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Direct Testimony and Schedules
William K. Husen

Before the Minnesota Public Utilities Commission
State of Minnesota

In the Matter of the Application of Northern States Power Company
for Authority to Increase Rates for Electric Service in Minnesota

Docket No. E002/GR-20-723
Exhibit____(WKH-1)

Employee Expenses

November 2, 2020

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I. INTRODUCTION

3 Q. PLEASE STATE YOUR NAME AND OCCUPATION.

4 A. My name is William Kile Husen. I am Director of Process Government and
5 Performance within the Supply Chain business area for Xcel Energy Services
6 Inc. (XES or the Service Company), which provides services to Northern
7 States Power Company (Xcel Energy, NSPM, or the Company).

9 Q. PLEASE SUMMARIZE YOUR QUALIFICATIONS AND EXPERIENCE.

10 A. I have over 17 years of experience with Xcel Energy in the supply chain
11 management area and previous experience at other companies leading
12 financial and financial systems areas. In my current role, I direct the team that
13 leads the system implementations and process oversight function for Xcel
14 Energy's Supply Chain organization, including the Company's credit card
15 program, the SumTotal expense report system, the supply chain portions of
16 SAP, and the fleet management systems. I also have budgetary responsibilities
17 for the Supply Chain organization. My resume is provided as
18 Exhibit____(WKH-1), Schedule 1.

20 Q. WHAT IS THE PURPOSE OF YOUR DIRECT TESTIMONY?

21 A. I provide support for the amount of employee expenses requested for
22 recovery in this rate case as well as the Employee Expense Report (EER)
23 Schedules filed by the Company in compliance with Minnesota law and the
24 commitments made in our prior electric rate cases. In the 2011 test year
25 electric rate case (Docket No. E002/GR-10-971),¹ the Company made several

¹ Docket No. E-002/GR-10-971, *In the Matter of the Application of Northern States Power Company d/b/a Xcel Energy for Authority to Increase Rates for Electric Service in the State of Minnesota.*

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1 commitments to improve the review, tracking, and documentation of
2 employee expenses. My testimony, the EER Schedules, and data we are
3 providing in this case comply with the commitments made in the 2011 rate
4 case and subsequent rate cases, the Commission's Orders, and Minnesota
5 Statutes § 216B.16, subd. 17 (Employee Expense Statute). The EER
6 Schedules are provided in **Volume 3 Required Information, Section IV**
7 **Other Required Information, Tab 2.**

8

9 Additionally, my testimony provides support for the Supply Chain business
10 area's fleet capital investments for 2021-2023. The budgeted capital additions
11 for fleet functions are \$18.3 million in 2021, \$19.3 million in 2022, and \$18.7
12 million in 2023 for the State of Minnesota Electric Jurisdiction.

13

14 Q. WHAT IS THE EMPLOYEE EXPENSE AMOUNT FOR THE 2021 TEST YEAR?
15 A. The Employee Expense Amount for the test year 2021 is approximately \$16.2
16 million for the State of Minnesota Electric Jurisdiction. This amount is based
17 on the Company's budgeting process, which is a forward-looking projection
18 of future projects, costs, and operating needs. Employee expenses are part of
19 the overall O&M budgets of our various business areas and the Company
20 does not prepare a separate budget for employee expenses. The Employee
21 Expense Amount of \$16.2 million is the combined amount of employee
22 expenses included in 2021 business area budgets.

23

24 Q. WHAT LEVEL OF ADJUSTMENT DOES THE COMPANY PROPOSE TO THIS
25 AMOUNT?
26 A. Based on the review of actual employee expense transactions from 2019, we
27 propose an Employee Expense Adjustment of approximately \$1.6 million. As

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1 a result of deducting this adjustment from the Employee Expense Amount,
2 we are requesting recovery for approximately \$14.6 million for employee
3 expenses for the test year 2021. The Employee Expense Adjustment consists
4 of transactions that are likely to be non-recoverable and are considered to be
5 representative of such transactions that could occur in 2021. Company witness
6 Mr. Benjamin Halama reflects this \$1.6 million adjustment in his Direct
7 Testimony.

8

9 Q. HOW DO YOU PROPOSE TO RECOVER EMPLOYEE EXPENSES FOR YEARS 2022
10 AND 2023 OF THE MULTI-YEAR RATE PLAN (MYRP)?

11 A. Similar to the test year 2021, the Employee Expense Amount for plan years
12 2022 and 2023 is based on the combined amount of employee expenses
13 included in 2022 and 2023 business area budgets. For plan years 2022 and
14 2023, we modified the test year 2021 Employee Expense Adjustment of
15 approximately \$1.6 million to reflect the changes in the Employee Expense
16 Amount from 2021 to 2022 and from 2022 to 2023. This process resulted in
17 an approximately \$1.5 million adjustment for 2022 and an approximately \$1.6
18 million adjustment for 2023. The process used to calculate these adjustments
19 is described in more detail in Section IV of my testimony.

20

21 Q. IS THE METHODOLOGY TO DEVELOP THE 2021 TEST YEAR EMPLOYEE
22 EXPENSE AMOUNT AND EMPLOYEE EXPENSE ADJUSTMENT CONSISTENT
23 WITH PAST PRACTICE?

24 A. Yes. We have used this process – which was largely developed through work
25 with the Office of Attorney General (OAG) – in each of the Company's rate
26 cases since 2010. This methodology is also consistent with the Employee

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1 Expense Statute that became effective in May 2010 and its requirement to
2 compile EER Schedules based on the most recently completed fiscal year.

3

4 Q. IS THE EMPLOYEE EXPENSE ADJUSTMENT PROPOSED FOR 2021, 2022, AND
5 2023 COMPARABLE TO THE ADJUSTMENT THE COMPANY PROPOSED IN THE
6 PAST RATE CASES?

7 A. Yes. The Employee Expense Adjustment is based on the same process we
8 used to develop the adjustment in our last four rate cases and reflects the
9 commitments we made in the 2011 rate case. Our proposed adjustment of
10 \$1.6 million is comparable to the one we made in the test year 2013 rate case
11 (\$1.6 million, Docket No. E002/GR-12-961), in the test year 2014 rate case
12 (\$1.4 million, Docket No. E002/GR-13-868), in the test year 2016 rate case
13 (\$1.6 million, Docket No. E002/GR-15-826), and in the test year 2020 rate
14 case (\$1.5 million, Docket No. E002/GR-19-564). I note that the Company
15 withdrew the test year 2020 rate case before the Minnesota Public Utilities
16 Commission had accepted the filing or addressed its completeness.

17

18 Q. IS THE COMPANY SEEKING RECOVERY FOR CORPORATE AVIATION EXPENSES
19 IN THIS CASE?

20 A. No, we are not requesting recovery for any corporate aviation expenses in this
21 case. Our 2021, 2022, and 2023 budgeted corporate aviation costs for the
22 State of Minnesota Electric Jurisdiction are approximately \$2.8 million in
23 2021, \$2.2 million in 2022 and \$2.6 million in 2023. In order to exclude these
24 amounts from this case, we have made adjustments of approximately \$2.8
25 million for 2021, \$2.2 million for 2022, and \$2.6 million for 2023. This is
26 reflected in Mr. Halama's Direct Testimony.

27

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1 Q. HOW HAVE YOU ORGANIZED THE REMAINDER OF YOUR TESTIMONY?

2 A. My testimony is organized in the following sections:

- 3 • Section II: *Definition and Governance of Employee Expenses*. Discusses the
4 definition of employee expenses; reporting requirements under the
5 Employee Expense Statute; the Company's Travel and Employee
6 Expense Reimbursement Policy 10.2 (Employee Expense Policy); and
7 commitments made in our past rate cases.
- 8 • Section III: *Employee Expense Reporting*. Describes the Company's
9 employee expense reporting and provides details of SumTotal, other
10 systems, and internal controls.
- 11 • Section IV: *Employee Expense Amount, Employee Expense Adjustment, and
12 EER Schedules*. Explains the statutorily required EER Schedules, the
13 Employee Expense Amount based on business area budgets, and the
14 Employee Expense Adjustment that removes likely unrecoverable
15 expenses from the test year.
- 16 • Section V: *Employee Expense Review and Development of EER Schedules*.
17 Explains in detail how the actual 2019 employee expense transactions
18 were reviewed to remove items that are likely not recoverable, including
19 key word search and identification of vague business purposes,
20 transactions inconsistent with the Employee Expense Policy, and
21 transactions not generally needed for the provision of utility service.
- 22 • Section VI: *Fleet Capital Investments*. Supports the Company's budget for
23 fleet capital additions under Supply Chain's Fleet organization.
- 24 • Section VII: *Compliance Item on Lobbying Compensation*. Describes the
25 Company's compensation for employees engaged in lobbying and
26 explains the costs included and excluded in the rate request.
- 27 • Section VIII: *Conclusion*.

1 **II. DEFINITION AND GOVERNANCE OF EMPLOYEE EXPENSES**

2

3 Q. HOW DOES THE COMPANY DEFINE EMPLOYEE EXPENSES?

4 A. Employee expenses are those operation and maintenance (O&M)
5 expenditures that are:

- 6 (1) tracked in our employee expense reporting system;
7 (2) subject to the guidelines in the Company's Employee Expense Policy;
8 and
9 (3) consistent with the categories set forth in the Employee Expense
10 Statute.

11

12 Examples of employee expenses are airfare, hotel stays, car rental, mileage on
13 personal vehicles used for work purposes, parking, meals for business
14 purposes, and recognition for the work performed by Company employees to
15 provide safe and reliable service to customers.

16

17 Q. IN GENERAL, ARE THE COMPANY'S EMPLOYEE EXPENSES NEEDED FOR THE
18 PROVISION OF UTILITY SERVICE?

19 A. Yes. At times, Company business requires that our employees work at
20 locations other than their offices or primary work locations, attend training, or
21 meet with our customers and stakeholders. For example, employees incur
22 expenses when they work in the field to ensure the reliability of the
23 Company's facilities and equipment, manage workers across our eight-state
24 service territory, or travel to attend conferences or training to maintain their
25 knowledge base. For these types of activities, Company employees incur
26 expenses as guided by the Employee Expense Policy.

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1 Q. WHAT ARE THE STATUTORY REPORTING REQUIREMENTS REGARDING
2 EMPLOYEE EXPENSES?

3 A. The Employee Expense Statute establishes the primary regulatory reporting
4 requirements for employee expenses. The statute requires the Company to
5 provide, when filing a general rate case, a schedule separately itemizing:

- 6 (1) travel and lodging expenses;
- 7 (2) food and beverage expenses;
- 8 (3) recreational and entertainment expenses;
- 9 (4) expenses (and compensation) for board of directors;
- 10 (5) expenses (and compensation) for the ten highest paid officers and
11 employees;
- 12 (6) dues and expenses for memberships in organizations or clubs;
- 13 (7) gift expenses;
- 14 (8) expenses related to owned, leased, or chartered aircraft; and
- 15 (9) lobbying expenses.

16
17 For items (1) and (2), the Company is required to separately provide data for
18 employees who are at the vice president-level and above. Employee expense
19 transaction data must be from the most recently completed fiscal year and
20 include the date, amount, business purpose, and vendor for the expense.

21
22 Q. PLEASE DESCRIBE THE COMPANY'S EMPLOYEE EXPENSE POLICY?

23 A. The Travel and Employee Expense Reimbursement Policy (Corporate Policy
24 10.2) (Employee Expense Policy) provides the guidelines applicable to all non-
25 bargaining and bargaining employees who incur travel or other business-
26 related expenses. The current version of the Employee Expense Policy is
27 provided in Exhibit____(WKH-1), Schedule 2. Since filing our test year 2020

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1 rate case, we have revised the Employee Expense Policy in January 2020 and
2 February 2020. For the January 2020 revisions, we conducted a complete
3 review of the Employee Expense Policy, restructured the policy to match the
4 Company's refreshed policy template to display content, and made additional
5 changes to ensure that the policy is easily understood by all employees. A
6 summary of these changes, along with some earlier changes, is provided in
7 Exhibit ____(WKH-1), Schedule 3.

8

9 Q. WHAT COMMITMENTS REGARDING EMPLOYEE EXPENSES DID THE COMPANY
10 MAKE IN ITS 2011 AND 2013 RATE CASES?

11 A. During our 2011 rate case (Docket No. E002/GR-10-971), we made a
12 number of commitments to provide more detailed information in the Direct
13 Testimony and to improve the quality of employee expense data to facilitate
14 review of employee expenses in our future rate cases. These commitments are
15 summarized in Exhibit____(WKH-1), Schedule 4. Also, in preparing for the
16 test year 2013 rate case (Docket No. E002/GR-12-961), we made some
17 additional commitments in a meeting with the OAG, which are also included
18 in Schedule 4.

19

20 Q. DID THE COMPANY MAKE ANY ADDITIONAL COMMITMENTS REGARDING
21 EMPLOYEE EXPENSES IN THE SUBSEQUENT 2014 RATE CASE (DOCKET NO.
22 E002/GR-13-868) OR 2016 RATE CASE (DOCKET NO. E002/GR-15-826)?

23 A. No.

24

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1 Q. PLEASE DESCRIBE WHETHER THE COMPANY'S 2013 AND SUBSEQUENT RATE
2 CASES RESULTED IN ADDITIONAL COMMITMENTS OR REQUIREMENTS
3 RELATING TO EMPLOYEE EXPENSES?

4 A. The Commission's Orders in the 2013 and 2014 rate cases required that if the
5 Company seeks recovery for corporate aviation costs in future rate cases, the
6 Company should provide more information, but did not otherwise add any
7 new requirements for employee expenses. In the 2013 rate case, the
8 Commission ordered us to provide flight log and passenger information for
9 the most recent 12-month operational period. In the 2014 rate case, the
10 Commission ordered us to provide more detailed records of the actual
11 business purpose for flights that are scheduled, rather than reducing all flights
12 to a generic “code.” These requirements are summarized in
13 Exhibit ____ (WKH-1), Schedule 4. The Commission’s Order in the Company’s
14 2016 rate case did not add any new requirements for employee expenses. The
15 Company’s 2020 rate case was withdrawn; there was no Commission activity
16 in that case that resulted in requirements relating to employee expenses.

17

18 As noted earlier, the Company is not requesting recovery of any corporate
19 aviation expenses in this rate case, and therefore we have not provided any
20 flight log, passenger, or business purpose information. That said, to ensure
21 completeness, we are providing expenses related to corporate aviation in EER
22 Schedule 8, consistent with the Employee Expense Statute.

23

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1 Q. HAS THE COMPANY FULFILLED ALL ITS COMMITMENTS AND
2 COMMISSION REQUIREMENTS IN DEVELOPING THE EER SCHEDULES AND THE
3 EMPLOYEE EXPENSE AMOUNT AND ADJUSTMENT?

4 A. Yes. My Direct Testimony, the EER Schedules, and the actions the Company
5 has taken and continues to take demonstrate our fulfillment of the
6 commitments and requirements established in the prior rate cases.
7 Exhibit____(WKH-1), Schedule 4 identifies where each commitment or
8 requirement is addressed in this case. Our employee expense compliance and
9 methodology to develop the Employee Expense Amount and Adjustment
10 have evolved for many years in collaboration with the OAG, are compliant
11 with the Employee Expense Statute, and have resulted in just and reasonable
12 outcomes in past cases and will also do so in this case.

13

14 III. EMPLOYEE EXPENSE REPORTING

15

16 Q. HOW DOES THE COMPANY TRACK EMPLOYEE EXPENSE TRANSACTIONS?
17 A. Our main tool to document and manage employee expense transactions is
18 SumTotal. We have used this intranet application system since October 2012.
19 Some employee expenses are also reported through the Company's SAP and
20 TIME applications. These separate applications are described in more detail
21 below.

22

23 A. SumTotal

24 Q. WHAT KIND OF EMPLOYEE EXPENSES ARE REPORTED THROUGH SUMTOTAL?
25 A. All bargaining and non-bargaining employees are required to use SumTotal to
26 report and properly account for expenses that are charged to the Company
27 credit card. This is the required payment method for all expenses that can be

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1 paid with a credit card. In addition, non-bargaining employees report through
2 SumTotal cash-out-of-pocket expenses that cannot be charged to the
3 Company credit card. Typically, such expenses may include parking, personal
4 car mileage, taxi/bus/other transportation, and tips/tolls.

5

6 **Q. HOW DOES SUMTOTAL FACILITATE APPROPRIATE EMPLOYEE REPORTING AND
7 MANAGER APPROVAL OF EMPLOYEE EXPENSES?**

8 A. SumTotal requires detailed information from the employee for all appropriate
9 fields to finish an expense report. The system notifies the user of potential
10 inconsistencies with the Employee Expense Policy and also prompts for
11 missing information. In addition, an electronic copy of all required receipts
12 must be included with the expense report for manager review and approval.
13 All expense reports require at least one next-level management approval.
14 Additionally, if information provided in SumTotal is not in compliance with
15 the Company guidelines, the transaction is flagged for further review by a
16 group within Supply Chain with oversight authority.

17

18 **Q. DOES THE USE OF SUMTOTAL ALLOW THE COMPANY TO COMPLY WITH THE
19 REPORTING REQUIREMENTS IN THE EMPLOYEE EXPENSE STATUTE?**

20 A. Yes. SumTotal includes all data fields necessary to comply with the Employee
21 Expense Statute reporting requirements. The transaction date, expense type,
22 expense category, business purpose, line comment, transaction amount, and
23 vendor name fields are populated for data review and analysis.

24

25 **Q. WHAT SUMTOTAL TRAINING IS AVAILABLE FOR COMPANY EMPLOYEES?**

26 A. Our online Learning Management System (LMS) has three training modules
27 related to the Employee Expense Policy and SumTotal. All new SumTotal

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1 users are required to complete the *Travel and Employee Expense Reimbursement*
2 training, which focuses on the Employee Expense Policy. Every SumTotal
3 user is also required to take a periodic refresher training on this course. These
4 training materials are provided as Exhibit____(WKH-1), Schedule 5A. We also
5 provide optional *Create and Submit an Expense Report* and *Approving an Expense*
6 *Report* courses in LMS.

