

# **Schedule 152**

# **NMPP ENERGY RECORDS**

**January 28, 2022**

Nebraska Records Management Division  
3242 Salt Creek Circle  
Lincoln, NE 68504  
(402) 471-2559

**REQUEST FOR APPROVAL  
OF RECORDS RETENTION  
AND DISPOSITION SCHEDULE**

SCHEDULE	<b>152</b>
AGENCY, BOARD OR COMMISSION	<b>NMPP ENERGY RECORDS</b>
DIVISION, BUREAU OR OTHER UNIT	
Supersedes Edition of September 24, 2014	

**TO: STATE RECORDS ADMINISTRATOR  
STATE OF NEBRASKA**

**PART I – AGENCY 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.

SIGNATURE 	
TITLE EXECUTIVE DIRECTOR / CEO	DATE 1/3/22

**PART II – APPROVAL OF STATE ARCHIVES:**

The attached schedule has been analyzed, 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.

SIGNATURE 	DATE 1/11/22
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**PART III – APPROVAL OF AUDITOR OF PUBLIC ACCOUNTS:**

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

SIGNATURE 	DATE 1/28/22
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**PART IV – APPROVAL OF STATE RECORDS ADMINISTRATOR:**

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

SIGNATURE 	DATE 1/28/2022
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## **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. This retention schedule, which is approved by the State Records Administrator, provides your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying this 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 located on the Secretary of State Records Management website. [https://appengine.egov.com/apps/ne/sos\\_records\\_disposition\\_report](https://appengine.egov.com/apps/ne/sos_records_disposition_report). This report establishes that the destruction was performed in your normal course of business.

### **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 the Records Management Specialist in Records Management. They will help you with any questions the schedule may present, including: transferring records to the State Records Center or microfilming records, scanning records, etc.

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402-471-2559**

## NMPP Energy Records Retention Schedule \*Includes ACE, MEAN, \*\*NMPP (not subject to public record), NPGA companies

Code		Record Category	Description/Examples	Proposed Retention Requirement
<b>Accounting and Finance</b>				
ACC	1000	Journals / Ledgers	Records used to document transactions, transfer charges between accounts, and summarize account information.	7 years
ACC	1100	Accounting and Tax Support	Records and reports related to payment of financial obligations and to receipt of revenues and other income. <b>Note</b> - This category includes invoices that are payable to vendors. Member invoices that represent receivables are listed separately.	7 Years
ACC	1200	Payroll	Records related to individual employee salary and compensation, and payment of other financial obligations associated with payroll.	10 Years
ACC	1300	Banking and Cash Management	Records related to cash management and to business transactions with banking institutions.	7 Years
ACC	1400	Fixed Assets Generation	All records and supporting documents related to the management of long-term owned Company assets and contracted purchased power <b>USED FOR POWER GENERATION</b> such as property and equipment. Note that this includes leased property records.	Life of Asset/Lease + 10 Years
ACC	1500	Fixed Assets Non-Generation	All records and supporting documents related to the management of long-term owned Company assets <b>NOT RELATED TO POWER GENERATION</b> such as property and equipment. Note that this includes leased property records.	Life of Asset/Lease + 3 Years
ACC	1600	Facility and Property Management - Administration	Building, Grounds and Maintenance (MEAN/POOL/ACE).	7 Years
ACC	1700	Facility and Property Management - Generation	Productive capacity operating assets.	7 Years
ACC	1800	Unclaimed Property	Records that document the inability to locate the recipient of monies or property and the associated compliance with abandoned property laws.	10 Years

Code		Record Category	Description/Examples	Proposed Retention Requirement
ACC	2000	Audited Financial Statements	Audited records related to the financial condition of the Company produced annually.	Permanent
ACC	2100	Periodic Financial Statements	Records related to the financial condition of the Company produced periodically.	Review Every 10 Years
ACC	3000	Financing - Bonds and Securities	Records documenting bonds and securities investments.	Life of Bond + 7 Years
ACC	3100	Financing - Loans and Credit Lines	Application, issuance, management and administration of loans to or by the company and also bank credit lines issued to the company.	Life of Loan/Credit Line + 7 Years.
ACC	4000	Strategic Planning and Forecasting	Records related to strategic planning and forecasting for internal purposes.	10 Years
ACC	5000	Tax Returns and Audits	Records related to compliance with international, federal, and state income tax regulations, as well as property, sales, use, excise, severance and other tax regulations.	Permanent
ACC	6000	Sarbanes-Oxley	Records and reports that relate to managing and determining accuracy of accounting and other business process information, as well as receipt, processing and response to comments and complaints about company's accounting and auditing practices.	10 Years
<b>Administrative</b>				
ADM	1000	Employee Support and Internal meetings	Records related to providing internal support for company personnel.	3 Years
ADM	1100	Board and Employee Biographies	Board member and employee biographies.	Superseded
ADM	2000	Facility and Property Management - Ownership	Records related to ownership or lease of capital property and equipment, real property and facilities.	Sale of Property/End of Lease + 7 Years
ADM	3000	Policies , Procedures, Forms and Indexes	Corporate policies and standards necessary to conduct business and to ensure uniformity and compliance with company and legal requirements. Also lists, directories, indexes, inventories, manuals and other administrative records that are periodically replaced by more current versions.	Superseded + 3 Years
ADM	4000	Project Management	Records related to the management of internal projects, special studies, analyses, and other department events.	Completion of project + 3 Years

