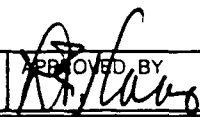


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1. Purpose

To outline Corporate and Group responsibilities with regard to the retention and disposition of records.

2. Responsibilities

2.1 Corporate - The Corporate Records Administrator will:

- a. Coordinate the activities required to obtain appropriate Corporate management decisions on request for additions, deletions or changes to the Records Retention Schedule and to publish such changes through Corporate Methods and Procedures identifying records requiring special handling, e.g. vault storage, shredding, etc.
- b. Assist Corporate departments in complying with their storage and disposition responsibilities.
- c. Provide the line of communication for the Groups in all matters relating to Records Retention.
- d. Control the use of Corporate inactive storage facilities.

2.2 Operating Group - Each Group will designate a Records Coordinator who will:

- a. Publish Group procedures on Records Retention such as the Group Retention Schedule, Inactive Storage Requirements and Proper Disposition of old records.
- b. Certify that all documents to be sent to Corporate inactive storage facilities are properly packaged and identified in accordance with this procedure.
- c. Coordinate the use of microfilm as an alternate means of storage in accordance with Corporate Procedures GE003.04 and GE003.05.

3. Definitions

"Records" - Documentary material created or received by any activity of CertainTeed in the course of business and preserved as evidence or retained for its informational content, (e.g., correspondence, reports, working papers, forms, drawings, recordings, photographs, etc., or microfilmed copies of any of these).

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"Active Retention" - That portion of the life of a record when it is subject to frequent referral; during which time it should be maintained in a readily accessible area such as a filing cabinet. It is up to the actual user of a particular record to determine how long that record remains active. All records should be retained actively for the shortest period of time and then transferred to inactive storage to reduce retention costs such as filing cabinets, premium floor space, etc. Only in rare cases should a record remain active longer than one year after the year of creation. (Microfilmed records would represent an exception.)

"Inactive Retention (Storage) Period" - The latter portion of life of a record when it is no longer subject to frequent referral but must be retained to satisfy legal, tax or historical requirements; during which time it is stored in an inactive area.

"Current Year" - The year in which the record enters the active file and any remaining portion of that year.

"Disposal Date" - The last calendar day of the year in which the retention period for any document expires. For example, a record created on 02/01/77 with a one year retention period will have a disposal date of 12/31/78, at which time it should be destroyed. (Current year plus the retention period,)

"Local Inactive Storage Facilities" - These consist of areas located near a particular department which are suitable for storing boxes, (basement, closet, warehouse, etc.).

"Corporate Inactive Storage Facilities" - This facility is located in the Blue Bell Technical Center and is maintained by General Services for any department without adequate local facilities. (NOTE: There will also be a smaller facility available at the Valley Forge campus.)

4. Procedure

4.1 Reviewing Active Files

Every department will(at year end) review their active files to identify:

- a. non-essential records which are to be removed or destroyed,
- b. records to be sent to inactive storage, and
- c. records that are to be retained as active.

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Non-essential records consist of:

- a. internal and general correspondence on day-to-day activities having no further value, and
- b. duplicate or informative copies of invoices, statements, reports, correspondence, etc., where another activity is responsible for the retention of the original or "official" record.

Files are to be purged on a continuing or as frequent basis as necessary to minimize filing and space requirements. However, retention requirements must be satisfied and files must be purged at least once a year - normally during March or April for records subject to tax audit, and early January for all others.

4.2 Sending Records to Inactive Storage

The department transferring records to inactive storage utilize all available "local" facilities before sending records to the Corporate facility. (NOTE: This refers mainly to field locations.) In both cases, the following procedure is to be adhered to.

Department Transferring:

1. Identify and package all records in sturdy, cardboard boxes or trans-files designed especially for document storage. These can be requisitioned from Corporate supply, or obtained locally.
2. If necessary, multiple files of records or documents may be boxed together, but they must have the same disposal date.
3. A Record Storage Control form (RSC) must be completed for every box of documents to be stored.
4. Complete the four-part Record Storage Control (RSC) form (01-26-0010) which can be requisitioned from Corporate Supply. (See sample form and instructions in Exhibit "A".)
5. Remove the fourth (gold) copy and staple it temporarily to the corresponding box in order to match up the box to the original of the RSC form later. (The gold copy will later be used as your file copy when the original is returned and taped securely to the box.)

