

**2016 Risk Assessment Mitigation Phase  
Investigation 16-10-015  
Workpapers to  
Records Management  
(Chapter SDG&E-13-WP)**

January 2017



2016 Risk Assessment Mitigation Phase  
SDGE-13-WP  
Risk: Records Management (O&M)

Line No.	Mitigation	Project/Program	Project/Program Description	Status	Recorded (Directs, 2015 \$000)					Forecast Range (Directs, 2015 \$000)						Forecast Methodology
					2011	2012	2013	2014	2015	2017 Low	2017 High	2018 Low	2018 High	2019 Low	2019 High	
1	Administrative	Records Management Group Support	Labor costs from Records Management Group (SDG&E and SoCalGas)	B	\$ 54	\$ 54	\$ 54	\$ 54	\$ 54	\$ 51	\$ 57	\$ 51	\$ 57	\$ 51	\$ 57	Base Year
2		Sempra Energy Records Management Support	Allocation of labor costs from Sempra Energy (e.g. Corporate Center)	B	39	40	40	41	41	39	43	39	43	39	43	Base Year
3		Offsite Records Storage	Costs allocated from Sempra Energy for offsite records storage	B	250	250	250	250	250	238	263	238	263	238	263	Base Year
4		Onsite Records Storage	Costs for onsite records storage	B	230	230	230	230	230	218	241	218	241	218	241	Base Year
5		Records Coordinator Meetings	Cost of meetings for records coordinators	B	2	2	2	2	2	2	2	2	2	2	2	Base Year
6		Periodic Independent Internal Audits of Records Management	Records Management Group performs an internal audit of selected departments annually	B	90	-	-	264	-	50	84	50	84	50	84	Zero-Based
7		Consultant Support	Third-party consultant to assist in determining best practices	P						50	150	75	225	100	300	Zero-Based
8	Administrative Subtotal				665	576	576	841	577	648	839	673	914	698	989	
9	Training	Biennial Records Management Employee Training (Electric)	Labor costs for employee training: • Historical: records retention training (40 minutes) • Proposed: operational asset records training (8 hours of annually) for each employee in designated departments, plus annual records retention training	B/P	30	31	32	31	31	399	1,198	399	1,198	399	1,198	Base Year
10		Biennial Records Management Employee Training (Gas)	Labor costs for employee training: • Historical: records retention training (40 minutes) • Proposed: operational asset records training (8 hours of annually) for each employee in designated departments, plus annual records retention training	B/P	2	2	2	3	3	37	111	37	111	37	111	Base Year
11	Training Subtotal				32	33	34	33	34	436	1,309	436	1,309	436	1,309	
12	Operational Compliance and Oversight	Support of Employees in Designated Departments to Collect, Enter and Maintain Records Related to Operational Assets (GRC - Electric)	Labor and non-labor costs for employees in designated departments to collect, enter and maintain records related to operational assets	B/P	-	-	-	-	4,705	6,205	7,446	6,205	7,446	6,205	7,446	Base Year
13		Support of Employees in Designated Departments to Collect, Enter and Maintain Records Related to Operational Assets (GRC - Gas)	Labor and non-labor costs for employees in designated departments to collect, enter and maintain records related to operational assets	B/P	-	-	-	-	600	855	1,026	885	1,062	914	1,097	Base Year
14		Support of Employees in Designated Departments to Collect, Enter and Maintain Records Related to Operational Assets (FERC)	Labor and non-labor costs for employees in designated departments to collect, enter and maintain records related to operational assets	B/P	-	-	-	-	346	346	415	346	415	346	415	Base Year
15	Operational Compliance and Oversight Subtotal				-	-	-	-	5,650	7,405	8,886	7,435	8,922	7,464	8,957	
16	Information Management Systems	IT Capital Costs (Electric)	Capital electric costs for projects that will modernize and enhance the searchability, traceability and digitalization of operational asset records	B/P	-	-	-	-	-	-	-	-	-	-	-	
17		IT Capital Costs (Gas)	Capital gas costs for projects that will modernize and enhance the searchability, traceability and digitalization of operational asset records	B/P	-	-	-	-	-	-	-	-	-	-	-	
18		IT O&M Costs	Costs for the ongoing O&M to maintain the systems used to store operational asset records	B	-	-	-	-	-	-	-	-	-	-	-	
19	Information Management Systems Subtotal				-	-	-	-	-	-	-	-	-	-	-	
20	TOTAL				\$ 697	\$ 609	\$ 610	\$ 874	\$ 6,261	\$ 8,490	\$ 11,034	\$ 8,545	\$ 11,145	\$ 8,599	\$ 11,255	

Notes:

- Baseline (B) and Proposed (P).
- Numbers in risk chapter tables may differ due to rounding.
- The purpose of Risk Assessment Mitigation Phase (RAMP) is not to request funding. Any funding requests will be made in the General Rate Case (GRC). The forecasts for mitigations are not for funding purposes, but are rather to provide a range for the future GRC filing. This range will be refined with supporting testimony in the GRC.

