Schedule 139

LINCOLN ELECTRIC SYSTEM

January 9, 2012

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

REQUEST FOR APPROVAL OF RECORDS RETENTION AND DISPOSITION SCHEDULE	SCHEDULE 139
	AGENCY, BOARD OR COMMISSION LINCOLN ELECTRIC SYSTEM
TO: STATE RECORDS ADMINISTRATOR STATE OF NEBRASKA	DIVISION, BUREARU OR OTHER UNIT
	Supersedes 139 Edition of 2/27/2011

PART I – LINCOLN ELECTRIC SYSTEM STATEMENT

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

LES Administrator & CEO X	Date X 12/13/2011
LES General Counsel X Shelley Sahin Zart	Date X 12/11/2011

PART II – STATE ARCHIVES APPROVAL

The attached Records Retention Schedule has been analyzed in accordance with Section 84-1212.01 (1) R.R.S. 1943, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material and this schedule is approved as submitted.

State Archivist Gayen Keating	Date 12/29/2011

PART III - AUDITOR OF PUBLIC ACCOUNTS APPROVAL

The attached Records Retention Schedule has been reviewed, all audit material has been properly identified, and this schedule is approved as submitted.

Auditor of Public Accounts Deann Haeffner	Date 1/3/12

PART IV– STATE RECORDS ADMINISTRATOR APPROVAL

The attached Records Retention Schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

State Records Administrator Jane A. Gale	**Date** 1/9/2012

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guideline for storing and disposing of agency records, ***regardless of the media on which they reside***, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the Local Agencies General Records Schedule #24 contains those records common to most local government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is**.** Note: Your agency's unique schedule will take precedence over General Records Schedule #24 for any items which have differences in retention requirements.

2. Dispose of records that have met their retention periods.

3. For records requiring a review of, or transfer to the **NE State Historical Society (State Archives)**, your agency is required to contact the State Archives to negotiate the transfer. Additionally, **once the records are accessioned into their collection, they become the property of the State Archives**. The State Archives may remove selected records in accordance with standard archival practices to ensure efficient access, organization and enduring historical value (Nebr. Rev. Stat. §82-107). Please contact their office by calling (402) 471-4783.

4. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

   Please remember to retain the blank form for future use.

NON-SCHEDULED RECORDS

Contact a Records Management Specialist in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Specialist in Records Management can assist you with the schedule update, which may involve adding new records series and making revisions to existing items. Keeping your schedule current will ensure you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Specialist in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or microfilming records, scanning records, etc.

Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559

Lincoln Electric System

Records Retention Schedule

LEGEND:
ACT=active / ACT+ = active + # of years / CY+ = Current Year + # of years / IND = Permanent / TOE+ = Termination of Employment + # of years / LOE = Life of Equipment / LOA+ = Life of Asset + # of years / MAX = Maximum

ELECTRONIC RECORDS - retention follows the same retention as retention of paper records.

Code	Record Category	Retention	Reference/Comments	Description
	Administrative (01)			
101101	Accidents - Investigations	ACT+7Y	ACT=end of year of the completed investigation	Investigation records for accidents such as personal injury; injury leave; property damage; workers compensation
101102	Accounts Payable/Receivable	CY+6Y		Records and reports related to payment of financial obligations and to receipt of revenues. Examples: Accounts Payable (A/P) records; Miscellaneous Accounts Receivable (MAR) records; Payroll reports; collections; etc.
101103	Audit - External	IND		Records reviewing and documenting financial information created as part of an audit performed by an outside person or organization. Example: External audit of the LES Finance & Operating Statement
101104	Audit - Internal	ACT+7Y	Active=current audit	Records related to internal review and testing of compliance with company policies and procedures, reviews of financial and operating results, reviews as requested by management and remedial action.
101105	Board	IND		Records related to the official proceedings of LES. Includes: agendas; Affidavit of Publication; approved minutes; resolutions (plus any attachments); exhibits; correspondence; monthly board letters.
101106	Bonds - Revenue and/or Refunding	ACT+6Y	Active means until all bonds of a given series have been paid or otherwise fully satisfied.	Records related to long-term financing. Examples: Bonds / Bond Ordinance / Bond Statement / Bond Financing / Bond Issue calculations / Repayment schedules / Bond Defeasance working papers /
101107	Budget	CY+6Y		LES budget (Capital budget and Operating budget and Detail Capital Budget Report). Two versions: 1) "official signed budgets" - from each division 2) "official bound budget" - summarization of the division budgets
101108	Business Processes-Corporate	IND		Policies; Programs (Procedures); Processes; Forms
101109	Business Processes-Internal	ACT	ACT=superseded	Processes that explain how to perform a job duty and are internal to the department. Examples: job processes; telephone directory; street directory; checklists.
101110	Commercial Paper	ACT+6Y	Active=as long as the commercial paper is active.	Records related to short-term financing. Examples: Goldman Sachs Commercial Paper Trades / Commercial Paper RFP responses / Commercial Paper closing documents / Investment Report-Year End /

