

# **Schedule 115**

## **NEBRASKA PUBLIC POWER DISTRICT**

**July 24, 2009**

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

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

|                                     |                                       |
|-------------------------------------|---------------------------------------|
| SCHEDULE                            | <b>115</b>                            |
| AGENCY, BOARD OR COMMISSION         | <b>NEBRASKA PUBLIC POWER DISTRICT</b> |
| DIVISION, BUREAU OR OTHER UNIT      |                                       |
| Supersedes Edition of March 2, 2004 |                                       |

**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 | <i>Ronald D Arche</i>      |               |
| TITLE     | <i>President &amp; CEO</i> | DATE          |
|           |                            | <i>7-8-09</i> |

**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             |
| <i>Doreen Koontz</i> | <i>7-14-2009</i> |

**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           |
| <i>Dawn Huffman</i> | <i>7-22-09</i> |

**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                 |
| <i>John A. Galt</i> | <i>July 24, 2009</i> |

## **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 or transfer to the NE State Historical Society (State Archives), your agency is required to contact the State Archives and negotiate the transfer. Additionally, once the records are accessioned to their collection, they become the possession of the State Archives. 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**

## Nebraska Public Power District Records Retention Schedule

| Retention Code | Retention Period | Retention Code Title                      | Description  |
|----------------|------------------|---|--|
| A10            | 3                | Internal Services / Facilities Management | Records related to provision of services and goods as internal support by company personnel and records related to asset management and the movement or tracking of company property (non-plant). Includes office materials and supplies orders, postal operations and shipping notices, and forms management. Also includes inventory, movement, and use logs of vehicles, equipment, tools, materials and supplies, maintenance and operation of equipment and systems, and vehicle records. See G20 for accounting acquisition and sale records; L20 for service contracts; L22 for leases, deeds, titles warranties, and land records. |
| A11            | ACT + 1          | Planning / Forecasting                    | Records related to future planning and forecasting of business activities. Includes departmental plans and forecasts for future operations and programs, such as annual plans, five- and ten-year strategic plans and forecasts, future facility requirements, growth forecasts. See F20 for budgets; O21 for load forecasting and planning. Active ceases when the record is no longer referenced or in use.  |
| A12            | ACT              | Contract / Project Administration         | Records related to the administration of work orders and contracts. These records are not subject to any retention requirement specified in the contract. Original work product is filed in the appropriate record series. Active ceases when the record is no longer referenced or in use.  |
| A21            | ACT+5            | Construction and Maintenance              | Records related to the construction, design, maintenance, and repair of company office and telecommunications facilities. See N30 and P10 for nuclear and non-nuclear plant construction and maintenance. Active ceases when construction or maintenance activity is discontinued.   |
| A30            | ACT+10           | Policies / Procedures                     | Records documenting company approved methods or processes for performing activities to ensure uniformity and compliance with company and legal requirements. Includes department and corporate procedures, directives, standards and manuals. See retention groups starting with N for nuclear plant procedures. Active ceases when the policy or procedure is superseded or no longer referenced or in use. Records are subject to review by the State Archivist before disposal.   |
| A31            | ACT+7            | Internal Audits                           | 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. These audits are not required by contract, agency, or statute. See F70 for financial audits; L51 for tax audits; N30 for nuclear plant audits. Active ceases when the audit or review is completed or closed.  |
| A32            | ACT+10           | Policies / Procedures Compliance          | Records that are not required by law or contract and that demonstrate compliance with and consistent enforcement of internal policies and procedures. Includes NPPD records destruction notices/certificates, and destruction holds/releases. Active ceases when the record is no longer referenced or in use. Records are subject to review by the State Archivist before disposal.   |

