

# Documentation & Record Keeping

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Xcel Energy, Inc.





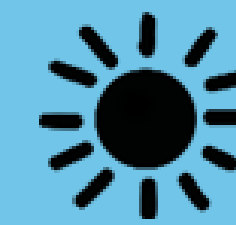
# Agenda



1. Xcel Energy Background
2. Our Journey within SMS
3. Documentation and Record Keeping Requirements from API 1173
4. What Xcel Energy is doing for record keeping and documentation







**Four**  
Operating Companies

**Eight**  
States

**3.6 Million**  
Electric Customers

**2.0 Million**  
Natural Gas Customers

**\$30 Billion**  
2019 Est. Rate Base

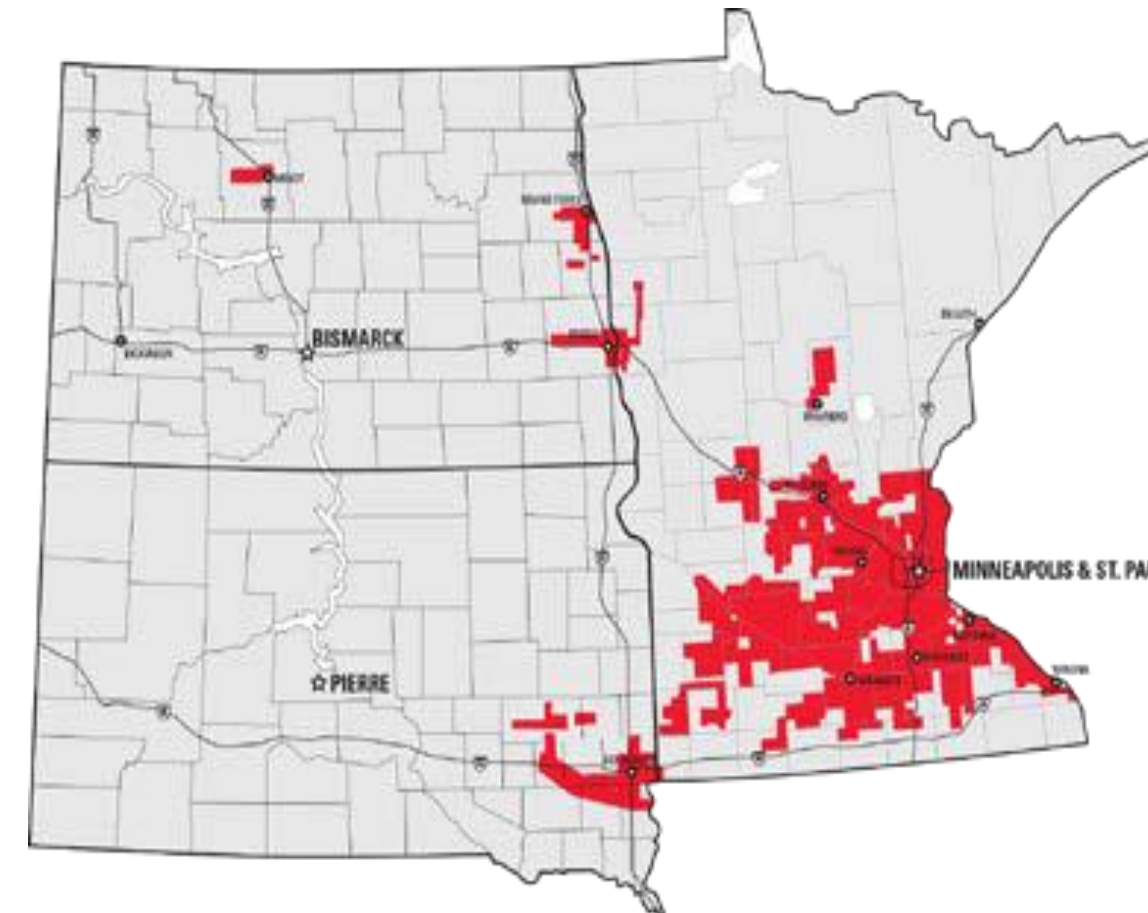