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Code	Record Category	Retention	Reference/Comments	Description
101111	Compliance (Statutory/Regulatory)	ACT+7Y	Active=until the report has been completed and filed with the government agency.	Legally-required reports or forms submitted to government agency. Examples: NERC Readiness & NERC Cyber Security (3 audits); EPA / Workforce Development Report - State of Nebraska / Equal Employment Opportunity Commission / EE04 - State form / Multiple Worksite report / Worker's Compensation; EIA-906 - Power Plant Report (Department of Energy)
101112	Contracts	ACT+6Y	Active=life of contract	Records documenting legal obligations between LES and other parties.
101113	Employee Records - Hazardous Exposure Medical Records	IND		Records documenting specific instances when employees were exposed to hazardous substances.
101114	Employee Records - Short Term	ACT+7Y	Active=superseded	Records documenting detailed personnel actions for employees. These records only need to be retained until the record has been completed or superseded. Examples: Employee Moving Expenses; Form 687 - Electri Flex Revocation and/or Change; Assessment Packet; Worker's Compensation Claims;
101115	Employee Records - Term of Employment	TOE+5Y		These records need to be retained as long as the employee is employed at LES. Examples: Personnel Change Notice / Employment Application / Offer Letter / Leave of Absence Request / Form 920 Employee Disciplinary Action / Letters of Discipline / Form 922 Self Appraisal / Form 924 Performance Improvement Plan / Form 431 - Performance Appraisal / Working With LES (employee manual) Acknowledgement Form / Training Documents / Supervisor Orientation Checklist / HIPAA/COBRA Notices / Job Opportunity Application / Insurance Waiver Forms / Insurance Enrollment & Change Forms (health, dental & life) / Notice of Participation - LES Employees Retirement Plan / Contribution Rate Change - LES Employees Retirement Plan /
101116	Environmental	IND		Records monitoring environmental activities.
101117	Equipment	LOE		Records documenting office equipment; computer hardware
101118	Facilities	LOA		Records related to the management of real property -- land, buildings, offices. (Lincoln Electric Building / 8th & J / Rokeby / TBGS / Substations) Examples: Form 475 - Telephone Request; Form 143 - Building & Grounds Request; Maintenance Records, etc.
101119	Fleet	LOA+5Y		Records documenting all LES vehicles (Includes: pool cars; trailers; trenchers). Examples: repairs / service manuals, vehicle pictures, vehicle description, etc.

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Code	Record Category	Retention	Reference/Comments	Description
101120	Information Systems	ACT+3Y	Active=superseded	**Hardware** records - related to selection, administration, maintenance, performance and overall management of computer hardware, electronic communications, etc. **Software** records - include source code, original source data used as input for data processing, technical data and information, specifications, requirements, system documentation, operating instructions, related user manuals and backups need for disaster recovery.
101121	Insurance	ACT+6Y	Active=term of insurance	Includes correspondence, consent forms, applications, requirements all relating to insurance coverage for LES. Examples: City Risk Management-licensing vehicles / Insurance Surplus Lines consent form / Risk Management Insurance requirements-purchasing / Insurance applications /
101122	Inventory	ACT+7Y	Active=completed	Records describing the type, model, and location of property. Examples: Form 073 - Stores Requisition Issue Ticket; Form 074 - Stores Return Ticket; Capital Tool Book; Form 101 - Electric Meter Test Card; etc.
101123	Investments/Securities	ACT+6Y	Active=life of investment	Records documenting investments in securities including the proof of ownership, purchase information, annual statements, investment results.
101124	Ledger-General	10Y		Summary records of all accounts.
101125	Ledger-Plant	25Y		Record summarizing the financial transactions related to the purchase, sale, or depreciation of plant property and equipment.
101126	Legal - Claims & Litigations	ACT+7Y	Active=until closed	Records documenting discovery, exhibits, pleadings.
101127	Legal - Opinions/Settlements	IND		Records of documentation regarding settlement agreements and legal opinions.
101128	Loans	ACT+3Y	Active=until loan is paid	Records related to the application and management of loans at LES. Includes reports to lenders, debt information and work papers.
101129	Planning/Forecasting (General)	ACT+6Y	Active=plan is completed	Records related to the future planning and forecasting of LES business activities.
101130	Planning/Forecasting (Long Range)	20Y		Records related to planning and forecasting of power production needs, including load forecasting, cost studies, customer history and customer usage, etc.
101131	Projects - General	ACT+5Y	Active=completed	Includes minutes, notes, agendas, working papers and other correspondence for projects/tasks.

