott Records and Reports Certificates of Origin Certificates of Re-Export CF 3461 and CF 7501 CT-PAT Initiatives Customs Bonds Customs Release Forms</p>	5

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	<ul style="list-style-type: none"> Delivery Verification Certificates Disclosure Exceptions Entry Documents Export Classification Control Number Lists Export Clearance and Certificates Export Declarations Exportation Documentation Foreign Shipping Documentation Foreign Trade Bills of Lading Foreign Trade Manifests Foreign Trade Supplier Invoices HTSUS and Schedule B Classification Lists Manufacturers Affidavits NAFTA Certificates and Guidelines Requests (CF 28 and CF29) Supplier Correspondence U.S. Customs Documentation 	
LOG1060	<p>Shipping and Receiving</p> <p>General</p> <p>Records used to verify and prove the shipment of products not covered elsewhere. These records identify quantities shipped and supporting documentation. Includes shipping manifests, bills of lading, and loading sheets. Does not include the shipping records for hazardous materials.</p> <p>See LOG1080 for Shipping Documentation - Hazardous Materials.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Advanced Shipping Notifications Bills of Lading Loading Sheets Receipt Logs Shipping Manifests Shipping Orders Shipping Releases 	5

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
LOG1080	<p>Shipping and Receiving Hazardous Materials</p> <p>Records used to verify and prove the shipment of hazardous materials. These records identify quantities shipped and supporting documentation. Includes hazardous materials shipping manifests, bills of lading, and loading sheets.</p> <p>Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none">Certificates of AnalysisHazardous Materials Bills of LadingHazardous Materials Loading SheetsWaste Manifests	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
MEQ1000	<p>After-Market Services</p> <p>Records related to the history of product parts and components, including software, from the time the product goes out of production. These records are used to support service, maintenance, and repair of Company products. Includes out-of-service and out-of-production lists.</p> <p>Retention Event: Retain for the life of the product. The retention period begins when the product has been superseded or discontinued.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> After-Market Planning and Forecasting Installation Reports Maintenance Contract Service Reports Out-Of-Production Lists Out-Of-Service Lists Software Support Spares Configuration Requirements Spares Inventory Records Spares Parts Lists Spares Production Records Spares Special Orders 	ACT+10
MEQ1020	<p>Consumer Warnings</p> <p>Records related to information supplied to consumers regarding the make-up of product contents as well as the environmental and health implications associated with use and/or exposure to Company products. Includes product labels and material safety data sheets (MSDS).</p> <p>Retention Event: Retain for the life of the product. The retention period begins when the product has been superseded or discontinued.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Marketing Bulletins Product Labels Product Material Safety Data Sheets (MSDS) Product Warnings 	ACT+10

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
MEQ1040	Corrective and Preventive Actions Records related to the analysis of potential failures and non-conformance with established Company, industry, or quality standards. Includes potential failure lists, proposed actions, and corrective and preventive action documentation. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Corrective and Preventive Action Plans Corrective and Preventive Action Records Corrective and Preventive Action Status Reports Deviation Records Effectiveness Evaluation Documents Non-conformance Reports Potential Failure Lists Preventive Action Records Product/Manufacturing Investigations Proposed Action Records Questionable Material Forms Variance Records	5
MEQ1060	Equipment Calibration Records Records related to the calibration of measurement and test equipment. Includes calibration records, calibration history cards, and out-of-tolerance reports. Retention Event: Retain for the life of instrument. The retention period begins when the instrument is no longer in use. <u>Examples Include:</u> Calibration History Cards Calibration Records Certificates of Calibration Machine Service Reports Out-of-Tolerance Reports Re-Calibration Check Sheet	ACT+10

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
MEQ1080	<p>Laboratory and Engineering Notebooks and Research Documents</p> <p>Records related to research books issued to and maintained by research scientists and other laboratory personnel that document product research laboratory activities. These notebooks may support intellectual property claims related to patent applications. Includes officially assigned and numbered laboratory notebooks, workbooks, and databooks that are cross-referenced to them. Includes current and historical notebooks and annual research project reports. Does not include monthly or quarterly project reports.</p> <p>See ADM1060 for Project Management for monthly and quarterly project reports.</p> <p>Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Ancillary/Raw Data Annual Research Project Reports Instrumentation Logbooks Lab Tests and Results Laboratory Experimental Data Laboratory Notebooks Laboratory Notebooks Registry (Sign-Out) Cards 	IND
MEQ1100	<p>Manufacturing Design and Development</p> <p>Records related to the production planning, definition, and testing of the manufacturing processes following product design and development, including any changes in standard manufacturing processes. Includes bills of material, final manufacturing processes, production reviews, process change specifications, and process change documentation.</p> <p>Retention Event: Retain for the life of the manufacturing process or method. The retention period begins when the method is superseded or is no longer in use.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> After Molding Automation Computer Numeric Control (CNC) Programs Drawings and Specifications for Tooling, Jigs, Fixtures and Test Equipment 	ACT+10

