November 1992
IN THE ARCHIVES

MWBB-0033935

Westinghouse
Electric Corporation

Law Department

Westinghouse Building
Gateway Center
Pittsburgh Pennsylvania 15222

June 25, 1987

Russell E. Marhefka
National Safety Council
444 North Michigan Avenue
Chicago, IL 60611

Dear Russ:

I have not forgotten about your request for information on our record retention policies and procedures.

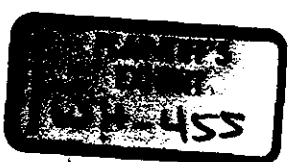
First of all, there is no formal written policy on record retention procedures. There is, just beginning, a new corporate awareness program to try and bring some uniformity to the way documents are selected for retention and to the length of time documents should be retained.

Generally the procedure is as follows:

- Documents are divided into Record and Non-record categories. Records are basically those documents needed to run the business, information required by tax or legal requirements, and those to comply with special government requirements. Non-records are considered information not necessary to run the business, unnecessary copies of records, information with utility limited by time and circumstances, information that can be read and discarded and documents in the public domain.

- Non-records retained are kept in the section of use until their usefulness is over or for no longer than two years. These documents are not to be sent to the long-term storage repository.

- Records are retained according to retention guidelines (see attached). Records are retained for a period of time in the section and then in a long-term storage repository. At the end of the specified storage period, records are destroyed.



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- The method of storage is determined for each type of record. Storage could be paper, microfilm, optical disk or magnetic media depending upon such considerations as length of storage, legal need, mass of records, etc.

- Documents identified as permanent storage are usually microfilmed and stored in that fashion.

- Each operation is responsible for analyzing all documents at their location and determining which are records and which are non-records.

- Where copies of records are retained at multiple locations, a decision will be made by mutual agreement as to who will be the "department of record". Only the "department of record" is authorized to send documents to the long-term storage repository.

I hope this information will help you. Let me know if additional input is needed. I would like to see your final product.

Sincerely,

Donald E. Ayers
Director, Product Safety
Environmental Affairs

DEA:paj:0963C

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DOMESTIC RECORDS RETENTION GUIDELINES

Current business information requirements, government reporting and compliance regulations and litigation -- all require that identify and preserve its corporate records in an orderly and uniform fashion.

The following materials identify certain documents and document categories as "records," designating them as important to some corporate interest. However, given the diversity of the Corporation, it is not possible to collect and classify every document in these Guidelines which meet the criteria for identification as a record. Should your unit find that a document which is critical to your functional assignment or business charter, or is otherwise needed for legal compliance, you should contact both Corporate Records Services and the Law Department attorney assigned to your unit to decide whether it should be added to your individual flow schedule and the applicable retention period.

The retention periods or categories included in these Guidelines should not be altered without consultation with your assigned Law Department attorney and Corporate Records Services. You should follow the specified periods unless a change is approved for your unit or you are notified of an exception to the retention period. Reasons for altering a specified retention would include a state or local law or regulation, a customer requirement or contracting or business practice peculiar to your business, among other things.

It is occasionally necessary, usually due to litigation, to temporarily suspend the normal operation of the Guidelines and the Records Flow Schedule and retain documents for different period or by different methods. You will be notified of these exceptions in writing, and these exceptions will be reviewed annually until no longer necessary.

The attached materials are the result of the collective experience of numerous members of the Law Department, Corporate Records Services and numerous other functions and departments of the Corporation. While every effort has been made to be accurate, the breadth of the subject matter and its specialized nature, in addition to the changing nature of the applicable laws and regulations, may have led to errors of omission or commission.