7

8 Q. DOES THE COMPANY PROVIDE OTHER RESOURCES FOR SUMTOTAL USERS?

9 A. Yes. We maintain an internal website for travel and employee expenses, which
10 is a one-stop place for employees to find more information on reporting
11 requirements and SumTotal. This website contains, among other things, links
12 to frequently asked questions, forms, job aid manuals, and reference
13 documents. For example, we have published for employees and their
14 managers detailed job aid manuals *Creating and Submitting Expense Reports*
15 (attached as Exhibit____(WKH-1), Schedule 5B) and *Approving an Expense*
16 *Report* (attached as Exhibit____(WKH-1), Schedule 5C).

17

18 We also use General Notifications, delivered via Outlook email and SumTotal
19 Inbox, to notify all SumTotal users about potential system functionality
20 changes, policy updates, and useful tips.

21

22 Q. WHAT IS THE GOAL OF SUMTOTAL TRAINING AND INFORMATIONAL
23 MATERIALS?

24 A. The goal is that our employees understand the Company's Employee Expense
25 Policy and are able to accurately report their business-related expenses with
26 appropriate documentation. Overall, the training and educational materials are
27 designed to teach employees how to use SumTotal's functionality to enter

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1 information into expense reports more efficiently and in conformity with the
2 Employee Expense Policy. These materials also educate expense report
3 approvers of the tools available within SumTotal to facilitate their review and
4 approval.

5

6 Q. WHAT ADDITIONAL TOOLS AND HELP ARE AVAILABLE FOR EMPLOYEES WHO
7 ARE PREPARING AN EXPENSE REPORT IN SUMTOTAL?

8 A. There are two types of additional help available if employees have questions or
9 problems when they are preparing an expense report in SumTotal. First, they
10 can call the Supply Chain hotline. Hotline specialists who answer the phones
11 can view the expense report that is being prepared and give step-by-step
12 directions how to finish it correctly. Second, employees can use an online
13 help tool Job Aid, which was implemented in 2013 in SumTotal. When an
14 employee is preparing an expense report, she or he can point to the Job Aid in
15 SumTotal, which then gives additional information on the specific field.

16

17 Q. HAS THE COMPANY MADE ANY RECENT IMPROVEMENTS RELATED TO
18 SUMTOTAL?

19 A. Yes. We updated to a newer version of SumTotal in November 2019. This
20 change was mostly a technical upgrade and did not materially impact the
21 preparation of expense reports in the system. Therefore, the users did not
22 experience significant changes.

23

24 Q. DOES SUMTOTAL ALSO INCLUDE TRANSACTIONS THAT ARE NOT CONSIDERED
25 AS EMPLOYEE EXPENSES?

26 A. Yes. Employees are directed to use the Company credit card for minor
27 material and service purchases, which are not considered employee expenses.

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1 In the normal course of business, these types of items include office supplies,
2 tools, printing services, subscriptions to magazines and information services,
3 and office furniture. Although these credit card transactions are reconciled
4 through SumTotal, they are typical cost-of-doing business expenses not
5 covered by the Employee Expense Statute or the Employee Expense Policy.

6

7 **Q. HAS THE COMPANY MADE ANY OTHER RECENT IMPROVEMENTS RELATED TO
8 TRAVEL OR OTHER EMPLOYEE EXPENSES?**

9 A. Yes. In May 2020, the Company contracted with a new designated travel
10 agency to improve the service for our employees. The transition to use
11 Executive Travel Inc. provides new or updated tools and capabilities,
12 including a booking tool through Concur Travel, a mobile phone application
13 to manage travel, and reporting tools to monitor employee travel. This
14 transition also streamlined booking and reduced the booking cost per
15 transaction.

16

17 In addition, the Company shifted the Corporate credit card provider from
18 Bank of Montreal to US Bank, effective August 1, 2020. The Company already
19 used US Bank for its Fleet Fuel Credit Card and this change leveraged the
20 existing relationship with US Bank and improved capabilities for both credit
21 card programs with new functionality and reporting.

22

23 **B. Other Systems**

24 **Q. WHAT OTHER COMPANY SYSTEMS WERE USED IN 2019 TO REPORT EMPLOYEE
25 EXPENSES?**

26 A. Some 2019 employee expense transactions can also be found in the
27 Company's SAP and TIME applications. These are enterprise-wide systems

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1 that perform multiple functions for our business areas, including processing
2 some non-labor, employee expenses.

3

4 Q. PLEASE DESCRIBE SAP.

5 A. SAP is a business software package that can integrate all areas of business for
6 financials, manufacturing, logistics, distribution, and so on. The Company uses
7 the SAP software suite for the Company's general ledger as well as work and
8 asset management. SAP applications are used primarily for purchasing,
9 contracts, inventory, accounts payable, labor entry, and design work
10 management. SAP is also the Company's master vendor management
11 reporting system, containing two separate applications, Vendor Invoice
12 Management (VIM) and VIM Nuclear. Specifically, VIM and VIM Nuclear
13 include some employee expense transactions.

14

15 Q. WHAT APPLICATIONS DID SAP REPLACE?

16 A. SAP replaced the Corporate PassPort and Nuclear PassPort applications. SAP
17 was implemented Company-wide by the end of 2017, and no employee
18 expense transactions were reported through Corporate or Nuclear Passport in
19 2019. In total, approximately 800 employee expense transactions were
20 reported through SAP's VIM and about 100 employee expense transactions
21 were reported through VIM Nuclear in 2019.

22

23 Q. PLEASE DESCRIBE TIME.

24 A. TIME is the Company's mainframe application used to record time entries for
25 all employees (both those in bargaining units and those not in bargaining
26 units). TIME is also used to record costs other than wages incurred by the
27 Company's bargaining-unit employees across all business areas (TIME

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1 Expenses). The 2019 TIME Expenses entries for the State of Minnesota
2 Electric Jurisdiction consisted of per diems (57 percent), meal allowances (17
3 percent), mileage (17 percent), site allowance (7 percent), and safety shoes,
4 uniforms, and other similar charges (2 percent). These expenses are processed
5 within the TIME system so that they are properly reported to the Internal
6 Revenue Service and included in the appropriate employees' annual W2
7 statements.

8

9 Q. HOW DO THE TIME EXPENSES RELATE TO THE EMPLOYEE EXPENSE
10 AMOUNT?

11 A. Under applicable collective bargaining agreements, we are required to
12 reimburse bargaining employees for certain expenses those employees incur.
13 The TIME Expenses – for per diems, meal allowances, safety shoes, and so
14 on – are for those reimbursements. Because these entries reflect cash
15 payments to bargaining unit employees made pursuant to collective bargaining
16 agreements, they are somewhat different in nature from the kinds of expenses
17 contemplated in the Company's Employee Expense Policy or the Employee
18 Expense Statute and defined earlier in my testimony. Nevertheless, they are
19 included in the Employee Expense Amount, because they are coded as
20 employee expenses in our general ledger system and are recoverable O&M
21 expenses. This is consistent with the Company's approach in its last several
22 rate cases.

23

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1 Q. DID THE COMPANY'S EMPLOYEE EXPENSE REVIEW AND PREPARATION OF
2 EER SCHEDULES ALSO INCLUDE A REVIEW OF 2019 VIM, VIM NUCLEAR, AND
3 TIME TRANSACTIONS?

4 A. Yes. We conducted a thorough review of VIM, VIM Nuclear, and TIME data
5 in order to remove expenses that were considered to be non-recoverable.
6 Summary data from these systems is reported separately in EER Schedules 10,
7 11, and 12.

8

9 **C. Internal Controls and Monitoring**

10 Q. HOW IS THE COMPANY MONITORING COMPLIANCE WITH THE EMPLOYEE
11 EXPENSE POLICY AND APPROPRIATE REPORTING OF EMPLOYEE EXPENSES?

12 A. We have established several ways to monitor and track appropriate reporting
13 of employee expenses: 1) SumTotal Controls; 2) Compliance and Trend
14 Reporting; and 3) Internal Audits. I will discuss each of these briefly below.

15

16 Q. DOES SUMTOTAL HAVE SYSTEM-BUILT CONTROLS TO FLAG POTENTIALLY
17 NON-COMPLIANT EXPENSE REPORTS?

18 A. Yes. SumTotal advises the approving supervisor and a group within Supply
19 Chain when an expense report may not comply with the Employee Expense
20 Policy. A Supply Chain Administrator will review each flagged expense report
21 and reject it unless it can be corrected to be in compliance with the Company
22 policy and guidelines. A second layer of verification is added by monthly
23 check and balance reviews, which monitor whether the Supply Chain
24 Administrators are accurately rejecting or releasing flagged expense reports.

25

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1 Q. PLEASE DESCRIBE THE COMPLIANCE AND TREND REPORTING.

2 A. The Supply Chain organization has developed separate compliance and trend
3 reporting components for the Company's Employee Expense Policy. The
4 purpose of the compliance reporting is to collect monthly statistics and
5 provide more detailed analysis of SumTotal data, such as unclear business
6 purposes or untimely completion of expense reports. Compliance reporting
7 allows us to identify reoccurring problem areas, which may indicate that there
8 is a need to provide more direction and education to our employees. This
9 information also helps us to modify and improve our training materials.

10 Trend reporting was established to collect and analyze SumTotal data to
11 identify patterns or issues that would merit changes in the Company's
12 Employee Expense Policy. For example, trend reporting may show that there
13 is a need to add a new expense category or change spending limits for an
14 existing expense category. In addition, we monitor average spending for
15 certain expenses, for example, meals and hotel fees.

16

17 Q. WHAT DOES THE COMPANY DO AFTER IT IDENTIFIES A NON-COMPLIANCE
18 TREND?

19 A. We take the opportunity to better educate our employees, typically in two
20 ways. First, and most often, Supply Chain sends informational emails to all
21 employee expense system users. These informational emails offer very
22 specific instructions on how to correct or clarify issues that were identified as
23 a non-compliance trend. Second, Supply Chain may perform supplemental in-
24 person group training at the request of a Business Unit manager.

25

26 Q. WHAT IS THE MOST RECENT COMPANY AUDIT THAT REVIEWED EMPLOYEE
27 EXPENSE DATA?

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1 A. The most recent Company audit on employee expenses reviewed a sample of
2 all employee expense data from 2016 and from 2017 through November 30,
3 2017. The Audit Report was issued in March 2018 and focused on verifying
4 that expenses were reimbursed in compliance with the Company policy;
5 assessing whether appropriate controls and reporting tools are in place;
6 analyzing suspicious patterns or anomalies; and, verifying that expense types in
7 SumTotal tie to the appropriate general ledger account.

8

9 Q. WHAT DID THE AUDIT FIND?

10 A. The Audit Report concluded that the Company's system of controls over
11 employee expenses is effective. Although some instances of non-compliance
12 with the Company policy were identified, the number of such instances was
13 minimal and the exceptions insignificant. Examples of non-compliance
14 included splitting transactions, inadequate supporting documentation, and
15 payment of relocation expenses through the employee expense process instead
16 of through SAP. The Audit Report recommended ongoing training and
17 frequent updates to emphasize the approving manager's role in ensuring the
18 necessity and validity of purchases, such as monthly policy highlights. No
19 potentially fraudulent transactions were noted.

20

21 Q. WHEN IS THE COMPANY PLANNING TO CONDUCT THE NEXT AUDIT ON
22 EMPLOYEE EXPENSES?

23 A. The next audit on employee expenses is currently planned to begin in
24 November 2020 and be completed in February 2021, with a final report issued
25 in March 2021.

26

1 **IV. EMPLOYEE EXPENSE AMOUNT, EMPLOYEE EXPENSE
2 ADJUSTMENT, AND EER SCHEDULES**

- 3
- 4 Q. WHAT IS THE EMPLOYEE EXPENSE AMOUNT FOR THE TEST YEAR 2021?
- 5 A. The Employee Expense Amount for the test year 2021 is approximately \$16.2
6 million for the State of Minnesota Electric Jurisdiction. This amount is derived
7 from the O&M budgets of our various business areas. The Company does not
8 prepare a separate budget for employee expenses.
- 9
- 10 Q. HOW ARE THE BUSINESS AREA BUDGETS PREPARED?
- 11 A. The Company's budgeting process is a forward-looking projection of projects,
12 costs, and operational needs. Each business area develops its own budget as
13 part of the Company's overall budgeting process, which is described in more
14 detail in the Direct Testimony of Company witness Ms. Melissa L. Ostrom. In
15 general, business area budgets are organized using "cost elements," and certain
16 accounts include planned expenditures for the types of expenses that are listed
17 in the Employee Expense Statute. The sum of the amounts budgeted for
18 these accounts constitutes the Employee Expense Amount for the test year.
- 19
- 20 Q. HAS COVID-19 IMPACTED THE AMOUNT OF EMPLOYEE EXPENSES INCURRED
21 BY THE COMPANY IN 2020?
- 22 A. Yes. The Company expects that employee expenses will be lower in 2020
23 because of COVID-19. As explained above, airfare, lodging, other travel-
24 related expenses, and meals make up a significant portion of the Company's
25 employee expenses. In response to the COVID-19 pandemic, governmental
26 authorities in many jurisdictions across the U.S. imposed restrictions such as
27 barring non-essential travel, closing restaurants, and limiting gatherings such as

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1 conferences. As a result of these restrictions, our employees have been
2 traveling much less and eating fewer business meals at restaurants.

3

4 Q. IS THE COMMISSION CURRENTLY INVESTIGATING THE FINANCIAL IMPACTS OF
5 COVID-19 ON UTILITIES?

6 A. Yes. The Commission is currently investigating how to track the financial
7 effects of COVID-19 holistically² and has solicited comments on “how to
8 identify the types of financial impacts that could be considered COVID-
9 related, including cost increases and decreases, revenue increases and
10 decreases, and investments, as well as what off-sets there may be” as well as
11 “information on the financial effects on the utilities of the pandemic.”³ The
12 Department emphasized in its comments that it is essential for utilities to track
13 both increases and decreases in costs and revenues, including any reduced
14 travel, entertainment, meals, transportation costs, construction costs, and
15 similar.⁴ In its September 24, 2020 meeting the Commission approved a
16 methodology to track and defer COVID-19 related expenses, which requires
17 the utilities to also track savings and reduced expenses due to COVID-19. My
18 understanding is that any decreases in employee expenses in 2020 as a result of
19 COVID-19 will be tracked and addressed with the overall financial impacts of
20 COVID-19. As a result, these impacts need not be addressed separately in this
21 rate case.

22

² *In the Matter of an Inquiry into the Financial Effects of COVID-19 on Natural Gas and Electric Utilities*, Docket No. E,G999/CI-20-425 and *In the Matter of the Request of Minnesota Regulated Gas and Electric Utilities for Authorization to Track Expenses Resulting From the Effects of COVID-19 and Record and Defer Such Expenses Into a Regulatory Asset*, Docket No. E, G999/M-20-427.

³ May 22, 2020 ORDER APPROVING ACCOUNTING REQUEST AND TAKING OTHER ACTION RELATED TO COVID-19 PANDEMIC, in the dockets referenced above.

⁴ Department’s July 10, 2020 Comments, in the dockets referenced above.

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1 Q. DO YOU ANTICIPATE THAT COVID-19 WILL AFFECT THE AMOUNT OF
2 EMPLOYEE EXPENSES INCURRED BY THE COMPANY IN 2021?

3 A. Considering the uncertainty surrounding COVID-19 and its consequences, it
4 is difficult to predict what will happen in 2021. Based on the current COVID-
5 19 trend, however, I expect that employee expenses will be affected in 2021,
6 but it is not possible to quantify the extent of the impact. As explained above,
7 the Company does not have a separate budget for employee expenses, which
8 are instead imbedded in each business area's O&M budget. Any potential
9 reduction in employee expenses in 2021 is accounted for in the overall
10 business area O&M budgets.

11

12 Q. WHAT IS THE EMPLOYEE EXPENSE ADJUSTMENT?

13 A. The Employee Expense Adjustment for the test year 2021 is based on a
14 review of actual 2019 employee expense transactions. The purpose is to
15 identify and remove transactions that are not generally needed for providing
16 utility service and are likely non-recoverable based on our experience in prior
17 rate cases, such as transactions that are inconsistent with our Employee
18 Expense Policy guidelines, related to entertainment or life event celebrations,
19 or have vague business purposes. The transactions that are included in the
20 Employee Expense Adjustment are considered to be representative of such
21 transactions that could occur in 2021 and are therefore subtracted from the
22 Employee Expense Amount.

23

24 Q. WHAT IS THE AMOUNT OF EMPLOYEE EXPENSES THE COMPANY IS
25 REQUESTING TO RECOVER FOR THE TEST YEAR 2021?

26 A. After the Company's proposed Employee Expense Adjustment
27 (approximately \$1.6 million) is deducted from the proposed Employee

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1 Expense Amount (approximately \$16.2 million), we are requesting recovery of
2 approximately \$14.6 million for employee expenses for the State of Minnesota
3 Electric Jurisdiction for the test year 2021.

4

5 Q. HOW DID THE COMPANY PREPARE THE EMPLOYEE EXPENSE AMOUNT FOR
6 MYRP YEARS 2022 AND 2023?

7 A. The Employee Expense Amount for plan years 2022 and 2023 was developed
8 the same way as for the test year 2021, based on the combined amount of
9 employee expenses included in 2022 and 2023 business area budgets. The
10 Employee Expense Amount for the State of Minnesota Electric Jurisdiction is
11 approximately \$15.6 million for 2022 and \$16.1 million for 2023.

12

13 Q. HOW DID THE COMPANY PREPARE THE EMPLOYEE EXPENSE ADJUSTMENT
14 FOR MYRP YEARS 2022 AND 2023?

15 A. The Employee Expense Adjustment of \$1.6 million for 2021 is based on the
16 review of actual expenses from the last full fiscal year, which is currently 2019.
17 To determine the Employee Expense Adjustment for 2022 and 2023, we
18 examined how the Employee Expense Amount (based on business area
19 budgets) changes from 2021 to 2022 and from 2022 to 2023, and then
20 modified the Employee Expense Adjustment to follow proportionally that
21 change. In other words, if the Employee Expense Amount for example
22 increases from 2021 to 2022 by five percent, then we would increase the
23 Employee Expense Adjustment by five percent for 2022.

24

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1 Q. WHAT IS THE EMPLOYEE EXPENSE ADJUSTMENT FOR THE PLAN YEARS 2022
2 AND 2023?

3 A. The Employee Expense Amount decreases from 2021 to 2022 by 3.6 percent
4 and increases from 2022 to 2023 by 3.3 percent. When these percentages are
5 applied to the 2021 test year Employee Expense Adjustment, it results in an
6 approximately \$1.5 million adjustment (after rounding) for the 2022 plan year
7 and an approximately \$1.6 million adjustment for the 2023 plan year.