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Environmental Specifications for Manufacturing Equipment Software Failure Analysis Reports Final Manufacturing Processes Manufacturing Design Reviews and Re-designs Manufacturing Designs and Schematics Manufacturing Machine Specifications Manufacturing Process Change Orders Manufacturing Process Management Review Manufacturing Prototypes and Runs Records Manufacturing Specifications Meeting Minutes and Notes Process Change Specifications Process Flow Control Plan Production Reviews Requests for New Product Manufacturing Release Tooling Authorizations Tooling Design Reviews Work Instructions	
MEQ1120	Manufacturing Production Detail Records related to the management, organization, and planning of the production process through product shipment. Includes manufacturing production logs, manufacturing production forecasts, production work orders, time and material reports, and operator logs. Retention Event: Retain for the life of the batch. The retention period begins when no items manufactured in the batch are still in use. <u>Examples Include:</u> Daily Efficiency Reports Demand Planning Records Equipment Downtime Flow Tickets Inventory Plans Job Tracking Kanban Sheets Manufacturing Production Forecasts	ACT+10

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Manufacturing Production Logs Manufacturing Summary Reports Master Schedules Operator Logs Packaging Records Part Number Logs Performance Measures Production Pick Lists Production Schedules Production Work Orders Routing Lists Scrap Reports Serial Number Allocations Shift Notes and Reports Shop Orders Space and Equipment Resource Allocation Reports Time and Material Reports Time Studies Travelers	
MEQ1140	Material Control Records Records related to the receipt and routing of raw materials, parts, and supplies used in the manufacture of Company products. These records document the testing and inspection of materials prior to routing; the disposition of materials that are rejected during incoming inspection or by the production floor; and the receipt of materials into Company inventories. Includes parts inspections, inspection criteria, supplier certificates of conformance, material deviation authorizations (MDA), failure tags, return to supplier authorizations, pick lists, and material shortage reports. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Arrival Condition Reports Batch and Lot Testing Bill of Material Call-Outs Failure Tags First Article Inspection Records Incoming Inspection	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Inspection and Test Results Material Certifications Material Control Test Procedures Material Deviation Authorizations (MDA) Material Requests Material Shortage Reports Material Substitution Records Move Tickets Packing Slips Part Inspections Parts Inventory Pick Lists Receiving Inspection Records Refused/Returned Shipment Records Re-inspection Records Rejection Notices Return to Supplier Authorizations Scrap/Sale Reports Supplier Certificates of Conformance Visual Check Sheets	
MEQ1160	Product Design and Development Records related to the product design and development process. These records document the initial phases of the design process through pre-production release as well as any changes in product design and formulas after the product is released to production. Includes qualifying documents that substantiate the changes. Includes research, conceptual designs, design specifications, prototypes, engineering change notices, engineering change orders, and product formulas and recipes. Does not include laboratory and engineering notebooks. See MEQ1080 for Laboratory and Engineering Notebooks. Retention Event: Retain for the life of the product. The retention period begins when the product has been superseded or discontinued. Examples Include: Bills of Materials Change Review Documents	ACT+10

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Chemical Composition Records Coating Specifications Conceptual Designs Configuration Management Documentation Customer Approvals Customer Product Samples Customer Specifications Design Failure Effect Mode Analysis Design Reviews Design Specifications Engineering Change Notices (ECN) Engineering Change Orders Formulas Formulation Protocols Marked-Up and Revised Drawings and Schematics Master Specifications Material Requirements Materials Specifications New Product Approvals New Product Plans New Product Reporting Preliminary Product Testing Product Design Research Product Dimensional Layout Product Drawings Product Prototypes Product Requirements Reviews Recipes Software Revisions and Upgrades	
MEQ1180	Product Manuals and Parts Lists Records related to the official product literature distributed with Company products. Includes product use and care and product assembly instructions. Retention Event: Retain for the life of the product. The retention period begins when the product has been superseded or discontinued.	ACT+10

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	<p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Company Product Manuals Product Assembly Instructions Product Bulletins Product Maintenance Manuals Product Technical Reference Publications Product Use and Care Instructions Software Download Instructions 	
MEQ1200	<p>Product Packaging</p> <p>Records related to the development and final design of product packaging. Includes labeling instructions and stacking and palletizing instructions.</p> <p>Retention Event: Retain for the life of the product. The retention period begins when the product has been superseded or discontinued.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Drop Test Procedures Drop Test Results Finishing Specifications for Shipping Illustrative Packaging Designs Labeling Instructions Mechanical Packaging Designs Splicing Instructions Stacking and Palletizing Instructions 	ACT+10
MEQ1220	<p>Quality Testing and Inspection</p> <p>Field</p> <p>Records related to quality testing and inspection of Company products after customer delivery. Includes field audits and customer product failure notifications.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Customer Product Failure Notifications Early Life Reliabilities Field Audits Field Software Debugging 	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Quality Testing Records Standard Reliabilities	
MEQ1240	<p>Quality Testing and Inspection In-Process</p> <p>Records related to the quality testing and inspection of Company products during manufacture prior to release for shipment. Includes product inspection records, product test results, and quality checklists.</p> <p>Retention Event: Retain for the life of the product evaluation. The retention period begins when the evaluation has been superseded.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Certificates of Conformance Configuration Checklists Deviations Authorizations In-Process Software Debugging Inspection Stamps Out of Scope Deviations Product Inspection Records Product Test Results Quality Checklists Test Requests Testing Follow-Ups 	ACT+10
MEQ1260	<p>Warranty Administration</p> <p>Records related to the administration and servicing of Company product warranties. These records document the fulfillment of claims made against product warranties and routine warranty servicing. Includes out-of-warranty form letters, warranty claims, warranty work orders, warranty resolution documentation, and related correspondence.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Out of Warranty Form Letters Warranty Claims Warranty Resolution Documentation Warranty Service Records Warranty Work Instructions 	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Warranty Workorders	