In addition, some areas of specialized interest to individual corporate units such as nuclear or defense which are intensively regulated, have not been comprehensively treated. This absence

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DOMESTIC RECORDS RETENTION GUIDELINES

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12.0	Real Estate	15
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13.03	Correspondence re: - Advertising, on - Name or Logo in - Products, etc. - Requests to use (W)
2.05-02	Cost Record for Completed Shop Orders
14.02	Covenants Not to Sue
15.21	CPSC - Agreement that Recipient Label Hazardous Substances transmitted in Interstate Commerce
2.07-01	Cremation Certification from Bank
2.03-01	Customer Invoices and General Orders
2.05-01	Customer Order Development Detail
15.22-02	Dealers/Distributors - Certain Electronic Products Sales Records
2.07-02	Debentures (and all related papers)
12:01	Deeds and Related Papers for Property Acquired by Westinghouse
12.02	Deeds and Related Papers for Property Sold by Westinghouse
10.01	Design Bill of Material
1.09	Dividend Register
1.08	Dividends
4.05	EEO Affirmative Action Plan and Supporting Documents
4.05-01	- Applicant Flow Log
4.05-02	- New Hire Log
4.05-03	- Separation Log
4.05-04	- Recall and Reinstatement Log
4.05-05	- Promotion and Transfer Log
4.05-06	- Training Activity Log
4.06	EEO - 1 Report
5.02	Employe Medical Folio
3.02-01	Employe Record Envelope (MS 630 Payroll Information Only)
4.07	Employe Record Envelope - Personnel Information
3.01-03	Employe Record Envelope - Payroll Information (MS630)
1.10	Employe Stock Plan
3.05	Employe Stock Purchase Authorization
4.09	Employe Suggestion Record
4.08	Employe Suggestions
4.10-00	Employment Application
4.10-01	Employment Application - When Hired
4.10-02	Employment Application - When Not Hired
4.18	Employment Requisitions
10.08	Engineering Drawings
10.02	Engineering Figuring Book

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15.22-01	Manufacturers - Electronic Products Quality Control Test Results, Distribution Records
7.04	Market Developments Reports & Surveys
7.05	Marketing Forecast
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1.16	Minutes of Stockholders Meetings
6.03	Monthly Summary Report of Insurance Benefit Payments
15.04	NPDES Monitoring Records
7.06-00	Negotiations Papers - For Orders Received - Lost or Abandoned
5.06	Occupational Radiation Exposure Records
5.04	OSHA Reports (Organization Unit Sending to OSHA)
2.01-06	Other Cost-Related Statements (e.g., Expense Control Statement)
2.04-03	Outside (i.e., Price Waterhouse)
15.18	PCB Inventory and Records
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9.03.01	Packing Lists - Foreign
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13.07	Patent Agreements with Employes
13.12	Patent Applications - Domestic
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13.09	Patent Correspondence - Domestic
13.08	Patent Correspondence - Foreign
10.03	Patent Disclosure Book
13.10	Patent License Agreements
13.13	Patents - United States - Original Grant
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6.04	Payment Record Cards
3.06	Payroll & Personnel Data Systems Inquiries
3.01-05	Payroll Distribution & Worksheets
2.05-05	Percentage of Completion Report
2.05-04	Physical Inventory Data
10.04	Plant Facility Layout Drawings
4.16	Position Replacement Plans
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7.07	Price Lists - Superseded
10.05	Product Specifications - Material and Process
2.06-02	Profit Plans

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15.17	TSCA Significant Adverse Effect Notifcation
13.15	Technical Assistance Agreements
11.03	Testing and Inspection Records
3.01-06	Time Cards
5.05	Toxic Substances ADverse Reaction Records
13.15	Trademark Certificates - Foreign
13.17	Trademark Certificates - United States
15.11	Training Records for Hazardous Waste Personnel 262.34(a)(5)
2.02-04	Transportation and Freight Charges (e.g., expense reports)
1.20	Visitor Registers - Confidential/Restricted and Secret Facility - Government Unclassified Facility - Top Secret Facility
3.01-07	W-4 Forms
3.01-08	W-2 Forms
3.02-03	Weekly Report of Salary Employes
4.14	Workmen's Compensation Records