**19 GW**  
Owned Gen. Capacity

**11,000+**  
Employees

**Northern States Power  
Minnesota (NSPM)**  
Minnesota, South Dakota,  
North Dakota

**Natural Gas - Retail**  
520,000 customers  
90 million MMBtu

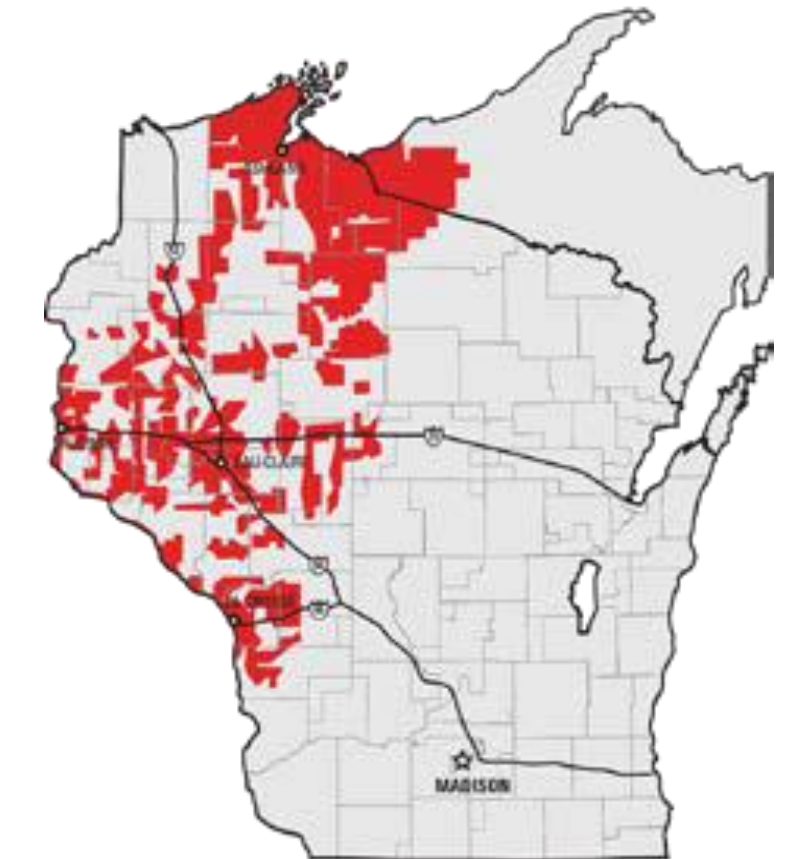
**Electric - Retail**  
1.5 million customers 35  
million MWh



**Northern States Power  
Wisconsin (NSPW)**  
Wisconsin, Michigan

**Natural Gas - Retail**  
115,000 customers  
18 million MMBtu

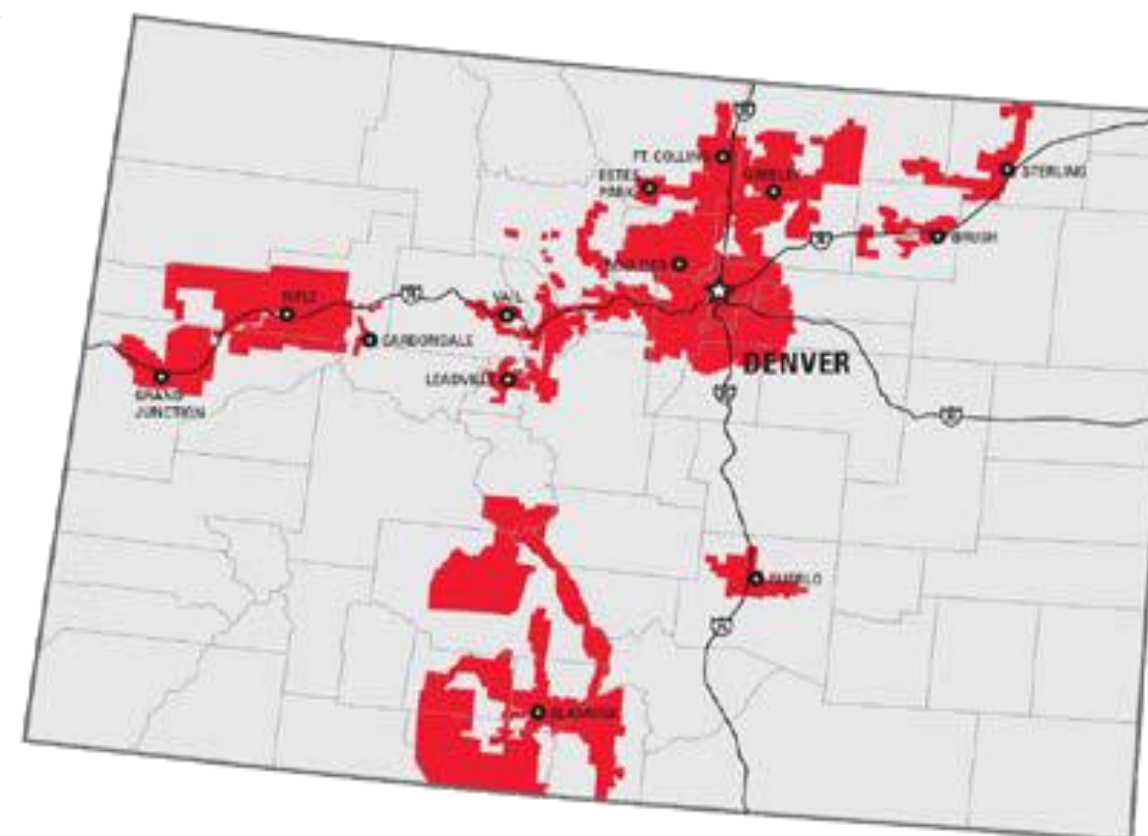
**Electric - Retail**  
260,000 customers  
7 million MWh