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
PAT1000	<p>Contracts and Agreements Intellectual Property Licensing</p> <p>Records related to intellectual property agreements between the Company and third parties. Includes agreements in which the Company has authorized or licensed a third party to use Company trademarks, copyrights, or proprietary Company technologies as well as agreements by which the Company is authorized or licensed to use a third parties trademarks, copyrights, or third party proprietary technologies. Includes contracts, agreements, letters, licenses, technology transfers, amendments, notes, etc. Includes disputes that do not progress to litigation and claims. Does not include copyright, trademark, and patent applications.</p> <p>See PAT1020 for Copyrights, Trademarks, and Patents. See LEG1160 for Litigation and Claims.</p> <p>Retention Event: Retain for the life of the contract or agreement. The retention period begins when the contract or agreement terminates or expires.</p> <p><u>Examples Include:</u> Confidentiality Agreements Development Agreements ITW Business Unit License Agreements Joint Venture License Agreements License Renewal Documentation Licenses and Agreements Licenses and Agreements Detail Royalty Agreements with Vendors Technology Transfers Vendor Owned License Agreements</p>	ACT+6
PAT1020	<p>Copyrights, Trademarks, and Patents</p> <p>Records related to the registration and management of copyrights, trademarks, and foreign or domestic patents. Includes pending trademarks, applications, investigations, and related correspondence. Also includes abandoned applications and records related to copyright infringements.</p> <p>Retention Event: Retain for the life of the copyright, trademark or patent. The retention period begins when the copyright, trademark or patent has expired.</p> <p><u>Examples Include:</u> Abandoned Applications</p>	ACT+6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Copyright / Trademark / Patent Applications Copyright Records Copyright, Trademark, and Patent Due Diligence Files Correspondence Filing Applications Infringements Instructions for Outside Counsel Invention Disclosure Invention Disclosures Patent Chain of Title Patent Control Records Patent IP Assignments Patent Issuance Patent Records Patent Registrations Patent Society Historical Documents Product Samples Trademark Records Trademark Registrations Trademark Renewals Trademark Search Reports	
LEG1160	Litigation and Claims Records related to threatened or asserted litigation for a range of issues including employment, intellectual property, product liability, and environmental. Includes pleadings, discovery records, exhibits, and final judgments. Retention Event: Retain for the life of the litigation or claim, including appeal periods. The retention period begins upon closure of the litigation or claim. <u>Examples Include:</u> Affidavits Case Files Cease and Desist Letters Charge of Discrimination Charges of Infringement Depositions	ACT+6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Discovery Records	
	Exhibits	
	Final Judgments	
	Litigation	
	Litigation and Claims Legal Opinions	
	Litigation Arbitration	
	Litigation Strategy Meeting Minutes	
	Mediation	
	Motions	
	Patent Infringement Lawsuit Files	
	Pleadings	
	Prosecution Matters	
	Settlement Documents	
	Trademark Infringement Lawsuit Files	
	Trial Documents	