| <b>Retention Code</b> | <b>Retention Period</b> | <b>Retention Code Title</b>                      | <b>Description</b>   |
|-----------------------|-------------------------|--|--|
| A40                   | ACT+3                   | Security Systems                                 | Records related to security systems for protection of employees, equipment, facilities, and information. Includes security investigations, security clearances, security badges, and master keys and pass card lists.<br>See H24 for individual employee investigations; A50 for computer security.<br>Active ceases when records are superseded or are no longer referenced or in use.  |
| A50                   | ACT+3                   | Information Systems / Hardware                   | Records related to selection, administration, and maintenance of computer hardware, electronic communications, optical disks, etc. Includes records related to hardware performance and overall management of systems and security records for electronic information.<br>See A30 for policies/procedures; A51 for software documentation and backup.<br>Active ceases after a change occurs or when the items are no longer in use.   |
| A51                   | ACT                     | Information Systems / Software                   | Records related to software used by NPPD, including source code, technical data and information, specifications, requirements, system documentation, operating instructions, related users manuals and backups needed for disaster recovery or regulatory purposes.<br>See A30 for policies/procedures; A50 for other information system records.<br>Active ceases when the information is no longer needed for current operation of the application or for disaster recovery or regulatory requirement. |
| A60                   | 10                      | General / Management Information                 | Annual statistical reports provided to management to inform them of company activities and for internal administration or operating purposes. Also includes records and information of a general nature that do not fit into other categories.<br>See A61 for quarterly, periodic, and other statistics and reports that are preliminary to these annual or summary reports.   |
| A61                   | 2                       | Periodic / Miscellaneous Reports and Information | Miscellaneous reports and other records which need only be reviewed for a short period - a day, week, or quarter. Includes periodic reports for financial, operating, and other statistical and status reporting.<br>See A60 for annual statistical reports.   |
| A62                   | SUP                     | Periodic Replacement Records                     | Records replaced periodically by newer, updated records. Includes government regulations, directories, mailing lists, abbreviation lists, vendor brochures, software, and supplies inventory listings.<br>Records are retained until superseded by more current records.   |
| A63                   | ACT                     | Reference  | Records and information of a reference nature only, including general information on competitors, and publications in the public domain, such as professional proceedings.<br>Active ceases when record is no longer referenced or in use.   |

| <b>Retention Code</b> | <b>Retention Period</b> | <b>Retention Code Title</b>            | <b>Description</b>   |
|-----------------------|-------------------------|--|--|
| A70                   | ACT                     | Non-Company Records                    | Items in inventory, draft/working copies of final documents, and other items that are not a company record. Includes letters of transmittal that add nothing to the information transmitted, shorthand notes or sound recordings that have been transcribed, draft versions of electronic or paper documents that have been finalized, stocks of blank forms or tapes and publications or reproduced materials preserved for supply purposes, commercially published books, magazines, catalogs, and vendor catalogs.<br>Active ceases when the item is superseded or is no longer referenced or in use. |
| E10                   | IND                     | Reports                                | Records related to environmental analysis, assessments, evaluations, compliance, risk, environmental audits, etc., that are not required by a government agency.<br>See E40 for reports related to toxic substances and hazardous materials.   |
| E20                   | ACT+5                   | Air and Water Quality                  | Records related to air and water quality environmental programs, including monitoring, emission estimates, air modeling studies, ground water studies, source testing and analyses, etc.<br>Active is while record is still referenced or in use.  |
| E30                   | IND                     | Solid Waste Management                 | Records related to the disposal of non-hazardous solid waste at NPPD operated properties.  |
| E40                   | IND                     | Toxic Substances / Hazardous Materials | Records related to environmental testing, plans, and management with long term implications. Includes control and management of hazardous or toxic materials, environmental assessments of properties, underground storage tanks, waste generation, storage, treatment, release, transportation and disposal, spill prevention and control, accidents and restorative actions, and radiological sampling. Covers substances such as used oil, asbestos, PCB's.<br>See E41 for monitoring and testing of the workplace environment; H60 for related training; H71 for hazardous exposure medical records. |
| E41                   | IND                     | Monitoring and Testing (Safety)        | Records related to sampling, measurements, monitoring, and analyses of noise, coal dust, radiation, and other contaminants in the workplace.<br>See L50 for NRC reporting requirements; H60 for records on related training; H71 for exposure medical records.   |
| F10                   | 10                      | Banking                                | Records related to business transactions with any banking institution. Includes deposits, checks and cancelled checks, check registers, cash management, short-term investments, bank statements, reconciliations, drafts, automatic deposit plans, wire transfers, revenue and operating funds.<br>See G13 for payroll banking.   |
| F20                   | ACT+10                  | Budgets / Cost Analysis                | Records related to internal financial planning and financial management. Includes corporate and department final capital, expense, operating and other budgets, and information related to financial and economic analysis, pricing and costing.<br>Active ceases when the plan/budget/analysis time frame has been completed.   |
| F30                   | ACT+6                   | Investments                            | Records related to the tracking and management of investments in stocks, bonds, mutual funds, etc., including retirement trusts and other benefits plans, such as deferred compensation and savings plans.<br>Active ceases with termination or expiration of investment.  |

