

# **JOHN HART GENERATING STATION REPLACEMENT PROJECT**

## ***Schedule 20***

### ***Records and Reports***

## **SCHEDULE 20**

### **RECORDS AND REPORTS**

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#### **APPENDIX 20A      RECORD CLASSIFICATION REQUIREMENTS**

## SCHEDULE 20

### RECORDS AND REPORTS

#### 1. GENERAL REQUIREMENTS

- (a) Project Co will retain and maintain all the records and reports (including superseded records and reports) referred to in Section 3 [*Records and Reports to be Kept*] of this Schedule as follows:
  - (1) in accordance with this Agreement, including Schedule 2 [*Review Procedure, Consent Procedure and Other Submittals*], Schedule 5 [*Design and Construction Protocols*], Schedule 7 [*Services*], Schedule 9 [*Quality Management*] and this Schedule;
  - (2) in an accurate, complete, legible, readily identifiable, readily retrievable and organized manner, complete with computer generated and searchable meta-data;
  - (3) in a form that is capable of audit;
  - (4) in accordance with the requirements of Good Utility Practice and all applicable Laws;
  - (5) in accordance with Project Co's normal business practices and the Records Management Protocol to which BC Hydro has no objection; and
  - (6) in accordance with Canadian GAAP.
- (b) Wherever practical and unless otherwise agreed, Project Co will retain and maintain original records and reports in hard copy form. Project Co will also maintain all electronic data, records and reports in readable and accessible form.
- (c) If, from time-to-time, BC Hydro agrees to accept the long term retention of certain records or reports using electronic storage media (which must include secure back up facilities), Project Co will make or supply, or have made or supplied, drawings and other documents in such agreed upon form.
- (d) Project Co will retain and maintain all records and reports referred to in Section 3 [*Records and Reports to be Kept*] of this Schedule, all in sufficient detail, in appropriate categories, consistent with the record classification requirements described in Appendix 20A [*Record Classification Requirements*], and generally in such a manner to enable each party to comply with its obligations and exercise its rights under this Agreement.
- (e) Project Co will maintain all records and reports for the period specified for such records or reports in Section 3 [*Records and Reports to be Kept*] of this Schedule and if no period is specified, for not less than 15 years from the date of creation, provided that Project Co

shall not be obligated to maintain copies of any record that has been delivered to BC Hydro pursuant to Section 14.2(g) [*Transfer to BC Hydro of Assets, Contracts, etc.*] of this Agreement.

- (f) Prior to destroying or disposing of any records or reports required to be maintained under Section 3 [*Records and Reports to be Kept*] of this Schedule, Project Co will give BC Hydro not less than 60 days' notice of Project Co's intention to destroy or dispose of records or reports, together with details of the records or reports to be destroyed or disposed of. If within such 60 day period BC Hydro gives notice to Project Co that BC Hydro wishes to receive any of the records or reports, then Project Co will, at its own cost and expense, deliver up such records or reports to BC Hydro in the manner and at the location or locations as BC Hydro specifies, acting reasonably.
- (g) Within 90 days after the Effective Date, Project Co shall implement a comprehensive computerized information management system which will include:
  - (1) all records, reports and other information related to the Facility, the Lands and the Project Work, including the Design, the Construction and all Services delivered under this Agreement;
  - (2) access by designated BC Hydro Persons (through secure online Internet access or other access acceptable to BC Hydro) to all such information, such that the designated BC Hydro Persons will be able to read, copy, download and search all such records and reports without licence or payment;
  - (3) hardware and software which operate the information management and communications systems and which interface with BC Hydro's information technology systems, provided that any changes required and resulting from an upgrade to, or change by, BC Hydro to its systems will be deemed to be a Change and the provisions of Schedule 14 [*Changes*] shall apply;
  - (4) backup and storage in safe custody of the data, materials and documents in accordance with the requirements of this Agreement, Good Utility Practice, and all applicable Laws; and
  - (5) records and details of specific license requirements related to BC Hydro's use of the computerized information management system, if any.
- (h) Within 30 days after the end of each Contract Year, Project Co will deliver to BC Hydro a report, as reasonably requested by BC Hydro in connection with BC Hydro's financial reporting, detailing to the best of Project Co's knowledge at the time of any such report any and all liabilities, claims and demands, including contingent liabilities, claims and demands, that Project Co has or may have against BC Hydro or that may be owing by BC Hydro to Project Co. The Parties acknowledge and agree that the contents of any such report or the failure to mention any matter in any such report will not limit either party's rights or remedies against the other party as contemplated by this Agreement.