**Public Service Company  
of Colorado (PSCo)**  
Colorado

**Natural Gas - Retail**  
1.4 million customers  
138 million MMBtu

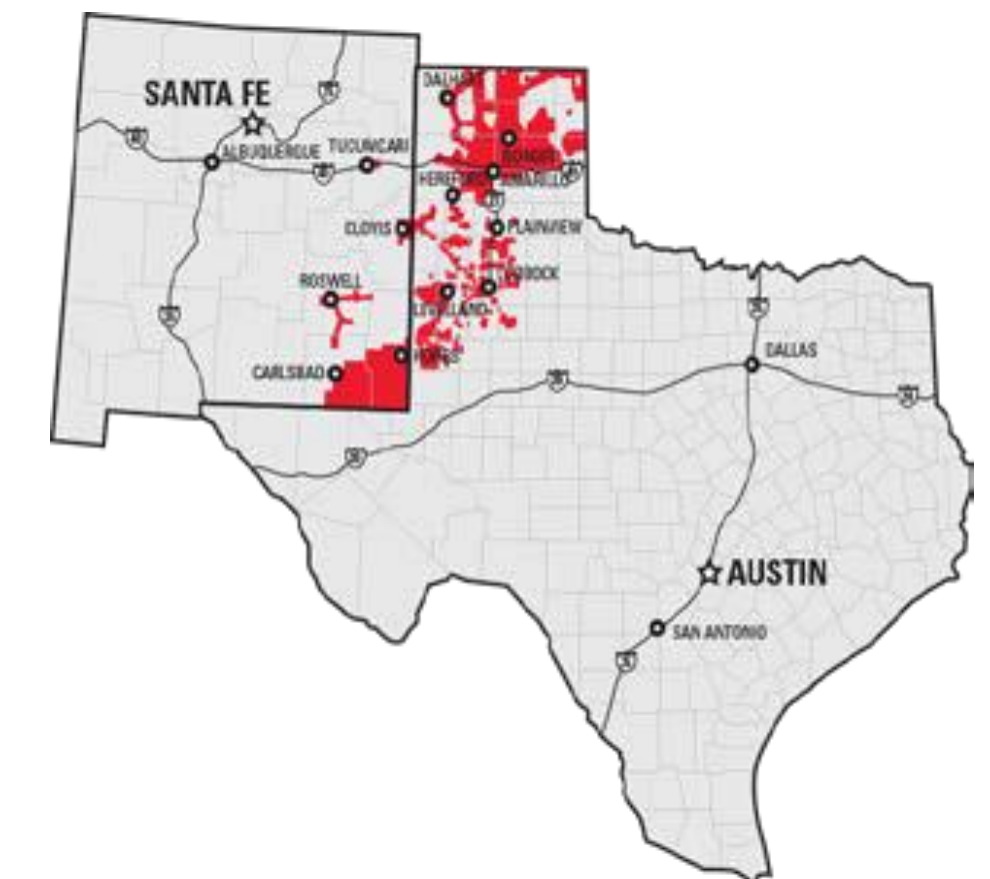
**Electric - Retail**  
1.5 million customers  
29 million MWh



**Southwestern Public  
Service (SPS)**  
Texas, New Mexico

**Electric – Retail \***  
393,000 customers  
20 million MWh

\* SPS Electricity generated  
from approximately 50%  
Coal, 30% natural gas & 20%  
wind power in 2018



As of 10/31/2019



# Building a Carbon-Free Future

## Three-tiered Corporate Strategy

### Enhance the Customer Experience

- View our work through customers' eyes
- Make it easy for customers to do business with us
- Offer products and services that our customers value
- Help strengthen our local communities

### Keep Customer Bills Low

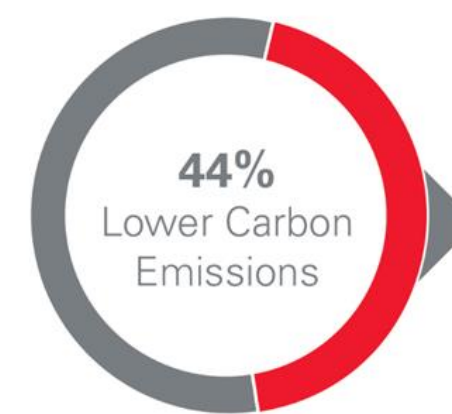
- Carefully manage our costs
- Continuously improve how we work to improve efficiency without compromising reliability
- Keep total bill increases at or below the rate of inflation