| <b>Retention Code</b> | <b>Retention Period</b> | <b>Retention Code Title</b>              | <b>Description</b>  |
|-----------------------|-------------------------|--|---|
| F40                   | ACT+6                   | Financing / Bonds                        | Records related to issuance of debt and equity papers in the form of bonds, stock, or other public securities. Includes bond certificates, records of compliance with bond provisions, and notes receivable.<br>Active ceases with redemption or cancellation of bond, note, or other debt instrument.  |
| F50                   | ACT+6                   | Loans / Credit Lines                     | Records related to the application and management of loans through the company. Includes reports to lenders, debt information, work papers, write-offs, write-downs, losses.<br>Active ceases when the record is no longer referenced or in use.  |
| F60                   | ACT+3                   | Collections / Bad Debts                  | Records related to receiving of payments for services and to monitoring, collection, and writing off of bad debts. Includes authorizations and supporting details of uncollectible accounts.<br>Active ceases with discontinuation of the bad debt and collection activity.   |
| F70                   | LOC+10                  | Financial Statements and External Audits | Financial statements, reports, and external audits of those financial statements. Includes financial statements such as annual/quarterly reports submitted to government agencies, final audits, and audit workpapers related to determining the accuracy of financial statements. Working papers, monthly, and year-to-date statements are superseded by year end final statements.<br>See A31 for internal audits.  |
| F80                   | 3                       | Purchasing                               | Records related to request for quotes or bids, bid review, purchase requisitions, purchase order registers, historical purchasing data, receiving, inspection of merchandise, proof of receipt, etc.<br>See G10 for accounts payable; F81 for purchase orders; L20 or L22 for contracts and agreements.   |
| F81                   | ACT+6                   | Purchase Orders                          | Records related to actual purchases or commitments to purchase and authorizations for expenditures.<br>Active ceases at the end of the time period covered by the purchase order.   |
| F82                   | 6                       | Materials and Supplies                   | Records related to tracking of materials and supplies, including stores activity records.   |
| F90                   | ACT+10                  | Rates                                    | Records related to the preparation, adjustment, calculation, and presentation of new or revised utility rates.<br>Active ceases when the rates are no longer in effect.   |
| G10                   | 10                      | Accounts Payable / Receivable            | Records and reports related to payment of financial obligations and to receipt of revenues. Includes bills, invoices, authorization for payment; costs for right-of-ways, licenses, registrations, and permits; employee expenses; credit card charges and payments; petty cash; rental and lease payments and income; tax payments and refunds; billings for materials and services; customer payments and deposits, wholesale billing and vendor reports, and revenues summaries.<br>See G11 for general journals/ledgers; G12 for payroll; G20 for capital property. |
| G11                   | 10                      | Non-Plant Ledgers / Journals             | Records used to transfer charges between accounts and for summarizing general account information, including cumulative detail for each year of general ledger, journal vouchers and journal entries, and subsidiary ledgers.<br>See F70 for financial statements; G12 for plant accounting ledgers.  |