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6. Forward the remaining three parts of the RSC form intact to the Group Records Coordinator.

Group Coordinator

7. Verify that the RSC form is filled out completely and properly, and that it complies with any Group unique procedural requirements.
8. Verify that the "Disposal Date" entered on the RSC form has been computed accurately and that the "Gen. Cat" box is completed.
9. If there are any problems with the form, or if the request for transfer to inactive storage must be disapproved, contact the originator. For example, be sure to examine the storage location being requested. Every effort should be made to insure that inactive records are only moved once. If you feel that the location requested may prove to be only temporary, investigate the use of Corporate facilities.
10. If there are no problems, approve the request by signing in the space provided.
11. If local storage is to be used, remove the last copy (pink). File the pink copy in the Group file by year, department, title, and ticket number. If there is more than one item on the form, it may be necessary to make additional copies.
12. If Corporate storage facilities are to be used, return all three copies of the RSC form to the originator.

Department Transferring (Originator):

13. Receive the original and yellow copy of the RSC form from the Group Coordinator. (Plus the pink copy if Corporate facilities are to be used.)
14. Locate the appropriate box for each form by matching them up to the gold copies previously placed with the boxes.
15. Affix the original securely to the box on the short side in the upper right corner. Tape all four sides of the form being careful not to cover any information.
16. File the gold copies alphabetically by title and year of records for future reference when retrieval is necessary.

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5. Arrange with General Services and the disposal company to have the boxes to be destroyed removed from all inactive storage facilities and picked up or shredded.
6. In the absence of an approved memo requesting a hold on any documents, they will all be destroyed as soon as possible after 12/31.
7. Record on the yellow copy of the RSC form the method used to destroy the documents, the company used and the date destroyed.
8. Sign the yellow copy of the RSC form and forward all of them to the appropriate Group Coordinators, who should retain them permanently.

Note: For remote locations, it will be the responsibility of the Group Coordinator to ensure that the records are disposed of according to the method of destruction outlined in Corporate Procedure GE00 3.02. Documentation of disposition (letter, memo, etc.) must be provided the Corporate Administrator so that the Corporate Files for those records may be closed out and forwarded to the Group Coordinator.

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RECORD STORAGE CONTROL FORM

INSTRUCTIONS

- To be completed by Originator -

1. "Year of Creation" - Insert the last two digits of the year in which the documents in the box were created. If for some reason, there is more than one year's worth of documents, either use the year of creation for the greater portion of the boxes contents, or it may be left blank.
2. "Group" - This refers to the Operating Group (or Corporate) responsible for both the use of the document in its completed form and its retention. This is most often the Group transferring the records to inactive storage, not necessarily the Group which created the record.
3. "Department" - Insert the name of the department transferring the records to inactive storage.
4. "Storage Location" - If local inactive storage facilities are used, state exactly where the records will be stored. If Corporate facilities will be used, insert "Corporate" at least, and "VF" or "BB" (Blue Bell), if known.
5. "Form No." - If the document is a CertainTeed form, insert the form number.
6. "Title of Documents" - Insert the title of the record or documents as stated in the Group Records Retention Schedule.
7. "Indexed From" - All documents should be filed in some sort of sequence and therefore boxed in ranges. Insert first item in the range, (e.g., name, number, date, etc.).
8. "To" - Insert the last item in the range.

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17. If local storage is to be used, place the box in storage and forward the yellow copy of the RSC form to the Corporate Records Administrator.
18. If Corporate inactive storage facilities are to be used, call the Corporate Records Administrator to arrange for pick up of the boxes. The yellow and pink copies of the RSC form should travel with the boxes as transmittal documents.