### Lead the Clean Energy Transition

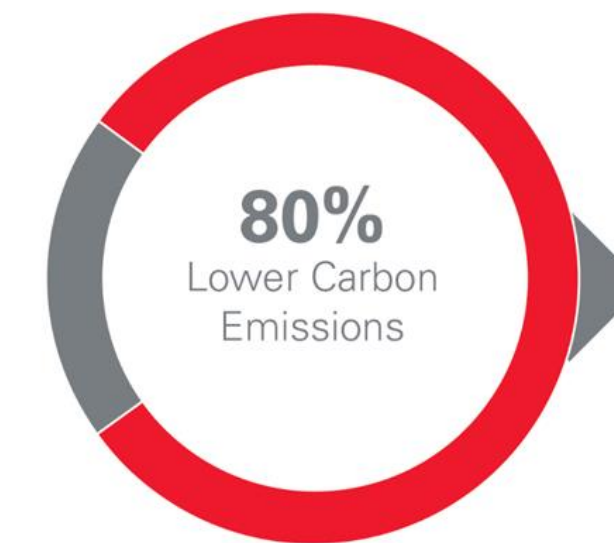
- Serve customers with cleaner, reliable energy through increased ownership of wind and solar generation and continued operation of our nuclear fleet.
- Invest in the grid, including advanced technologies and transmission that enable more renewable energy
- Reduce carbon and other emissions, improving environmental performance
- Encourage and help enable the electrification or implementation of low-carbon solutions in other industries

## Our bold vision for 2030 and 2050

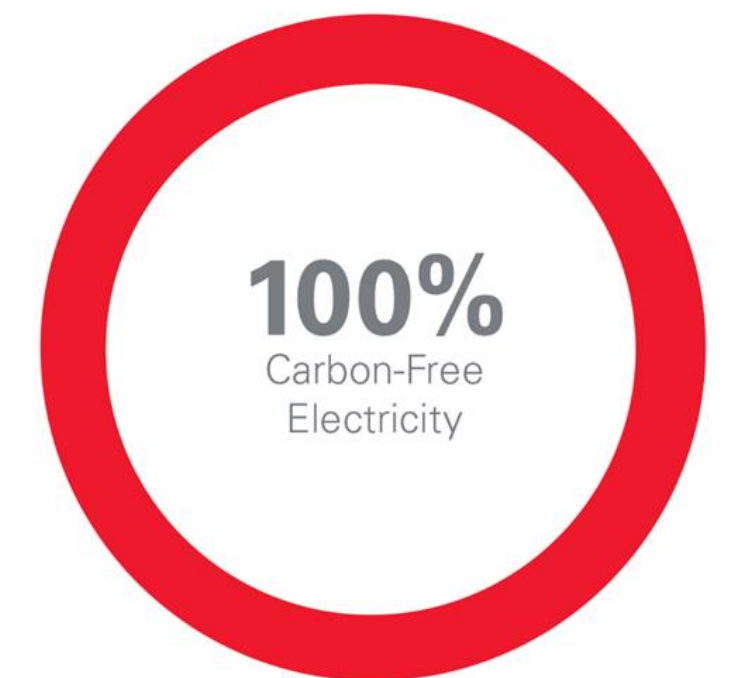
2019 Results



2030 Goal



2050 Vision



# Building a Carbon-Free Future



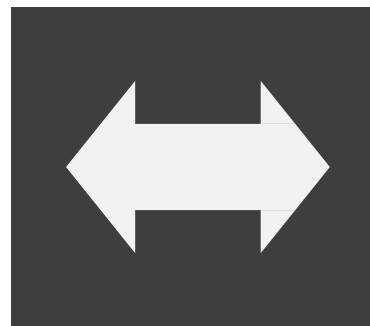
Our bold vision for 2030 and 2050.