| <b>Retention Code</b> | <b>Retention Period</b> | <b>Retention Code Title</b>                    | <b>Description</b>   |
|-----------------------|-------------------------|--|--|
| G12                   | 50                      | Plant Ledgers / Journals                       | Records used to transfer charges between accounts and for summarizing plant account information, including cumulative detail for each year of general ledger, journal vouchers and journal entries, and subsidiary ledgers.<br>See G11 for non-plant ledgers/journals.   |
| G13                   | 10                      | Payroll  | Records related to payment of financial obligations associated with wages and deductions, benefit and pension deductions, garnishments, and other adjustments to payroll checks, payroll tax returns, payroll reports, wage and tax statements, Form W-2, and Form W-4. Includes time sheets and other time records.   |
| G20                   | ACT+10                  | Capital Property Acquisitions and Sales        | Records related to payment, tracking, and receipt of financial obligations associated with capital expenditures and improvements and depreciation. Includes purchases of land, buildings, office, and computer equipment and furnishings, and motor vehicles. Also includes materials transfers, work orders, additions, or improvements to building or equipment, and property reporting.<br>See F80 for purchasing records.<br>Active ceases with disposition of the property or equipment. Records may be transferred with the asset if sold. |
| G30                   | ACT                     | Accounting Management Information              | Records and reports related to managing and determining accuracy of accounting information. Includes register changes, data edits, error reports, etc.<br>See G11 and G12 for final journals and ledgers.<br>Active ceases when the records have safely been replaced by more current records or by manipulations of the existing data, or when they have been summarized elsewhere.   |
| H10                   | ACT+7                   | Benefits Plans and Compliance                  | Records related to company sponsored benefit plans. Includes health and life insurance, pension, disability, medical, vacation and sick benefits, leave of absence plans, educational assistance, and savings plans. Also includes benefit plan government reporting.<br>See G10 for premium payments processing.<br>Active ceases with expiration or cancellation of plan.  |
| H11                   | ACT+6                   | Benefit Plan Contributions / Benefits Provided | Records related to contributions to and participation in company sponsored benefit plans. Includes insurance claims, pension contributions and benefits, disability benefits, savings plans, beneficiary elections, and insurance enrollment and change forms.<br>Active ceases with activity completion, claim settlement, or when current summary of employee eligibility for benefits is superseded.  |
| H20                   | ACT+3                   | Employee Statistics and Summaries              | Records related to employees that are summary records (not identifiable by individual employee), such as EEO statistics, management reports, or monthly statistics on hiring, promotions, wages, etc.<br>Active ceases when the record is no longer referenced or in use.  |



| <b>Retention Code</b> | <b>Retention Period</b> | <b>Retention Code Title</b>                      | <b>Description</b>   |
|-----------------------|-------------------------|--|--|
| H21                   | ACT+5                   | Employee Records / Short Term                    | Detail, individual employee records, including hiring, promotion, performance evaluations, work schedules and attendance records, general training, disciplinary action, etc. Also includes records related to employee complaints and grievances, including investigative information and test results. See H22 for term of employment records; L40 for formal complaints and claims filed with courts or agencies outside NPPD.<br>Active ceases with employment termination or closure of complaint or grievance. |
| H22                   | IND                     | Employee Records / Term of Employment Historical | Individual employee records summarizing term of employment, individual job descriptions, salary and wage schedules, test scores, technical (nuclear and non-nuclear) training, safety and environmental training, resumes and applications, and termination records.<br>See H31 for standard job descriptions.   |
| H23                   | ACT+3                   | Employee Immigration                             | Records related to identification and verification of employee eligibility to work in the U.S. Includes I-9 forms, which must be maintained in a file separate from all other employee records.<br>Active ceases with employment termination.  |
| H24                   | ACT+5                   | Employee Investigations                          | Records related to background and incident investigations.<br>See H21 for employee complaints and grievances.<br>Active ceases with employment termination.  |
| H30                   | ACT+3                   | Salary Administration                            | Reports related to the process of determination and monitoring of salary and wage rates, including position evaluation files, wage and salary surveys, etc.<br>See G13 for payroll and deductions accounting records.<br>Active ceases when the record is no longer referenced or in use.  |
| H31                   | IND                     | Job Descriptions                                 | Records of job descriptions and other documentation used to determine salary classifications.<br>Includes benchmark information, position evaluation files, etc.   |
| H40                   | ACT+5                   | Recruitment and Staffing                         | Records related to employee recruitment and selection and staffing matters, such as leaves of absence and overtime. Includes promotions and transfers, job vacancy requisitions, advertising, applications, promotion, transfer considerations, employee selection, and ADA records.<br>See H21 for individual employee records of those employees hired.<br>Active ceases when the record is no longer referenced or in use.  |
| H60                   | IND                     | Environment / Safety / Technical Training        | Records related to environmental, safety, and technical (both nuclear and non-nuclear) employee training. Includes safety training for compliance with OSHA and MSHA standards on heavy equipment, respirators, underground tunnels, drivers training, hazard communication, and hearing conservation.<br>See H22 for individual training records.<br>Active ceases with termination of the course or program, or when the training is no longer required as a matter of governmental regulation.                    |