(Master Copy)
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DOMESTIC RECORDS RETENTION GUIDELINES

CATEGORY	NAME OF RECORD	RETENTION PERIOD	RESPONSIBLE DEPARTMENT
1.12	Incorporation Record and Certificates	Permanent (W)	Secretary
1.13	Management Directives and Corporate Procedures - one archive or exemplar copy	Permanent	Corporate Communications
1.14	Minutes and Agenda of Board of Directors' Meetings (Official Copy)	Permanent (M)	Secretary
1.15	Minutes of Executive and Board Committee Meetings (Official Copy)	Permanent (M)	Secretary
1.16	Minutes of Stockholders Meetings	Permanent (M)	Secretary
1.17	Proxies	4 Years after effective date or until released by Secretary of Company	Stockholder Records
1.18	Records of Mergers, Consolidations, Acquisitions, Divestitures, Dissolutions and Reorganizations	Permanent (M)	Law Department
1.19	Registration (Certificate) to do Business in the Various States	Permanent (M)	Secretary
1.20	Visitor Registers		Site Security
	Government Unclassified Facility	1 Year	
	Confidential/Restricted and Secret Facility	2 Years	
	Top Secret Facility	3 Years	
1.21	Records Retention Guidelines	Permanent	Corporate RIM Coordinator

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(March 1, 1987)

DOMESTIC RECORDS RETENTION GUIDELINES

CATEGORY	NAME OF RECORD	RETENTION PERIOD	RESPONSIBLE DEPARTMENT
2.03-00	Accounts Receivable Records		
2.03-01	Customer Invoices and General Orders	6 Years	CDC
2.03-02	Record of Disposition of Shipment Numbers	3 Years	CDC
2.04-00	Audit Reports		
2.04-01	Internal Audit Reports	See October 2, 1985 Chairman's Letter	
2.04-02	Internal Audit Report Workpapers	See October 2, 1985 Chairman's Letter	
2.04-03	Outside (i.e., Price Waterhouse)	Permanent	Audit
2.05-00	Cost Accounting*		
2.05-01	Customer Order Development Detail	6 Years	Acct.
2.05-02	Cost Record for Completed Shop Orders	6 Years	Acct.
2.05-03	LIFO Workpapers	Permanent (M)	Corporate Financial Planning and Policy
2.05-04	Physical Inventory Data	6 Years	Acct.
2.05-05	Percentage of Completion Report	6 Years	Acct.

*For Government Contracts, 3 years after "final payment"

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DOMESTIC RECORDS RETENTION GUIDELINES

CATEGORY	NAME OF RECORD	RETENTION PERIOD	RESPONSIBLE DEPARTMENT
4.00	Personnel		
4.01	Attendance Report	3 Years	Personnel
4.02	Attitude Surveys	Until Superseded	Personnel
4.03	Authorization for Change in Payroll - Copy	Until Superseded or Employment Ceases	Payroll
4.04	Collective Bargaining Agreements (Local & National)	20 Years	Personnel
4.05	EEO Affirmative Action Plan and Supporting Documents		
4.05-01	-Applicant Flow Log	15 Years	Personnel
4.05-02	-New Hire Log	15 Years	Personnel
4.05-03	-Separation Log	15 Years	Personnel
4.05-04	-Recall and Reinstatement Log	15 Years	Personnel
4.05-05	-Promotion and Transfer Log	15 Years	Personnel
4.05-06	-Training Activity Log	15 Years	Personnel
4.06	EEO - 1 Report	5 Years (M)	Personnel
4.07	Employe Record Envelope (Personnel Information) * Attendance Report	25 Years After Separation	Personnel

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DOMESTIC RECORDS RETENTION GUIDELINES

