

**NEW YORK STATE RELIABILITY COUNCIL, LLC (“NYSRC”)
POLICY NO. 2-5
NYSRC OPENNESS AND RECORDS MANAGEMENT POLICY**

Purpose of Policy - To successfully carry out its mission, it is essential that the NYSRC distributes and shares information openly and fairly, while soliciting input from all participants of the electric market place and users of the electric network.

Scope of Policy - The NYSRC Openness and Records Management Policy extends to the following areas:

1. **NYSRC documents located on the NYSRC web site (“nysrc.org”)** – These documents include, but are not limited to:
 - NYSRC Agreements, Policies and Code of Conduct.
 - NYSRC Reliability Rules and Procedures.
 - NYSRC Reliability Compliance Program.
 - NYSRC publications and reports that have been approved for publication by the NYSRC Executive Committee.
 - NYSRC Executive Committee, Subcommittee & Working Group structures, work scopes and membership rosters.
 - NYSRC Executive Committee, Subcommittee & Working Group meeting schedules, agendas & final minutes.

2. **NYSRC Executive Committee, Subcommittee & Working Group meeting agendas and working documents** – These documents include, but are not limited to:
 - Meeting Agenda – Items to be acted on at the meetings will be noted.
 - Correspondence
 - Draft reports
 - Draft meeting minutes
 - Draft Potential Reliability Rule templates

All meeting agendas and associated working documents will be dated and a good faith effort will be made to distribute by e-mail and/or post the working documents on the NYSRC web site at least four (4) working days prior to the scheduled meeting. Working documents not posted in advance will be provided to parties who attend the meeting and, to the extent practicable, posted on the NYSRC web site after the meeting. At the discretion of the Executive Committee, Subcommittee, and Working Group Chairman, meeting materials may also be accessible through software applications (i.e. – WebEx).

NYSRC Policy 2-5 “NYSRC Openness and Records Management Policy”

Approved by the NYSEC Executive Committee on: 8/11/2017

Issued by: H Schrayshuen –NYSRC Executive Committee Secretary

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Information distributed by the NYISO, NPCC or any other party that is deemed “confidential” will not be posted on the NYSRC web site or distributed to parties who attend a meeting unless a specific release has been obtained from the appropriate party.

3. Access to meetings - All interested parties may attend any meeting of the NYSRC Executive Committee, or any of its Subcommittees and Working Groups. Anyone wishing to attend is requested to give at least three (3) working days advanced notice to the Secretary of the NYSRC Executive Committee -- or, in the case of the Subcommittees and Working Groups, to the appropriate Chairman or Secretary. The advance notice is necessary in order to insure that adequate meeting space is available. Attendees who are not members will be given an opportunity to comment at the Chairman’s invitation. A closed executive session may be held as needed at the request of any Committee, Subcommittee or Working Group member. All parties will also have telephone access to all NYSRC Executive Committee, Subcommittee and Working Group meetings. A call-in telephone number to each meeting will be posted on the NYSRC web site in advance of all meetings. At the discretion of the Chairman, meetings may also be accessible through applications such as WebEx. Following the meetings, all parties are encouraged to submit comments via e-mail to the Secretary of the NYSRC Executive Committee.

4. Solicitation of input and comments on changes to the NYSRC Reliability Rules via the NYSRC web site - This process is covered by the latest revision of NYSRC Policy No. 1, “Procedure for Reviewing, Developing, Modifying, and Disseminating NYSRC Reliability Rules.”

5. NYSRC records management - NYSRC records shall be retained in accordance with the records retention schedule attached to this policy as amended from time to time and approved by the Executive Committee.

Retention Period:

Other than the NYSRC Formation Documents and other records specified in the attached schedule to be retained permanently, NYSRC records shall be retained for a period of five-years from either creation or expiration whichever is applicable, unless otherwise determined by the Executive Committee.

Application of Retention Period to Electronic and Physical Records:

Physical records which are replicated electronically and posted on the NYSRC website are not required to be retained for more than one year from the year the record was finalized. All drafts (physical and electronic) leading to a finalized and posted record may be disposed of once the record is finalized.

Physical records which are not replicated electronically will be retained for five years and may be disposed of in the sixth year after the year of record creation or the sixth year after expiration of the record or any time thereafter.

**Attachment to NYSRC Policy 2-5 - Records Retention Schedule
8/14/2017**

<u>New York State Reliability Council Record</u>	<u>Responsible Entity for Record</u>	<u>Website posted</u>	<u>Retention Period</u>
1. NYSRC Formation Documents - Counsel			
- FERC orders authorizing formation of the NYSRC	Counsel	Yes	Permanent
- NYSRC Agreement and amendments	Counsel	Yes	Permanent
- NYSO/NYSRC Agreement and amendments	Counsel	Yes	Permanent
- NYSRC Operating Agreement and amendments	Counsel	Yes	Permanent
- State of Delaware Certificate of Formation and amendments	Counsel	No	Permanent
- Authorization to do business in the State of New York State	Counsel	No	Permanent
- IRS Authorization for Tax Exempt Status	Counsel	No	Permanent
2. NYSRC Filings - Counsel			
- IRM Filings	Counsel	Yes	Through 5 years from year of record creation
- Miscellaneous NYPSC and FERC filings	Counsel	Yes	Through 5 years from year of record creation
- Annual Tax Filings with the State of Delaware	Counsel	No	Through 5 years from year of record creation
- Biennial Filings with the New York Department of State	Counsel	No	Through 5 years from year of record creation
3. Financial Documents - Treasurer			
- Annual audits reports	Treasurer	No	Permanent
- Annual tax returns	Treasurer	No	Permanent
4. Service Agreements			
	EC Secretary	No	Through 5 years from year of record expiration
5. Insurance Policies			
	Counsel	No	Through 5 years from year of record expiration
6. Executive Committee – EC Secretary			
- Final Meeting Minutes	EC Secretary	Yes	Permanent
- Meeting materials	EC Secretary	Yes	Permanent
- Member information – Current Roster	EC Secretary	Yes	Current version as updated for EC membership changes
- Member election records	EC Secretary	No	Through 5 years from year of record creation
- Code of Conduct related records	EC Secretary	No	Through 5 years from year of record creation
7. NYSRC Subcommittees – Subcommittee Chair (ICS/RRS/RCMS)			
- Final Meeting minutes	Subcommittee Chair	Yes	Permanent
- Meeting materials	Subcommittee Chair	Yes	Permanent
- Member information - Current Roster	Subcommittee Chair	Yes	Current version as updated for subcommittee membership changes
- RRS Annual Report	RRS Chair	Yes	Permanent
- RCMS Annual Report	RCMS Chair	Yes	Permanent
- IRM Annual Report	ICS Chair	Yes	Permanent
8. Reliability Rules - RRS Chair			
- Current Version of NYSRC Manual - current version	RRS Chair	Yes	Permanent
- Reliability Rules and Compliance Manual Version previous version	RRS Chair	Yes	Permanent
- Proposed Reliability Rules (PPRs)	RRS Chair	Yes	Permanent
9. NYSRC Policies			
- Current Versions of NYSRC Policies in effect	EC Secretary	Yes	Retained until superceded