| <b>Retention Code</b> | <b>Retention Period</b> | <b>Retention Code Title</b>            | <b>Description</b>   |
|-----------------------|-------------------------|--|--|
| H61                   | ACT+3                   | Personal Development Training Programs | Records related to development and operation of company sponsored training programs and seminars for personal and professional development. Includes training course materials, curricula, training manuals, audiovisuals, and course schedules.<br>See H21 for individual training records.<br>Active ceases when the record is no longer referenced or in use.   |
| H62                   | ACT+10                  | Safety and Emergency Plans             | Records documenting safety and emergency plans, such as fire prevention plans, disaster preparedness and recovery plans, chemical accident plans and procedures, and other emergency plans related to general health and safety.<br>See N21 for nuclear plant security plans.<br>Active ceases when plan is superseded or is obsolete.   |
| H70                   | ACT+6                   | Medical / Accident / Illness Records   | Medical records related to employee and contractor treatment, examinations, history, etc. Includes accident and illness records and copies of worker compensation and legal claims.<br>See L40 for original claims files; H71 for medical records related to hazardous exposure.<br>Active ceases with employment termination.   |
| H71                   | IND                     | Hazardous Exposure Medical Records     | Medical records related to exposure or possible exposure to hazardous or toxic substances. Includes baseline testing, historical medical records, and monitoring records.<br>See E41 for monitoring of work areas for contaminants.  |
| H72                   | ACT+6                   | Fitness for Duty                       | Records related to security and employment suitability, qualifications and training of nuclear plant employees. Includes security training plan, contract and security personnel medical examinations, physical fitness records, qualifications, training certifications, weapons qualifications, background and incident investigations, felony sheets, and drug test results.<br>See H60 for training materials.<br>Active ceases with employment termination or when requalification is superseded. |
| H80                   | ACT+1                   | OSHA / Safety Compliance               | Records related to OSHA and other safety requirements, including OSHA logbook and safety audits.<br>See H60 for specific MSHA requirements.<br>Active ceases when the record is no longer referenced or in use.  |
| H81                   | IND                     | Material Safety Data Sheets (MSDS)     | Material Safety Data Sheets for products used by NPPD.   |
| L10                   | IND                     | Business Organization / Trademarks     | Records related to the creation and formal proceedings of the company and its subsidiaries. Includes Director orientation records and records related to the protection of intellectual properties and rights through the preparation, filing, and maintenance of appropriate registrations.   |
| L20                   | ACT+6                   | Contracts / Agreements – General       | Records related to rights and obligations under contracts, leases, and other agreements between the company and outside parties. Includes contracts for sales and purchases of products and services, customer agreements, and consultant contracts.<br>Active ceases with expiration or cancellation of the contract or agreement.  |