- (i) Project Co will provide to BC Hydro not later than 120 days after the end of each fiscal year of Project Co, a copy of Project Co's audited financial statements prepared in accordance with Canadian GAAP, consistently applied, together with copies of all related directors' and auditors' reports and all other notices and circulars to shareholders or partners, all of which documents will be treated by BC Hydro as Confidential Information of Project Co.
- (j) Project Co will prepare and submit reports to BC Hydro, with such frequency and content as is reasonably requested by BC Hydro in order to support BC Hydro's reporting obligations under the Certificate of Public Convenience and Necessity (CPCN) issued by the British Columbia Utilities Commission in relation to the Project.
- (k) BC Hydro and its employees, agents and other representatives may at any time, at BC Hydro's expense, conduct an audit, examination or investigation of all the records and reports (including superseded records and reports) referred to in this Schedule and Project Co will make available its facilities, records and reports and provide reasonable assistance, including providing copies, in the conduct of, and without limiting Schedule 14 *[Changes]* implement any recommendations from BC Hydro arising from, the audit, examination or investigation.

## 2. RECORDS MANAGEMENT PROTOCOL

- (a) Within 90 days after the Effective Date, Project Co shall prepare and submit to BC Hydro's Representative, in accordance with the Review Procedure, a comprehensive records management protocol detailing Project Co's practices and procedures for management, organization, classification, back-up and safe custody of records and reports in accordance with the requirements with this Schedule (the "**Records Management Protocol**").
- (b) Project Co shall implement the Records Management Protocol, to which BC Hydro has no objection, within 120 days after the Effective Date.
- (c) Project Co shall review and amend the Records Management Protocol from time to time throughout the Term, as necessary to ensure that the Records Management Protocol at all times complies with the requirements of this Schedule 20 *[Records and Reports]*. Prior to implementation of an amended Records Management Protocol, Project Co shall submit the proposed amendments to BC Hydro's Representative in accordance with the Review Procedure.

## 3. RECORDS AND REPORTS TO BE KEPT

Subject to, and without limiting, Section 14 *[Procedure on Termination]*, Project Co will retain, and will require its Project Contractors to retain, the following:

- (a) this Agreement, its Schedules, the Project Contracts, including all amendments to such agreements for a period of six years after the Termination Date;

- (b) Senior Financing Agreements and all other documents and instruments in respect of any financing, including all amendments to such agreements for a period of six years after the Termination Date;
- (c) the Financial Model, including the following in respect of the Financial Model:
  - (1) all prior versions;
  - (2) all amendments and modifications;
  - (3) all related or incidental reports; and
  - (4) written operating instructions in sufficient detail to allow BC Hydro to access and review all formulas, coding, data and other inputs;
- (d) the as-built drawings, plans, records and other Construction documentation described in Schedule 5 *[Design and Construction Protocols]* and Schedule 6 *[Design and Construction Specifications]* for a period of six years after the Termination Date;
- (e) all documents relating to the appointment and supervision of Project Co's Representative until the Termination Date;
- (f) all documents relating to the appointment and supervision of the Independent Certifier for a period of six years after the Termination Date;
- (g) all documents relating to all Permits, including applications, refusals and appeals, for a period of six years after the expiry date of the relevant Permit;
- (h) all electronically and manually recorded information, notices, reports (including test reports, results and certificates) and other documents relating to the Design, the Construction, the Site and any other relevant Lands, including documents relating to planning, design, supply, installation, testing, Commissioning, Performance Verification Tests; engineering standards and any other such documents described in Schedule 5 *[Design and Construction Protocols]* or in Schedule 6 *[Design and Construction Specifications]*, for a period of six years after the Total Completion Date;
- (i) all electronically and manually recorded information relating to asset management, monitoring, maintenance, and operation of the Facility, including all Operating Orders (including superseded versions) and any other records described in Schedule 7 *[Services]*;
- (j) all records relating to any inspections of the Facility conducted under applicable Laws or by or for any Governmental Authority;
- (k) all orders or other requirements issued to Project Co by any Governmental Authority for a period of six years after such order or requirement has been satisfied by Project Co;