2016 Risk Assessment Mitigation Phase  
SDGE-13-WP  
Risk: Records Management (Capital)

Line No.	Mitigation	Project/Program	Project/Program Description	Status	Recorded (Directs, 2015 \$000)					Forecast Range (Directs, 2015 \$000)						2017-2019 Low (Sum)	2017-2019 High (Sum)	Forecast Methodology
					2011	2012	2013	2014	2015	2017 Low	2017 High	2018 Low	2018 High	2019 Low	2019 High			
1	Administrative	Records Management Group Support	Labor costs from Records Management Group (SDG&E and SoCalGas)	B	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
2		Sempra Energy Records Management Support	Allocation of labor costs from Sempra Energy (e.g. Corporate Center)	B	-	-	-	-	-	-	-	-	-	-	-	-	-	
3		Offsite Records Storage	Costs allocated from Sempra Energy for offsite records storage	B	-	-	-	-	-	-	-	-	-	-	-	-	-	
4		Onsite Records Storage	Costs for onsite records storage	B	-	-	-	-	-	-	-	-	-	-	-	-	-	
5		Records Coordinator Meetings	Cost of meetings for records coordinators	B	-	-	-	-	-	-	-	-	-	-	-	-	-	
6		Periodic Independent Internal Audits of Records Management	Records Management Group performs an internal audit of selected departments annually	B	-	-	-	-	-	-	-	-	-	-	-	-	-	
7		Consultant Support	Third-party consultant to assist in determining best practices	P						-	-	-	-	-	-	-	-	
8	Administrative Subtotal				-	-	-	-	-	-	-	-	-	-	-	-	-	
9	Training	Biennial Records Management Employee Training (Electric)	Labor costs for employee training: • Historical: records retention training (40 minutes) • Proposed: operational asset records training (8 hours of annually) for each employee in designated departments, plus annual records retention training	B/P	-	-	-	-	-	-	-	-	-	-	-	-	-	
10		Biennial Records Management Employee Training (Gas)	Labor costs for employee training: • Historical: records retention training (40 minutes) • Proposed: operational asset records training (8 hours of annually) for each employee in designated departments, plus annual records retention training	B/P	-	-	-	-	-	-	-	-	-	-	-	-	-	
11	Training Subtotal				-	-	-	-	-	-	-	-	-	-	-	-	-	
12	Operational Compliance and Oversight	Support of Employees in Designated Departments to Collect, Enter and Maintain Records Related to Operational Assets (GRC - Electric)	Labor and non-labor costs for employees in designated departments to collect, enter and maintain records related to operational assets	B/P	-	-	-	-	6,250	6,288	7,545	6,285	7,542	6,285	7,542	18,859	22,630	Base Year
13		Support of Employees in Designated Departments to Collect, Enter and Maintain Records Related to Operational Assets (GRC - Gas)	Labor and non-labor costs for employees in designated departments to collect, enter and maintain records related to operational assets	B/P	-	-	-	-	-	-	-	-	-	-	-	-	-	
14		Support of Employees in Designated Departments to Collect, Enter and Maintain Records Related to Operational Assets (FERC)	Labor and non-labor costs for employees in designated departments to collect, enter and maintain records related to operational assets	B/P	-	-	-	-	1,114	1,364	1,637	1,349	1,618	1,349	1,618	4,061	4,873	Base Year
15	Operational Compliance and Oversight Subtotal				-	-	-	-	7,365	7,652	9,182	7,634	9,161	7,634	9,161	22,920	27,504	
16	Information Management Systems	IT Capital Costs (Electric)	Capital electric costs for projects that will modernize and enhance the searchability, traceability and digitalization of operational asset records	B/P	-	-	-	-	16,830	27,718	33,262	20,851	25,022	14,781	17,737	63,351	76,021	Zero-Based
17		IT Capital Costs (Gas)	Capital gas costs for projects that will modernize and enhance the searchability, traceability and digitalization of operational asset records	B/P	-	-	-	-	2,731	2,261	2,713	1,969	2,363	1,725	2,070	5,954	7,145	Zero-Based
18		IT O&M Costs	Costs for the ongoing O&M to maintain the systems used to store operational asset records	B	-	-	-	-	-	-	-	-	-	-	-	-	-	
19	Information Management Systems Subtotal				-	-	-	-	19,561	29,979	35,975	22,820	27,384	16,506	19,807	69,305	83,166	
20	TOTAL				\$ -	\$ -	\$ -	\$ -	\$ 26,926	\$ 37,631	\$ 45,157	\$ 30,454	\$ 36,545	\$ 24,140	\$ 28,968	\$ 92,225	\$ 110,670	