| <b>Retention Code</b> | <b>Retention Period</b> | <b>Retention Code Title</b>         | <b>Description</b>   |
|-----------------------|-------------------------|-------------------------------------|--|
| L22                   | IND                     | Contracts / Agreements – Long-Term  | Records related to long term rights and obligations under contracts, leases, and other agreements between NPPD and outside parties that may have long-term implications. Includes agreements for treatment, disposal, or other handling of toxic, hazardous or similar materials for which legal liability may be imposed upon the generator of such materials for an indefinite period. Includes franchise agreements, government contracts, purchase, sale, or lease of real property, land records, leases, deeds, titles, quit claim deeds, incorporated warranties, information regarding transfers or assignment of rights in real property, real property improvements, or demolition on real property. Also includes agreements that are one of a series of agreements between parties or that are part of a larger, connected relationship between the parties. |
| L30                   | ACT+6                   | Insurance Policies                  | Records related to insurance coverage affecting the company, such as property insurance. Includes policies, amendments, riders, billings, proof of payment.<br>See H10 for employee medical and life insurance policies; L31 for liability insurance policies.<br>Active ceases with termination or expiration of policy.  |
| L31                   | IND                     | Future Liability Insurance Policies | Records related to insurance coverage for product liability, nuclear plant, exposure to hazardous substances, or other problems that may manifest long after a policy terminates. Includes environmental liability and nuclear liability insurance, general, worker compensation, umbrella, excess, and wrap-around insurance policies regarding liability.<br>See F40 for insurance bonds.  |
| L40                   | ACT+10                  | Claims and Litigation               | Records related to claims, litigation, government investigation, judgments, and other activities of a legal nature for or against the company. Includes pleadings, discovery, attorney work-products, transcripts, exhibits, etc. Also includes District claims for unpaid electric service bills or other liabilities and customer bankruptcy.<br>Active ceases with settlement and/or final court order. A court-ordered retention is used if appropriate.   |
| L50                   | ACT+10                  | Compliance (Statutory / Regulatory) | Records related to the preparation of documents required by law or order, external audits required by government agencies, and evidence of compliance not covered elsewhere. Includes reporting and filings with agencies such as EIA, DOE, election reporting, FERC, FAA, worker compensation, EEOC, water issues, etc.<br>See F70 for financial statements and audits filed with agencies; L51 for tax returns.<br>Active ceases when the record is no longer referenced or in use.  |
| L51                   | ACT+7                   | Tax Returns / Audits                | Tax and information returns and related records for taxes paid, tax audits, payment receipts, and supporting documentation. Includes sales, use, and property tax returns.<br>Active ceases when the record is no longer referenced or in use.   |
| L52                   | ACT+6                   | Agency / Court Orders               | Records related to court or regulatory agency orders issued to company, including garnishments, subpoenas for company documents, law enforcement subpoenas, and tax orders.<br>Active ceases with final response to order.   |

| <b>Retention Code</b> | <b>Retention Period</b> | <b>Retention Code Title</b>           | <b>Description</b>  |
|-----------------------|-------------------------|---------------------------------------|---|
| L53                   | ACT+6                   | Licenses / Permits                    | Licenses and permits, permit applications and support materials, and other records related to same that are required to conduct business, collect taxes, etc. Includes environmental operating permits and licenses, radioactive materials/equipment licensing, nuclear licensing, license amendments, FERC operating license and relicensing records, lease permitting, use permits, and commercial motor vehicle tester certification.<br>Active ceases with expiration of the lease or permit. |
| L54                   | IND                     | Public Records Requests and Responses | Records of requests made under the Public Records Act and NPPD response.  |
| L55                   | LOA+6                   | Telecommunications Facilities         | Records related to radio and other telecommunications facilities. Includes tower lighting, transmitter and frequency measurements, radio and site alarm system checklists, radio maintenance records, communications facilities/service request, and other project records.<br>Active ceases with disposition of the asset.   |
| L61                   | IND                     | Legal Projects and Opinions           | Records related to determining legal requirements, providing legal advice within the District, and records resulting from legal projects that document the specific legal advice provided or that preserve the detailed research and analysis on specific legal topics or issues.   |
| M10                   | 10                      | Market Profiles and Research          | Records related to existing and potential markets and to market research.   |
| M20                   | 6                       | Promotion and Advertising             | Records related to promotion and advertising of NPPD and its products and services to potential and existing customers. Includes customer visits and tours.   |
| M30                   | ACT+6                   | Customer Records                      | Records related to existing or past individual customers, including copies of customer contracts, complaints, and services provided, such as medical monitoring equipment.<br>See L40 for delinquent customer claims.<br>Active ceases with discontinuation of services to the customer.  |
| M31                   | 6                       | Customer Billing                      | Records related to billings for retail and wholesale customers.<br>See G10 for account receivable processing; L20 or L22 for original contacts and agreements; L40 for delinquent customer claims.  |
| M40                   | ACT+3                   | Proposals / Bids (Unsuccessful)       | Records related to NPPD's unsuccessful proposals and bids to potential customers.<br>Active ceases when the record is no longer referenced or in use.   |
| N10                   | 3                       | Short Term Records                    | Records related to nuclear plant facilities and operations that have retention requirements of three (3) years or less. This retention group was created to consolidate a variety of ANSI N 45.2.9 record retention requirements. Corresponding and related record series are coded to this retention group.<br>See E20 for air and water quality testing.  |
| N11                   | SUP+2                   | Test Instrumentation and Calibration  | Records documenting calibration and inspection of test instruments. Records are retained for two years after they are superseded.   |