- (l) all manuals, procedures, guidelines, policies and other similar records in respect of the Facility until the Termination Date, including all information electronically and manually recorded with respect to the Facility for a period of six years after such information was recorded;
- (m) all testing certificates in respect of all Facility elements, components, systems and equipment and appropriate documentation and records (in particular those relating to any aspects of safety or statutory compliance) relating thereto;
- (n) all electronically and manually recorded information with respect to the provision of the Services, including Non-Availability Events, Derates, Outages, Operating Constraints, and Service Disruption Events, and all actions initiated by Project Co to respond to and rectify, such events for a period of six years after such information was recorded;
- (n.1) all electronically or manually recorded reports and information related to quality management, including the Quality Documentation, Quality Records and other records described in Schedule 9 [*Quality Management*], for a period of ten years after creation;
- (o) all electronically or manually recorded reports and information related to safety and security management, including the date and time of any incidents and any other records described in Schedule 12 [*Safety and Security*], for a period of ten years after each such event;
- (p) all electronically or manually recorded reports and information related to environmental management, including the date and time of any environmental incidents and any other records described in Schedule 8 [*Environmental Obligations*], for a period of twenty years after each such event;
- (q) all electronically or manually recorded information and documents related to external relations, including public, stakeholder, government agency and first nations and any other records described in Schedule 23 [*Public Safety and Public Use*];
- (r) all electronically or manually recorded reports and information related to environmental remediation and waste disposal, including the date and time of any incidents, for a period of twenty years after each such event;
- (s) a comprehensive electronic inventory control system and asset register that provides up-to-date records for all Facility elements, components, systems and equipment;
- (t) comprehensive maintenance and overhaul records for the Facility including the date, time and scope of each such activity until the Termination Date;
- (u) all performance monitoring reports and the information and data used to prepare such reports for a period of six years following the date of each such report;
- (v) invoices and payments, including calculation thereof;

- (w) all certificates, licences, registrations or warranties related to the provision of the Services for a period of six years after their expiration;
- (x) all documents relating to Supervening Events and the consequences thereof for a period of six years after the relevant event occurred, or in the case of a matter in Dispute, for a period of six years after a determination has been made with respect thereto;
- (y) all notices delivered to or received from BC Hydro's Representative for a period of six years after receipt;
- (z) all documents relating to a referral to the Dispute Resolution Procedure for a period of six years after a determination has been made with respect thereto;
- (aa) all documents submitted in connection with any Change;
- (bb) all documents relating to a Change in Control of Project Co;
- (cc) all documents relating to a Refinancing (other than an Exempt Refinancing) until the Termination Date;
- (dd) all tax invoices, assessments, returns and other records applicable to the Project (other than any income tax records for Project Co or records pertaining to other taxes personal to Project Co) for a period of seven years after the Termination Date or such longer period as may be required by Law;
- (ee) all records required by Law (including in relation to health, safety, environmental and waste management matters) to be maintained by Project Co with respect to the Design, the Construction and the Services;
- (ff) all documents relating to insurance and insurance claims for a period of 12 years after the relevant claim is settled;
- (gg) financial accounts of Project Co referred to in Section 1(i) *[General Requirements]* of this Schedule;
- (hh) records of all internal and external meetings, including any minutes, presentation materials and other documents produced for, or in respect of, such meetings, for a period of 6 years after the Termination Date; and
- (ii) all other records, notices or certificates required to be produced or maintained by Project Co pursuant to the express terms of this Agreement or any Project Contract.