8

9 Q. WHAT IS THE AMOUNT OF EMPLOYEE EXPENSES THE COMPANY IS
10 REQUESTING TO RECOVER FOR PLAN YEARS 2022 AND 2023?

11 A. After the Employee Expense Adjustment is deducted from the Employee
12 Expense Amount, we are requesting recovery of approximately \$14.1 million
13 for plan year 2022 and \$14.5 million for plan year 2023. Table 1 below
14 summarizes the Employee Expense Amount, Employee Expense Adjustment,
15 and the resulting amount of employee expenses that the Company is seeking
16 to recover for 2021, 2022, and 2023.

17

18
Table 1
19 **Employee Expense Amount, Employee Expense Adjustment, and**
20 **Requested Recovery for 2021, 2022, and 2023 (State of Minnesota**
21 **Electric Jurisdiction)**

Year	Employee Expense Amount (\$ 000's)	Employee Expense Adjustment (\$ 000's)	Request for Recovery (\$ 000's)
2021	16,168	1,569	14,598
2022	15,581	1,512	14,069
2023	16,098	1,562	14,535

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- 1 Q. PLEASE PROVIDE DATA ON THE EMPLOYEE EXPENSE AMOUNTS AND THE
2 ACTUAL EMPLOYEE EXPENSES FOR THE PAST THREE YEARS.
- 3 A. Table 2 below provides data on the employee expense amounts (based on
4 business area budgets) and actual employee expenses for 2017-2019 for the
5 State of Minnesota Electric Jurisdiction. This data suggests that the
6 Company's business areas have cumulatively done a reasonably accurate job of
7 budgeting for their employee expenses – over the past three years, the total
8 actual employee expenses were within 0.7 percent of the total employee
9 expense amounts. The actuals exceeded the budgeted amounts in 2018 and
10 2019, while the actuals came in under the budgeted amounts in 2017.
11 Employee expenses are somewhat volatile because of external conditions such
12 as weather and variations in airfare and hotel prices, and also fluctuate based
13 on unpredictable Company needs and commitments, such as mutual aid
14 requirements to assist other utilities in national emergencies. In 2020, the
15 actual and forecasted employee expenses will likely be significantly lower
16 because of COVID-19. This is an illustration (albeit extreme) of how actual
17 employee expenses expenditures fluctuate from year to year as a result of
18 conditions beyond the Company's control. Exhibit____(WKH-1), Schedule 6
19 provides additional data by employee expense category for 2017-2019.

20

1

Table 2

2

Employee Expense Amount vs. Actual Employee Expenses, 2017-
2019 (State of Minnesota Electric Jurisdiction)¹

3

4

	Employee Expense Amount (\$ 000's)	Actual Employee Expenses (\$ 000's)	\$ Variance Over (Under) (\$ 000's)	% Variance Over (Under)
2017	15,170	13,922	(1,248)	(8.2%)
2018	14,558	15,256	698	4.8%
2019	15,613	16,495	882	5.7%
3-year total	45,340	45,673	333	0.7%

5

6 Q. WHAT ARE THE EER SCHEDULES?

7

8 A. The Employee Expense Statute requires that a rate case filed by a public utility
9 must include a schedule that separately itemizes certain employee expense
10 categories. This employee expense transaction data must be from the most
11 recently completed fiscal year and include the date, amount, business purpose,
12 and vendor for the expense. After we reviewed all actual 2019 employee
13 expense data and removed items that we believed were not recoverable (e.g.,
14 the Employee Expense Adjustment), the remaining transactions were arranged
15 into EER Schedules required by the Employee Expense Statute. A list of the
16 EER Schedules is attached as Exhibit____(WKH-1), Schedule 7. The complete
17 EER Schedules are provided in Volume 3 Required Information, Section IV
18 Other Required Information, Tab 2.

19

20

V. EMPLOYEE EXPENSE REVIEW AND DEVELOPMENT OF EER SCHEDULES

A. Employee Expense Review Process

- 5 Q. IN GENERAL, HOW DID THE COMPANY REVIEW EMPLOYEE EXPENSES AND
6 DEVELOP THE EER SCHEDULES?

7 A. We followed the same methodology as was used in our last four rate cases:
8 test year 2013 (Docket No. E002/GR-12-961), test year 2014 (Docket No.
9 E002/GR-13-868), test year 2016 (Docket No. E002/15-826), and test year
10 2020 (Docket No. E002/19-564).

11

12 Q. WHAT DATA DID THE COMPANY REVIEW AND USE TO PREPARE THE EER
13 SCHEDULES?

14 A. The Employee Expense Statute requires that we provide employee expense
15 data from our last completed fiscal year, which is 2019. We used the full 12
16 months of 2019 data from SumTotal and any other applicable Company
17 systems (e.g., VIM, VIM Nuclear, and TIME).

18

19 Q. WHAT FIELDS DID THE COMPANY EXTRACT FROM SUMTOTAL?

20 A. While SumTotal contains many other fields, for this case we extracted fields
21 that were: (1) necessary to develop EER schedules that comply with our
22 interpretation of the requirements in the Employee Expense Statute and our
23 commitments in the prior electric rate cases; and (2) helpful in determining if
24 the expense could be allocated to the State of Minnesota Electric Jurisdiction.
25 The raw SumTotal data set includes the corporate credit card transactions and
26 cash reimbursements for all expenses incurred by NSPM and Service
27 Company employees.

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1 Q. PLEASE DESCRIBE THE PROCESS FOR REVIEWING SUMTOTAL DATA?

2 A. The process to review SumTotal data is largely manual and involves numerous
3 steps and a line-by-line review of transactions. A detailed explanation of this
4 process is provided in Exhibit____(WKH-1), Schedule 8. After extracting the
5 data set described above, we first removed transactions that have no cost
6 assignment or allocation to the State of Minnesota Electric Jurisdiction
7 (restricting the data set to approximately 200,000 line items). I note one
8 exception: we preserved all transaction data for entertainment expenses and
9 dues even if not allocable to the State of Minnesota Electric Jurisdiction. We
10 did so to remain consistent with the EER Schedules provided in our last
11 electric rate case, which included employee entertainment and dues expense
12 transaction data. We have developed a process that allows us to determine the
13 amount of each transaction's jurisdictional allocation.

14

15 From this point, we identified transactions that are not recoverable and are
16 already accounted for below-the-line, or needed to be manually moved below-
17 the-line. Several Company cost element accounts are below-the-line accounts
18 and include expenses related to lobbying, non-recoverable recognition,
19 corporate tickets, and other similar deductions. These non-recoverable, below-
20 the-line transactions were excluded from a further review.

21

22 Q. WHAT WAS THE NEXT STEP IN THE SUMTOTAL REVIEW PROCESS?

23 A. Next, we searched the remaining transactions (approximately 196,000 lines)
24 for 124 key words, and we also searched them for vague business purposes
25 and other criteria, to determine if there were transactions inconsistent with the
26 Employee Expense Policy or our prior rate case commitments or that were
27 not necessary for the provision of utility service. Our proposed Employee

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1 Expense Adjustment consists of transactions identified through this effort.
2 Specifically, we included in the adjustment items that were:

- 3 • Identified by our key word search;
4 • Considered to have vague business purposes;
5 • For meals exceeding \$65 per person;
6 • For business meals that included only Company employees;
7 • Inconsistent with the guidelines in our Employee Expense Policy; and
8 • Identified as generally not being needed for the provision of utility
9 service.

10

11 Q. PLEASE DESCRIBE THE KEY WORD SEARCH.

12 A. Based on our past experience, we developed a list of 124 key words that was
13 used to identify transactions that may not be appropriate for rate recovery.
14 The list was developed specifically to capture expenditures related to sporting
15 and entertainment events, recreation, celebrations, recognitions, life events,
16 international travel and lobbying. The key word list is provided in Table 2 to
17 Exhibit____(WKH-1), Schedule 8. Transactions initially identified through the
18 key word search were manually reviewed, line-by-line, to determine if the
19 transaction qualified as a recoverable employee expense. Some expenses
20 identified through the key word search are “false positives,” which means they
21 are appropriate for recovery although they contain a key word. For example,
22 expenses incurred for vendors such as Holiday Inn Express or Holiday Station
23 Store could be recoverable although matching the search word “holiday.” We
24 identified approximately 33,000 transactions through the key word search and
25 approximately 12,200, or 37 percent, of these transactions were included in the
26 Employee Expense Adjustment. The amount of adjustment based on the key
27 word search is approximately \$585,000.

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1 Q. PLEASE DESCRIBE HOW THE COMPANY SEARCHED FOR SUMTOTAL
2 TRANSACTIONS WITH VAGUE BUSINESS PURPOSES.

3 A. We first manually reviewed each transaction to assess if the business purpose
4 field, by itself, provided an adequate description to determine the business
5 purpose. If the business purpose was vague, such as “dinner,” “travel,” or
6 “meeting,” we manually reviewed other data fields and examined acronyms
7 and abbreviations. If the combined documentation was not sufficient to
8 determine an adequate business purpose, the transaction was flagged for
9 removal. A representative (non-exhaustive) list of 229 acronyms that are
10 commonly used by our employees is provided in Table 3 to Exhibit
11 ____(WKH-1), Schedule 8. The amount of adjustment based on vague business
12 purposes is approximately \$73,000.

13

14 Q. DID THE COMPANY IDENTIFY EVERY SUMTOTAL TRANSACTION WITH A
15 VAGUE BUSINESS PURPOSE?

16 A. Identifying vague business purposes is somewhat subjective. While we have
17 made our best effort to identify these transactions, there could be transactions
18 with business purposes others might consider vague. Our Employee Expense
19 Policy provides guidelines for the appropriate documentation of employee
20 expenses, and our employees provide business purposes they believe are
21 reasonable. While an approving manager may find a business purpose
22 reasonable based on knowledge of the work being done by an employee, this
23 business purpose may appear vague to an outside party. We believe that there
24 is always some judgment and subjectivity involved in assessing the business
25 purpose, and do not think that perfection is possible, nor should it be the
26 standard applied. In our review of employee expenses, we conducted a
27 thorough search for vague business purposes and reviewed acronyms and

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1 abbreviations included in business purposes when necessary. We believe our
2 effort and the resulting Employee Expense Adjustment are consistent with
3 our commitment in the 2011 rate case.

4

5 Q. ARE THERE MEALS GREATER THAN \$65 PER PERSON, PER DAY IN THE EER
6 SCHEDULES?

7 A. No. We are not seeking recovery for these transactions, and the EER
8 Schedules do not include meals in excess of \$65 per person per day. Our
9 Employee Expense Policy guidelines require that an employee should not
10 charge for more than \$65 per person, per day for business or travel meals. We
11 have continued to improve compliance with this guideline, but we still
12 identified instances where the meal transactions in SumTotal exceeded the
13 allowable amount. These transactions (approximately \$22,000) are included in
14 the Employee Expense Adjustment.

15

16 Q. ARE BUSINESS MEALS THAT INCLUDED ONLY COMPANY EMPLOYEES INCLUDED
17 IN THE EER SCHEDULES?

18 A. No. Although we believe there are instances where business meals among
19 employees are necessary, we are not seeking recovery for these transactions
20 and they are also excluded from the EER Schedules, consistent with past
21 practice. Approximately \$567,000 of employee-only business meals reported
22 through SumTotal are included in the Employee Expense Adjustment.

23

24 Q. PLEASE DESCRIBE THE REST OF THE SUMTOTAL TRANSACTIONS INCLUDED IN
25 THE EMPLOYEE EXPENSE ADJUSTMENT.

26 A. The rest of the Employee Expense Adjustment is comprised of SumTotal
27 transactions that are otherwise inconsistent with our Employee Expense

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1 Policy guidelines; do not pertain to the State of Minnesota Electric
2 Jurisdiction; or we believe are not needed to provide utility service. Based on
3 our past experience, we conducted a manual line and field review to identify
4 these types of expenses, and any transactions identified by the review were
5 flagged for removal. Approximately \$278,000 of flagged SumTotal
6 transactions are included in the Employee Expense Adjustment.

7

8 Q. ARE EXPENSES FOR INTERNATIONAL TRAVEL INCLUDED IN THE EER
9 SCHEDULES?

10 A. Yes, depending on the business purpose. Our Employee Expense Policy
11 recognizes that international travel is sometimes necessary for conducting
12 Company business, for example, to attend industry trainings and vendor
13 supplier meetings; to audit manufacturing processes at vendors' locations; and,
14 to ensure safe operation of our nuclear facilities. These types of legitimate and
15 necessary expenses are included in the EER Schedules and excluded from the
16 Employee Expense Adjustment.

17

18 Q. WHAT IS THE TOTAL AMOUNT OF ADJUSTMENT THE COMPANY MADE TO
19 SUMTOTAL TRANSACTIONS?

20 A. Based on the review process described above, we made a total adjustment of
21 approximately \$1.541 million to SumTotal employee expense transactions. A
22 summary table of these adjustments is included in Exhibit____(WKH-1),
23 Schedule 8, p. 11.

24

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1 Q. HOW DID THE COMPANY REVIEW EMPLOYEE EXPENSES RECORDED IN OTHER
2 SYSTEMS THAN SUMTOTAL?

3 A. As explained in Section III.B above, VIM, VIM Nuclear, and TIME
4 applications include some 2019 employee expense transactions. In these
5 applications, the descriptive fields available are less extensive than those
6 provided within SumTotal. We identified employee expenses by looking at
7 accounting codes, vendor name, description, and other available transactional
8 data fields. For the identified employee expense transactions, we conducted a
9 line-by-line review to remove transactions that we believe are non-recoverable,
10 similar to the SumTotal review described above. The process to review VIM,
11 VIM Nuclear, and TIME expense data is described in more detail in
12 Exhibit____(WKH-1), Schedule 8.

13

14 Q. WHAT ADJUSTMENTS DID THE COMPANY MAKE TO VIM, VIM NUCLEAR, AND
15 TIME TRANSACTIONS?

16 A. Based on our review, we made a total adjustment of approximately \$29,000 to
17 VIM employee expense transactions. We did not make any adjustments to
18 VIM Nuclear or TIME data.

19

20 Q. DO YOU THINK THE RESULTING \$1.6 MILLION EMPLOYEE EXPENSE
21 ADJUSTMENT FOR THE STATE OF MINNESOTA ELECTRIC JURISDICTION IS
22 REASONABLE?

23 A. Yes. Our process to identify employee expense transactions for exclusion was
24 rigorous and consistent with the commitments we have made in past rate
25 cases. This adjustment ensures a reasonable and appropriate amount of
26 employee expenses are included in 2021, 2022, and 2023.

27

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1 Q. ARE TRANSACTIONS THAT MAKE UP THE \$1.6 MILLION EMPLOYEE EXPENSE
2 ADJUSTMENT INCLUDED IN THE EER SCHEDULES?

3 A. No. The EER Schedules do not include any of the transactions that make up
4 the \$1.6 million Employee Expense Adjustment. Once the expenses
5 comprising the Employee Expense Adjustment were removed, the remaining
6 data – O&M employee expense transactions – was sorted to create the EER
7 Schedules corresponding to the categories set forth in the Employee Expense
8 Statute.

9

10 **B. Details Regarding EER Schedules**

11 Q. PLEASE DESCRIBE THE INFORMATION REPORTED FOR THE TOP TEN HIGHEST
12 PAID EMPLOYEES AND OFFICERS AS REQUIRED BY THE EMPLOYEE EXPENSE
13 STATUTE?

14 A. EER Schedules 5A-5J comply with the Employee Expense Statute
15 requirement that we provide itemized employee expense information for the
16 ten highest paid officers and employees for 2019, the most recently completed
17 fiscal year.

18

19 The Employee Expense Statute also requires that we provide compensation
20 information for the individuals on the top ten compensated list. EER
21 Schedule 5 includes the State of Minnesota Electric Jurisdiction 2019 actual
22 and 2021-2023 budgeted compensation information for the top ten highest
23 paid officers and individuals. Company witness Ms. Ruth K. Lowenthal
24 describes in her Direct Testimony the employee compensation costs we
25 propose to recover.

26

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1 Q. IS THE COMPANY REQUESTING RECOVERY OF CORPORATE AVIATION
2 EXPENSES?

3 A. No. EER Schedule 8 provides expenses related to corporate aviation, as
4 required by the statute, but we are not requesting recovery for them and they
5 are excluded from the 2021 test year amount. I note that EER Schedule 8 also
6 includes any food, beverage, lodging, and other travel transactions for the
7 corporate aircraft pilots. These aviation expenses are excluded from the test
8 year amount as well.

9

10 Q. IS THE COMPANY REQUESTING RECOVERY FOR ANY LOBBYING-RELATED
11 EXPENSES?

12 A. No, we do not request recovery of any lobbying or lobbying-related expenses,
13 and these are excluded from the 2021 test year amount.

14

15 Q. WHAT HAS THE COMPANY DONE TO ENSURE THAT THERE ARE NO LOBBYING
16 OR LOBBYING-RELATED EXPENSES IN THE EER SCHEDULES?

17 A. Lobbying-related costs charged to appropriate internal order accounts are
18 recorded as below-the-line expenses and excluded from the EER Schedules.
19 Our key word search also included lobbying-related words (e.g., lobby, legis,
20 political, election, PAC, senat, and repr) to identify any other transactions that
21 might be related to lobbying and capture them in the Employee Expense
22 Adjustment. Additionally, for those employees who lobby from time to time,
23 we reviewed each of their transactions and removed those that appeared to be
24 for lobbying or lobbying-related activities on behalf of the Company.

25

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1 Q. ARE ANY OTHER CATEGORIES OF EMPLOYEE EXPENSES EXCLUDED FROM THE
2 EER SCHEDULES?

3 A. Yes. Spending for life events – such as funerals, weddings, and birthdays – is
4 excluded from the EER Schedules. All expenses charged in 2019 to the Life
5 Event account were included in the Employee Expense Adjustment. In
6 addition, our key word search review of 2019 transactions included life event-
7 related words (e.g., floral, flowers, funeral, bereavement, birthday, wedding,
8 and baby) to identify other transactions that were not recorded to the Life
9 Event account so that these transactions could be included in the Employee
10 Expense Adjustment. Similarly, expenses that were determined to be for
11 career event celebrations – such as meals for retirement, promotion, or
12 anniversary parties – are included in the Employee Expense Adjustment.