| <b>Retention Code</b> | <b>Retention Period</b> | <b>Retention Code Title</b>                        | <b>Description</b>   |
|-----------------------|-------------------------|--|--|
| N20                   | 6                       | Intermediate Term Records                          | Records related to nuclear plant facilities and operations that have 5 or 6 year retention requirements. This retention group was created to consolidate a variety of ANSI N 45.2.9 record retention requirements. Corresponding and related record series are coded to this retention group.  |
| N21                   | IND                     | Security   | Records related to controlled access to nuclear plant property, including security reviews and the support materials for determining access authorizations and denials, security plans, emergency planning, waste storage plan, etc.<br>See A40 for lists of authorized individuals, logs, etc.; H72 for personnel qualifications.   |
| N30                   | LOP+11                  | Plant Operations / Life-of-Plant Records           | Records related to nuclear plant operations and power generation, including performance, quality assurance program, testing.<br>See H62 for safety and emergency plans; N21 for nuclear plant security plan; P10 for operations records not considered to be life-of-plant that relate to physical properties of the plant and plant radiation records.<br>Active ceases with plant closure.<br>Records are subject to review by the State Archivist before disposal.  |
| O10                   | ACT+6                   | Power Purchases and Sales                          | Records related to the sale and purchase of power. Includes load records, purchases, budgets, etc.<br>Active ceases with date of purchase or sale transaction.   |
| O20                   | LOA+6                   | Transmission and Distribution                      | Records related to the distribution of power and design, development, construction and maintenance of power distribution systems, such as substations, transmission lines, and subtransmission lines.<br>Active ceases with disposition of the asset.  |
| O21                   | ACT+10                  | Products / Services Planning / Forecasting         | Records related to planning and forecasting of power production needs, including load forecasting, cost studies, etc.<br>Active ceases when the record is no longer referenced or in use.  |
| O30                   | IND                     | Water  | Records related to the management and sales of water for irrigation.   |
| P10                   | LOA+10                  | Design / Engineering, Construction and Maintenance | Records related to the design and engineering, construction, and maintenance of both nuclear and non-nuclear power plant and distribution systems facilities and equipment. Includes engineering, project files, engineering studies, design change packages, and engineering work packages.<br>See G12 for plant ledgers; G20 for non-plant capital acquisition records.<br>Active ceases with life of the asset (equipment, system, or plant). Records may be transferred with the asset if sold.<br>Records are subject to review by the State Archivist before disposal. |
| P20                   | LOA+6                   | Fossil Operations                                  | Records related to production of electricity, including outages, performance, quality control, testing, etc.<br>Active ceases with life of asset (equipment, system, or plant.)  |