**APPENDIX 20A  
RECORD CLASSIFICATION REQUIREMENTS**

For record and report retention purposes, Project Co shall classify and assign the applicable record retention class or classes, as described in the following table, to each record and report referred to in Section 3 *[Records and Reports to be Kept]* of this Schedule.

| RECORD RETENTION CLASS                                 | RECORD RETENTION CLASS DESCRIPTION   | SAMPLE RECORD TYPES  |
|--|--|--|
| <b>ADC-0001 PLAN ASSETS<br/>(ADC-0001)</b>             | Records related to planning and initiating asset (facilities and equipment) projects.  | Conceptual overview; Current schedule; Detailed user requirements document; engineering estimate; Estimating alternatives analysis; Estimating inter-office memos; Estimating plan; Executive summary; Geological assessments; Preliminary design; Program quality plan; Records of proposed alternatives; Responsibility matrix; Risk management plan; Schedule basis; Schedule conformance report; Schedule for the contractor; Standing risk register; Statement of objectives; Threat and risk assessment; Value engineering memorandum; Value engineering report and recommendations; Value engineering studies   |
| <b>ADC-0002 DESIGN ASSETS<br/>(ADC-0002)</b>           | Records related to the creation, review, issuing, and use of asset, facility, component, and equipment drawings, designs and models. | As-built drawings; Basis of design report; Checking and reviewing document; Checking and reviewing plan; Conceptual design basis; Conceptual design report; Control point survey drawings; Design certificate; Design management plan; Design review; Drawings (signed and sealed); Engineering due diligence summary; Facility model; Final design; Final design for temporary works; Final design report; Final sketches of alternatives; Hydraulic models; Interim design meeting minutes; Interim designs; Issued for construction (IFC) drawings; Records of the checking team; Reliability assessments of the design alternatives; Report sealed by checking team; Revision drawing request forms; Safe design plan; Safe design report; Shop drawings; Tailrace(s) model; Technical appraisal form; Technical specifications; Turbine model     |
| <b>ADC-0003 MANAGE CAPITAL PROJECTS<br/>(ADC-0003)</b> | Records related to the routine management and administration of activities during a capital construction project.                    | Change Certificates, Change Directives, Change in Control documentation; Construction management budget; Dispute documentation; Dispute Notices; documentation relating to Dispute Resolution Procedure; Equipment tracking record; Goods received report; Independent Certifier appointment and supervision; Manpower tracking record; Notices to or from BC Hydro's Representative; Project agenda; Project change log; Project change notice; Project Co's Representative appointment and supervision; Project completion and evaluation form; Project meeting minutes; Project memorandums; Project plan; Project risk register; Project risk tool; Project schedule; Project schedule baselines; Project status report; Project summary; Scheduled discussion notice; Site safety plan; Site specific safety management plan; Submittal schedule; |