CATEGORY	NAME OF RECORD	RETENTION PERIOD	RESPONSIBLE DEPARTMENT
	* Authorization for Change in Payroll-Copy		
	* Employment Applicant/Resume		
	* Personal History & Service Record Card (Hourly & Salary)		
	* Performance Evaluations (Non-Exempt & Exempt)		
	* Estimates of Promotability (Professional & Management)		
	* Reference Checks		
	* Pre-Employment Tests		
	* Interview Evaluations		
	* Personal Profile		
	* Employment Offer Letter		
	* Evidence of Date of Birth		
	* Education Transcript		
	* Conflict of Interest Questionnaire		
	* Leave of Absence Letters		
	* Exit Interview Questionnaire		
	* Military Service Record		
	* Disciplinary Action Letters		
	* Salary History Record		
	* Education & Training Records		
	* Recognition Material (Awards, etc.)		
	* Promissory Notes, Agreement Forms, Other Legal Documents		
	* Insurance Records		
	* Benefits Records		
	* Conviction Record		
	* Industrial Exposure [illegible]		
	* Total Employment Data Calculations		
	* Home Guarantee Appraisal Forms		
	* Union Dues Authorization		

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DOMESTIC RECORDS RETENTION GUIDELINES

CATEGORY	NAME OF RECORD	RETENTION PERIOD	RESPONSIBLE DEPARTMENT
4.16	Position Replacement Plant	10 Years	Personnel
4.17	Security Records	10 Years	Site Security
4.17-01	Security Clearances	3 Years Top Secret; 2 Years Secret; or Per Agency Requirements	Personnel/Site Security
4.18	Employment Requisitions	10 Years	Personnel
5.00	Medical		
5.01	Health Physics Record	Permanent (M)	Personnel/Medical
5.02	Employe Medical Folio	Permanent (M)	Personnel/Medical
5.03	Injury Report	8 Years	Personnel/Medical
5.04	OSHA Reports (Organization Unit Sending to OSHA)	5 Years	Personnel/Medical
5.05	Toxic Substances Adverse Reaction Records	30 Years	Personnel/Medical
5.06	Occupational Radition Exposure Records	Until Authorized by Dept. of Energy	Personnel/Medical
6.00	Insurance		
6.01	Claim Files	6 Years	Personnel/Insurance
6.02	Major Medical Envelope and Claim Forms	10 Years	Personnel/Insurance

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DOMESTIC RECORDS RETENTION GUIDELINES

CATEGORY	NAME OF RECORD	RETENTION PERIOD	RESPONSIBLE DEPARTMENT
	- Customer Purchase Order - Westinghouse Acknowledgement Form or Letter - Drawings (for Approval or C.O.D.) - Bills of Materials - Change Notices - Inspection Records/"Ship Short" Reports and Authorizations - Product Shipment Records (Unless Maintained by Traffic) - Separate Contractual Documents and Amendments		
7.04	Market Development Reports & Surveys	Until Superseded	Marketing
7.05	Marketing Forecast	Until Superseded	Marketing
7.06-00	Negotiations Papers		
7.06-01	- For Orders Received	Transfer to General	Marketing Order File
7.06-02	- Lost or Abandoned	3 Years After Lost or Abandoned	Marketing
7.07	Price Lists - Superseded	5 Years After Superseded	Marketing
7.08	Selling Policies	Permanent (W)	Marketing
7.09	Export Sales of Commodities	3 Years	Marketing/Sales
7.10	Export Licenses - Applications, Validated License	3 Years	Traffic

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DOMESTIC RECORDS RETENTION GUIDELINES