Notes:

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2016 Risk Assessment Mitigation Phase  
SDGE-13-WP  
Risk: Records Management (GRC Total - O&M)

				Recorded (Directs, 2015 \$000)								Forecast Range (Directs, 2015 \$000)									
Line No.	Mitigation	Project/Program	Project/Program Description	Status	GRC 2011	GRC 2012	GRC 2013	GRC 2014	GRC 2015	Non-GRC 2015	O&M Total 2015	GRC 2017 Low	GRC 2017 High	GRC 2018 Low	GRC 2018 High	GRC 2019 Low	GRC 2019 High	Non-GRC 2019 Low	Non-GRC 2019 High	O&M Total 2019 Low	O&M Total 2019 High
1	Administrative	Records Management Group Support	Labor costs from Records Management Group (SDG&E and SoCalGas)	B	\$ 54	\$ 54	\$ 54	\$ 54	\$ 54	\$ -	\$ 54	\$ 51	\$ 57	\$ 51	\$ 57	\$ 51	\$ 57	\$ -	\$ -	\$ 51	\$ 57
2		Sempra Energy Records Management Support	Allocation of labor costs from Sempra Energy (e.g. Corporate Center)	B	39	40	40	41	41	-	41	39	43	39	43	39	43	-	-	39	43
3		Offsite Records Storage	Costs allocated from Sempra Energy for offsite records storage	B	250	250	250	250	250	-	250	238	263	238	263	238	263	-	-	238	263
4		Onsite Records Storage	Costs for onsite records storage	B	230	230	230	230	230	-	230	218	241	218	241	218	241	-	-	218	241
5		Records Coordinator Meetings	Cost of meetings for records coordinators	B	2	2	2	2	2	-	2	2	2	2	2	2	2	-	-	2	2
6		Periodic Independent Internal Audits of Records Management	Records Management Group performs an internal audit of selected departments annually	B	90	-	-	264	-	-	-	50	84	50	84	50	84	-	-	50	84
7		Consultant Support	Third-party consultant to assist in determining best practices	P								50	150	75	225	100	300	-	-	100	300
8	Administrative Subtotal				665	576	576	841	577	-	577	648	839	673	914	698	989	-	-	698	989
9	Training	Biennial Records Management Employee Training (Electric)	Labor costs for employee training: ● Historical: records retention training (40 minutes) ● Proposed: operational asset records training (8 hours of annually) for each employee in designated departments, plus annual records retention training	B/P	30	31	32	31	31	-	31	399	1,198	399	1,198	399	1,198	-	-	399	1,198
10		Biennial Records Management Employee Training (Gas)	Labor costs for employee training: ● Historical: records retention training (40 minutes) ● Proposed: operational asset records training (8 hours of annually) for each employee in designated departments, plus annual records retention training	B/P	2	2	2	3	3	-	3	37	111	37	111	37	111	-	-	37	111
11	Training Subtotal				32	33	34	33	34	-	34	436	1,309	436	1,309	436	1,309	-	-	436	1,309
12	Operational Compliance and Oversight	Support of Employees in Designated Departments to Collect, Enter and Maintain Records Related to Operational Assets (GRC - Electric)	Labor and non-labor costs for employees in designated departments to collect, enter and maintain records related to operational assets	B/P	-	-	-	-	4,705	-	4,705	6,205	7,446	6,205	7,446	6,205	7,446	-	-	6,205	7,446
13		Support of Employees in Designated Departments to Collect, Enter and Maintain Records Related to Operational Assets (GRC - Gas)	Labor and non-labor costs for employees in designated departments to collect, enter and maintain records related to operational assets	B/P	-	-	-	-	600	-	600	855	1,026	885	1,062	914	1,097	-	-	914	1,097
14		Support of Employees in Designated Departments to Collect, Enter and Maintain Records Related to Operational Assets (FERC)	Labor and non-labor costs for employees in designated departments to collect, enter and maintain records related to operational assets	B/P	-	-	-	-	-	346	346	-	-	-	-	-	-	346	415	346	415
15	Operational Compliance and Oversight Subtotal				-	-	-	-	5,305	346	5,650	7,060	8,472	7,090	8,508	7,119	8,542	346	415	7,464	8,957
16	Information Management Systems	IT Capital Costs (Electric)	Capital electric costs for projects that will modernize and enhance the searchability, traceability and digitalization of operational asset records	B/P	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
17		IT Capital Costs (Gas)	Capital gas costs for projects that will modernize and enhance the searchability, traceability and digitalization of operational asset records	B/P	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
18		IT O&M Costs	Costs for the ongoing O&M to maintain the systems used to store operational asset records	B	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
19	Information Management Systems Subtotal				-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
20	TOTAL				\$ 697	\$ 609	\$ 610	\$ 874	\$ 5,915	\$ 346	\$ 6,261	\$ 8,144	\$ 10,619	\$ 8,199	\$ 10,730	\$ 8,253	\$ 10,840	\$ 346	\$ 415	\$ 8,599	\$ 11,255