| RECORD RETENTION CLASS  | RECORD RETENTION CLASS DESCRIPTION   | SAMPLE RECORD TYPES   |
|---|--|---|
|   |  | Supervening Event documentation; Visitor logs   |
| <b>ADC-0004 BUILD &amp; INSTALL ASSETS (ADC-0004)</b>           | Records related to building an asset, associated components, and equipment.  | Advance notice of Bypass System completion; Application for Bypass System completion; Construction certificates; Construction inspection report; Construction non-conformance reports; Construction schedule; Control panel wiring records; Daily construction diary; Daily construction field report; Daily construction inspection forms; Field advice memos; Final construction report; Installation manual; Intake report; Leave to Commence Construction and Leave to Commence Operation application and documentation; List of deficiencies; Memos relating to the building of the assets, components and equipment; Notice of unusual or abnormal conditions; Photographs of construction (substantive); Powerhouse report; Progress meeting minutes; Site plan of total construction footprint; Tunnel report   |
| <b>ADC-0005 TEST, COMMISSION &amp; ACCEPT ASSETS (ADC-0005)</b> | Records related to testing the asset, associated components, and equipment to ensure all standards and requirements are met. Testing can occur throughout the process, beginning in the procurement stage and moving to the commissioning stage. | Acceptance test results; Application for Commercial Operation; Application for Service Commencement; Application for Total Completion; Facility photographs; Calibration records; Certificates (Quality Assurance); Certified test results for commissioning; Commissioning notice to energize (CNE); Commissioning and acceptance criteria; Commissioning and testing plan; Commissioning and testing report; Commissioning certificates; Commissioning notice to operate (CNO); Commissioning schedule; Completion of the Bypass System record; Corrective action records; Cutover of water conveyances results; Doble test result; Field inspection and test results; Field inspections and test procedures; Final quality assurance report; First filling test report; Generating unit online local testing record; Generating unit online remote testing results; In-service checklist; Interconnected equipment record; Large discharge valves test results; Marketable Power Test report; Marketable power test results; Model variation report; Nonconformity reports; Performance Verification Tests; Preventive action records; Project test summary; Quality assurance plans; Quality audit plans; Quality audit reports; Quality management corrective action plans; Quality management inspection reports; Quality management plans; Quality manual; Quality plan; Quality test plans; Quality test reports; Requested changes to commissioning schedule; Schedule of SCADA testing with the remote control centre; Service Commencement documentation; Survey of final surfaces of excavations; Test and commission hazard log; Test and commission inspection report; Test records and reports; Turbine model testing results; Water Conveyances commissioning certificate; Watering-up of water conveyances results; WECC test data; Wet testing commissioning certificate; Wet testing results |

| RECORD RETENTION CLASS  | RECORD RETENTION CLASS DESCRIPTION  | SAMPLE RECORD TYPES   |
|---|---|---|
| <b>ADC-0006 ESTABLISH ENGINEERING STANDARDS (ADC-0006)</b>        | Records related to establishing approved standards for civil, electrical, and mechanical engineering work.  | Engineering standards   |
| <b>AMO-0001 OPERATE ASSETS (AMO-0001)</b>                         | Records related to operate the Facility with associated components, and equipment, including all certificates, registrations or warranties required for or applicable to operation of the Facility. | Annual Asset Management Report; Asset Management Plan; Asset operation status report; Baseline facility report; Change of classification; Charts that relate to the operation of the Facility; Daily station check sheets; Derates; Equipment manuals; Facility activity report; Facility operating order; Facility performance scorecard; Flood prevention and management records; Generation operating order (GOO); Generation station logs; Generator operation records; Governor operation records; Local operating order (LOO); Non-Availability Events; Outage and Constraints Notification Form; Operating Constraints; Operating logs; Operating order variance application; Operations, maintenance and surveillance (OMS) manual; Outages; Outage reports, Outage request; Power intake records; Powerhouse draft tube operation records; Return to Service Certificate; Service Disruption Event; Test records for the operation of other mechanical components; Test records for the operation of the Bypass System, EFRS and LLO facilities; |
| <b>AMO-0002 MONITOR ASSETS (AMO-0002)</b>                         | Records related to monitoring the ongoing operations, performance and functioning of an asset, related components, and equipment to support ongoing analysis, planning, and reporting activities    | Air pressure readings; Tunnel and Project-based Main Dam instrument readings and data and associated dam safety reports; Dam safety risk management plans; Emergency planning guide; Emergency response plan; Event recorder (assets); Equipment performance data; Facility condition assessment plan; Forced outage response plan; Geological data and records; Geotechnical data and records; Hazard log; Hydraulic data and records; Instrument readings and data; Interim dam safety risk management plan; Monthly station check sheets; performance monitoring and analysis reports and associated information; Photographs documenting changes to the Site; Surveillance plan; Surveillance response plan; Water flow test results.   |
| <b>AMO-0003 MAINTENANCE RECORDS RETENTION SCHEDULE (AMO-0003)</b> | Records related to inspecting, maintaining, altering, improving, and repairing assets, associated components, and equipment for preventative, routine, and trouble purposes.                        | Battery record; Concrete test results; Condition assessment report; Tunnel and Project-based Main Dam safety performance investigations; Equipment defect report; Equipment repair order; Inspection reports related to an asset; Maintenance instructions; Maintenance plans; Maintenance or inspection procedures or guidelines; Maintenance report; Major overhaul reports and documentation; Records that relate to the maintenance of the low level outlet, bypass system and any inflow diversion structures; Routine checks  |