Corporate Records Custodian (Blue Bell or Valley Forge)

19. Receive the boxes of documents and RSC forms (yellow and pink).
20. As the boxes are stored away, mark on the yellow and pink copies of the RSC forms the exact location of the records in storage.
21. Forward the yellow copies of the RSC forms to the Corporate Records Administrator.
22. Forward the pink copies to the Group Coordinator who signed the "Group Approval" portion of the form.

Corporate Records Administrator

23. Receive yellow copies of RSC forms from either Group departments or the Corporate Records Custodian.
24. File the yellow copies by "Disposal Date," and further by group, year, department, and ticket number.

4.3 Retrieval from Inactive StorageDept. Needing Record (Retriever)

1. If the department needing the record had originally sent them to inactive storage, they should locate the appropriate RSC form from their file and contact the Group Records Coordinator with the appropriate box number.
2. If the RSC file is not available, contact the Group Records Retention Coordinator with a description of the records which must be retrieved. The Group file of RSC forms (pink) will be the principal index of records in inactive storage for retrieval purposes.

Group Coordinator

3. Locate the RSC form for the proper box or boxes, and provide the retriever with the location information needed to find the box.

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Department Needing Record (Retriever)

4. If the record to be retrieved is located in "local" inactive storage, the retriever should locate and pull the appropriate record(s). It is the responsibility of the retriever to be sure that the record is returned. If a working copy is needed, the original should be photocopied and returned to storage. "Pull Slips" should be used if a document will be out of the file for any period of time. These can be obtained from the Corporate Records Administrator.
5. If the record is in Corporate storage at either Blue Bell or Valley Forge, the retriever should contact the Corporate Records Administrator and arrange to either get the record or have it pulled, copied and mailed to the department needing it.

Corporate Records Custodian (Blue Bell or Valley Forge)

6. If any record or box of records is removed from storage, prepare a "pull slip" to record its removal.
7. At least once a month, review the active "pull slips" and contact the department using the record for its return.

4.4 Disposition of Records

Corporate Administrator

1. On November 30th of each year, remove all yellow copies of RSC forms having a disposal date for the end of that year.
2. Inform each Records Coordinator which of that Groups' records are to be destroyed.

Group Coordinator

3. Notify the appropriate departments that their records are to be destroyed. If any of them wish to put a hold on the destruction, a memo must be sent to the Corporate Administrator requesting the hold. This memo must be approved by both the VP in charge of the function requesting the hold and the VP of Finance.

Corporate Administrator

4. For each type of document to be disposed of, consult the current Records Retention Schedule to determine the method of destruction for each document.

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- 9. "Gen. Cat." - Insert the number of the General Category of record as stated in Corporate Procedure GE003.02. If a Corporate Procedure Manual is not available, leave this blank and it will be filled in by the Group Coordinator.
- 10. "Disposal Date" - Insert the date that the records may be destroyed as calculated according to the definition in Section 3 of this procedure.
- 11. "Additional Description" - If necessary, use this space to further describe the contents of the box.

- To be completed by Group Coordinator or Corporate Administrator -

- 4. "Storage Location" - If only "Corporate" appears, add either "VF" or "BB", if possible.
- 9. "Gen. Cat." - If blank, complete this per #9 above.
- 10. "Disposal Date" - Verify the accuracy of the date inserted by the originator.
- 12. "Group Approval" - Group Coordinator's signature.
- 13. "Date" - Insert the date of approval.

- To be completed by Corporate Administrator -

- 14. "Corp. Storage Room" - Insert the building number and/or room number where the boxes are stored.
- 15. "Aisle" - Insert the aisle number, if applicable.
- 16. "Shelf" - Insert the shelf number, if applicable.
- 17. "Disposal Method" - Insert either "trash", "landfill" or "shredded", whichever applies.
- 18. "Date" - Insert date the records were destroyed.
- 19. "Company" - Insert name of company disposing records.
- 20. "Signature" - Signature of CT employee verifying disposal of the records.

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01-26-0010 2/78 White - Tape to Carton Yellow - Corporate Administrator
Pink - Group Coordinator Gold - Originator

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