Notes:

- Baseline (B) and Proposed (P).
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2016 Risk Assessment Mitigation Phase  
SDGE-13-WP  
Risk: Records Management (GRC Total - Capital)

Line No.	Mitigation	Project/Program	Project/Program Description	Status	Recorded (Directs, 2015 \$000)							Forecast Range (Directs, 2015 \$000)											
					GRC 2011	GRC 2012	GRC 2013	GRC 2014	GRC 2015	Non-GRC 2015	Capital Total 2015	GRC 2017 Low	GRC 2017 High	GRC 2018 Low	GRC 2018 High	GRC 2019 Low	GRC 2019 High	GRC 2017-2019 Low (Sum)	GRC 2017-2019 High (Sum)	Non-GRC 2017-2019 Low	Non-GRC 2017-2019 High	Capital Total 2017-2019 Low	Capital Total 2017-2019 High
1	Administrative	Records Management Group Support	Labor costs from Records Management Group (SDG&E and SoCalGas)	B	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
2		Sempra Energy Records Management Support	Allocation of labor costs from Sempra Energy (e.g. Corporate Center)	B	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
3		Offsite Records Storage	Costs allocated from Sempra Energy for offsite records storage	B	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
4		Onsite Records Storage	Costs for onsite records storage	B	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
5		Records Coordinator Meetings	Cost of meetings for records coordinators	B	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
6		Periodic Independent Internal Audits of Records Management	Records Management Group performs an internal audit of selected departments annually	B	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
7		Consultant Support	Third-party consultant to assist in determining best practices	P																			
8	Administrative Subtotal				-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
9	Training	Biennial Records Management Employee Training (Electric)	Labor costs for employee training: ● Historical: records retention training (40 minutes) ● Proposed: operational asset records training (8 hours of annually) for each employee in designated departments, plus annual records retention training	B/P	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
10		Biennial Records Management Employee Training (Gas)	Labor costs for employee training: ● Historical: records retention training (40 minutes) ● Proposed: operational asset records training (8 hours of annually) for each employee in designated departments, plus annual records retention training	B/P	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
11	Training Subtotal				-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
12	Operational Compliance and Oversight	Support of Employees in Designated Departments to Collect, Enter and Maintain Records Related to Operational Assets (GRC - Electric)	Labor and non-labor costs for employees in designated departments to collect, enter and maintain records related to operational assets	B/P	-	-	-	-	6,250	-	6,250	6,288	7,545	6,285	7,542	6,285	7,542	18,859	22,630	-	-	18,859	22,630
13		Support of Employees in Designated Departments to Collect, Enter and Maintain Records Related to Operational Assets (GRC - Gas)	Labor and non-labor costs for employees in designated departments to collect, enter and maintain records related to operational assets	B/P	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
14		Support of Employees in Designated Departments to Collect, Enter and Maintain Records Related to Operational Assets (FERC)	Labor and non-labor costs for employees in designated departments to collect, enter and maintain records related to operational assets	B/P						1,114	1,114	-	-	-	-	-	-	-	-	4,061	4,873	4,061	4,873
15	Operational Compliance and Oversight Subtotal				-	-	-	-	6,250	1,114	7,365	6,288	7,545	6,285	7,542	6,285	7,542	18,859	22,630	4,061	4,873	22,920	27,504
16	Information Management Systems	IT Capital Costs (Electric)	Capital electric costs for projects that will modernize and enhance the searchability, traceability and digitalization of operational asset records	B/P	-	-	-	-	16,830	-	16,830	27,718	33,262	20,851	25,022	14,781	17,737	63,351	76,021	-	-	63,351	76,021
17		IT Capital Costs (Gas)	Capital gas costs for projects that will modernize and enhance the searchability, traceability and digitalization of operational asset records	B/P	-	-	-	-	2,731	-	2,731	2,261	2,713	1,969	2,363	1,725	2,070	5,954	7,145	-	-	5,954	7,145
18		IT O&M Costs	Costs for the ongoing O&M to maintain the systems used to store operational asset records	B	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
19	Information Management Systems Subtotal				-	-	-	-	19,561	-	19,561	29,979	35,975	22,820	27,384	16,506	19,807	69,305	83,166	-	-	69,305	83,166
20	TOTAL				\$ -	\$ -	\$ -	\$ -	\$ 25,812	\$ 1,114	\$ 26,926	\$ 36,267	\$ 43,520	\$ 29,105	\$ 34,926	\$ 22,791	\$ 27,350	\$ 88,164	\$ 105,796	\$ 4,061	\$ 4,873	\$ 92,225	\$ 110,670

Notes:

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