| RECORD RETENTION CLASS   | RECORD RETENTION CLASS DESCRIPTION   | SAMPLE RECORD TYPES   |
|--|--|---|
| <b>AMO-0004<br/>DECOMMISSION AND<br/>DISPOSE OF ASSETS<br/>(AMO-0004)</b>                  | Records related to decommissioning and disposing of assets, associated components, and equipment.  | Decommissioning and disposal plan; Disposal authorization form (DAF); Equipment removal form (ERF); Memorandums that relate to decommissioning and disposal.  |
| <b>ERD-0001 PUBLIC<br/>CONSULTATION &amp;<br/>STAKEHOLDER<br/>RELATIONS<br/>(ERD-0001)</b> | Records that relate to establishing and developing public and stakeholder relations. Records also document Project Co's relationship with BC Hydro, with regards to the role each party will have when interacting with the public and stakeholders.   | Agenda; Brochure; Bulletins; Communications plan; Correspondence; Films; Media relations strategy document; Meeting minutes; Photographs; Presentation; Press releases; Public feedback form; Stakeholder engagement report; Statistics related to local and regional employment.               |
| <b>ERD-0002<br/>ABORIGINAL<br/>CONSULTATION AND<br/>RELATIONS<br/>(ERD-0002)</b>           | Records that are evidence of the discussions, interactions and relations with the Aboriginal and First Nations communities.  | Aboriginal participation reporting form; Contract documents; Engagement protocols; Issues documentation; Meeting minutes; Monthly consultation report; Notification letter; Project information questionnaire; Record of contact; Resource request form; Status reports; Traditional use study; |
| <b>ERD-0003<br/>GOVERNMENT<br/>CONSULTATION<br/>(ERD-0003)</b>                             | Records related to responding to requests for Project information and inquiries from federal, provincial and municipal bodies and discussions, interaction and relations with government agencies.   | Correspondence; Meeting minutes; Site visit documentation.  |
| <b>FIN-0002 FINANCIAL<br/>PLANNING,<br/>BUDGETING &amp;<br/>FORECASTING<br/>(FIN-0002)</b> | Records related to annual operating, capital, and revenue budgets, planning, development, allocation, reallocation, monitoring, approval, trend analysis, modelling, and apportionment.  | Budget; Budget forecast; Financial Model including all versions, amendments and related reports; Financial plan.  |
| <b>FIN-0003 FINANCIAL<br/>REPORTING<br/>(FIN-0003)</b>                                     | Records prepared for internal or external parties regarding financial condition and liquidity, as well as non-financial performance information to external stakeholders, including all supporting schedules. External financial statement reporting supports legislative and regulatory reporting requirements. | Invoices and calculation documentation; Financial Information Act (FIA) Return; Financial report; Financial statement; Payments and calculation documentation.  |
| <b>FIN-0004 TAX<br/>ADMINISTRATION<br/>(FIN-0004)</b>                                      | Records related to tax reporting and administration.   | Customs, excise duties and taxes; and Good and Services Tax (GST), Provincial Sales Tax (PST), Harmonized Sales Tax (HST), taxable payments; tax statements; underpayment and overpayment corrections, and billing tax errors; withholding taxes.   |