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
PAY1000	Employee Payroll and Direct Deposit Elections Records related to employees enrolled in the direct deposit payroll plan. Includes direct deposit waiver forms, electronic records, and pre-note reports. Retention Event: Retain for current employee information. The retention period begins when the employee terminates or changes his or her direct deposit elections. <u>Examples Include:</u> Direct Deposit Pre-Note Reports Direct Deposit Waiver Forms Employee Deductions for Charitable Donations	ACT+6
PAY1020	Employee Time and Attendance Records related to the identification and reporting of hours worked by employees. Includes all timesheets submitted to payroll in order to document hours worked for a particular period, as well as vacation requests. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Attendance Records Time Cards Time Sheets Vacation Requests	5
PAY1040	Payroll Accounting Records related to the payroll accounting process. These records document the withholding and payment to third parties of amounts garnished from employee wages as required by court order and/or federal levies as well as routine payroll accounting. Includes payroll input records, summary statements, payroll vouchers, payroll history records, garnishment order copies, and garnishment accounting records. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Garnishment Accounting Court Orders (Copies) Garnishment Accounting Reports Payroll Accounting Loan Documents	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	<ul style="list-style-type: none"> Payroll Change Reports Payroll Distribution Payroll History Payroll New Hire Reports Payroll Outbound Summary Reports Payroll Records Payroll Registers Payroll Vouchers 	
PAY1060	State Unemployment Tax Records submitted to state unemployment divisions. Includes employment and wage information for terminated employees who are requesting unemployment compensation. Retention Event: The retention period begins when the record is created. Examples Include: State Requests for Separation and Wage Information Files Unemployment Forms Unemployment Insurance Workpapers	6
PAY1080	U.S. Federal and State Tax Withholding Records related to the federal and state taxes paid, withheld, and reported. Includes federal withholding tax returns, payroll tax data reports, tax workpapers, and W-2 forms. May also include rates of taxation. Retention Event: The retention period begins when the record is created. Examples Include: Federal Withholding Tax Returns FICA Records Form 1042 Form 940 Form 941 Quarterly Withholding Tax Returns Payroll Tax Data Reports Tax Workpapers W-2 Forms W-4 Forms	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
PRO1000	Bids and Requisitions Records related to the request, authorization, and procurement of goods and services. These records are used to document the request of product or service. Includes purchasing and requisition bids, purchase orders, service orders, and work authorization forms. Does not include vendor contracts or payment for products or services. See ACC1000 for Accounts Payable. See LEG1000 for Contracts and Agreements - General. Retention Event: Retain for the life of the purchase order or request. The retention period begins when the purchase order is complete. <u>Examples Include:</u> Blanket Purchase Agreements (BPA) Change Orders Contractor Time Sheets Procurement Card Statements Procurement Requests for Proposals Purchase Order Logs Purchase Orders Purchase Registers Purchase Requisitions Purchasing Acknowledgments Purchasing and Requisition Bids Purchasing Awards Purchasing Expenditure Authorizations Purchasing Quotations Rental Usage Sheets Service Orders Service Requisitions Vendor Notes Vendor Proposals Verbal Authorization Logs Work Authorization Forms	ACT+6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
PRO1020	<p>Vendor / Supplier Candidates and Qualifications</p> <p>Records that serve to identify and provide support for the approved procurement supplier and vendor lists. Includes approved supplier lists, approved partners, and safety risk ratings.</p> <p>Retention Event: Retain these records only as long as they are needed. The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Approved Supplier Lists Approved Vendor Lists Customer Service Quality Improvement Process (CSQIP) Documentation Safety Risk Ratings Supplier Certifications Supplier Qualifications 	ACT
PRO1040	<p>Vendor / Supplier Relations General</p> <p>Records related to communications and relationships with vendors and suppliers not covered elsewhere. Includes correspondence with vendors and suppliers.</p> <p>See PRO1060 for Vendor / Supplier Relations - Performance Management.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Supplier Price Lists Vendor and Supplier Correspondence Vendor Files 	3
PRO1060	<p>Vendor / Supplier Relations Performance Management</p> <p>Records related to monitoring and managing vendor performance. Includes vendor assessment, vendor management, and corrective action requests.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Performance Metrics 	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Score Cards	
	Vendor Corrective Action Records	
	Vendor Corrective Action Requests	
	Vendor Responses to Corrective Action Requests	
	Vendor Site Visits	

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
PUB1000	Charitable Giving Records and information related to corporate sponsorships, corporate foundation grants, and charitable contributions made by the Company and/or its employees. Includes grant development, requests for charitable contributions, and presentations. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Approved Requests for Funding Check Records (Charitable Giving) Denied Requests for Funding Eligibility Criteria Sheets Foundation Receipts and Disbursements Grant Applications Grant Denials Grant Letters Grant Tracking Records ITW Scholarship Awards Qualifying Circumstances	3
PUB1020	Community Relations Records related to the relationships developed with communities in which the Company operates. Includes correspondence about civic organizations and community events. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Community Correspondence Community Relations Records	3
PUB1040	Government Relations General Records related to government relations on local, state, and/or federal levels, reflecting issues that have an impact on the Company. Includes election monitoring records. Does not include Political Action Committees. See PUB1060 for Government Relations - Political Action Committees. Retention Event: The retention period begins when the record is created.	5

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	<p><u>Examples Include:</u></p> <p>Economic Development Records</p> <p>Election Monitoring Records</p> <p>Election Results</p> <p>Electioneering Information</p>	
PUB1060	<p>Government Relations</p> <p>Political Action Committees</p> <p>Records pertaining to local, state, and federal government relations and participation in political activities. Includes political action committee records, fundraising records, political issue records, and correspondence with legislators.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p><u>Examples Include:</u></p> <p>Fundraising Records</p> <p>Lobbying Reports</p> <p>Lobbyist Files</p> <p>PAC Records of Expense</p> <p>PAC Records of Revenue</p> <p>Political Action Committee (PAC) Records</p> <p>Political Action Committee Correspondence</p> <p>Political Activity Records</p> <p>Political Issue Records</p> <p>Trade Case Petitions</p> <p>Trade Case Responses</p>	5
PUB1080	<p>Industry Relations</p> <p>Records related to relations and interactions with other companies or industries. Includes correspondence with other companies or industries and participation in industry and professional organizations.</p> <p>Retention Event: Retain these records only as long as they are needed. The retention period begins when the record is created.</p> <p><u>Examples Include:</u></p> <p>Industry Correspondence</p> <p>Industry Relations Records</p>	ACT