13

14 Other expense categories that we are not requesting recovery for are alcohol
15 and entertainment expenses. Any alcohol portion of a meal expense must be
16 itemized separately in SumTotal. The key word search also had terms to
17 identify any other expenses that might be alcohol-related. These were all
18 excluded from the EER Schedules. EER Schedule 3 lists all recreation and
19 entertainment expenses, as required by the Employee Expense Statute. These
20 expenses are recorded below-the-line and we are not requesting recovery for
21 them. EER Schedule 7 lists all gift expenses, and some of these are typically
22 recovered from rates (e.g., performance-based and safety recognition) and
23 some are included in the Employee Expense Adjustment (e.g., wedding or
24 birth gift). Finally, mobile device expenses are not subject to the reporting
25 requirements in the Employee Expense Statute and therefore they are
26 excluded from the EER Schedules.

27

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1 Q. ARE CERTAIN EMPLOYEE RECOGNITION EXPENSES INCLUDED IN THE EER
2 SCHEDULES?

3 A. Yes. We use a vendor-based recognition program branded as Xcelebrate to
4 administer recognition awards, and these expenses are included in the EER
5 Schedules. The Xcelebrate program is used to recognize excellent work
6 performance and accomplishments. Awards must be approved by leadership,
7 and approval levels vary depending on the award value from manager through
8 Vice President. Xcelebrate awards are received in points, which can be used
9 for merchandise or gift cards through an online catalog. The highest level of
10 award is equivalent to \$200, and this level requires both manager and Vice
11 President approval. A nomination wizard within Xcelebrate is available to help
12 determine the appropriate award level. Xcelebrate awards may also be used to
13 recognize excellent work performance that is related to safety.

14

15 In addition, the Xcelebrate program is used to recognize years of contribution
16 at five-year intervals as well as retirement. Eligible employees are invited to
17 select a gift from the applicable anniversary/retirement catalog. Transactions
18 administered through the Xcelebrate platform were included in our employee
19 expense review. We continue to believe that employee recognition and
20 appreciation help foster a collegial working environment essential to achieving
21 a high level of productivity.

22

23 Q. ARE SAFETY-RELATED RECOGNITION EXPENSES INCLUDED IN THE EER
24 SCHEDULES?

25 A. Yes. Safety-related gifts and other incentives are included in the EER
26 Schedules, consistent with past practice. Safety-related accomplishments may
27 also be recognized outside the Xcelebrate program. For example, Nuclear

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1 Operations and other business areas may recognize a group or plant for a
2 specific achievement, such as successful and safe completion of a large project
3 or reaching a major milestone without an injury. All safety-related recognition
4 awards, incentives, meals, and gifts must be approved by a manager and/or a
5 safety committee. Safety recognition expenses were included in our employee
6 expense review. Safety recognition is a necessary and reasonable expense to
7 provide utility service – one of the Company’s fundamental goal is to ensure
8 and enhance the safety of our employees and customers.

9

10 Q. EER SCHEDULE 6 INCLUDES A ROW FOR “DUES & MEMBERSHIPS” – ARE
11 THESE INCLUDED IN THE EMPLOYEE EXPENSE AMOUNT?

12 A. That row in EER Schedule 6 includes three types of dues: Professional
13 Association Dues, Chamber of Commerce Dues, and Social Services Dues.
14 Professional Association Dues are incurred by our individual employees for
15 memberships in professional organizations in their respective fields. The
16 portion of Professional Association dues that is not considered lobbying is
17 recoverable and included in the test year Employee Expense Amount.
18 Chamber of Commerce Dues are corporate expenses and they are excluded
19 from the Employee Expense Amount. We request recovery for the non-
20 lobbying portion of these dues, which is supported in Mr. Halama’s Direct
21 Testimony. Social Services Dues are corporate expenses, recorded below-the-
22 line, and excluded from the 2021 test year.

23

24 Q. WHAT EMPLOYEE EXPENSE DATA IS INCLUDED IN EER SCHEDULES 10, 11,
25 AND 12?

26 A. These schedules contain summary employee expense data from VIM (EER
27 Schedule 10), VIM Nuclear (EER Schedule 11), and TIME (EER Schedule

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1 12). Per our commitment in the 2011 rate case, we have provided summary
2 data instead of complete transaction details.

3

4 Q. ARE THERE ANY LIMITATIONS IN THE PROCESS USED TO DEVELOP THE EER
5 SCHEDULES OR THE SCHEDULES THEMSELVES?

6 A. We believe our EER Schedules comply with the requirements in the
7 Employee Expense Statute. However, I note that the process we use to
8 develop the EER Schedules is almost entirely manual and requires that our
9 employees analyze and review many thousands of lines of data. SumTotal
10 does not have the functionality to automatically generate reports that comply
11 with the Employee Expense Statute requirements. Therefore, the
12 development of EER Schedules continues to be a manual effort that requires
13 judgment.

14

15 Q. CAN YOU RECONCILE THE EER SCHEDULES TO THE TEST YEAR 2021 REVENUE
16 REQUIREMENT FOR EMPLOYEE EXPENSES?

17 A. No. The EER Schedules are based on the actual 2019 employee expense
18 transactions. The test year revenue requirement of approximately \$14.6
19 million is based on the 2021 budgeted expenses by business areas. As a result,
20 a direct reconciliation of the 2019 EER Schedules to the 2021 test year
21 amount is not possible because of the different time periods.

22

23 Q. CAN YOU SUM UP THE 2019 EER SCHEDULES SO THAT THEY MATCH THE
24 ACTUAL 2019 EMPLOYEE EXPENSES IN THE COMPANY'S GENERAL LEDGER?

25 A. No, for several reasons. For example, the transactions that make up the
26 Employee Expense Adjustment of \$1.6 million are included in the general
27 ledger but excluded from the EER Schedules. Also, several EER Schedules

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1 have duplicative employee expenses. For instance, transactions in EER
2 Schedule 1A (Vice President and Above Travel and Meal) are also included in
3 EER Schedule 1 (Travel and Lodging) and EER Schedule 2 (Meal Expenses).
4 Similarly, employee expense transactions in EER Schedules 5A-5J (Top Ten
5 Compensated) are also included in the other EER Schedules.

6

7 **VI. FLEET CAPITAL INVESTMENTS**

8 **A. Overview**

9 Q. WHAT IS THE PURPOSE OF THIS SECTION IN YOUR TESTIMONY?

10 A. I support the Company's capital budget for the Supply Chain business area's
11 Fleet organization. The Fleet organization is responsible for planning,
12 procuring, maintaining, and retiring the Company's fleet assets. By fleet assets,
13 I mean the fleet of cars, trucks, trailers, and construction equipment, and
14 related assets such as garages and fuel depots, that the Company uses to
15 support its provision of safe and reliable service.

16

17 Q. PLEASE DESCRIBE THE CENTRALIZATION OF FLEET CAPITAL TO SUPPLY
18 CHAIN'S FLEET ORGANIZATION.

19 A. Management of the capital budget for fleet investments was centralized within
20 Supply Chain's Fleet organization in November 2018. Prior to this
21 centralization, each operational business area was responsible for budgeting
22 their own fleet capital investments. Following this centralization, the Fleet
23 organization became responsible for managing the capital fleet budget for all
24 business areas across Xcel Energy's operational companies, including
25 replacement, maintenance, and repairs for existing fleet vehicles and
26 equipment.

27

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1 Q. WHAT ARE THE BENEFITS OF CENTRALIZING THE MANAGEMENT AND
2 BUDGETING FOR FLEET UNDER SUPPLY CHAIN?

3 A. Centralizing the management responsibilities to one unit within Supply Chain
4 creates efficiencies, harmonizes long-term planning, and optimizes the
5 purchase and maintenance of the Company's overall fleet. The Fleet
6 organization works closely with each business area to ensure a strategic
7 approach that provides the appropriate number of safe and reliable Company
8 vehicles and equipment.

9

10 As a result of this centralization, we have also been able to improve the
11 process to identify aged fleet vehicles and equipment that need replacement.
12 The Fleet organization uses the total cost of ownership model to identify
13 those fleet assets that need to be replaced. Generally speaking, the worst fleet
14 assets based on age, miles, and hours are replaced first. This means that in any
15 year, the most need may be concentrated to a single business area or
16 operational company, and as a result, capital budgets for fleet replacements
17 may fluctuate from year-to-year.

18

19 Q. DO THE CHANGES DISCUSSED ABOVE – CENTRALIZATION OF FLEET CAPITAL
20 AND TOTAL COST OF OWNERSHIP MODEL – HAVE OTHER IMPACTS?

21 A. Yes. Because of the organizational change, it is difficult to analyze cost trends
22 and compare the 2020 forecast and 2021-2023 budgets to past years' actual
23 expenses, which were tracked by individual business areas. However, going
24 forward, centralization of Fleet will make it easier to project future costs and
25 to compare them to past actuals because we are now using consistent
26 reporting categories and practices across all business areas. Additionally, the
27 process change to use the total cost of ownership model means that for one

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1 jurisdiction or business area, the budget for fleet replacements may vary from
2 one year to another. We believe this is an improvement on prior practices
3 because we will be making more data-driven decisions regarding repairs and
4 replacements for our fleet assets.

5

6 Q. PLEASE DESCRIBE THE COMPANY'S FLEET FUNCTIONS IN THE STATE OF
7 MINNESOTA.

8 A. The Company could not accomplish our core service – providing electricity to
9 customers – without reliable fleet assets and equipment. The construction,
10 maintenance, and repair of the electric system necessitates constant travel
11 across Minnesota that requires the use of cars, trucks, and other equipment.
12 We also rely on a variety of different types of construction equipment to
13 perform our daily work. Further, our ability to swiftly and safely respond to
14 storm and other emergencies hinges on our crews having reliable fleet vehicles
15 and equipment. To that end, the Company maintains a fleet of approximately
16 2,141 vehicles and equipment to support our Distribution, Transmission,
17 Energy Supply, Gas, and Nuclear business areas in Minnesota. These fleet
18 assets include various types of cars, trucks, trailers, and construction
19 equipment. We also maintain 14 garages in Minnesota, where we inspect and
20 repair fleet vehicles and equipment. Additionally, we own and operate 10
21 fueling depots in Minnesota. We operate our own fueling depots to enhance
22 crew efficiencies, to ensure access to diesel fuel for emergency operations, and
23 to accommodate vehicles that cannot use commercial retail fueling stations
24 due to size or other restrictions.

25

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1 Q. HOW DOES THE FLEET ORGANIZATION CATEGORIZE CAPITAL INVESTMENTS
2 FOR FLEET?

3 A. We categorize fleet capital investments into the following groups:

- 4 • *Fleet Asset Replacements*: investments to replace aging and retiring
5 vehicles, trailers, and construction equipment.
- 6 • *Fleet Asset Additions*: incremental investments in additional fleet units to
7 meet business area needs for additional crews hired or specific unique
8 work tasks.
- 9 • *Fleet Repairs*: investments to repair existing fleet assets to extend their
10 useful life.
- 11 • *Fueling Depots*: investments for replacing infrastructure at Company-
12 owned fueling stations.
- 13 • *Garage Tools*: investments for tools needed to inspect and repair fleet
14 assets, such as lifts, jacks, oil distribution systems, exhaust systems, and
15 other similar mechanical tools.

16

17 Q. WHAT ARE THE BUDGETED CAPITAL ADDITIONS FOR THE FLEET
18 ORGANIZATION FOR 2021-2023 (STATE OF MINNESOTA ELECTRIC
19 JURISDICTION)?

20 A. Table 3 below shows the actual fleet capital additions by business area for
21 2017-2019; forecasted capital additions for 2020; and budgeted capital
22 additions for 2021-2023. The budgeted capital additions for the Fleet
23 organization total \$18.3 million in 2021, \$19.3 million in 2022, and \$18.7
24 million in 2023 for the State of Minnesota Electric Jurisdiction. I will discuss
25 the reasons for the increase in these fleet investments as compared to historic
26 investments in the next section of my testimony.

27

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Table 3

Actual and Budgeted Fleet Capital Additions by Business Area (State of Minnesota Electric Jurisdiction)

(in \$ 000's)	2017	2018	2019	2020	2021	2022	2023
	Actual*	Actual*	Actual	Forecast	Budget	Budget	Budget
Distribution	15,537	12,342	4,061	12,871	12,201	11,100	9,329
Transmission	4,825	5,435	3,652	4,728	2,906	5,141	6,971
Energy Supply / Nuclear	813	384	-	267	1,046	1,257	1,292
Common							
(Fleet, materials, outdoor lighting, facilities, etc.)	-	-	804	1,300	2,177	1,805	1,078
Total	21,176	18,161	8,518	19,165	18,330	19,304	18,669

* The management of the capital budget for fleet investments was centralized within Supply Chain's Fleet organization in November 2018. Actual fleet capital additions for 2017 and 2018 in Table 3 are for NSPM Electric, including Minnesota, North Dakota, and South Dakota.

- 18 Q. PLEASE EXPLAIN WHY 2019 CAPITAL ADDITIONS ARE SIGNIFICANTLY LOWER
19 THAN 2017-2018 ACTUALS AND 2021- 2023 BUDGET?

20 A. As I discussed above, we budget for Fleet investments across the entire Xcel
21 Energy enterprise using the total cost of ownership model. This means that in
22 a particular year, one jurisdiction or one business area may require greater
23 investments in order to make the necessary fleet replacements required by the
24 total cost of ownership model. In 2019, Fleet Asset Management assessed the
25 fleet portfolio and determined that there was a need to increase our capital
26 investments to replace aged fleet assets for the gas operations in our Colorado
27 jurisdiction and as a result, capital investments were reduced for the State of

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1 Minnesota Electric Jurisdiction. After addressing these Colorado assets in
2 2019, the Fleet organization is now focusing on reducing the age of our
3 Minnesota electric fleet over the term of this multi-year rate plan and beyond.
4 Additionally, I note that the fleet capital actuals for 2017 and 2018 are for
5 NSPM Electric, (including Minnesota, North Dakota, and South Dakota);
6 whereas 2019 actuals, 2020 forecast, and 2021-2023 budgets represent only the
7 State of Minnesota Electric Jurisdiction.

8

9 Q. PLEASE PROVIDE AN OVERVIEW OF THE MAJOR PLANNED CAPITAL ADDITIONS
10 FOR THE FLEET ORGANIZATION FOR 2021-2023.

11 A. As Table 4 below displays, Fleet Asset Replacements are by far the largest
12 category of capital additions, comprising approximately 96 percent of the
13 annual budget for 2021-2023 for the State of Minnesota Electric Jurisdiction.
14 As discussed in greater detail below, over the term of this multi-year rate plan,
15 we will be making increasing capital investments to replace aged fleet assets to
16 decrease maintenance costs and to improve performance. Fueling Depots are
17 our second largest category of capital additions, followed by Fleet Repairs and
18 Garage Tools. Exhibit____(WKH-1), Schedule 9 provides further details of
19 Fleet capital additions by account for the State of Minnesota Electric
20 Jurisdiction.

21

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Table 4

Actual and Budgeted Fleet Capital Additions by Cost Category (State of Minnesota Electric Jurisdiction)

(in \$ 000's)	2017 Actual*	2018 Actual*	2019 Actual	2020 Forecast	2021 Budget	2022 Budget	2023 Budget
Fleet Asset Replacements and Fleet Asset Additions	20,846	17,567	7,379	18,389	17,286	18,539	18,176
Fueling Depots	-	-	816	425	592	313	41
Fleet Repairs	240	116	264	209	200	200	200
Garage Tools	89	478	59	142	252	252	252
Total	21,176	18,161	8,518	19,165	18,330	19,304	18,669

* The management of the capital budget for fleet investments was centralized within Supply Chain's Fleet organization in November 2018. Actual fleet capital additions for 2017 and 2018 in Table 4 are for NSPM Electric including Minnesota, North Dakota, and South Dakota.

B. Fleet Capital Additions by Category

1. Fleet Asset Replacements and Additions

Q. WHAT INVESTMENTS ARE PLANNED FOR FLEET ASSET REPLACEMENTS AND FLEET ASSET ADDITIONS CATEGORY OVER THE TERM OF THE MULTI-YEAR RATE PLAN?

22 A. For 2021 to 2023, we are not forecasting any incremental Fleet Asset
23 Additions. However, we have budgeted \$17.3 million for Fleet Asset
24 Replacements in 2021, \$18.5 million in 2022, and \$18.2 million in 2023 for the
25 State of Minnesota Electric Jurisdiction. These budgeted amounts for 2021
26 include the replacement of 34 passenger vehicles, 19 light duty vehicles, 133

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1 medium duty / heavy duty trucks, 25 trailers, and 26 construction equipment.
2 Similar types of fleet replacements will be made in 2022 and 2023.

3

4 Q. ARE ANY OF THESE FLEET VEHICLES BEING REPLACED WITH ELECTRIC
5 VEHICLES?

6 A. Yes. Of the 34 passenger vehicles that will be replaced in 2021, 15 will be
7 replaced with plug-in hybrid electric vehicles (PHEVs). In 2022, we plan to
8 replace 20 additional passenger vehicles with PHEVs. By 2023, all sedans in
9 our existing fleet will be replaced by PHEVs. Replacing our current gas-only
10 powered sedans with PHEVs will provide benefits in terms of helping to cut
11 carbon emissions and lowering fuel and maintenance costs.

12

13 Q. HOW DOES THE COMPANY DETERMINE WHICH OF ITS FLEET ASSETS NEED TO
14 BE REPLACED IN A GIVEN YEAR?

15 A. The Fleet organization makes decisions on replacing fleet assets across the
16 Company's operational companies using the total cost of ownership model,
17 which takes into account the following inputs: age, the number of miles, total
18 hours, repair costs, maintenance costs, the costs of repair parts, and labor
19 costs for repairs of each fleet unit. These inputs track all costs associated with
20 owning, operating, repairing, and maintaining our fleet vehicles during their
21 entire life span.

22

23 Q. HOW IS THE TOTAL COST OF OWNERSHIP MODEL USED TO DEVELOP THE
24 BUDGET FOR FLEET ASSET REPLACEMENTS?

25 A. Each year, the Company examines the total cost of ownership for each of our
26 existing fleet assets to determine which fleet needs to be replaced in that year.
27 In particular, a fleet unit is identified for replacement when the costs of

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1 owning, operating, repairing, and maintaining a fleet unit exceed the average
2 cost of replacing that unit or when customer service is negatively impacted
3 due to increased instances of breakdowns. This condition-based assessment
4 process means that in one year, the most need for replacing fleet assets may be
5 within one operational company or within one business area. As a result, the
6 annual budget for fleet asset replacements for a Company jurisdiction may
7 fluctuate.