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Code	Record Category	Retention	Reference/Comments	Description
101132	Purchases - General	CY+6Y		Records related to actual purchase or commitments to purchase and authorizations for expenditures for purchases that are not covered elsewhere. Includes request for quotes or bids, bid review, purchase requisitions, purchase orders, receiving, etc.
101133	Real Estate	LOA+6Y		Records documenting LES real estate purchases - Lincoln Electric Building /8th & J / Rokeby / SVGS / Substations Includes: Appraisal report / Certificate of Title / Real Estate Transactions / Property Transfer Documents / construction damage report (purchase, sales and management of real property -- land, buildings, offices)
101134	Reports - General	CY+MAX6Y		Records that provide management information, e.g. status, progress, etc. or are general in nature that do not fit into one of the other record categories. Example: weekly department status report
101135	Safety	ACT+7Y	Active=completed	Records related to employee safety. Includes: employee safety manual; emergency plans.
101136	Salary Administration	ACT+3Y	Active=completed	Reports related to the process of determination and monitoring of salary and wage, including position evaluation files, wage and salary surveys, etc.
101137	Schedules - Rates	IND		Records that document the rates, charges and terms for each type of electric service provided and also includes the service regulations. Example: retail rate schedules / Open Access Transmission tariff /
101138	Security	5Y		Records related to the protection of employees, property and information from unauthorized activities.
101139	Statements - Finance & Operating (unaudited)	IND		Year end final financial statements, reports and external audits. LES's unaudited report for the month of December. This report is audited by the external auditor and approved by the LES board.
101140	Taxes	CY+6Y		Records of tax returns that are required to be submitted to the government. (Examples: Federal & State Tax returns; Fuel Tax refund; In Lieu of Tax; Property tax returns; Sales & Use Tax returns; Special Fuels Tax; State Unemployment)

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Code	Record Category	Retention	Reference/Comments	Description
101141	Training (General)	ACT+3Y	Active=superseded	Records of employee training, which could include handouts; slides; course evaluations, etc.
101142	Training (Regulatory)	TOE+5Y		Records of employee training kept for regulatory requirements. Examples: NERC training records and certifications; OSHA training records.

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Code	Record Category	Retention	Reference/Comments	Description
	Customers & External (02)			
102201	Customer Records	CY+6Y		Records and information related to LES customers, of a general nature, that do not fit into one of the other records categories.
102203	Public Relations	IND		Records regarding the company's image and activities, including press releases, publications, photographs, presentations, etc.

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Code	Record Category	Retention	Reference/Comments	Description
	Generation & Purchased Power (03)			
103301	Generation & Purchased Power	LOA+5Y		Plant records related to the sale and purchase of power, & construction & equipment.
103302	Generation Power Transactions	15Y		Billing information for wholesale sales, both firm (LRS, Gentleman, Sheldon, WAPA, Walter Scott) and non firm (hourly non firm purchases and sales).

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Code	Record Category	Retention	Reference/Comments	Description
	Transmission & Distribution (04)			
104401	Transmission & Distribution	LOA+5Y		Records documenting the design, development, construction and maintenance of the substations, transmission lines, streetlights and power distribution. (NERC plant maintenance).

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Code	Record Category	Retention	Reference/Comments	Description
	Historical Records (05)			
105501	Historical Records	IND		Records determined to possess significant long-term historical value. Examples: board minutes; public records (CCC); Insurance Declaration Page; Public Policy; Excess Liability; Commercial Crime Policy; Package Policy (Property & General Liability); Capital Construction Budget(536-007); Bonds

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Code	Record Category	Retention	Reference/Comments	Description
	Non-Record (06)			
106601	Copies	MAX 1Y		Extra copies of documents kept for convenience or reference
106602	Working Papers	MAX 3Y		Documents used to prepare the final record.
106603	Non-Company Records	MAX 3Y		Magazines; vendor catalogs; miscellaneous materials of professional interest, but not to the function/operation of LES.

STATE
RECORDS DISPOSITION REPORT

LES Form 775
10/03

STATE **RECORDS DISPOSITION REPORT**	AGENCY **LINCOLN ELECTRIC SYSTEM**
	DIVISION
TO: SECRETARY OF STATE / STATE OF NEBRASKA RECORDS MANAGEMENT DIVISION 440 South 8th Street, Suite 210 LINCOLN, NE 68508	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED
139	

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

DATE	SIGNATURE

RMA 03006d **SEND ORIGINAL TO RECORDS MANAGEMENT. KEEP A COPY FOR YOUR RECORDS.**

STATE
RECORDS DISPOSITION REPORT

VOLUME ESTIMATING GUIDE

(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE)

Vertical File Cabinet, 4 drawer letter-size …… 6 cubic feet
Vertical File Cabinet, 4 drawer legal-size…… 8 cubic feet
Lateral File, 4 drawer/shelf letter-size…….. 9 cubic feet
Lateral File, 4 drawer/shelf legal-size……. 12 cubic feet
Records center carton……. 1 cubic foot
About a pickup load……. 50 cubic feet