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
PUB1100	Public Relations Records related to communications with the public not covered elsewhere. Includes journals, newspapers, press material, and videos. See PUB1020 for Community Relations. Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created. <u>Examples Include:</u> Clip Books Journals Newspapers Periodicals Press Kits Press Releases Videos	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
RSK1000	Disaster Recovery Plans Records related to the documentation of plans which would be implemented in the event of a disaster or systems failure. Includes disaster recovery plans, business resumption plans, business continuity plans, and contingency planning. Retention Event: Retain for the life of the plan. The retention period begins when the plan is superseded or is no longer in effect. Examples Include: Business Continuity Plans Business Resumption Plans Contingency Planning Disaster Recovery Plans Disaster Test Plans and Results Server Retention	ACT+10
RSK1020	Insurance Analysis and Reporting Records related to the analysis and summary of insurance programs. Includes insurance policy coverage reports and insurance risk analyses. Retention Event: Retain for the current reporting period. The retention period begins when the reports have been superseded. Examples Include: Loss Runs Renewal Reports	ACT+6
RSK1040	Insurance Certificates Records related to legal proof of insurance coverage. Includes certificates provided by vendors and Company-issued insurance certificates. Retention Event: The retention period begins when the record is created. Examples Include: Company Insurance Certificates Third Party Insurance Certificates Vendor Insurance Certificates	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
RSK1060	Insurance Claims General Records related to general claims filed against the Company's insurance policies not covered elsewhere, including claims for physical damage, loss of property, and a wide variety of liability exposures. Includes claim notification and settlement documents. See RSK1080 for Insurance Claims - Workers' Compensation. Retention Event: Retain for the life of the claim. The retention period begins when the claim is settled or withdrawn. <u>Examples Include:</u> Aircraft Liability Claims Aircraft Product Claims Automobile Claims Claim Notice Letters Claim Settlement Documents Director and Officer Policy Claims Insurance Claims Supporting Documentation International Casualty Claims Notifications of Insurance Claim Professional Liability Errors and Omissions Claims Property Claims Travel Accident Claims Umbrella Excess Claims	ACT+6
RSK1080	Insurance Claims Workers' Compensation Records related to workers' compensation claims filed for on-the-job accidents. Includes workers' compensation claim notification documents and claim settlement documents. Does not include employee accident/injury records. See EHS1000 for Accidents and Injuries. Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created.	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	<p><u>Examples Include:</u></p> <p>Workers' Compensation Claim Settlement Documents</p> <p>Workers' Compensation Claim Supporting Documentation</p> <p>Workers' Compensation Claims</p> <p>Workers' Compensation Notifications of Insurance Claim</p>	
RSK1100	<p>Insurance Policies</p> <p>General</p> <p>Records describing and administering corporate insurance programs that provide coverage affecting liability. Includes insurance policies, amendments and riders, and proof of payment.</p> <p>Retention Event: Retain for the life of the policy. The retention period begins when the policy is superseded or is no longer in effect.</p> <p><u>Examples Include:</u></p> <p>Directors and Officers Insurance Policies</p> <p>Fidelity Bonds</p> <p>Flood Insurance Policies</p> <p>Insurance Program Manuals</p> <p>Surety Bonds</p> <p>Utility and Contractor Insurance Bonds</p>	ACT+6
RSK1120	<p>Insurance Policies</p> <p>Liability</p> <p>Records related to insurance coverage for product liability, exposure to hazardous substances, or other problems manifesting themselves long after the policy terminates. Includes future liability insurance program payment records and program manuals.</p> <p>Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created.</p> <p><u>Examples Include:</u></p> <p>Aircraft Product Policies</p> <p>Automobile Liability Policies</p> <p>Captive Reinsurance</p>	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Environmental Liability Policies Excess Policies GL Policies Indemnification International Casualty Liability Insurance Policies Liability Insurance Program Payment Records Umbrella Policies	
RSK1140	Insurance Policies Workers' Compensation Records related to certification for workers' compensation insurance, whether purchased from an insurance carrier or from the State. Includes underwriting data, policies, amendments, riders, and proof of payment. Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created. <u>Examples Include:</u> Excess W/C Workers' Compensation Policies Workers' Compensation Policy Amendments and Riders	IND
RSK1160	Risk Assessments and Cost Controls Records related to risk assessments undertaken to identify areas of high risk to the Company. Includes data analyses, risk coverage maps, and risk control recommendations. Retention Event: Retain for the life of the risk assessment. The retention period begins when the risk assessment has been superseded. <u>Examples Include:</u> Data Analyses Risk Assessments Risk Control Recommendations Risk Coverage Maps	ACT+6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
SAL1000	Advertising and Promotion Records related to original artwork, including final copy, created internally or by external agencies in the development of an advertising or marketing campaign, including print, sound, film, and digital media. Includes displays, website design, promotion materials, photographs, and videos. Retention Event: The retention period begins when the record is created. Examples Include: Advertising and Promotion Drawings Artwork Audiotape Displays Final Copy Layouts Marketing Materials New Product Promotions Photographs Videotape Website Design Records	6
SAL1020	Customer Call Center Operations Records related to the management and administration of a call center. Includes call logs, customer interaction logs, and phone system data. Retention Event: The retention period begins when the record is created. Examples Include: Call Center Performance Evaluations Call Queue Logs Customer Interaction Logs Customer Surveys Operational Data Phone Logs Phone System Data Productivity Reports Scripts	3