8

9 Q. WHY IS IT IMPORTANT TO REPLACE AGING FLEET ASSETS WHEN THESE
10 CRITERIA ARE MET?

11 A. Replacing our fleet in accordance with these criteria both reduces the total
12 overall cost to operate and maintain the Company's fleet as well as
13 maintaining the reliability and safety of our fleet assets.

14

15 Age is the single biggest driver of maintenance and repair costs for fleet assets.
16 The cost to repair and maintain older fleet assets is much higher than newer
17 assets as they tend to require more frequent and more extensive maintenance
18 and repairs. As a result, it is important to track the maintenance and repair
19 costs of aging fleet assets to make sure that we replace fleet when the costs of
20 these repairs exceed replacement costs.

21

22 Older fleet assets are also not as reliable as newer fleet assets and this can
23 impact customer service since our crews rely on these vehicles and equipment
24 to perform their work. Further, older fleet assets are not as safe as newer
25 assets as they are not equipped with the latest safety technology and have a
26 higher risk of catastrophic component failures. Newer fleet assets also have

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1 improved fuel economy as compared to older vehicles, thus providing fuel
2 savings.

3

4 Q. WHAT IS DRIVING THE INCREASED INVESTMENT IN FLEET ASSET
5 REPLACEMENTS OVER THE TERM OF THE MULTI-YEAR RATE PLAN?

6 A. The amounts that we have budgeted for Fleet Asset Replacements for 2021-
7 2023 were developed based on the results of the total cost of ownership
8 model. The total cost of ownership model determines the optimal financial
9 age to replace aged fleet assets before they catastrophically fail or cause
10 unnecessary repairs to a fleet unit that is past its ideal replacement age. The
11 current average age of all of our Fleet is 7.5 years. Based on the total cost of
12 ownership model and industry benchmarking, we have determined that the
13 optimum average age of our fleet assets should be 5.7 years. In order to lower
14 the average age of our fleet, we plan to make increased investments in fleet
15 asset replacements starting in 2021 and continuing through 2023.
16 Additionally, as noted above, the Company is replacing certain vehicles with
17 PHEVs.

18

19 2. *Fueling Depots*

20 Q. WHAT INVESTMENTS ARE PLANNED IN THE FUELING DEPOT CATEGORY OVER
21 THE TERM OF THE MULTI-YEAR RATE PLAN?

22 A. We will be upgrading and installing new fuel tanks, fuel card readers, pumps
23 and upgrading all electrical systems to operate these facilities. The majority of
24 our investments between 2021 and 2023 relate to replacement of underground
25 fuel tanks with new above ground fuel tanks. We began this project in 2018 in
26 the State of Minnesota and anticipate that this work will be completed in 2022.

27

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1 Q. WHY DOES THE COMPANY NEED TO REPLACE THESE UNDERGROUND FUEL
2 TANKS?

3 A. The underground fuel storage tanks at our fueling depots are 30-50 years old
4 and have reached the end of their useful life both mechanically and
5 environmentally. They are being replaced with above-the-ground storage tanks
6 that minimize environmental risks. We completed the replacement of four
7 fueling stations in 2018 and two in 2019 in Minnesota. We plan to complete
8 the replacement of three additional fueling depots by the end of 2020 and plan
9 to replace three additional fueling depots in 2021, and one additional fueling
10 depot in 2022.

11

12 Q. HOW WAS THE BUDGET FOR FUELING DEPOTS FOR 2021-2023 DETERMINED?

13 A. As noted above, the majority of our budget for fueling depots over this time
14 period relates to the replacement of our underground fuel tanks, fuel
15 dispensers, card readers and all associated electrical cost and restoration work
16 with this project. We developed our budget for this work based on our actual
17 costs to replace these underground storage tanks from 2018 and 2019 and
18 then multiplied that cost by the number of fueling depot replacements
19 planned for each year.

20

21 Q. WHY ARE THERE NO CAPITAL ADDITIONS IN THE FUELING DEPOT CATEGORY
22 PRIOR TO 2019?

23 A. Prior to the re-organization of Fleet under Supply Chain in 2019, Fueling
24 Depots was not a separate capital cost category, and these costs were included
25 in the Garage Tools category. In fact, the majority of the 2018 capital
26 additions for Garage Tools are related to upgrading fueling depot

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1 infrastructure. Beginning 2019, capital costs related to fueling depot upgrades
2 have been budgeted as a separate cost category.

3

4 3. *Fleet Repairs*

5 Q. WHAT INVESTMENTS ARE PLANNED FOR FLEET REPAIRS OVER THE TERM OF
6 THE MULTI-YEAR RATE PLAN?

7 A. For 2021-2023, we have budgeted \$ 200,000 per year for Fleet Repairs. Repair
8 costs are unpredictable and fluctuate annually, based on the number and type
9 of vehicles and equipment that fail in any given year. Actual repair costs are
10 higher for larger trucks and more complex work.

11

12 Q. HOW WAS THE BUDGET FOR FLEET REPAIRS FOR 2021-2023 DETERMINED?

13 A. We developed the budget for fleet repairs based in part on historic actuals as
14 well as taking into account the current age of our fleet. As I discussed, the
15 average age of our fleet vehicles is currently on the older side, with an average
16 age of 7.5 years. While we are working to reduce the age of these fleet
17 vehicles by making increased investments in fleet replacements, these fleet
18 vehicles will still require necessary repairs to keep them running until they can
19 be replaced. As a result, our budget for fleet repairs is set higher than the
20 historic costs to account for the older nature of our current fleet.

21

22 Q. WHY ARE 2018 FLEET REPAIR COSTS LOWER THAN BOTH 2017 AND 2019
23 ACTUAL COSTS?

24 A. As noted above, prior to 2019 Fleet capital was budgeted by each individual
25 business area using different categories of costs than are used now. As a result,
26 the historical actual expenses may not capture all of the capital additions for
27 fleet repairs. We expect, going forward, actuals will generally align with

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1 budgeted amounts depending on the number of units and equipment that will
2 fail or need extensive capital repairs. Further, fleet repairs can vary from year
3 to year as they depend on the number and type of repairs performed each
4 year.

5

6 4. *Garage Tools*

7 Q. WHAT INVESTMENTS ARE PLANNED FOR GARAGE TOOLS OVER THE TERM OF
8 THE MULTI-YEAR RATE PLAN?

9 A. Our capital investments for Garage Tools will include investments related to
10 maintaining and replacing garage lifts, jacks, and other tools. Starting in 2021,
11 we have also budgeted additional amounts related to equipping our garages
12 with fall restraint equipment to meet U.S. Occupational Safety and Health
13 Administration's (OSHA) requirements. This new fall restraint equipment,
14 which includes harnesses, lifts, and related items, is necessary to comply with
15 OSHA requirements and to keep our fleet technicians safe.

16

17 Q. WHY IS THE BUDGET FOR GARAGE TOOLS FOR 2021 TO 2023 HIGHER THAN
18 ACTUALS FOR 2019 AND EARLIER?

19 A. There are two reasons. First, as I discussed, we have budgeted additional
20 capital in 2021 through 2023 to add fall restraint equipment to our garages.
21 Second, due to the organizational changes, historical actual expenses do not
22 capture all of the capital additions for fleet repair, but going forward, actuals
23 should align with budgeted amounts.

24

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1 Q. WHAT DO YOU CONCLUDE ABOUT THE 2021–2023 CAPITAL INVESTMENT
2 FORECASTS FOR FLEET?

3 A. I conclude that our capital forecasts for Fleet represent an accurate and
4 reasonable picture of our investments over these years. Therefore, these
5 forecasts can be relied on to set just and reasonable rates for our customers.

6

7 **VII. COMPLIANCE ITEM ON LOBBYING COMPENSATION**

8

9 Q. DO YOU PROVIDE COMPENSATION INFORMATION FOR EMPLOYEES ENGAGED
10 IN LOBBYING?

11 A. Yes. In Docket No. E002/GR-10-971, the Company agreed to include in its
12 next rate case a report of the total compensation for employees engaged in
13 lobbying, with an explanation of the costs included and excluded in the rate
14 request. This information is provided in Exhibit____(WKH-1), Schedule 10.
15 The scope of the information presented in this schedule and EER Schedule 9
16 is consistent with the approach taken in our past electric rate cases.

17

18 **VIII. CONCLUSION**

19

20 Q. PLEASE SUMMARIZE YOUR TESTIMONY.

21 A. Our EER Schedules contain the employee expense information required by
22 the Employee Expense Statute. We have conducted a rigorous review to
23 ensure that employee expense costs included in the test year are consistent
24 with the Employee Expense Statute, the commitments in our prior rate cases,
25 and the guidelines in our Employee Expense Policy.

26

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1 For employee expenses, we have made rate case adjustments of \$1.6 million
2 for 2021, \$1.5 million for 2022, and \$1.6 million for 2023. For corporate
3 aviation, we have made rate case adjustments of \$2.8 million for 2021, \$2.2
4 million for 2022, and \$2.6 million for 2023. These adjustments ensure that
5 reasonable and appropriate costs are included throughout the term of the
6 MYRP.

7

8 We are requesting recovery for approximately \$14.6 million for employee
9 expenses for 2021, \$14.1 million for 2022, and \$14.5 million for 2023. We
10 have budgeted \$18.3 million in 2021, \$19.3 million in 2022, and \$18.7 million
11 in 2023 for Fleet capital additions to maintain reliable, high quality utility
12 trucks and other equipment.

13

- 14 Q. DOES THIS CONCLUDE YOUR DIRECT TESTIMONY?
15 A. Yes, it does.

W. Kile Husen

XCEL ENERGY, INC. Minneapolis, MN	<u>Director – Supply Chain Process Governance</u> <u>Director -Sourcing & Purchasing</u> <u>Director – A/P and Supply Chain Support</u>	Jan. 2015 - Present May 2008 – Jan. 2015 Feb. 2003 – May 2008
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Works with senior leaders across the enterprise to drive integrated process and technology improvements. Accountable for the integrity of business processes, data, and systems within the enterprise supply chain area. Regularly measures process effectiveness, efficiency, and adherence, and approves remedial action plans. Accountable for budgeting, resourcing, and benefits realization for all aligned improvement and enhancement programs.

NRG ENERGY, INC. Minneapolis, MN	<u>Director - Financial Systems and Accounting</u> <u>Manager – Thermal Accounting</u>	Oct. 1997 – Feb. 2003
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Responsible for creating the financial system infrastructure for the company that supported the growth and complex financial needs of this company as it grew from \$1 billion in assets in 1997 to \$13 billion in 2003. Also served as the divisional controller for NRG's Thermal Group.

LIFETOUCH INC. Bloomington, MN	<u>Manager Financial Reporting</u>	Oct. 1994 – Oct. 1997
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Responsible for all corporate financial reporting for this \$500 million employee owned photographic company.

SPACE CENTER COMPANY St. Paul, MN	<u>Assistant Controller</u> <u>Internal Auditor/Special Projects</u>	Nov. 1993 - Oct. 1994 June 1990 - Nov. 1993
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Responsible for the accounting function of four privately owned companies doing business in real estate, public warehousing, radio broadcasting, and petroleum exploration.

ERNST & YOUNG Minneapolis, MN	<u>Auditor</u>	Aug. 1987 - June 1990
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EDUCATION / CERTIFICATION

Certified Public Accountant (inactive) Minnesota 1987

St John's University Major: Accounting (Honors) 1987
Collegeville, MN

Travel and Expense Policy



Policy 10.2

Purpose

This policy sets forth expectations regarding the use of the corporate credit card for approved business-related expenses and the expense statement filing requirements. It also outlines the requirements for business travel, meals, entertainment, recognition and more.

Applicability

The Travel and Expense Policy ("Policy") applies to all employees of Xcel Energy Inc. and its subsidiaries and affiliates ("Xcel Energy").

Consultant travel and business-related expenses should be managed in accordance with a negotiated contract and the [Contractor Guidelines for Expenses](#). Business related expenses must be reimbursed through Professional Service Agreements established with consultant or consulting firm.

Staff Augmentation Contractor travel and business-related expenses must be invoiced by contracting agency under the terms of its Master Staff Augmentation Services Agreement with Xcel Energy. The agency is responsible to reimburse the agency's workers expenses.

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Policy Highlights

- Employees should make cost-effective and policy-compliant decisions.
- Leaders should carefully review and approve all expense reports.
- Call the Supply Chain Hotline Support at 303-628-2644 with questions.

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- [Bargaining Unit Per Diems](#)
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- [Club or Organization Dues](#)
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If you have questions regarding this Policy, please contact the Supply Chain Hotline at 303-628-2644.

Requirements and Responsibilities

General Statement Regarding Travel & Expense Reimbursement

Upon leader approval, Xcel Energy will reimburse employees for reasonable travel and business-related expenses that the company normally considers deductible under the Internal Revenue Code and regulations for deductible business expenses. Employees are expected to use sound business judgment and plan travel and other business-related expenses to minimize costs.

Corporate Credit Card

Employees who incur travel and other business expenses for Xcel Energy will be issued, and are required to use, a company-sponsored corporate credit card. Use of the corporate credit card must be in accordance with this Policy and the Sourcing and Procurement Matrix. If you have questions about expenses not covered in this Policy or in the matrix, please contact the Supply Chain Hotline.

Staff Augmentation Contractors and interns are not eligible for corporate credit cards. Staff Augmentation Contractors can seek reimbursement for expenses through their contract agency or invoice based on the Professional Service Agreement.

Corporate credit cards are assigned to individual employees and must be used only by the employee whose name is on the credit card. Leaders are responsible for assigning transaction limits for employees during the application process. The following standard transaction limits apply unless other limits are requested and approved:

- \$1,500 per purchase transaction,
- \$2,000 per travel expense transaction, and
- \$5,000 monthly limit

Limits greater than standard require a higher level of approval based on amount requested.

Splitting transactions that are greater than the assigned limits is not allowed. If an employee is required to make a purchase that is greater than the assigned limits, he or she must complete and submit either a One-Time Authorization Limit Change or a Permanent Limit Change request. The employee's Leader must forward the approved form via e-mail to cardadminsupport@xcelenergy.com to execute the request.

Personal Use of Corporate Card

Personal purchases of any type using the corporate credit card are not permitted. In the event that the corporate credit card is used inadvertently for a personal purchase, the employee must mark the expense as "personal" on the expense report and notify their leader. Personal use expenses are monitored to ensure the corporate credit card is used appropriately. The willful intent to misuse the corporate credit card (i.e. knowingly making personal purchases) may be subject to discipline, up to and including termination of employment.

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Use of Personal Card or Cash Out of Pocket

The use of personal card or cash out of pocket for business purposes should be rare. Unless otherwise noted in this Policy (e.g. tips, tolls, mobile), it is only appropriate to claim cash out of pocket reimbursement for expenses incurred while traveling when credit cards are not accepted or if an employee inadvertently uses a personal credit card for business travel or business-related expenses. The employee should claim the business expense as "cash out of pocket" on the expense statement and attached the proper detailed itemized receipt documentation. Cash out of pocket expenses are monitored to ensure the corporate credit card is used appropriately.

Expense Advances

Cash advances for travel expenses or reimbursement of travel expenses prior to submitting an expense reimbursement statement are not allowed.

Capital Charges with a Corporate Credit Card

Capital purchases on corporate credit cards are permissible with prior business unit management approval and submittal of the Authorization Form located in the [Capital Charges with Corporate Credit Card policy](#). Prior to use of a corporate credit card for capital purchases, the business unit is responsible to review and adhere to the [Capital Charges with a Corporate Credit Card](#) policy.

Expense Statement Filing

Each employee is to include only his or her expenses on an expense statement. Leaders can include on their expense statements minor expenses for their employees who do not ordinarily use an expense statement. Expenses for special meetings, conferences, conventions, seminars, industry meetings, training classes and travel are reimbursable and may be combined with routine expenses on one expense report. Employees may include on their expense statement, expenses for meetings, conferences, meals, etc. where the leader(s) is in attendance with other staff and charged to a subordinate's corporate credit card.

Proxies

Xcel Energy allows the use of proxies in the expense report process. The term "Proxy" applies to an employee who acts on behalf of another employee (e.g. creates and submits and/or approves expense reports). Proxies can only approve reports if they have the approver role in the Expense Management System. Only supervisor level and above have the approver role in the Expense Management System. Employees/Proxies and Approvers will be held equally accountable for the accuracy of report information.

Expense Report Submission Timing

Employees should submit only one expense report per month within 30 days of the first expense transaction. Employees can choose a day of the month and submit their expenses in the Expense Management System each month on that date to maintain the 30-day submission window. Employees will be notified if expenses are not submitted within 30 days of the incurred expense. Daily notifications will be sent for expenses that are not submitted within 45 days of the incurred expense.

Expense statements not submitted within 60 days will cause the employee's corporate credit card to be suspended until the report is complete. In accordance with IRS regulations, any employee expenses not claimed within 60 days of when the expense was incurred may be deemed taxable income to the employee.

Expense statements that are 90 days delinquent will cause the employee's corporate credit card to be closed. Approval from the Director, Supply Chain Business Operations will be required to obtain a new credit card.

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Proper Documentation for Expenses

For Internal Revenue Service (IRS) reporting, proper documentation for expenses is required, including a complete business purpose. Business purposes must adequately describe why the expense was incurred, not what the expense was. For example, an appropriate business purpose for an overtime meal expense while working on a boiler repair would be: "Overtime Meal — Boiler Repair." One-word descriptions such as "dinner" or "tickets" are not considered adequate. Abbreviations may be used in the business purpose as long as the abbreviation is spelled out on the receipt or in the description field.

Employees must allocate expenses to the correct accounting and expense type. Employees must update any predefined/default I/O numbers in the Expense Management System when their accounting codes change (due to a role change, for example). Employees should contact their Business Area [Finance Representative](#) if they have any questions regarding the correct accounting or expense type.

Expense Approval

Leaders are required to use discretion based on business needs and approved budget when approving expenses. Leaders and/or Proxies who approve reimbursement for travel and business expenses are ultimately responsible for the overall accuracy and completeness of the expenditures being claimed and must ensure:

- All transactions are adequately documented.
- All transactions are appropriate and comply with all company policies and procedures.
- Any exceptions are warranted and properly documented.
- Correct type of cost and expense type have been assigned.
- Necessary detailed itemized receipts have been included.
- Other necessary documentation has been provided.