## 2020 - 2024



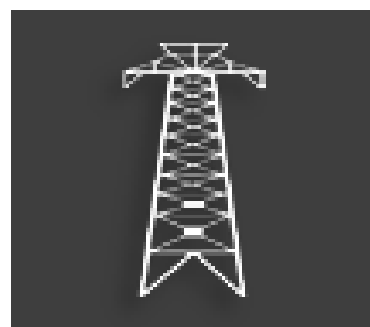
### Steel for Fuel

Replacing coal with wind



### Grid Advancement

Smart meters, grid hardening and digitization



### Transmission

Asset health, regional expansion and customer growth



### Natural Gas

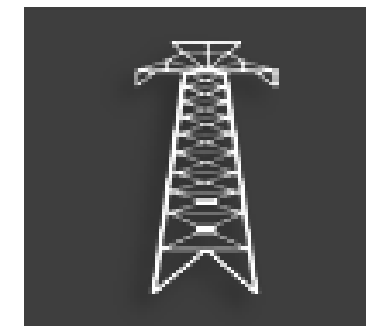
Mankato, Sherco, Manchief, Valmont

## 2025 - 2030



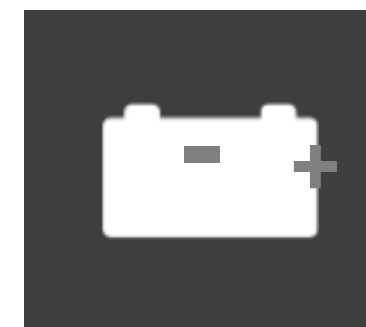
### Steel for Fuel / Fossil Replacement

Wind, solar and firm capacity



### Major Transmission Buildout

Congestion relief, renewables enablement



### Grid Advancement and Expansion

Continued deployment, storage, demand response, new offerings



### EV Infrastructure

Distribution and charging infrastructure



# Building a Carbon-Free Future

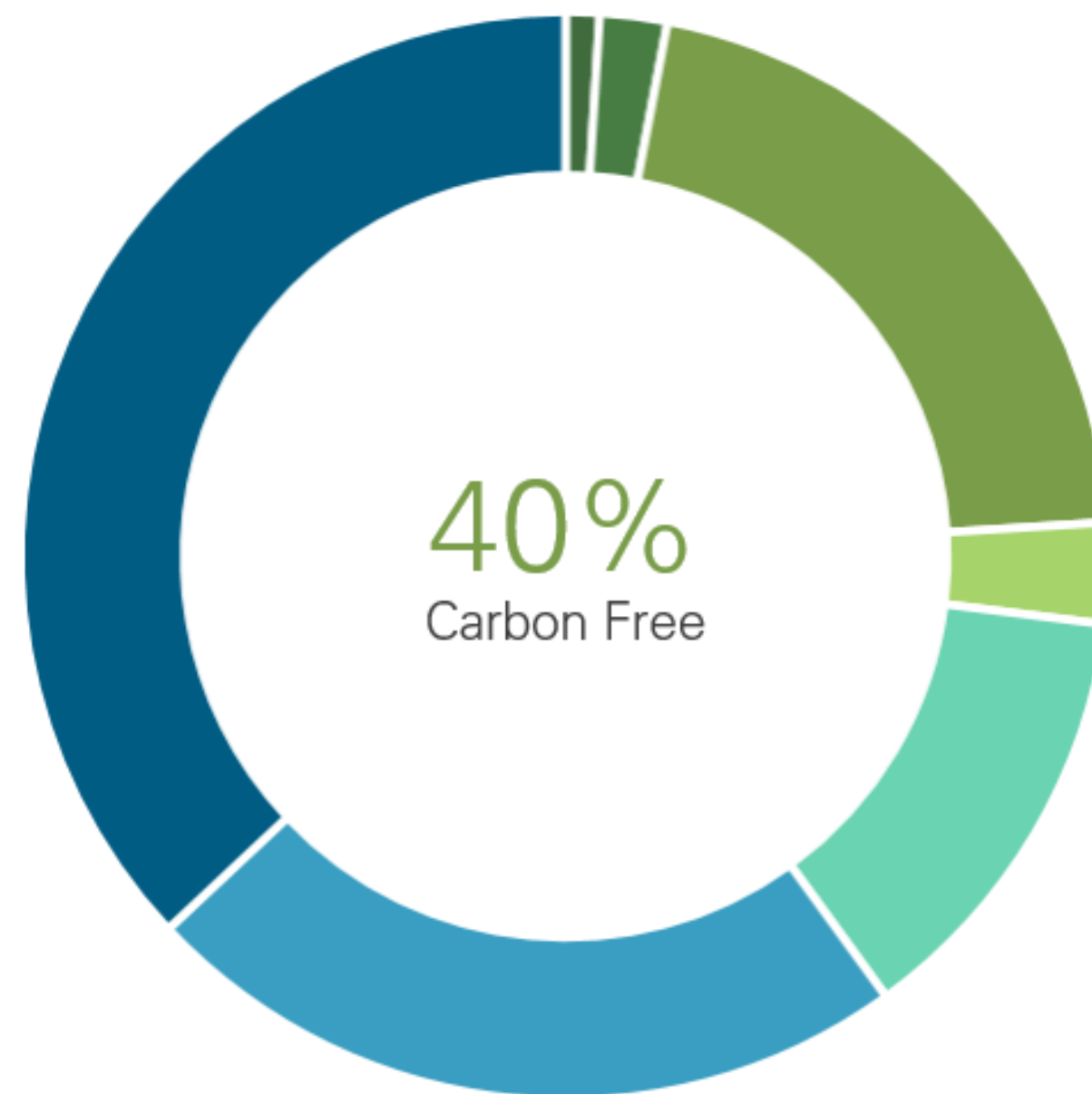


Our bold vision for 2030 and 2050.

## 2017

We are leading the clean energy transition, and so far, have reduced carbon emissions 35% from 2005 levels.