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
SAL1040	Customer Complaint Resolution Records related to customer complaints and subsequent actions taken in response. Includes notifications of customer disputes, Company responses, and supporting documentation. Does not include complaints that progress to claims or litigation. See LEG1160 for Litigation and Claims. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Company Responses Customer Complaint Files Customer Complaint Logs Customer Complaint Resolution Supporting Documentation Customer Expedites Notifications of Customer Disputes	6
SAL1060	Customer Relations Records related to customer communications used for reference and billing purposes. Includes meeting minutes, phone logs, general customer correspondence, and customer reference information. Retention Event: Retain for the life of the customer relationship. The retention period begins when the relationship terminates. <u>Examples Include:</u> Customer Contact Logs Customer Correspondence Customer Masterfiles Customer Meeting Minutes Customer Satisfaction Surveys	ACT+1

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
SAL1080	Event Planning Records related to the set up and management of events and trade shows in which the Company participates. These records document the planning, production, and operation of events and trade shows. Includes event planning records, trade show files, and event floor plans. Retention Event: Retain for the life of the event. The retention period begins when the event is complete. Examples Include: Event and Trade Show Materials Event Floor Plans Event Planning Notes Event Security Records Exhibitor Records Speaker Requirement Forms Staff Registration Kits Trade Show Files Vendor Show Requirements Forms	ACT+1
SAL1100	Market Research and Analysis Records related to the development, administration, and analysis of market research. Includes research reports and competitive information. Retention Event: Retain for the life of the research or analysis. The retention period begins when the research or analysis has been superseded. Examples Include: Competitive Information Market Analyses Research Reports	ACT+1
SAL1120	Product Descriptions and Pricing Records related to the description and pricing of products and services to prospects and customers. Includes product collateral and materials/documents connected to specific marketing campaigns, product pricing, and pricing schedules. Retention Event: The retention period begins when the marketing materials is no longer active.	ACT+6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	<p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Fact Sheets Pricing Records Pricing Schedules Product Brochures Product Descriptions Product Disclosures 	
SAL1140	<p>Product Sales</p> <p>Records related to the sale of Company products to customers. Includes product order forms, account change forms, sales orders, and miscellaneous inquiries. Does not include related records of payment or sales contracts.</p> <p>See ACC1020 for Accounts Receivable. See LEG1000 for Contracts and Agreements - General.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Account Change Forms Change Order Requests Customer Order Forms Customer Orders Customer Purchase Orders Miscellaneous Inquiries Product Order Form Sales Order Acknowledgments Sales Orders 	6
SAL1160	<p>Sales Proposals</p> <p>Records related to proposals or quotations prepared for prospective customers. Includes RFPs, RFIs, RFQs, and rejected sales proposals. Accepted proposals become part of the customer contract file.</p> <p>See LEG1000 for Contracts and Agreements - General.</p> <p>Retention Event: Retain for the life of the bid process. The retention period begins after the bid process has concluded.</p>	ACT+1

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	<p><u>Examples Include:</u></p> <p>Quote Tracking Sheets</p> <p>Rejected Sales Proposals</p> <p>Requests for Information (RFI)</p> <p>Requests for Proposal (RFP)</p> <p>Requests for Quote (RFQ)</p> <p>Sales Correspondence</p> <p>Special Price Quotes to Customers</p>	
SAL1180	<p>Sales Reporting and Analysis</p> <p>Reports related to sales activity for a particular period of time. Includes sales call reports and sales territory lists.</p> <p>Retention Event: Retain these records only as long as they are needed, up to a maximum of three years. The retention period begins when the record is created.</p> <p><u>Examples Include:</u></p> <p>Periodic Sales Reports</p> <p>Point of Sales Reports</p> <p>Sales Billing Service Reports</p> <p>Sales Call Reports</p> <p>Sales History Reports</p> <p>Sales Revenue Analysis</p> <p>Sales Territory Lists</p>	MAX3