Receipts and Records

The company requires records and detailed itemized receipts to qualify the employee as having "accounted to his or her employer" for reimbursement of expenses, as defined by the Internal Revenue Code.

The following instances always require a detailed itemized receipt:

- All expenses using a personal credit card or cash, regardless of amount. Exceptions include reasonable tips and tolls.
- All lodging expenses. This is to ensure appropriate accounting for sales and use tax. In addition, the itemized detailed receipt for any expenses charged to the lodging bill must be submitted. Hotels will provide an itemized receipt if requested.
- All purchase-type expenses (such as materials, subscriptions, tangible goods or anything other than typical travel expenses) regardless of amount. This is to ensure appropriate accounting for sales and use tax.
- Authorized invoice payments using the Corporate Card. The invoice must be uploaded into the Expense Management System and the following details are required in the description box: the invoice number and the name of the ultimate seller/vendor if the transacted merchant does not align.
- Airline travel and service fees. The itinerary showing the amount charged is the required detailed itemized receipt.
- Costs associated with alcohol purchases. Alcohol purchases must be broken into separate expense types.

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- Meals at or above \$25 with tip included. Tips must be properly documented on the receipt or outlined in the description box. The itemized receipt for a business meal must include the specific business purpose, first/last name and title of those in attendance, including affiliation/company of non-employees and business relationship, such as "employee" or "guest." Group meals that exceed 20 people require a sign-in sheet that outlines the group in attendance with names and relationships as supporting documentation.
- All travel type expenses at or above \$25.
- Multi-trip mileage requires use of a Mileage Authorization form. Single mileage trip detail (for a one-way or round trip) can be entered in the system. Employees must disclose the point of departure and destination with the exact address, service center name or airport code and the total miles for the trip.

Credit Card Receipts

Machine-produced detailed itemized receipts are required and must be submitted along with the credit card receipt to support documentation. If the employee's credit card number is displayed on the receipt, black out all but the last four digits to protect sensitive information.

Lost Receipts

If a receipt is lost or not available, the employee must complete and sign a [Lost Receipt form](#), verifying the legitimate expense. This documentation then serves in place of a detailed itemized receipt. Employees should add information in the description section of the Expense Management System explaining relevant details for expenses incurred that are not self-evident.

Business Meeting & Events

Whenever possible, business meetings should be held on company property and limited to business requirements.

When off-site business meetings and events are required, every effort should be made to use existing contracted corporate agreements or contracted hotels. The Travel Management Company agent will support the identification of contracted meeting spaces.

Entertainment

Any expenses associated with entertaining employees and/or non-employees are reimbursable only when the principal purpose of the activity benefits the company.

Modest and appropriate meals and/or entertainment may be provided to persons who have business with Xcel Energy. Such meals and/or entertainment given must be in connection with a business discussion and must comply with Xcel Energy's Conflict of Interest guidelines outline in the Code of Conduct.

Entertainment - Travel	Travel expenses related to entertainment events (e.g. airfare, lodging, rental car).
Entertainment - Meal	Meals related to entertainment. Includes non-employees or the combination of employees and non-employees. Any entertainment expenses for employees only should be considered recognition. Refer to the Employee Recognition section.
Entertainment - Tickets	Charges associated with any ticketed sporting event or other ticketed entertainment, as well as, costs associated with recreational events (e.g., golfing, fishing, resort activities, etc.). Includes non-employees or the combination of employees and non-employee.

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Meal Expenses

Meal expenses includes food, non-alcoholic beverages, alcoholic beverages, and associated taxes and tips. The correct expense type must be used for:

- Travel Meals
- Business Meals
- Entertainment Meals
- Recognition Meals (See [Employee Recognition](#))

The recommended per-meal guidance is breakfast \$8-10, lunch \$10-15 and dinner \$20-40. The maximum allowance is \$65 per person, per day, including food, non-alcoholic beverages, alcoholic beverages and associated taxes and tips. If an employee exceeds the \$65 per person, per day maximum he or she must submit written approval from their business unit vice president with the receipt(s).

When two or more employees attend a meal for company business, the highest-ranking employee must submit the costs for reimbursement. However, expenses for large team meetings, where leader(s) attend with other staff, may be charged to a subordinate's corporate credit card and included on the subordinate's expense statement.

Meals related to approved professional organizations, industry or trade associations are reimbursable.

Every effort should be made to use contracted corporate agreements for food and beverages purchased for onsite business meetings.

Business Meal (Emp Only)	Business Meals with only employees present will be reimbursed when the meeting has a valid business purpose and could not have been reasonably conducted during regular business hours. Meals to discuss casual business matters will not be reimbursed. If the business meal occurs while traveling with employees, it should still be classified as a business meal.
Business Meal (Non Emp)	Business Meals with employees and non-employees that principally benefit the company may be reimbursed if the business cannot be reasonably conducted during regular business hours. If the business meal occurs while traveling with non-employees, it should still be classified as a business meal.
Travel Meal	Meals and beverages incurred while traveling for business. If the meal is for a valid business meeting, it must be classified as a business meal and not a travel meal, even if the meal is incurred while traveling. Meals consumed with other traveling employees in which business is not the focus should be classified as a travel meal and separate tabs are preferred.
Entertainment - Meal	Meals related to entertainment. This includes non-employees or the combination of employees and non-employees. Any entertainment expenses for employees only should be considered recognition.

Alcohol Expenses

Employees should consider the appropriateness and the company's liability when serving and/or consuming alcohol. Employees must comply with the company's fitness of duty provisions outlined in the [Alcohol and Drug-Free Workplace](#) Policy (9.3).

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All costs associated with alcohol purchases must be broken into separate expense types on the expense report.

Tips and Gratuities

Tips and gratuities should be reasonable in relation to the locale visited, commensurate with the service performed. The amount or percentage of any gratuity paid should not exceed 25% and must be visible on the receipt or noted in the description box.

Air Travel

Before booking any travel arrangements, employees must determine the business need for the trip and consider less costly alternatives, such as teleconferencing or other conferencing options.

Commercial Air Travel

Air travel costs constitute the largest controllable travel expense incurred by Xcel Energy. Employees must use the Travel Management Company's online booking tool when making air travel arrangements to take advantage of negotiated financial savings, track unused or cancelled airline tickets and for employee safety reasons.

Travel arrangements should not be based on availability of upgrades, frequent flyer awards or bonus points. The Travel Management Company is not authorized to book first-class or business-class air travel and related expenses are not reimbursable. Employees requesting premium seat upgrades must seek approval from their leader (director-level or above). Premium seat assignment is defined as bulkhead, aisle, and exit row or premium economy.

Contact the Travel Management Company to negotiate discounted rates for group travel of 10 or more traveling together. Avoid penalty fares and refundable tickets.

In general, a non-refundable ticket is less expensive than a fully refundable ticket. Non-refundable tickets must be purchased whenever available. Every attempt must be made to book travel at least 14 days in advance of the trip. If plans change and a future trip is anticipated, the ticket can still be used. Last-minute arrangements, changes and/or cancellations should be avoided whenever possible as they substantially increase travel costs and frequently result in penalties.

Employees are responsible for canceling reservations. Employees must notify the Travel Management Company of the unused ticket so the credit information is properly recorded and applied to the next ticket purchased. A change fee and any increase in the non-refundable fare at the time of the ticket change will apply. However, the additional charges are generally still less than the cost of a full coach fare. Employees must submit a copy of the original itinerary and documentation of additional charges with their expenses.

Tickets for air travel will be issued as electronic tickets whenever possible and will be e-mailed, along with an invoice/itinerary, directly to the e-mail address in the employee's profile. Paper tickets will be issued only for airlines that do not offer electronic tickets. Service fees for booking airline reservations are reimbursable.

Early Arrival or Extended Stay

Employees may arrive early or extend their stay at a business destination for up to two days for reimbursement purposes provided the additional stay results in an overall savings to the company. Spousal travel expenses are not reimbursed as part of this program. A travel itinerary provided by the Travel Management Company, substantiating the cost savings, may be required prior to reservation by the approving leader, Corporate Card Team or Audit Services. Other expenses incurred during the extended stay of a personal nature, such as sightseeing or recreational expenses, will not be reimbursed.

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The frequency of extended stay for employees traveling on company business is at management's discretion.

Frequent Flyer Miles and Points

Frequent flyer miles and points for hotel stays (or other reward programs) accrued when traveling on company business may be used for upgrades, business or personal travel. Choosing a particular supplier to maximize personal frequent flyer miles or booking through hotel or other internet websites to maximize hotel points is not permitted. Xcel Energy does not reimburse expenses related to frequent traveler programs.

Executive Travel

Restrictions on management levels traveling together are intended to ensure continuity and guard against the loss of senior leadership should an accident occur. The following restrictions apply to air travel:

- Xcel Energy's Chief Executive Officer (CEO) shall travel with no more than two of his or her direct reports.
- No more than three of the CEO's direct reports shall travel together.
- No more than 50 percent of EVPs or SVPs direct reports can travel with him or her.

The CEO must approve exceptions to these restrictions prior to travel.

While these travel restrictions focus on executive management levels traveling together, similar provisions should apply to all employee groups.

Corporate Aircraft

In order to efficiently transport employees and business associates throughout the United States and Canada, the Company operates corporate aircraft. Corporate aircraft are used to save time and enhance employee productivity.

The priority for use of corporate aircraft is determined by the needs of:

1. Executive Committee Members
2. Vice president level direct report to an Executive Committee Member
3. Other employees

The following are authorized to schedule corporate aircraft:

- Executive Committee Members
- Vice president level direct reports to an Executive Committee Member

A flight may be flown without an Executive Committee Member or vice president level direct report to an Executive Committee Member to either reposition, is deemed cost-effective and approved by an Executive Committee Member.

Commercial travel should be considered first for long distance, single-destination trips requested by executives other than the CEO. CEO and direct reports are permitted to travel business-class on commercial flights when it is more cost effective than using the corporate aircraft.

Open seats on scheduled flights are available to any employee traveling for business at no charge to the business area. Reservations for open seats are made on a first-come-first-serve basis.

Cancellations of confirmed seats must be made well in advance to ensure enough time to clear waitlisted passengers who might otherwise have flown commercially.

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Bumping is allowed as a last resort to meet the needs of Executive Committee Members or members of the Xcel Energy board of directors. A business unit vice president can bump with seven days' notice.

Flights are generally limited to four days per week involving travel between Minneapolis, Denver and Amarillo.

A flight with fewer than five passengers may be subject to cancellation.

Aircraft Schedules and Passenger Schedules can be viewed on the Aviation Services website. The Aircraft Schedule shows all scheduled flights for the next 60 days. The Passenger Schedule shows trip reservations and ground travel requirements for each passenger in the same upcoming 60-day period.

To make a reservation on the corporate aircraft, employees must contact the Aviation Services Travel Scheduler. A description of the business reason for the travel must be submitted with reservation requests.

Passengers must comply with all flight safety rules and procedures. The aircraft pilot-in-command maintains final authority on aircraft operation and safety of flight. Smoking and alcohol consumption is not permitted on board company aircraft. A passenger who appears to be intoxicated will not be allowed on-board. Hazardous materials are not allowed on company-owned or contracted aircraft. Firearms are not allowed on company-owned or contracted aircraft unless approved by the CEO or required by the Transportation Security Administration (TSA) into certain airports.

Flights on corporate aircraft will not be scheduled for personal use. Limited non-business travel for employees and/or their relatives on corporate aircraft will be permitted on business trips only if seats are available and approval is obtained before the flight from the Director, Aviation Services. In accordance with IRS requirements, personal travel may result in additional imputed personal income and additional income taxes to the employee benefiting from the personal travel, based on published U.S. Department of Transportation Standard Industry Fare Level (SIFL) rates.

Non-employee passengers whose flights are supporting Xcel Energy business must have their transport on corporate aircraft pre-approved by an employee at or above the vice president level. In addition, approval must be obtained from the CEO prior to the transport of candidates for public office or elected/appointed public officials on corporate aircraft. Two general rules follow:

- Local, state or federal candidates or their representatives should not be transported during an election campaign in which they are candidates.
- Avoid situations where the transport of any candidate or public official could be construed as an attempt to influence the outcome of an election or any pending or proposed legislation that is of interest to the company.

Charter Air Services

Employees may use charter air services when corporate aircraft are not available and travel by commercial airline is not a feasible alternative, provided that Aviation Services screens and approves charter air services prior to use to ensure the charter operator's compliance with safety procedures, crew qualifications, aircraft airworthiness and adequate insurance coverage. Xcel Energy Aviation Services schedules such charters so that their use can be documented for possible Federal Aviation Administration or legal inquiries and to monitor the quality of service provided.

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Travel on Non-Xcel Energy Business Aircraft

The Director, Aviation Services should provide approval to employees before they travel on another company's private aircraft to ensure compliance with standards established for corporate aircraft operations or charter contractors.

Personal Aircraft

Due to liability and insurance coverage concerns, employees are not permitted to travel on behalf of the company in personal aircraft or aircraft not flown by professional pilots. Personal aircraft refers to aircraft owned, rented or operated by individuals whose primary job function is not that of a pilot.

International Travel

International Business Travel

All international travel must be approved at the business unit vice president level prior to making a reservation, excluding Canada. Employees traveling internationally are required to book travel according to the air travel practices listed in this Policy, with the following additions:

- [Submit an International Travel Form](#), including for Canada, at least two weeks prior to travelling abroad. The Enterprise Command Center team will perform and initial review the International Travel Form to assess physical and cyber risk, as well as, overall threat.
- Contact the Legal Services department at 612-215-5207 or 612-215-4587 before making international travel arrangements to discuss export control compliance.
- Call the corporate credit card customer service to inform them of the upcoming international trip. This helps ensure that the employee's card is not inactivated for unusual activity.
- If any one particular leg of the flight is greater than six hours in duration and/or crosses an ocean, it is permissible to consider upgrading to business class. Final approval to upgrade to business class must be obtained from the employee's business unit vice president or higher before booking.

International Personal Travel

Employees traveling internationally for vacations may choose to submit an international travel form and request a Pre-Trip Advisory for personal trips abroad. Employees taking personal international trips are strongly discouraged from taking Xcel Energy assets (i.e. laptops, thumb drives, cell phones) abroad, despite the risk level in the destination.

If an employee intends, or is required, to take Xcel Energy assets abroad, the employee must:

- Receive business unit vice president approval to take the asset(s) on their personal trip.
- [Submit an International Travel Form](#), including for Canada, at least two weeks prior to travelling abroad. A member of the Enterprise Command Center team will perform and initial review the International Travel Form to assess physical and cyber risk, as well as, overall threat.
- Contact the Legal Services department at 612-215-5207 or 612-215-4587 before making international travel arrangements to discuss export control compliance.
- For either business or personal travel, employees may request a Pre-Trip Advisory (PTA) for their intended destination.

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Foreign Currency Transactions

For expenses incurred when traveling to another country (including Canada), the expenditures recorded on the expense report must be in U.S. dollars, reflecting the proper exchange rate.

When cash expenses are incurred in foreign currency, it is the employee's responsibility to obtain the most favorable official currency conversion rate.

Combined Business and Personal Travel

When combining personal and company business travel, the business trip portion must be booked through the Travel Management Company. The personal travel portion may also be booked with the travel management company; however, all personal travel costs must be paid for separately.

Employees may arrive early or extend their stay at a business destination. For more information on early or extended stay, refer to the "[Early Arrival or Extended Stay](#)" section.

Spousal Expenses

Costs for travel, lodging, meals or other travel expenses for spouses or other family members will not be reimbursed unless the individual has a bona fide company purpose for engaging in the travel or attending the event and the expenses are approved at the senior or executive vice president level. Such travel is generally limited and should be rare.

Non-Reimbursable Travel Expenses

Non-reimbursable expenses include:

- Incremental expenses incurred as a result of personal stopovers, weekend side trips or other personal travel scheduled within or around the business itinerary.
- Excess baggage charges for personal items (excluding bag fees required by the airline, such as for the first checked bag), personal grooming, laundry services, health-related expenses (except for emergencies not covered by the employee's medical insurance program), late payment fees associated with reimbursement for use of personal credit cards, personal travel insurance, loss of cash advance money or personal funds, dependent care expenses and household expenses incurred during an employee's travel.
- Purchase of luggage, clothing or other personal items is not reimbursable. If items are lost in transit, employees should replace items, attempt reimbursement through airlines (or other vendors), then through their homeowners insurance.
- Traffic/parking fines, towing, court costs, airline club memberships, class upgrade charges for airline (excluding pre-approved premium seat upgrades), personal entertainment expenses, personal gifts, personal reading materials and airline headset rental.

Hotels/Lodging

Employees are required to use the Travel Management Company's online booking tool when making lodging arrangements. Using any other source may cause the company to be out of compliance with security requirements and lose negotiated financial benefits. In addition, by using the Travel Management Company to make lodging arrangements, it allows the Company to quickly locate employees during a security concern.

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Xcel Energy has negotiated certain discounted hotel rates at contracted properties. These hotels should be used whenever possible for overnight accommodations on business trips when the contracted property is close to the employee's final destination. Where negotiated discount rates are not available, the Travel Management Company will recommend good quality, moderately priced hotels. Service fees for booking hotel reservations are reimbursable.

In rare cases, extenuating circumstances may justify booking property not using the online booking tool (e.g., travel for outages and emergencies). In this case, you should ask for the lowest available rate at check in because a lower rate may be obtained than was originally quoted. Often hotels will reduce rates based on low occupancy. If you're unsure that the event justifies booking outside of the Travel Management Company, please contact the Supply Chain Hotline at 303-628-2644.

When attending a meeting, conference or other event that has a designated booking channel for hotel rooms, please contact the Travel Management Company to make the lodging arrangement.

Employees may be able to secure lower rates by supplying individual travel club information. Employees should include this information on their travel profile to ensure that the Travel Management Company can access those rates at the time of booking.

Lodging in the Local Area

Employees who are attending an off-site meeting and reside in the same local area should commute to and from the meeting rather than stay in a local hotel, unless the length of the meeting or commute time represents an undue burden. If an employee feels this is an undue burden, he or she should discuss this with his or her leader (director-level or above), in advance, who may approve other arrangements.

Cancellations

Room reservation cancellations must be made according to instructions on trip itineraries to avoid a "no-show" charge. Employees should contact the Travel Management Company to make cancellations. Employees who must cancel a reservation on their own should note the cancellation number and hotel contact person.