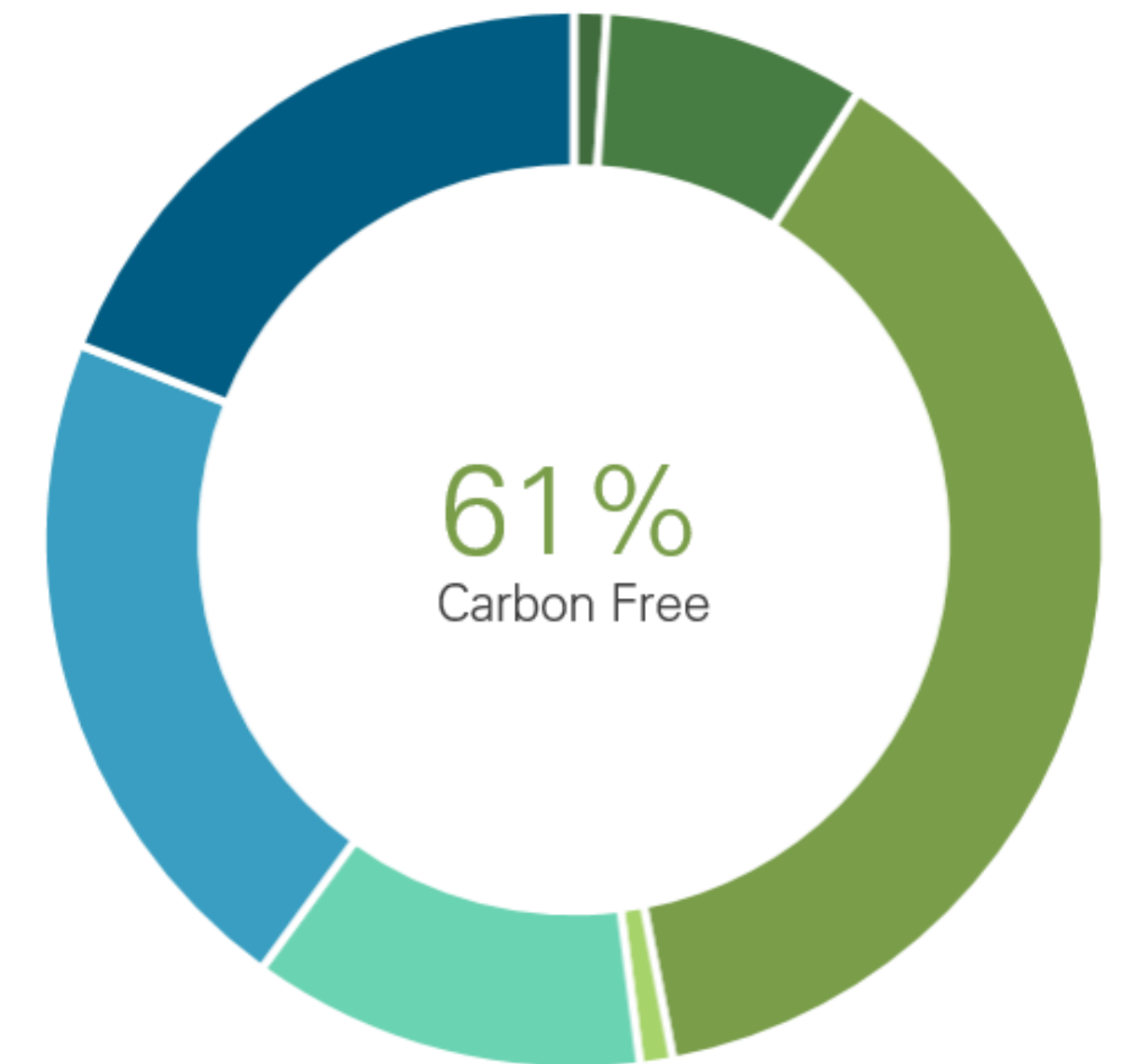
- Biomass
- Solar
- Wind
- Hydro
- Nuclear
- Natural Gas
- Coal