| RECORD RETENTION CLASS   | RECORD RETENTION CLASS DESCRIPTION  | SAMPLE RECORD TYPES   |
|--|---|---|
| <b>FIN-0007 BONDS &amp; DEBT CONTROL (FIN-0007)</b>                    | Records related to project financing  | Senior Financing Agreements including all amendments ; Refinancing documents; instruments and documents related to financing  |
| <b>FIN-0009 CAPITAL ASSET ACCOUNTING (FIN-0009)</b>                    | Records related to the purchase or disposal of capital assets. This includes any asset that is capitalized, such as buildings, facilities, plants, equipment, computer hardware, and computer software.                             | Bills of sale; Invoices; Purchase orders; and Records of disposal   |
| <b>PSC-0002 CAPITAL CONTRACTS &amp; CONTRACT MANAGEMENT (PSC-0002)</b> | Records related to the procurement of capital assets and related services for the Facility. This includes planning, sourcing, award, contract administration, and post-award management of the contracts required for the Facility. | Addenda; Agreement including Schedules; Blanket releases; Bonds; Change order; Change order requests; Confidentiality agreement; Contract amendments; Contract correspondence, contract execution and contract administration records; Project Contracts; Procurement documents such as Request for expression of interest; Request for information; Request for proposal; Request for quotation; Request for supplier qualification; Request for tenders; Successful proposal; Work completion certificate |
| <b>PSC-0004 CERTIFICATES OF INSURANCE (PSC-0004)</b>                   | Records relating to certificates of insurance carried by suppliers, vendors, contractors and consultants provided as proof of insurance.  | Certificates of insurance and associated insurance documents; insurance claim documents.  |
| <b>PSC-0005 INVENTORY CONTROL (PSC-0005)</b>                           | Records related to maintaining, monitoring, and controlling stock inventories for the Facility and associated equipment during the Services Period  | Annual inventory reconciliation; spare parts inventory log; spare parts utilization form and reports; purchase orders.  |
| <b>REM-0001 REGULATORY APPLICATIONS &amp; PERMITTING (REM-0001)</b>    | Records related to preparing, submitting, and supporting applications to any federal, provincial, or municipal body in fulfilment of regulatory requirements for the Project, including permit and license applications.            | License application; Licenses; Permit amendment application; orders issued by Governmental Authority; Permit application, refusals and appeals; Permits; Regulatory filings.  |