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
TAX1000	Federal 1099 Reporting Form 1099 Records related to IRS-1099 tax reporting. Includes Form 1099-R. Does not include related workpapers. See TAX1010 for Federal 1099 Reporting - Workpapers. Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created. <u>Examples Include:</u> Form 1099-R	IND
TAX1010	Federal 1099 Reporting Workpapers Records related to federal 1099 tax reporting workpapers. Includes 1099 reporting records, total dollars reported, and unit consolidations. Retention Event: The retention period begins the date the record is created. <u>Examples Include:</u> 1099 Reporting Records Total Dollars Reported Unit Consolidations	6
TAX1020	Federal Income Tax Records that represent corporate federal income tax returns and related workpapers. Includes federal income tax returns. Does not include audits or appeals. See TAX1180 for Tax Audits and Appeals. Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created.	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	<p><u>Examples Include:</u></p> <p>Amended Federal Income Tax Returns and Workpapers Federal Income Tax Returns Federal Income Tax Workpapers Form 5471 Form 8858 Foundation Tax Returns Foundation Tax Workpapers Income Tax Provisions</p>	
TAX1040	<p>General Tax</p> <p>Record related to miscellaneous taxes, tax returns, and workpapers not covered elsewhere. Includes miscellaneous tax returns. Does not include audits or appeals.</p> <p>See TAX1180 for Tax Audits and Appeals.</p> <p>Retention Event: The retention period begins upon the filing of the tax return.</p> <p><u>Examples Include:</u></p> <p>Disposition / Liquidation Tax Records Internal Control Documentation Merger / Acquisition Tax Records Miscellaneous Tax Returns Miscellaneous Tax Workpapers</p>	10
TAX1060	<p>International Tax</p> <p>Records that represent actual international income, sales, or property tax returns. Includes international tax returns and workpapers. Does not include audits or appeals.</p> <p>See TAX1180 for Tax Audits and Appeals.</p> <p>Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created.</p> <p><u>Examples Include:</u></p> <p>Amended International Tax Returns</p>	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	International Deferred Tax Workpapers International Tax Returns International Tax Workpapers	
TAX1080	Local and Franchise Tax Records that represent actual tax returns for local and franchise taxes. Includes tax returns and workpapers. Does not include audits or appeals. See TAX1180 for Tax Audits and Appeals. Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created. <u>Examples Include:</u> Amended Local and Franchise Tax Returns Local and Franchise Tax Returns Local and Franchise Tax Workpapers	IND
TAX1100	Property Tax Records that represent actual property tax returns. Includes personal property tax returns, real property tax returns, and supporting workpapers. Does not include audits or appeals. See TAX1180 for Tax Audits and Appeals. Retention Event: The retention period begins upon the filing of the tax return. <u>Examples Include:</u> Amended Property Tax Returns Excise Tax Returns Property Tax Bills Property Tax Returns Property Tax Workpapers	10

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
TAX1120	Sales and Use Tax Records that represent actual sales and use tax returns. Includes sales and use tax workpapers. Does not include audits or appeals. See TAX1180 for Tax Audits and Appeals. Retention Event: The retention period begins upon the filing of the tax return. <u>Examples Include:</u> Amended Sales and Use Tax Returns Backup for Refund Claims Sales and Use Tax Returns Sales and Use Tax Workpapers Sales Tax Exempt Certificates Sales Tax Refund Claims Sales Tax Return Manufacturing Credits	10
TAX1140	State Tax Records related to the filing of state tax returns. Includes state tax returns and related workpapers. Does not include audits or appeals. See TAX1180 for Tax Audits and Appeals. Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created. <u>Examples Include:</u> Amended State Tax Returns State Tax Returns State Tax Workpapers	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
TAX1160	Tax Accounting Records related to accounting procedures and materials used to calculate various tax options, enabling the corporation to reduce its tax exposure. Includes tax accounting records. Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created. <u>Examples Include:</u> Corporate Tax Kits Geographic Location Listing by Division Tax Accounting Records Tax Bills Tax Estimate Calculations Tax Receipts Tax Statements	IND
TAX1180	Tax Audits and Appeals Records related to audits of federal, state, and local tax returns of income, property, sales, and use. Includes audits and appeals, workpapers, details of records requested, audit reports, and settlement agreements. Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created. <u>Examples Include:</u> Amended Returns / Claims Internal Revenue Service (IRS) Agreements Internal Revenue Service (IRS) Information Requests Notices of Proposed Adjustment and Responses Revenue Agent Reports (RAR's) Tax Appeals Tax Audit Determination Letters	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	<ul style="list-style-type: none"> Tax Audit Request Tax Audit Support Tax Audit Workpapers Tax Settlement Forms 	
TAX1200	<p>Tax Planning and Forecasting</p> <p>Records related to internal tax planning and forecasting. Includes planning records and supporting documentation.</p> <p>Retention Event: Retain indefinitely. Because a firm retention period cannot be determined in advance, the status of these records must be periodically reviewed. The records must be destroyed when they are no longer needed for operational, tax, audit, or legal purposes. The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Tax Advice / Planning Tax Calendars Tax Citations Tax Communications with Attorneys and CPA's Tax Forecasts Tax Planning and Approval Forms (TPAF's) Tax Planning Records Tax Planning Transaction Records Tax Regulations Third Party Analysis 	IND