## 2027

We are now on track to achieve 60% carbon-free electricity by 2027

- Biomass
- Solar
- Wind
- Hydro
- Nuclear
- Natural Gas
- Coal



# Xcel Energy's SMS Journey



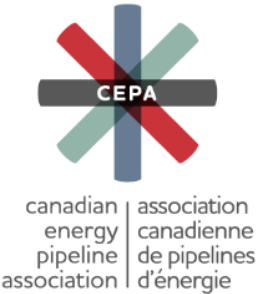
- Conducted Original Gap Analysis

- Developed new risk model for IMP
- Implemented an RCA Program

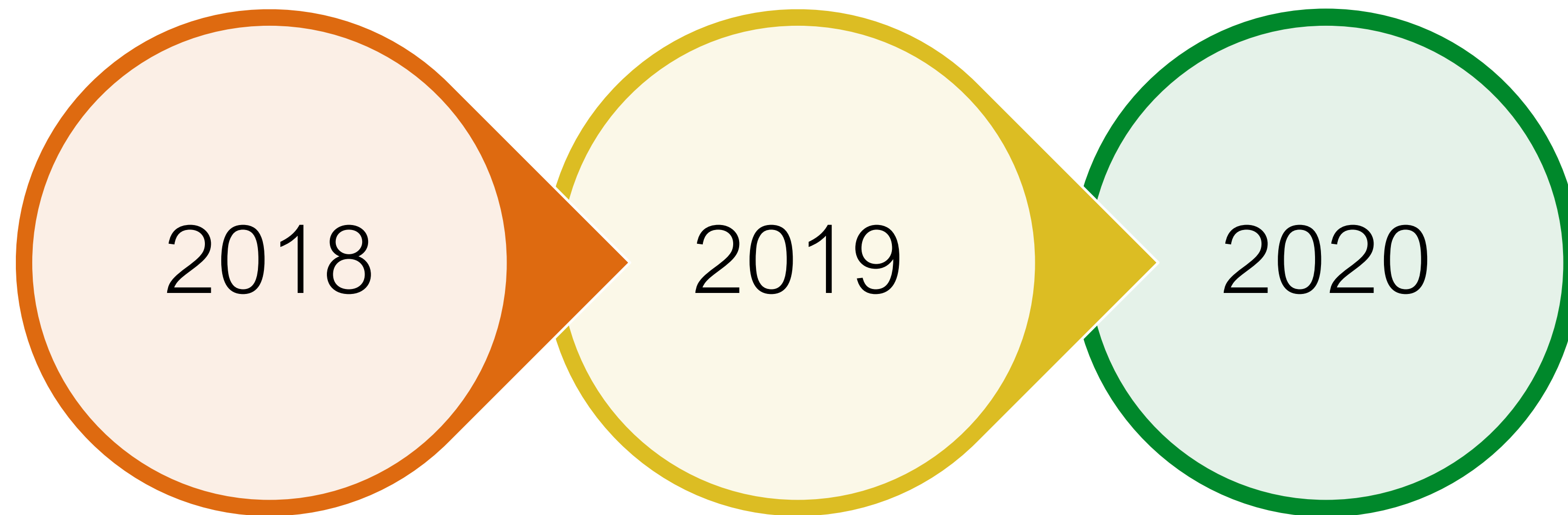
- Implemented Management of Change Program



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# Xcel Energy's SMS Journey



- Developed Foundation Document for PSMS
- Initiated Stakeholder Engagement with Contractors
- RCA Check/Adj Phase
- Went live w/SAP

- Refreshed GAP Analysis
- Developed Maturity Model
- Implemented Incident Command System (ICS)
- Developed Incident Response Plan (IRP)
- Opened two gas training villages

- MOC & ICS – Check/Adj Phase
- Updated Contractor Maturity Model
- Separated OQ from Training
- One OQ Program for Xcel and Contractors
- Currently On-boarding new OQ vendor





# API 1173 Requirements for Documentation and Record Keeping



**Control of Documents** – The pipeline operator shall maintain a procedure for the identification, distribution, and control of documents required by its PSMS.

The procedure shall specify responsibilities for document approval and re-approval, and shall identify the controls needed to assure that the documents required by the PSMS, including revisions, translations, and updates:

- a) are reviewed and approved for adequacy prior to issue and use;
- b) identify changes and revision status;
- c) remain legible and readily identifiable; and
- d) are readily available and accessible to workers performing an activity. Obsolete documents shall be removed from all points of issue or use or shall otherwise be identified to assure against unintended use if they are retained for any purpose.





# API 1173 Requirements for Documentation and Record Keeping



**Control of Records** – The pipeline operator shall maintain a procedure to identify the controls and responsibilities needed for the identification, collection, storage, protection, retrieval, retention time, and disposition of records.

- ✓ Records shall be established and controlled to provide evidence of conformity to requirements and the pipeline operator's PSMS.
- ✓ Records shall remain legible, identifiable, and retrievable.
- ✓ Records shall be retained as defined by the pipeline operator's record retention policy or as otherwise required by legal and other applicable requirements.





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# API 1173 Requirements for Documentation and Record Keeping



## Pipeline Safety Management System Documents

The PSMS documentation shall include:

- a) Statements of the safety policies and objectives;
- b) Procedures established for the PSMS as required by this document and/or the pipeline operator;
- c) Documents and records of work required by the PSMS;
- d) Identification of regulatory, and other applicable requirements; and
- e) Other records identified by the company needed to show the effective operations of the PSMS.

**Procedures** – All procedures referenced within this document shall be established, documented, implemented, and maintained for continued suitability.





# Xcel Energy - Documentation and Record Keeping Software Applications / Platforms Used



Prior to 2020



Beyond 2020





# Xcel Energy - Documentation and Record Keeping Element Owners / Approval Processes



ELEMENT	RESPONSIBLE	ACCOUNTABLE	AUTHORITY
Leadership and Management Commitment	Area VP, Gas Operations	Senior VP, Gas/Distribution	Executive VP and Group President, Operations
Stakeholder Engagement	Coordinator, Public Safety	Director, Safety	VP, Workforce Relations and Safety
Risk Management	TBD	Director, Integrity Management Programs	Director, Gas Engineering
Operational Controls	TBD	Director, Gas Engineering	Area VP, Gas Operations
Incident Investigation, Evaluation, and Lessons Learned	Manager, Pipeline Compliance and Standards	Director, Gas Governance	Senior Director, Gas Governance
Safety Assurance	TBD	Manager, Audit Services	VP, Chief Risk & Audit Officer
Management Review and Continuous Improvement	Senior Director, Gas Governance	Area VPs, Gas Utility	Senior VPs, Gas Utility
Emergency Preparedness and Response	Director, Gas Emergency Response	Area VPs, Distribution	Senior VP, Distribution
Competence, Awareness, and Training	TBD	Director, Safety & Training	VP, Workforce Relations and Safety
Documentation and Record Keeping	SMS Element Accountable Leads	Senior Director, Gas Governance	Senior Director, Gas Governance