Xcel Energy will not reimburse "no-show" charges.

Telephone Charges While Traveling

Employees traveling should make business-related telephone calls from company locations whenever possible, and/or use a calling card or Mobile Device to avoid direct-call fees from hotels or other public locations that charge high rates. While traveling, reimbursement of personal telephone calls of a reasonable duration and frequency is permitted provided the employee uses the most economical means available.

Non-bargaining employees who use their Mobile Device for incidental business or personal telephone calls while traveling, and who do not have a Personal Responsible Account, may request reimbursement as outlined in the [Mobile Device Standard](#).

Vehicle Use

Ground Transportation for Travel

Employees may use their personal vehicle over air travel, provided the expenses are less than the lowest available round-trip airfare that would have been scheduled for the employee by the Travel Management Company. When evaluating costs, the employee must include expenses associated with the trip to and from the airport and any costs associated with vehicle rental or ground transportation at the business destination. When using a personal vehicle, the standard approved mileage rate for the most direct route to and from the business destination, and meals and lodging expenses for the travel time, should be included for comparison purposes.

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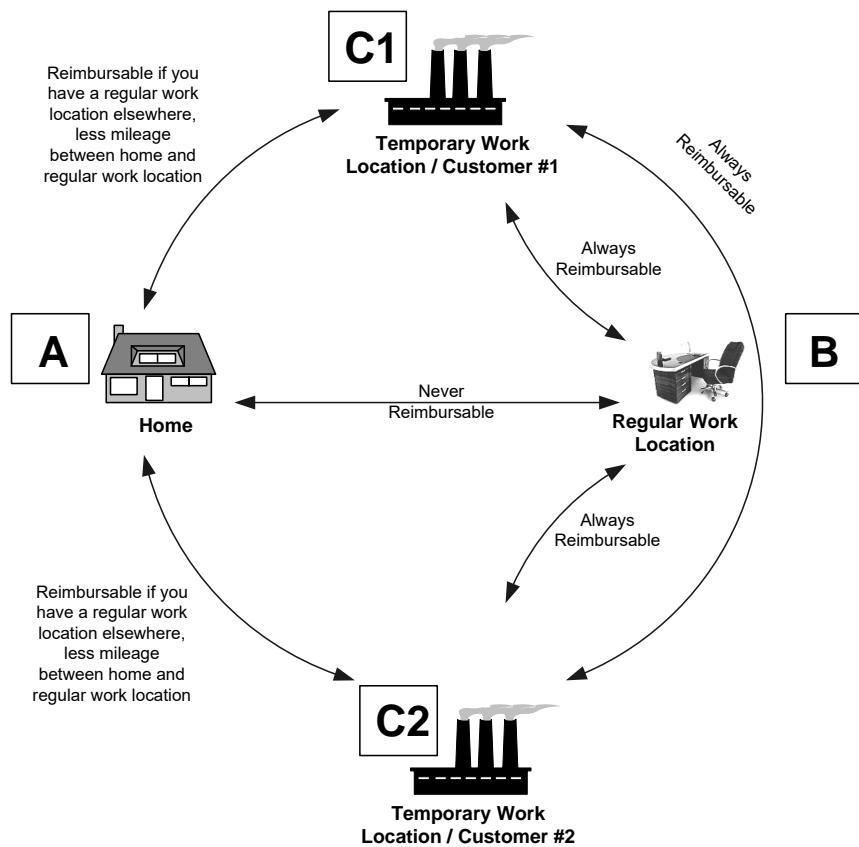
Approval for selecting ground transportation over air travel must be obtained in advance from your business unit vice president or higher. All expenses must be supported with appropriate detailed itemized receipts and documentation, and reimbursement will be for the employee share only. Documentation of the lowest available round-trip airfare provided by the Travel Management Company must be included with expense filing statement.

Mileage

Personal vehicles driven for Xcel Energy business purposes must be of reasonable value, in good repair and in safe operating condition. Motorcycles shall not be used.

Ground transportation expenses are reimbursable when employees use their own vehicle for required company business and the mileage exceeds the mileage between the employee's home and regular work location(s). For documentation purposes, employees must disclose the point of departure, the destination and the total miles for the trip. Employees should be aware that if mileage is paid, but is not reimbursable under IRS guidelines, that reimbursement to the employee is taxable income per IRS regulations.

The following illustration depicts the rules used to determine if ground transportation expenses are reimbursable.



Expense reimbursement scenarios:

- Between home (A) and regular work location (B), whether by car or bus, is never reimbursable.

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- Between home (A) and temporary work location/customer (C1 or C2), if you have a regular work location elsewhere, is reimbursable less mileage between home and regular work location. If the normal one-way commute (A to B) is 10 miles and the mileage to the temporary work location (A to C1) is 15 miles, then 5 miles are reimbursable.
- Between regular work location (B) and temporary work location/customer (C1 or C2) is always reimbursable.
- Between two or more temporary work locations/customers (C1 and C2) is always reimbursable.

Definitions:

Home	The place where you reside. Transportation expenses between your home and your main or regular work location(s) are personal commuting expenses.
Regular work location(s)	Your principal place(s) of business.
Temporary work location	This is not your regular work location, but another company or off-site location to which you travel to perform work-related activities or to attend meetings or events. Travel to this location is for a year or less.

All of the above rules apply on weekends. Therefore, mileage incurred from home (A) to regular work location (B) on the weekend is not reimbursable.

Vehicle Rental

Employees should rent vehicles only when other transportation is more costly or impractical. Mass transit is available in many cities and may be a less expensive and more efficient mode of transportation than a rental vehicle. Likewise, taxis, ride-sharing services (Uber, Lyft) or hotel shuttles may eliminate the need for rental vehicles if additional ground travel is not expected during the trip. In some cases, a limousine service may be more economical or feasible, depending on the employee's final destination. The employee should make all efforts to be flexible and to select the lowest cost option that is reasonably convenient and that does not compromise personal safety.

Xcel Energy has contract rates with specific rental car vendors and limousine providers. Those contracted providers should be used to take advantage of negotiated financial benefits. Frequent rental car membership enrollment is available online by accessing the preferred car program through the Travel Management Company.

Rental vehicle size should be requested based on business needs. Intermediate sized cars are standard.

Insurance

Employees should not accept additional vehicle insurance for rentals in the United States. The Xcel Energy self-insurance policy and the bank issuing the corporate credit card provide this coverage. When renting a vehicle outside the United States for business, employees should purchase the liability and physical damage insurance coverage.

If the employee rents a vehicle for both business and non-business travel during the same rental period, he or she may wish to purchase the additional insurance coverage for the non-business portion of the trip. Employees will not be reimbursed for this expense.

Employees must have personal insurance on their personal vehicle, carried at the minimum level designated by the state where the vehicle is registered, if the personal vehicle is used for company business.

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Fuel

Rental vehicles should be refueled before return to avoid high fuel costs, unless it is a greater cost benefit to refuel at the rental company. If it is known ahead of time that refueling will not be possible and considerable driving is expected, an alternative might be to purchase the gas from the car rental company at time of rental pick-up. Advance purchase of the full tank is generally at local gas station rates.

Company Vehicles

Although fleet vehicles may be checked out for shorter travel, business travel of more than 50 miles per day should be conducted in a company pool car, where available, to minimize costs. Refer to the [Fleet Department website](#) for related information. Contact the Fleet Department to arrange assignment of a pool vehicle or to add another vehicle to the pool at a specific location.

Refer to the [Company Vehicle Assignment and Use Policy \(10.3\)](#) for details.

Vehicle Accidents

Rental Car Accidents

If an accident occurs while driving a rental vehicle for business, the employee should first handle injuries (such as calling police and medical assistance) and take precautions at the accident scene to minimize harm to others and then ensure that a police report is filed. A copy of the police report and/or the case number is required by the rental car company and should be obtained for Xcel Energy. The employee also should record all pertinent information about the accident, including other drivers' names, addresses, telephone numbers, insurance carriers and make of cars. The employee should also report the accident to their leader. On return from the business trip, the employee should promptly initiate claim procedures with the corporate credit card provider by calling the number on the back of the card.

Company Vehicle Accidents

If an accident occurs while you are driving a company vehicle, the employee should first handle injuries (calling police and medical assistance) and take precautions at the accident scene to minimize harm to others and then ensure that a police report is filed. A copy of the police report and/or the case number should be obtained for Xcel Energy. The employee also should record all pertinent information about the accident, including other drivers' names, addresses, telephone numbers, insurance carriers and make of cars. The employee should contact the Security Operations Center (SOC), report the accident to Xcel Energy management and complete and send the [Initial Report of Motor Vehicle Incident/Damage](#) form to the Claims Department and Fleet Department using the contact information included on the form. For additional information on the reporting guidelines for accidents in a company vehicle, see [Company Vehicle Assignment and Use Policy \(10.3\)](#).

Personal Vehicle Accidents

If an accident occurs while you are driving a personal vehicle for company business, the employee should promptly initiate claim procedures with their own insurance provider. The employee should also report the accident to their leader.

Vehicle Parking

The lowest-cost alternative should be selected for parking associated with business-related events, including airport parking.

Parking for a business-related activity is reimbursable only if the amount incurred is from:

- A location other than the employee's normal work location
- The employee's normal work location and the parking expense were incurred after the employee paid the initial parking fee. For example, if the employee paid \$10 to park at his or her normal work location, that \$10 is not reimbursable. If the employee left his or her normal work location for business at another

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location and paid another \$10 to return to his or her normal work location, only the second \$10 parking fee would be reimbursable. Efforts should be made to minimize this type of parking expense.

The following parking expenses are not reimbursable:

- Monthly parking or a portion of monthly parking if incurred at normal work location
- Weekend parking if incurred at normal work location
- Parking tickets or expenses associated with towing a vehicle

Bargaining Unit Per Diems

A per diem is a daily allowance given to bargaining unit employees to cover expenses related to meals and/or business travel, as opposed to a reimbursement of actual expenses. Depending on certain circumstances, a per diem payment can be either taxable or non-taxable and must be reported on an employee's W-2 Form in either case. In order to facilitate proper tracking and reporting, all per diem payments need to be processed through the time entry system. Per diems may not be entered in the Expense Management System.

Employee Recognition

XCelebrate Recognition

Refer to the XCelebrate recognition website when recognizing benefited employees for outstanding efforts and results, going above and beyond the call of duty or demonstrating our company values. This program should be used for all recognition expenses funded by the corporate recognition budget.

Safety Recognition

Safety recognition is addressed through the safety program.

Other Recognition

Additional opportunities are available to recognize one or more benefited employee for work-related accomplishments and/or engagement. Expenses are charged to business area budget, should be paid for using a corporate credit card and must be submitted and reconciled through the Expense Management System.

Career Event	This includes food and/or a gift provided to acknowledge career-related achievements, including receiving certification, years of service, retirement, graduation or promotion.
Life Event Gifts	A Life Event is defined as funeral, major medical situation or the birth or adoption of a child and should be limited to benefited employees and immediate family members.
Recognition-Employee Engagement	This includes employee engagement and team building activities such as plant tours, and incentives/campaigns based on specific department goals, meals, awards and other associated expenses. Meals and other costs related to these events should also be expensed as employee engagement. If non-employees are present, see the Entertainment Events and Meals section.
Recognition-Entertainment	This includes charges associated with any ticketed sporting event or other ticketed entertainment, as well as costs associated with recreational events (e.g., golfing, fishing, resort activities, etc.). Meals and other costs related to these events are also considered recognition entertainment. If non-employees are present, see the Entertainment Events and Meals section.

Travel and Expense Policy (10.2) 17

Gifts for career and life events should not exceed \$70 per qualifying event and should be limited to employees only. Meal expenses must follow the per meal and per day maximum guidance. See the Meals and Entertainment section for the recommended per meal guidance and maximum reimbursement. Additional expenses are subject to area vice president, director or manager discretion and budget constraints. Expenses need to be reasonable in amount, have a business purpose and comply with the Code of Conduct.

Employees are encouraged to recognize other events, such as graduations, birthdays, weddings and showers, during breaks and/or lunch hours with business area approval. The company will not reimburse associated expenses such as gifts or catering. Gifts not specifically mentioned in this Policy, given from one employee to another employee, are not reimbursable.

Club or Organization Dues

Employees should seek prior approval by their appropriate business unit vice president or higher for reimbursement of charges associated with club or organization dues and account for these expenses in the appropriate type of cost and expense type.

At the discretion of the CEO, full or partial reimbursement of capital assessments associated with country club memberships or other social organizations may be permitted. Generally, such reimbursement authorization will be afforded only to Xcel Energy board-appointed officers, based on sound business-related rationale and will require a separate type of cost and expense type.

Contributions to Candidates for Office and Elected or Appointed Public Officials

See [Policy 3.8](#), Political Contributions, Lobbying and Government Communications

Mobile Devices

Xcel Energy business conducted through a mobile device must be done in a secure manner to reduce information security risks that can result in a negative impact on the company.

Xcel Energy permits two types of reimbursable accounts for mobile devices: Corporate Responsible Account and Personal Responsible Account.

Corporate Responsible Account

A Corporate Responsible Account is in the name of Xcel Energy and Xcel Energy bears payment responsibility to the communication service provider using the corporate credit card. When submitting your phone bill in the Expense Management System, upload the summary version; do not include the detailed phone bill unless otherwise requested by management.

Corporate Responsible Accounts may only be used by:

- Bargaining unit employees
- Non-bargaining employees that share mobile devices or pooled-minute plans with other employees

Personal Responsible Account

A Personal Responsible Account is in an employee's name and the employee bears payment responsibility to the communication service provider using personal funds. Employees can use a mobile device to conduct company business under a Personal Responsible Account if the employee:

- Is required to be on-call after normal working hours
- Works in the field or a plant location and it is necessary to be in communication with other employees
- Works in a corporate office but frequently travels and it is necessary to be in communication with other employees
- Is in a leadership role and it is advantageous to Xcel Energy to conduct business when not in the office

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The acquisition of, use of and reimbursement of charges associated with mobile devices must be in accordance with the [Mobile Device Standard](#).

Xcel Energy has negotiated discounts with several communications service providers that apply to both Corporate Responsible Accounts and Personal Responsible Accounts. Information on these providers can be found at the [Cell Phone Service](#) web page. The corporate negotiated discounts are available to all employees, including use that is intended for personal purposes only, and employees are encouraged to take advantage of corporate discounts and special promotions.

Personal Protective Equipment

For bargaining employees, reimbursement should comply with the collective bargaining agreement. For non-bargaining employees, reimbursement should comply with the [Personal Protective and Safety Equipment policy, 12.1.170](#). Non-bargaining employees must document the frequency of Personal Protective Equipment purchases in the Expense Management System Description section if the amount is higher than the per-year allowance.

Consequences of Noncompliance

Any employee, regardless of position or title, who violates any provision of this policy, may be subject to discipline, up to and including termination of employment. Contractor violations may result in removal of assignment at Xcel Energy.

Reporting and Protection from Retaliation

We encourage individuals to speak up without fear of retaliation when they see or suspect policy violations. There are several [reporting options available](#). Retaliation is prohibited and will not be tolerated at Xcel Energy. Please refer to Xcel Energy [Anti-Retaliation Policy \(9.23\)](#).

Definitions

Corporate Responsible Account	The type of account for purchasing Mobile Data Services, Mobile Voice Services and/or Mobile Devices that is in the name of Xcel Energy and for which Xcel Energy bears payment responsibility to the communication service provider.
Employee	Legal definition of an employee, not a person who is contracted through an outside agency to perform work for Xcel Energy.
Executive Committee	The CEO and members of his or her Executive Committee listed on XpressNET.
Expense Management System	The expense reporting system the company uses to reconcile employee expenses. It includes all corporate credit card transactions for travel, purchase and approved cash out-of-pocket expenses.
Leader	An employee who supervises other employees (including supervisors, managers, directors, vice presidents and executive officers).
Meal	Food, non-alcoholic beverages, alcoholic beverages and associated taxes and tips.
Mobile Data Service	Services purchased from a communications service provider that provides Internet access and e-mail/calendar access which are accessible through a Mobile Device.
Mobile Device	Consumer-level Mobile Device such as smart phones (including BlackBerrys, iPhones and Android phones), tablets (such as iPads and Android devices) and PDAs.
Mobile Eligible User	An employee using Mobile Data Services and/or Mobile Voice Services that is authorized to either 1) use a Corporate Responsible

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	Account or 2) submit reimbursement requests for a Personal Responsible Account.
Mobile Voice Service	Services purchased from a communications service provider that provides telephone service and which are accessible through a Mobile Device.
Per Diem	A daily allowance given to bargaining employees to cover expenses related to meals and/or business travel, as opposed to a reimbursement of actual expenses.
Personal Responsible Account	The type of account for acquiring Mobile Data Services, Mobile Voice Services and/or Mobile Devices that is in the employee's name and for which the employee bears payment responsibility to the communication service provider.
Proper Documentation	An original or official paper, such as a detailed itemized receipt or invoice, showing all items purchased and/or an explanation containing relevant details for expenses incurred that are not self-evident, signed by both employee and approving leader.
Proxy	An employee who creates and submits and/or approves expense reports on behalf of another employee.
Staff Augmentation Contractor	A person supplementing the company's work force who is employed by a staffing agency. The person is an employee of the contracted agency and receives wages or salary and benefits from that employer and not Xcel Energy. Xcel Energy pays the agency based on the contracted terms and conditions for the person's services. The use of 'Staff Augmentation Contractor' is synonymous with 'contingent workers or contract workers'.
Travel Management Company	Contracted travel provider utilized for commercial airfare, rental cars and hotel reservations when planning travel.
Type of Cost	An accounting classification used to categorize costs by separate object accounts. This categorization drives internal reporting and external financial statement presentation.
Xcel Energy	Xcel Energy Inc., its subsidiaries and affiliates. The use of "we," "ours" or "the company" is synonymous with Xcel Energy.

References

- [Code of Conduct](#)
- [Alcohol and Drug-free Workplace policy \(9.3\)](#)
- [Company Vehicle Assignment and Use policy \(10.3\)](#)
- [Mobile Device Standard](#)
- [Personal Protective & Safety Equipment Policy \(12.1.170\)](#)
- [Sourcing and Procurement Matrix \(Matrix/Decision Tree\)](#)
- [XCelebrate website](#)

History of Revisions

- February 28, 2020
- January 2, 2020
- December 17, 2016
- December 9, 2015
- December 19, 2013
- March 18, 2013
- October 5, 2012

Travel and Expense Policy (10.2) 20

May 4, 2011
January 21, 2011
June 9, 2010
February 5, 2010
August 19, 2009
March 6, 2009

Approval

This policy was approved by Kent Larson, Executive Vice President, Group President — Operations and Judy Poferl, Chief Ethics & Compliance Officer.