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
TRE1000	Banking Account Set-Up and Management <p>Records related to the set-up and management of bank accounts. These records establish and define the terms and conditions for banking activities. Includes bank account set-up documentation, banking correspondence, and signature cards.</p> <p>Retention Event: Retain for life of the account. The retention period begins when the account is closed.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Bank Account Files Bank Account Maintenance Bank Account Set-Up Documentation Banking Correspondence Signature Cards Unit Account Listing 	ACT+6
TRE1020	Banking General <p>Records related to banking transactions. Includes deposit slips, cancelled checks, bank account statements and reconciliations, check registers, and wire transfers.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Bank Account Reconciliations Bank Account Statements/Analysis Cancelled Checks Cashbooks Check Copies Check Registers Daily Cash Reports Deposit Slips Management Reports Voided Checks Wire Transfer Notifications Wire Transfers 	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
TRE1040	Cash Management <p>Records related to the analysis, forecasting, and disposition of cash balances. These records are used to determine actual and future cash balances, as well as records related to the analysis of borrowing strategies, investment strategies, and float trends. Includes cash forecasting records, cash investment analysis, and cash management reviews.</p> <p>Retention Event: The retention period begins when the record is created.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Capital Contributions Cash Forecasting Records Cash Investment Analysis Cash Management Reviews Float Management Rate Information 	6
TRE1080	External Financing <p>Records related to major financing efforts and the application, issuance, and management of loans. Includes initial public offering (IPO) records, debt offerings, bonds, debenture ledgers, sinking funds, lender reports, and letters of credit.</p> <p>Retention Event: Retain for the life of the financing efforts. The retention period begins when these efforts have been concluded.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> Bank Financing Records Bonds Certificate Transfers Debenture Ledgers Debt and Shelf Registrations Debt Issuance Records Debt Offerings External Financing Records Industrial Revenue Bonds Initial Public Offering (IPO) Records Lender Correspondence Loans Notes Receivable 	ACT+6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	Sinking Funds Stock Offerings	
TRE1100	Financial Management Reporting Reports and documents providing useful financial information to management. These records are not part of accounting transaction processing or financial statement functions. Includes cost audit reports, key indicators, and status reports. Retention Event: Retain these records only as long as they are needed, up to a maximum of three years. The retention period begins when the record is created. <u>Examples Include:</u> Accounting/Operational Reporting Plan Documents Accounts Payable Currency Translation Reports Accounts Payable\Receivable Aging Reports Accounts Payable\Receivable Analysis Reports Accounts Payable\Receivable Distribution Reports Accounts Receivable Review Process Reports Cash Disbursement Schedule Reports Cost Audit Reports Flash Reports Freight Vendor History Reports Global Multi-Bank Reports Key Indicators Monthly Reports Performance Summary Reports Quarterly Review Schedules Quarterly Statistics Reports Status Reports	MAX3
TRE1120	Foreign Exchange Records related to the use of foreign money in settlement of foreign trade. Includes currency exchange records, foreign deal slips and confirmations, and foreign exchange drafts. Retention Event: The retention period begins when the record is created. <u>Examples Include:</u> Currency Buys / Sells	6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
	<ul style="list-style-type: none"> Currency Exchange Records Foreign Currency Exchange Foreign Deal Confirmations Foreign Deal Slips Foreign Exchange Drafts 	
TRE1140	<p>Investment Management</p> <p>Records related to investments in stocks, bonds, and mutual funds, including investments for pension and retirement funds. Includes bond issues, financial investment planning, investment performance reporting, investment transaction lists, pension and retirement fund trustee statements, pension and retirement manager files, and pension and retirement fund reporting.</p> <p>Retention Event: Retain for the life of the investment account. The retention period begins when the account is closed or superseded.</p> <p><u>Examples Include:</u></p> <ul style="list-style-type: none"> Bond Issues Certificates of Deposit (CD) Investment Records Financial Investment Planning Guarantees Hedging Program Records Investment Closing Documents Investment Performance Reporting Investment Schedules Investment Stock Reports Investment Transaction Lists Pension Fund Correspondence Pension Fund Manager Files Pension Fund Reporting Pension Fund Trustee Statements Pension Management Investment Transaction Lists 	ACT+6

Record Classes By Business Function

Record Class Code	Record Class Name/ Record Class Description / Record Types	Official Retention
TRE1060	Third Party Credit and Financing Records related to approved third party, subsidiary, and customer credit applications, agreements, and financing arrangements. Includes letters of credit, approved/denied credit applications, credit reports, and customer financial information. Retention Event: Retain for the life of the credit relationship. The retention period begins when the relationship terminates. <u>Examples Include:</u> Approved Credit Applications Collateral Documents Credit Reports Customer Credit References Customer Finance Agreements Customer Financial Information Customer Guarantees Debit Memos Denied Credit Applications Letters of Credit New Customer Credit Checks Subsidiary Guarantees Third Party Guarantees	ACT+6