Est. 2018  
Refresh Due in 2021



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# Xcel Energy - Documentation and Record Keeping Dashboard Pages



## Business Intelligence

☆ Not following

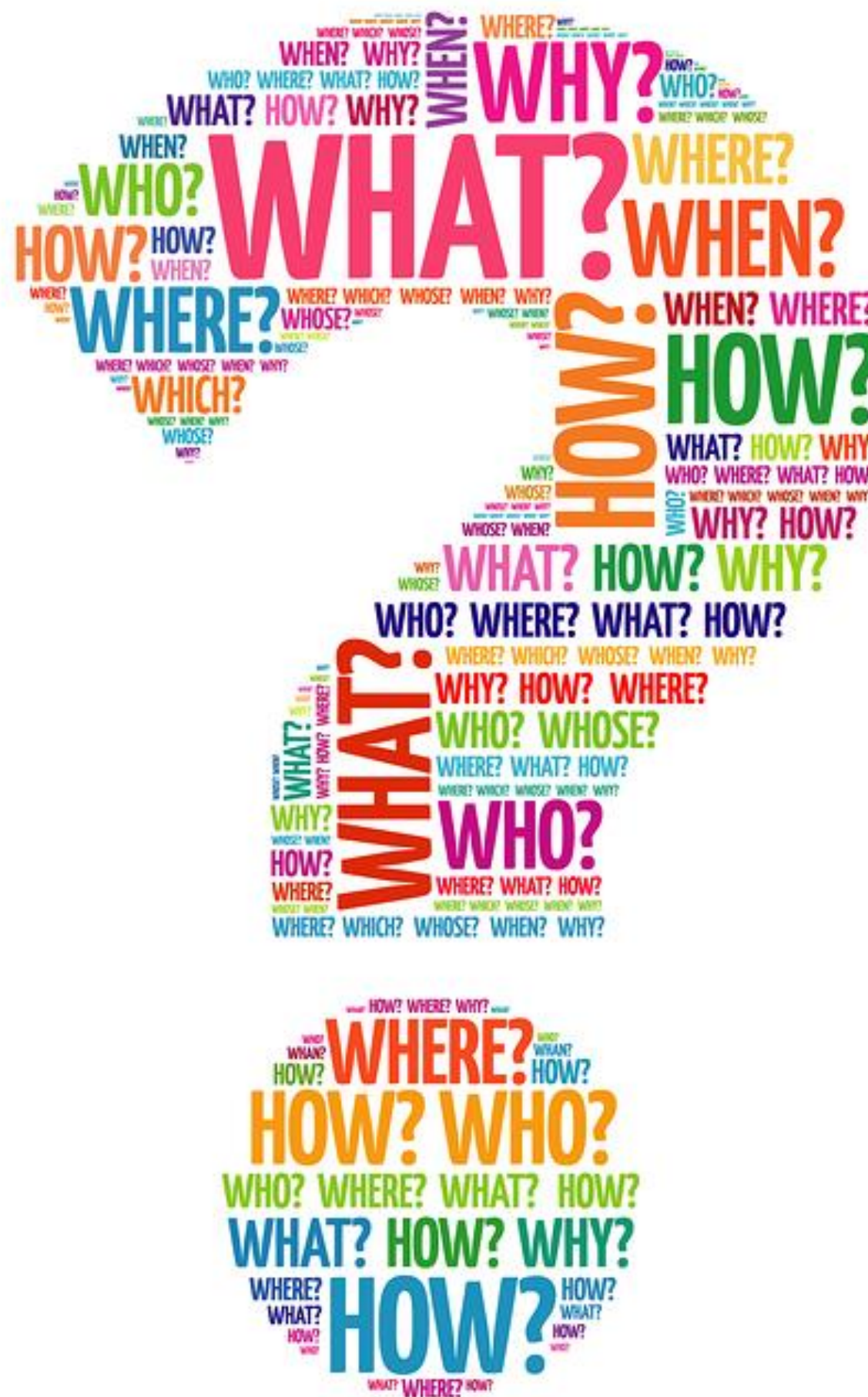
Gas Home				
Dashboards	Gas Labor Hours	PHMSA Gas Incidents	PHMSA DOT Reports	Safety
Gas Transmission Maps				
Source Documents	Environmental	Gas Usage And Customer Count	Gas Utility Headcount	Operator Qualifications
Video Tutorials				
	Rider Dashboard	DIMP Metrics	Capital Finance	AGA Benchmarking
	Wrench Time	Cost Per Unit Analysis	Lumira WO2PAY	Lumira Financials



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# THANK YOU!

Visit us at: [pipelinesms.org](https://pipelinesms.org)

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