| RECORD RETENTION CLASS  | RECORD RETENTION CLASS DESCRIPTION   | SAMPLE RECORD TYPES  |
|---|--|--|
| <b>REM-0002<br/>ENVIRONMENTAL<br/>MANAGEMENT<br/>(REM-0002)</b>               | Records related to the identification, assessment, monitoring, and mitigation of environmental impacts and associated protective measures, rehabilitation and revegetation.  | Certificate of compliance with environmental law; Environmental audit report; Environmental corrective action plan; Environmental emergency management plan; Environmental emergency plan; Environmental hazard logs; Environmental incident investigation report; Environmental incident report; Environmental inspection documentation; Environmental management plan; Environmental monitoring report; Environmental monitoring study; Environmental orientation record; Environmental quality management plan; Environmental reports; Environmental test results; Environmental work plans; Fish salvage records; Flow disruption records; Habitat compensation, restoration, and revegetation completion report; Independent environmental site assessment; Notification to environmental authorities; Registered waste review; Rehabilitation and revegetation work plans and associated documentation; SF 6 Gas Inventory; Spill records. |
| <b>REM-0004<br/>ENVIRONMENTAL &amp;<br/>SITE REMEDIATION<br/>(REM-0004)</b>   | Records related to contaminated soil testing, sampling, identification, remediation, removal, handling, transportation and disposal of Contamination.  | Background releases related to contamination; Confirmation of remediation report; Contaminated Soils Management Plan and associated documentation; Contaminated soil relocation agreement; Environmental remediation reports; Hazardous waste inventory; Notice of offsite migration; Photographs of contaminated site; Protection plan for contamination; Remediation approval in principle; Remediation options report; Remediation permit; Remediation plan; Remediation status report; Spill records; Spill response plan; Summary of contaminated site conditions   |
| <b>REM-0005<br/>WASTE DISPOSAL<br/>(REM-0005)</b>                             | Records related to the transportation and/or disposal of hazardous or toxic materials across provincial, national and international borders.   | Dangerous good declaration; Export reduction plan; Hazardous waste registration summary; Movement document; Transportation of dangerous goods license; Transportation request form; Waste disposal confirmation; Waste manifest; Waste recycled confirmation; Waste register   |
| <b>SSM-0001<br/>SECURITY &amp;<br/>INCIDENT<br/>MANAGEMENT<br/>(SSM-0001)</b> | Records that relate to security management at the Facility; the planning, implementation and monitoring of access rights to the physical components, information resources, and information technology assets of the Facility. | Background Checks statistics and search results; CCTV footage; List of individuals that are certified and have passed the Background Check; Records that relate to the operation of security systems at the facility; Security audit; Security incident evidence; Security incident report; Security inspection documentation; Security investigation report; security management and monitoring documentation; security program and associated documentation;   |

| RECORD RETENTION CLASS   | RECORD RETENTION CLASS DESCRIPTION  | SAMPLE RECORD TYPES   |
|--|---|---|
| <b>SSM-0002<br/>OCCUPATIONAL<br/>HEALTH &amp; SAFETY<br/>MANAGEMENT<br/>(SSM-0002)</b> | Records related to the implementation and continued use of occupational health & safety controls.     | Accident notifications; Asbestos in-air monitoring record; Bulk sample results and analysis ; Confined space certificate; Confined space plan; Electromagnetic field (EMF) measurements; Corrective Action Plan; Emergency Response Plan; Employee safety plan; Incidents, accidents, near miss and injuries statistics; Incident investigation Report; Investigation Report; Independent auditor report; Local annual safety plan; Material safety data sheet (MSDS); Medical monitoring and analytical results; Noise exposure measurements; Occupational health and safety (OHS) accident notification; OHS accident report; OHS audit report; OHS hazard log; OHS incident investigation; OHS incident or near misses report; OHS management directives; OHS notice of compliance; OHS review; OHS risk assessment; OHS standards; Occupational Health and Safety Management Plan including amendments and associated documents; Safe Work Procedure; SDI certificate; Site safety audit; Site safety meeting notices and minutes; Workplace Safety audit Report; Worksafe BC inspection documentation; Worksafe BC statement; Worker Compensation Board (WCB) documentation. |
| <b>SSM-0003<br/>PUBLIC USE &amp;<br/>SAFETY<br/>MANAGEMENT<br/>(SSM-0003)</b>          | Records that relate to the public safety management program and administering public use areas.       | Public safety corrective action plan; Public safety incident investigation; Public safety incident report; Public safety inspection documentation; Public safety Management Plan (PSMP); Public safety plan; Public safety review; Public safety risk assessment; Public safety summary report; Public use plan; Public use report; Public use study; Site Interpretive Plan; Trail notices; Traffic Management Plan; Traffic Management Studies  |
| <b>SSM-0004<br/>FIRE SAFETY<br/>MANAGEMENT<br/>(SSM-0004)</b>                          | Records that relate to the development, implementation, use, and monitoring of fire safety standards. | External meeting fire safety checklist; Fire and explosion form; Fire audit report; Fire equipment test results; Fire inspection report; Fire insurance report; Fire investigation report; Fire protection report; Fire risk reduction report; Fire safety plan; Pre-fire safety plan.  |