

NYSRC RECORDS MANAGEMENT POLICY

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

Retention Period:

Other than Formation Document records and other records of the NYSRC and its subcommittees 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 a 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 the five years and may be disposed of in the fifth year after the year of record creation.

Attachment to NYSRC Records Policy Statement 7-9-2017 DRAFT

<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
- NYISO/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		Yes	Through 5 years from year of record creation
- Miscellaneous NYPSC and FERC filings		Yes	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

Attachment to NYSRC Records Policy Statement 7-9-2017 DRAFT

<u>New York State Reliability Council Record</u>	<u>Responsible Entity for Record</u>	<u>Website posted</u>	<u>Retention Period</u>
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