CATEGORY	NAME OF RECORD	RETENTION PERIOD	RESPONSIBLE DEPARTMENT
10.00	Engineering and Technical Publications		
10.01	Design Bill of Material	Permanent (M)	Engineering
10.02	Engineering Figuring Book	Permanent (M)	Engineering
10.03	Patent Disclosure Book	20 Years After Filed or Discontinued	Engineering
10.04	Plant Facility Layout Drawings	Permanent (M)	Engineering
10.05	Product Specifications Material and Process	Permanent (M)	Engineering
10.06	Shop Orders[1]	15-40 Years (M)	Engineering
10.07	Style Card	Permanent (M)	Engineering
10.08	Engineering Drawings	Permanent (M)	Engineering
10.09	Instruction Manuals - at least one exemplar original	25 Years After Product or Model Discontinuance	Division Engineering/ Field Service
10.10	Maintenance Manuals - at least one exemplar original	25 Years After Product or Model Discontinuance	Division Engineering/ Field Service

1/ Evaluated based on product line; See also Category 7.02 and accompanying notes.

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DOMESTIC RECORDS RETENTION GUIDELINES

CATEGORY	NAME OF RECORD	RETENTION PERIOD	RESPONSIBLE DEPARTMENT
13.00	Patents, Copyrights and Trademarks		
13.01	Assignments of Inventions	15 Years	Patent Department
13.02	Copyright - Registration and Correspondence Files	Permanent (M)	Patent Department
13.03	Correspondence re: Requests to use (W) Name or Logo in Advertising, on Products, etc.	10 Years	Patent Department
13.04	Ideas and Inventions - Submitted from Outside	35 Years (microfilm After 5 Years; Destroy Original)	Patent Department
13.05	Interference File	25 Years	Patent Department
13.06	Invention Disclosures	20 Years	Patent Department
13.07	Patent Agreements with Employes	Permanent (M)	Personnel
13.08	Patent Correspondence - Foreign	20 Years	Patent Department
13.09	Patent Correspondence - Domestic	25 Years	Patent Department
13.10	Patent License Agreements	20 Years After Termination	Patent Department
13.11	Patent Applications - Foreign	20 Years	Patent Department

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DOMESTIC RECORDS RETENTION GUIDELINES

CATEGORY	NAME OF RECORD	RETENTION PERIOD	RESPONSIBLE DEPARTMENT
15.00	Environmental*		
15.01	Air Pollution Control Equipment Records and Monitoring Records	2 Years	Environmental Control Officer
15.02	Air Emission Control Records	2 Years	Environmental Control Officer
15.03	Hazardous Pollutant Emission Records	2 Years	Environmental Control Officer
15.04	NPDES Monitoring Records	3 Years	Environmental Control Officer
15.05	SPCC Plan	As long as oil is handled	Environmental Control Officer
15.06	SPCC Plan Inspection Records	3 Years	Environmental Control Officer
15.07	Pretreatment Monitoring Data	3 Years	Environmental Control Officer
15.08	Hazardous Waste Manifest	3 Years	Environmental Control Officer

*Categories and time periods included are generally federal; however, due to the proliferation and diversity of state environmental laws, each RIM Site Coordinator should consult the Environmental Control Officer for complete information about state requirements applicable to each site.

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DOMESTIC RECORDS RETENTION GUIDELINES

CATEGORY	NAME OF RECORD	RETENTION PERIOD	RESPONSIBLE DEPARTMENT
15.17	TSCA Significant Adverse Effect Notifcation	30 Years - Adverse reaction to employe health; 5 years all others	Environmental Control Officer
15.18	PCB Inventory and Records	5 Years after last use or storage; Chemical waste landfills - 20 years	Environmental Control Officer
15.19	Consolidated Permit Application Data and Monitoring Data	3 Years	Environmental Control Officer
15.20	Consolidated Permit Required Monitoring Data, Maintenance Records and Reports	3 Years	Environmental Control Officer
15.21	CPSC - Agreement that Recipient Label Hazardous Substances transmitted in Interstate Commerce	2 Years	Environmental Control Officer
15.22	Health and Human Services Department		
15.22-01	Manufacturers - Electronic Products Quality Control Test Results, Distribution Records	5 Years	Environmental Control Officer
15.22-02	Dealers/Distributors - Certain Electronic Products Sales Records	5 Years	Environmental Control Officer