Code		Record Category	Description/Examples	Proposed Retention Requirement
ADM	5000	Purchasing Management	Records related to the purchasing process and purchasing management. Does not include the actual contract.	End of Contract + 7 Years or 7 Years if Rejected
ADM	6000	Records Management	Records that document records management processes including offsite storage, retrieval and disposition.	Superseded
ADM	7000	Community & Member Relations/ Industry Relations and Trade Associations	Record of corporate involvement in community, civic, business and other organizations and events as well as records related to industry and professional associations and groups.	7 Years
ADM	8000	Training and Development Programs	Records related to the content and administration of company-sponsored training programs and seminars for individual employee development.	Superseded + 5 Years
<b>Corporate</b>				
COR	1000	Corporate Governance/Participant Documents	Records related to the creation and formal decisions of the Company and related boards, as well as governance documents specific to each member participant and their participation on the board.	Permanent
COR	1100	Governance Correspondence	Governance related correspondence from members.	3 Years
COR	1200	Governance Tracking	Quorum calculation sheets that are used to ensure that a quorum will be present at each board meeting.	Superseded
COR	2000	Board and Annual Conference Support	Planning and logistics information related to board meetings and the NMPP Annual Conference.	10 Years
COR	3000	Company History	Records or memorabilia that have enduring value because they document people, events, projects, business developments, achievements of the company or the company's involvement in community events.	Review Every 10 Years
<b>Human Resources</b>				
HUM	1000	Benefit and Compensation Plans	Records related to company sponsored benefit plans such as health and welfare plans (medical, dental and disability), life insurance policies, stock option plans, vacation and sick benefits, compensation plans, and educational assistance.	Life of Plan + 7 Years
HUM	1100	Benefit Elections and Summary Records	Records of employee beneficiary elections and enrollments for type and amount of participation in company benefit plans. Also includes records documenting administration of pension plans and distribution of benefits to employees and their beneficiaries.	End of Employee Benefits/Loan + 10 Years

Code		Record Category	Description/Examples	Proposed Retention Requirement
HUM	2000	Personnel Files	Records documenting detailed personnel actions for all Company employees.	Employee Separation + 10 Years
HUM	2100	Immigration and Naturalization	Records related to identification and verification of employee eligibility to work in the United States for all applicants hired by the company.	Employee Separation + 3 years
HUM	2200	Worker's Compensation	Records relating to employee workers' compensation claims, including records of on-the-job accidents that are of potential relevance in claims.	(End of Benefits or Close of Case) + 7 years (whichever is later)
HUM	2300	Leave of Absence	Leave of absence records including FMLA.	3 Years
HUM	3000	Employee Complaints and Security Investigations	Records relating employee complaints or concerns pursuant to Whistleblower policy, and incident reviews and investigations of internal security and criminal violations.	Close of Investigation + 7 Years
HUM	4000	Recruitment and Selection	Record related to recruitment and hiring of potential employees, including materials used in recruiting. Also includes leads that were ultimately rejected. If hired, records become part of the Personnel file.	5 Years
HUM	5000	Employee Communications	Records relating to the Company and its employees that are informational in nature.	3 Years
HUM	6000	Salary Administration	Records related to determining and monitoring salary and deduction amounts.	7 Years
HUM	7000	Job Descriptions	Records related to specific job positions.	Superseded + 3 Years
HUM	8000	Employee Organizational Charts	Records related to the structure and staffing of the organization including positions, titles, and employee names. NOTE - This does NOT include organization charts that describe the legal entity structure of the corporation.	Superseded + 5 Years
<b>Information Technology</b>				
INF	1000	Application Planning, Design, Software	Records related to the design, configuration, and implementation of applications and systems.	Life of Application/System + 3 years
INF	2000	System History	Records used to track system use, performance and maintenance.	3 years
INF	3000	Hardware and Infrastructure	Records used to provide details of the information systems environment. Documents network and server storage space allocation.	Superseded + 3 Years

Code		Record Category	Description/Examples	Proposed Retention Requirement
INF	4000	Disaster Recovery	Records related to maintaining business continuity in the event of an interruption.	Superseded + 3 Years
INF	5000	Information Security	Records related to measures and technologies implemented to secure Company information, and security process documentation pertaining to Information Security Assessments and selection/ implementation of procedures and controls.	Superseded + 3 Years
INF	6000	IT Governance	Records created as part of the management of the Information Technology Department.	Superseded + 3 Years
INF	7000	Issue Resolution	Records related to external customer and internal employee requests for technical support.	3 Years
<b>Legal</b>				
LEG	1000	Contracts/Agreements	Records documenting rights and obligations under contracts, leases, and other agreements between the company and other parties. This category includes contract/agreement supporting documents (anything that led to the signing of the contract)	Termination of Contract or Agreement + 10 Years <b>Exception</b> If the contract is related to a project in Wyoming for which a bond was posted, then the Statute of Limitations (and therefore retention) is End of Project + 1 Year.
LEG	1100	Rate Schedules and NPGA Revenue Volumes	Rates for delivery of natural gas and electricity to members, and calculations and reports that track purchases, sales and costs at a member level.	10 years
LEG	1200	Rate Schedules Correspondence	Rate schedules correspondence.	10 Years
LEG	2000	Digital Signatures	Signatures of the Company representatives used in marketing contracts, materials, etc.	Superseded + 3 Years
LEG	3000	Intellectual Property	Records of rights conveyed by government related to copyrights, trademarks and patents.	Life of Trademark + 5 Years