| <b>Retention Code</b> | <b>Retention Period</b> | <b>Retention Code Title</b>        | <b>Description</b>   |
|-----------------------|-------------------------|------------------------------------|--|
| P30                   | ACT+6                   | Non-Nuclear Fuel                   | Records related to acquisition, management, and use of fuels for non-nuclear power plants. Includes freight bills, purchases of diesel fuel, and coal and fuel shipment records. Active ceases when the record is no longer referenced or in use.  |
| P40                   | IND                     | Decommissioning / Retirement       | Records related to plant retirement or decommissioning work in progress. Includes ledgers, work orders, and supplemental records. Active ceases with completion of plant retirement or decommissioning process.  |
| X10                   | 3                       | Community Relations                | Records related to participation in or promotion of company activities through community and civic organizations and associations. Includes charitable contributions requests and replies.   |
| X20                   | ACT+5                   | Government Relations               | Records related to monitoring government activities, proposed laws, and political action committees. Includes interpretations, comments, testimony, or other input regarding bills pending in the state legislature or proposed administrative regulations by state (Nebraska) regulatory authorities. Active ceases when the issue or legislation is no longer pending.   |
| X30                   | 5                       | Industry / Professional Relations  | Records related to industry and professional associations and groups, including meetings, directories, conference materials, studies, reports, etc. Includes NUMARC (Nuclear Management and Resources Council) and INPO (Institute of Nuclear Power Operations.)   |
| X40                   | 5                       | Publicity and Publications         | Records related to the promotion of the company's image and activities, including press releases, publications, photographs, speeches, presentations, recordings, and video tapes produced by or for NPPD. Also includes awards presented to the company. See X60 for publicity of significant events appropriate for long term, historical preservation; M20 for advertising and marketing records. Records are subject to review by the State Archivist before disposal.   |
| X60                   | LOC                     | Incorporation / Historical Records | Records determined to possess significant long-term historical value such as organization charts, annual reports, awards, publicity, etc. Includes records related to board minutes and notices, and board committee meetings. Handwritten notes are retained only until the formal meeting minutes are approved. One copy of supporting presentations is maintained with the final, approved minutes. Records are subject to review by the State Archivist before disposal. |

# RECORDS DISPOSITION REPORT

|   |              |
|---|--------------|
| <b>TO: SECRETARY OF STATE<br/>RECORDS MANAGEMENT DIVISION<br/>440 S. 8<sup>TH</sup> STREET SUITE 210<br/>LINCOLN, NE 68508-2294</b> | AGENCY       |
|   | DIVISION     |
|   | SUB-DIVISION |

## REQUIRED INFORMATION:

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

| SCHEDULE NUMBER(S) ONLY<br>(DO NOT INCLUDE SECTION AND ITEM NUMBERS) | TOTAL VOLUME DISPOSED<br>(SEE REVERSE) |
|--|--|
|  |  |
|  |  |

## 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 |
|------|-----------|

**SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.**

RMA 03006D

## VOLUME ESTIMATING GUIDE

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

| <b>Container</b>                                   | <b>Cubic Feet</b>  | <b>Weight (lbs)</b>             | <b>Sheets of Paper (8.5" x 11")</b> | <b>Electronic Data Equivalent</b> |
|--|--------------------|---------------------------------|-------------------------------------|-----------------------------------|
|  |                    |                                 | <b>1</b>                            | <b>20 Kb</b>                      |
|  |                    |                                 | <b>52</b>                           | <b>1 Mb (1024 Kb)</b>             |
|  |                    |                                 | <b>53,687</b>                       | <b>1 Gb (1024 Mb)</b>             |
| <b>N/A</b>   | <b>N/A</b>         | <b>2,204 lbs (1 metric ton)</b> | <b>220,000</b>                      | <b>4.1 Gb</b>                     |
| <b>Records center carton</b>                       | <b>1 Cu. Foot</b>  | <b>16.66 lbs</b>                | <b>1,667</b>                        | <b>32 Mb</b>                      |
| <b>Vertical File Cabinet, 4 drawer letter-size</b> | <b>6 Cu. Feet</b>  | <b>100 lbs</b>                  | <b>10,000</b>                       | <b>190 Mb</b>                     |
| <b>Vertical File Cabinet, 4 drawer legal-size</b>  | <b>8 Cu. Feet</b>  | <b>133.3 lbs</b>                | <b>13,333</b>                       | <b>254 Mb</b>                     |
| <b>About a pickup load</b>                         | <b>50 Cu. Feet</b> | <b>7,500 lbs</b>                | <b>748,638</b>                      | <b>14 Gb</b>                      |