

**DRAFT -NEW YORK STATE RELIABILITY COUNCIL, LLC (“NYSRC”)**

**POLICY NO. 2-~~76~~**

**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 marketplace 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 ~~Formation~~ Agreements, Policies and Code of Conduct.
  - NYSRC Reliability Rules and Procedures.
  - NYSRC Reliability Compliance Program ~~materials~~.
  - NYSRC publications and reports that have been approved for ~~public release~~ publication and website posting 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 ~~and~~ final minutes.
2. **NYSRC Executive Committee, Subcommittee & Working Group meeting agendas and working documents –** These documents include, but are not limited to:
  - Meeting Agendas – Items to be discussed or 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 ~~viewable~~ accessible through software applications (i.e. – WebEx).

NYSRC Policy 2-~~76~~ “NYSRC Openness and Records Management Policy”

Approved by the NYSRC EC Executive Committee ~~on~~ on 06xx/13xx/202542/12/2021

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 ~~publicly noticed any~~ meeting of the NYSRC Executive Committee, or any of its designated Subcommittees and Working Groups. Artificial Intelligence based attendance, note taking, recording and transcription preparation software of any kind is prohibited from eligibility to participate on NYSRC meetings.

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 ensure 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. Recording of any meeting of the NYSRC is prohibited.

~~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."

~~4.5. 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. Documents no longer on the NYSRC website, but within the retention period may be obtained by contacting the current NYSRC Secretary as identified on the NYSRC website.

**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 the date of creation or expiration of the document, whichever is applicable, unless otherwise determined by the Executive Committee.

**Application of Retention Period to Electronic and Physical Records:**

NYSRC Policy 2-76 "NYSRC Openness and Records Management Policy"  
Approved by the NYSRC EC Executive Committee on ~~06xx/13xx/2025~~ 42/12/2021  
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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 and posted. 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 the expiration of the record or any time thereafter.

Records eligible for destruction that have exceeded the retention period will be identified annually by the appropriate responsible individual listed in the attachment.

6. There is a need to keep certain meeting materials of the NYSRC- Installed Capacity Subcommittee (ICS) confidential and not visible to any New York Independent System Operator market participant until the document isy-are posted on the NYSRC website, so that the document isy-are visible to all persons at the same time.

• All documents that relate to establishing the level of the IRM or LCRs shall be posted on the NYSRC website before they are distributed to ICS Members or brought up at the ICS meetings. The NYISO shall submit all such documents marked as Market Sensitive (MS) to the NYSRC Consultants who have a non-disclosure agreement with the NYISO.

• The NYSRC ICS Consultants shall be responsible for coordinating and ensuring the timely transmittal of all such documents to the NYSRC Administrative Assistant for posting on the NYSRC web site. In the event the NYSRC Administrative Assistant is unavailable for posting documents related to establishing the level of the IRM or LCRs in a timely manner, the Executive Committee Executive Secretary will have the authority to post the documents.

• After posting on the NYSRC web site, documents that relate to establishing the level of the IRM or LCRs may be distributed to ICS members before an ICS meeting or displayed to ICS members at an ICS meeting.

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**Attachment to NYSRC Policy 2-7 - NYSRC Records Retention Schedule**  
**6/13/2025**

| <u>New York State Reliability Council Record</u>                   | <u>Responsible Entity for</u>   | <u>Website</u> | <u>Posting</u> | <u>Repository Retention Period</u>                                 |
|--|---|----------------|----------------|--|
|  | <u>Record</u>   | <u>posted</u>  | <u>Period</u>  |  |
| <b>1. NYSRC Formation Documents - Counsel</b>                      |   |                |                |  |
| - 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   | Yes            |                | Permanent  |
| - Authorization to do business in the State of New York State      | Counsel   | Yes            |                | Permanent  |
| - IRS Authorization for Tax Exempt Status                          | Counsel   | Yes            |                | Permanent  |
| <b>2. NYSRC Filings - Counsel</b>                                  |   |                |                |  |
| - 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                    | Treasurer   | No             |                | Through 5 years from year of record creation                       |
| - Biennial Filings with the New York Department of State           | Treasurer   | No             |                | Through 5 years from year of record creation                       |
| <b>3. Financial Documents - Treasurer</b>                          |   |                |                |  |
| - Annual audits reports  | Treasurer   | No             |                | <del>Permanent</del> Through 5 years from year of record creation  |
| - Annual tax returns   | Treasurer   | No             |                | <del>Permanent</del> Through 5 years from year of record creation  |
|  | Counsel for Creation & Treasurer for application and Secretary for record keeping |                |                |  |
| <b>4. Service Agreements (Contractors and other Services)</b>      |   | No             |                | Through 5 years from year of record expiration                     |
| <b>5. Insurance Policies</b>                                       | Treasurer   | No             |                | Through 3 years from year of expiration or when policy is replaced |
| <b>6. Executive Committee – EC Secretary</b>                       |   |                |                |  |
| - Final Meeting Minutes  | EC Secretary  | Yes            |                | Permanent  |
| - Meeting materials  | EC Secretary  | Yes            |                | Through 5 years from year of record creation                       |
| - Member information – Current Roster                              | EC Secretary  | Yes            |                | Current version as updated for 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                       |
| <b>7. NYSRC Subcommittees – Subcommittee Chair (ICS/RRS/RCMS)</b>  |   |                |                |  |
| - Final Meeting minutes  | Subcommittee Chair  | Yes            |                | Permanent  |
| - Meeting materials  | Subcommittee Chair  | Yes            |                | Through 5 years from year of record creation                       |
| - 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  |
| <b>8. Reliability Rules - RRS Chair</b>                            |   |                |                |  |
| - 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  |
| <b>9. NYSRC Policies</b>   |   |                |                |  |
| - Current Versions of NYSRC Policies in effect                     | EC Secretary  | Yes            |                | Retained until superseded  |