Code		Record Category	Description/Examples	Proposed Retention Requirement
LEG	4000	Litigation / Claims	Records related to threatened or asserted litigation and claims for a range of issues including insurance, customer bankruptcy, employment, and intellectual property. Also includes requests for information regarding third-party disputes.	Close of Litigation or Claim + 10 Years
LEG	4100	Legal Judgments / Settlements / Final Court Orders	Court orders and settlement agreements related to the final disposition of litigation in which the Company is a party.	Review Every 10 Years
LEG	4200	Legal Opinions / Projects	Legal research and records resulting from legal projects, such as tax research, that document the specific legal advice provided by corporate or outside counsel	Irrelevant and/or Superseded
LEG	5000	Public Records Denials	Public records requests	10 Years
LEG	5100	Public Records Requests	Public records requests.	3 Years
LEG	6000	Petitions for Intervention and Protests	Petitions for Intervention and Protests at federal and state levels	20 Years
LEG	7000	Insurance Policies	Records pertaining to the administration of Company insurance policies and bond coverage (Director&Officer/EPL, Workers Compensation, Property, Automotive, General Liability, Umbrella, Environment & Hazardous Exposure)	Policy Termination + 10 Years
LEG	8000	Regulatory Compliance	Records related to the creation and filing of documents required by statutes or regulations or by orders issued by local, state or federal administrative agencies.	10 Years <b>Exception</b> - (IRP) Integrated Resource Plans - Review every 15 Years
LEG	8100	Lobbying Reports	Lobbying Reports	3 Years
LEG	8200	Licenses and Permits	Records of rights obtained from license holders or government permitting certain activities.	Cessation of Activity Requiring License or Permit + 10 Years
<b>Operations</b>				
OPS	1000	Pool Ops	Records that reflect daily operations such as supplies, VSP, mutual aid, as well as reports and studies tracking the cost of providing services to members and the Typical Bill for those services.	7 Years

Code		Record Category	Description/Examples	Proposed Retention Requirement
OPS	2000	MEAN Ops	Records that reflect daily operations such as allocations, purchases, load data, WAPA tracking, load forecasting, rate calculations and potential member evaluation, and Pool reporting done on behalf of MEAN.	10 Years
OPS	2100	Mean Settlements	Tracking spreadsheets with details about settlements.	Superseded
OPS	2200	MEAN Modeling	Models that simulate various scenarios regarding delivery costs.	15 Years
OPS	2300	MEAN Mutual Aid	Records to track the operations of the Mutual Aid program including	7 Years
OPS	2400	MEAN PPGA Plant	Managing agent PPGA Records	Life of Plant
OPS	2500	Unit Capability testing	Unit Capability Testing	Life of asset + 10 years
OPS	2600	Asset management & GIS Mapping	Asset management & GIS Mapping are 2 services that NMPP hopes to provide to members in the near future. At this point, NMPP is not sure what records will be required to provide this service, but they know that the retention will be based on the life of the asset.	Life of asset + 10 years
OPS	3000	NPGA Pipeline Maps	Maps of pipelines where NPGA operates including receipt points.	Superseded + 3 Years
OPS	4000	RFPs	Request for Proposals	Life of Contract + 7 Years
OPS	4100	RFPs (Rejected)	Request for Proposals	10 Years
OPS	4200	RFPs	RFPs (both incoming and outgoing) NOTE: RFPs not awarded are kept for 7 years.	Termination of Contract + 7 Years
OPS	5000	ACE Operations	ACE Choice Gas Campaign - marketing and operations materials. Also includes customer information.	7 Years
OPS	5100	ACE Historical Reports	Reports and Studies - monthly, special and other studies and reports of agencies, officials, committees or consultants which are not listed separately.	Permanent
OPS	5200	ACE Marketing	Publications and Publication files - records for publication may include background material, copy, original artwork, photo negatives, prints, flats and final publications in any format including, but not limited to, video, audio, electronic and Internet based publications.	Review Every 10 Years
<b>Risk</b>				

Code		Record Category	Description/Examples	Proposed Retention Requirement
RSK	1000	NERC Compliance & Monitoring Program	Records related to the content and administration of company-sponsored NERC training programs.	2 audit cycles
RSK	2100	Audits - External	External audit program.	10 Years
RSK	7000	Surveys, Assessments, and Associated Correspondence	Risk management related surveys and assessments of insureds.	7 Years