**Xcel Energy Corporate Policy Changes –
Travel and Employee Expense Reimbursement (Policy 10.2)
Changes Since November 2015**

The Company made several changes in December 2015 and in December 2016 to the Travel and Employee Expense Reimbursement Policy 10.2 to ensure a consistent process for submitting and approving eligible employee expenses. In addition, we reviewed the whole Employee Expense Policy in 2019 and incorporated changes in January 2020 to ensure the policy is clear and easily understood by all employees.

Date	Summary of Content Changes	Reasons for the Changes
12/09/ 2015	<ul style="list-style-type: none">• Added the requirement for leaders to ensure employee expense reimbursement aligns with policy and budget when approving expenses.• Clarified how consultant and contractor expenses should be managed.• Removed the requirement for approving leader's signature when submitting the Lost Receipt form.• Added guidance for cash out of pocket expenses when traveling.• Clarified that business meals are not usually associated with travel.• Updated primary cities for corporate aircraft travel.• Revised published Aircraft and Passenger Schedule time frame from 90 to 45 days.• Updated Employee Recognition content to reflect new Xcelebrate online tool and other recognition opportunities.	<ul style="list-style-type: none">• Emphasize the expectations that proper expense reimbursement process is necessary for the recovery of expenses as a component in rate filings.• Update the changes in aviation as a result of the relocation to Minneapolis and changes in the scheduling process.• Clarify that employee recognition is a priority for the Company and the new recognition tool offers more recognition options.
12/17/	<ul style="list-style-type: none">• Strengthened outline of appropriate	<ul style="list-style-type: none">• Increase employee

**Xcel Energy Corporate Policy Changes –
Travel and Employee Expense Reimbursement (Policy 10.2)
Changes Since November 2015**

2016	<p>business purposes.</p> <ul style="list-style-type: none">• Better defined receipt requirement for all cash-out-of-pocket transactions.• Added clarification of company sponsored program events for employees and/or non-employees being applicable for entertainment events and meals.• Clarified that rental vehicle refueling should be at the highest cost benefit to the company.• Aligned with Company Vehicle Assignment policy (10.3) on accident reporting for company vehicles and personal or rental vehicles when driving for business.• Clarified that only benefited employees are eligible for employee recognition program rewards.• Updated Expense Advances section to indicate cash advances for travel are not allowed.• Added Capital Charges with a Corporate Card section to outline and link to the existing Capital Asset Accounting policy and guidelines.• Updated definitions, including addition of Employee and Staff Augmentation and removal of Expense Reimbursement Statement.	<p>understanding on eligible business expenses and expense reporting.</p>
01/02/ 2020	<ul style="list-style-type: none">• Restructured policy and table of contents.	<ul style="list-style-type: none">• Restructure the Employee Expense Policy to match

**Xcel Energy Corporate Policy Changes –
Travel and Employee Expense Reimbursement (Policy 10.2)
Changes Since November 2015**

	<ul style="list-style-type: none">• Inserted a general statement regarding travel and employee expense reimbursement.• Updated the travel expense transaction limit from \$2,500 to \$2,000.• Included stronger language stating that personal purchases are not permitted, inadvertent use must be reported, and willful intent to misuse may be subject to discipline.• Added that employees must update any predefined/default I/O numbers in the Expense Management System when their accounting codes change (due to a role change, for example).• Stated that the use of personal card or cash out of pocket reimbursement should be rare.• Added that employees should submit a detailed itemized receipt for any expenses charged to a hotel room.• Added that invoice numbers are required for authorized invoice payments using the corporate credit card.• Included conflict of interest language that states meals and/or entertainment given must be in connection with a business discussion and must comply with Xcel Energy's Code of Conduct.• Expanded the definitions of meals; added that meals consumed with other traveling employees in which business is <p>the new Company policy template.</p> <ul style="list-style-type: none">• Review the whole Employee Expense Policy for any necessary changes.• Strengthen and clarify language to ensure that the Employee Expenses Policy is easily understood by all employees.
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**Xcel Energy Corporate Policy Changes –
Travel and Employee Expense Reimbursement (Policy 10.2)
Changes Since November 2015**

	<p>not the focus should be classified as a travel meals and separate tabs are preferred.</p> <ul style="list-style-type: none">• Created a separate header for alcohol expenses.• Included stronger language for booking hotels stating that employees are required to use the Travel Management Company's online booking tool when making lodging arrangements.• Added that the use of ride-sharing services (Uber, Lyft) is acceptable and may be cheaper than a rental vehicle.• Clarified that the CEO and direct reports are permitted to travel business-class on commercial flights when it is more cost effective than using the corporate aircraft.• Added EVPs to the executive travel restrictions stating that no more than 50 percent of EVPs or SVPs direct reports can travel with him or her.• Changed the Aircraft Schedule so that it shows all scheduled flights for the next 60 days rather than 45 days.• Added that employees requesting premium seat upgrades must seek approval from their Leader (director-level or above).• Updated international travel section to require employees to submit an international travel form at least 2 weeks	
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**Xcel Energy Corporate Policy Changes –
Travel and Employee Expense Reimbursement (Policy 10.2)
Changes Since November 2015**

	<p>prior to travel. The Business Unit VP must approve all international travel prior to making any reservations.</p> <ul style="list-style-type: none">• Added language to clarify that spousal expenses should be rare and must be approved at the senior or executive vice president level.• Restructured the employee recognition section to make clear what is and is not reimbursable.• Added consequences of non-compliance.• Added language on reporting and protection from retaliation.	
02/28/ 2020	<ul style="list-style-type: none">• Clarified that the amount of percentage of any tips or gratuity paid should not exceed 25%.	<ul style="list-style-type: none">• Provide clear expectations on what is considered to be a reasonable tip or gratuity.

Employee Expense Commitments

Source	Commitment	Where Addressed in TY 2021 Rate Case
TY 2011 Electric Rate Case (GR-10-971) O'Hara Surrebuttal	Provide direct testimony in future rate cases which explains all employee expense data in the Company's technical systems.	Husen Direct, Section III, Employee Expense Reporting, and Husen Direct, Section V, Employee Expense Review and Development of EER Schedules, discuss employee expense data in SumTotal, SAP, Corporate PassPort, and TIME applications. EER Schedules 10, 11 and 12 provide a summary of employee expenses processed in systems other than SumTotal. Provided on compact disk, Required Information Vol. 3.
TY 2011 Electric Rate Case (GR-10-971) O'Hara Surrebuttal	Provide direct testimony in future rate cases which explains the process used by the Company to create the EER Schedules, including any limitations.	Husen Direct, Section V, Employee Expense Review and Development of EER Schedules, discusses the process used to develop the EER Schedules and limitations of this process. Husen Direct, Schedule 8 provides the details of the process used to develop the EER Schedules.

TY 2011 Electric Rate Case (GR-10-971) O'Hara Surrebuttal	Provide direct testimony in future rate cases which explains the types of employee expenses the Company is not seeking to recover in rates.	Husen Direct, Section V, Employee Expense Review and Development of EER Schedules, describes the types of transactions that the Company is not seeking to recover in rates. This Section also describes what expenses are included in the Employee Expense Adjustment. Husen Direct, Schedule 8 provides process details for what is included in and excluded from the EER Schedules as well as the development of the Employee Expense Adjustment.
TY 2011 Electric Rate Case (GR-10-971) O'Hara Surrebuttal	Provide direct testimony in future rate cases which explains the progress made to improve the reporting of employee expenses and compliance with the Employee Expense Policy.	Husen Direct, Section III A, SumTotal, discusses SumTotal characteristics and training. Husen Direct, Section III C, Internal Controls and Monitoring, describes how the Company is monitoring compliance with the Employee Expense Policy and appropriate reporting of employee expenses.
TY 2011 Electric Rate Case (GR-10-971) O'Hara Surrebuttal	Provide direct testimony in future rate cases which explains the findings of any recent internal audits regarding employee expenses.	Husen Direct, Section III C, Internal Controls and Monitoring, discusses the Company's most recent 2018 internal audit of employee expense reporting.
TY 2011 Electric Rate Case (GR-10-971) O'Hara Surrebuttal	Provide EER Schedules in a manner that facilitates review and quantification of categories.	EER Schedules are provided in Volume 3, Required Information, Section IV Other Required Information, Tab 2. Concurrent with this rate case filing, we are providing the OAG and the Department of Commerce live Excel spreadsheets of the EER Schedules to facilitate their review.

TY 2011 Electric Rate Case (GR-10-971) O'Hara Surrebuttal	Update the OAG and the Department of Commerce of changes the Company intends to make to the Employee Expense Policy, employee expense reporting systems, or other changes that will affect the Company's future reporting under the Expense Statute.	Since we implemented the significantly revised Employee Expense Policy and SumTotal in October 2012, there have not been major plans to change the Policy or employee expense reporting systems. Husen Direct, Section III A, SumTotal, discusses current SumTotal features and any planned improvements. The Company made some changes to the Employee Expense Policy in December 2015 and December 2016. In January 2020, the whole Employee Expense Policy was reviewed for any necessary changes and in February we made one additional change to the policy. Husen Direct, Schedule 2 provides the current Employee Expense Policy and Schedule 3 presents a summary of these changes.
TY 2011 Electric Rate Case (GR-10-971) O'Hara Surrebuttal	Meet with the OAG prior to filing future rate cases to discuss how to streamline regulatory review of employee expenses.	Met with the OAG shortly before filing this rate case.
February 22, 2012 ALJ Findings of Fact (GR-10-971)	Include a report of the total compensation for employees engaged in lobbying, with an explanation of the costs included and excluded in the rate request.	Husen Direct, Section VI, Compliance Item on Lobbying Compensation, discusses compensation for employees engaged in lobbying. Husen Direct, Schedule 10 provides the total compensation for employees engaged in lobbying, with an explanation of the costs included and excluded in the rate request.

June 20, 2012 Meeting with OAG	Provide direct testimony describing how we will implement SumTotal, including safeguards which are in place so no bulk information is missing, whether all fields will map similar to Concur, and whether we will have problems updating data.	SumTotal has been in place since October 2012, and the Company has discussed its roll out and initial implementation in three prior rate cases. Husen Direct, Section III A, SumTotal, discusses the characteristics of SumTotal.
June 20, 2012 Meeting with OAG	Provide direct testimony describing how we will preserve data from Concur after SumTotal is in place.	While we have preserved old Concur data (prior to October 2012 implementation of SumTotal), it was not used for preparing this rate case.
June 20, 2012 Meeting with OAG	Provide direct testimony comparing budget to actual data and trending data for employee expenses.	Husen Direct, Section IV, Employee Expense Amount, Employee Expense Adjustment, and EER Schedules, provides 2017-2019 budget to actual data and trending data for employee expenses. Husen Direct, Schedule 6 provides the budgeted and actual employee expense data by expense category for 2017-2023.
June 20, 2012 Meeting with OAG	Provide direct testimony describing whether Concur has been used increasingly to track employee expenses and whether other Company systems are processing fewer employee expense transactions as a result.	Husen Direct, Section III B, Other Systems, discusses employee expenses in systems other than SumTotal, which replaced Concur in October 2012. EER Schedules 10, 11 and 12 provide a summary of employee expenses processed in other systems than SumTotal.
June 20, 2012 Meeting with OAG	Provide direct testimony addressing improvements made in reporting to show compliance.	Husen Direct, Section III A, SumTotal, discusses SumTotal features. Husen Direct, Section III C, Internal Controls and Monitoring, describes how the Company is monitoring compliance with the Employee Expense Policy and appropriate reporting of employee expenses.

June 20, 2012 Meeting with OAG	Provide direct testimony regarding training to address entry of meal expenses in SumTotal.	Husen Direct, Section III A, SumTotal, discusses SumTotal training and other resources provided to our employees to accurately document and approve employee expense transactions in SumTotal. Husen Direct, Schedules 5A, 5B, and 5C provide copies of SumTotal training materials and job aid manuals, which also address entry of meal expenses.
June 20, 2012 Meeting with OAG	Provide direct testimony regarding how recognition issues (including gift cards) are handled.	Husen Direct, Section V, Employee Expense Review and Development of EER Schedules, page 37-38, discusses employee recognition expenses.
June 20, 2012 Meeting with OAG	Prior to the next rate case filing, check with the OAG to confirm best way to present EER Schedules.	Met with the OAG shortly before filing this rate case.
June 20, 2012 Meeting with OAG	EER Schedules to contain the gross amount as well as the NSPM company amount.	Husen Direct, Schedule 8 provides details of the data and process used to develop the EER Schedules. The EER Schedules contain the gross amount as well as the NSPM company amount.
September 3, 2013 Commission Order (GR-12-961), (superseded by the May 8, 2015 Commission Order)	Provide flight data reports for the most recent 12-month operational period, including charged employee, each employee passenger and their assigned operating company, other passengers and their reason for use, and primary purpose for using the flight.	Husen Direct, Section I, Introduction, states that the Company is not requesting recovery of any corporate aviation expenses in this rate case. Husen Direct, Section II, Definition and Governance of Employee Expenses, states that because the Company is not requesting recovery for any corporate aviation expenses in this rate case, we have not provided the flight log information.

September 3, 2013 Commission Order (GR-12-961)	Provide information for the calculation of the requested recovery amount of corporate aviation.	Husen Direct, Section II, Definition and Governance of Employee Expenses, states that although the Company is not requesting recovery of any corporate aviation costs in this rate case, EER Schedule 8 provides expense data related to corporate aviation to ensure completeness.
May 8, 2015 Commission Order (GR-13-868)	In future rate cases seeking recovery of corporate aviation, provide more detailed, accurate records of the actual business purpose for flights that are scheduled, rather than reducing all flights to a generic “code.”	The Company is not requesting recovery of any aviation expenses in this rate case and consequently, is not providing more detailed records of the actual business purpose for flights.



A photograph showing a person from the chest down, wearing a light-colored suit jacket over a white shirt. They are seated at a desk, using a black computer mouse with their left hand and holding a dark-colored credit card in their right hand. In front of them is a black computer keyboard. To the right, the side of a computer monitor is visible, showing a grid pattern. The background is slightly blurred, suggesting an office environment.

Travel and Employee Expense Reimbursement

 **Xcel Energy®**



START

Updated 1/1/2019

Welcome!

This course is required for all non-bargaining and bargaining employees of Xcel Energy Inc. who incur travel and/or business related expenses.

Employees who incur these expenses are issued and are required to use a company-sponsored Corporate Credit Card and ensure they follow the [10.2 Travel and Employee Expense Reimbursement Policy](#) when using the Corporate card and/or claiming cash out of pocket business expenses.

The policy applies to all non-bargaining and bargaining employees of Xcel Energy Inc., its wholly owned subsidiaries and affiliates ("Xcel Energy" or the "Company")

- The term "Employee" as used in this policy, includes all regular, full-time, part-time and temporary employees.
- The term "Leader" is used in this policy as an employee who supervises other employees.



Reasonable travel and business-related expenses incurred by employees will be reimbursed upon appropriate Leader approval. Employees are expected to use sound business judgment and plan travel and other business-related expenses to minimize cost.

If you are traveling either locally or out of town for business, you must be aware and follow the guidelines that pertain to the types of business-related expenses outlined in Corporate Policy 10.2, Travel and Employee Expense Reimbursement.

A menu is positioned in the lower left-hand corner of the screen, which provides navigation forward or backward to major sections of the course. However, you must access **every page** in the course in order to receive credit.



Corporate Credit Card

Employees who incur travel and/or business expenses for Xcel Energy will be issued, and are required to use, a company-sponsored Corporate Credit Card and submit for reimbursement through the Expense Management System.

Expense Management System



Xcel Energy employees are required to reconcile all credit card transactions and any cash out of pocket Reimbursements through the Expense Management System.

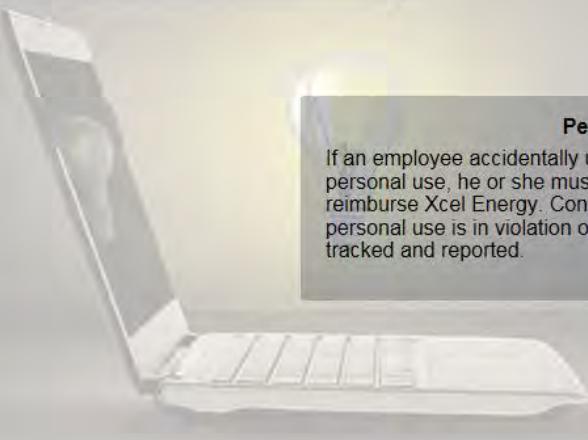
Contract workers and interns are not allowed Corporate Credit Cards; they may seek reimbursement for expenses through their contract agency or invoiced based on a Professional Service Agreement.



Note: Corporate Credit Cards are assigned to individual employees and should be used only by the employee whose name is on the credit card. Any exceptions must be documented as to why someone else signed receipts, etc. PINs should not be shared with anyone.

Cash Out of Pocket

If an employee uses personal funds for business-related expenses, the approving Leader can approve the expense with proper documentation. Continued use of personal funds for business-related expenses is in violation of corporate policy unless pre-approved by the Director of Supply Chain Process Control.



Personal Use

If an employee accidentally uses the Corporate Credit Card for personal use, he or she must mark the expense as personal and reimburse Xcel Energy. Continued use of the corporate card for personal use is in violation of corporate policy. Violations are tracked and reported.

John

Meet John, an Xcel Energy employee who travels for business.



Click on John to see how Policy 10.2 applies to business travel expenses.



Jane

Meet Jane, an Xcel Energy employee who uses her Corporate Card for business purchases.



Click on Jane to see how Policy 10.2 applies to the purchasing process.



Note: You **must** complete both scenarios to complete the course.





In this scenario, we will follow John as he completes the following:

- Approval and booking of travel
- Expenses related to Business Travel
- Expense statement filing requirements



John Identifies Business Need

John has a project kick-off meeting in Denver.

Due to the nature of these meetings, it will be important for John to attend in person.

Before John can book his travel arrangements, he will need to receive management approval.

Manager Approval

John's manager has reviewed the trip's business purpose and agrees that there is a valid business need for John to travel to Denver.

She approves John's travel plan. John is now able to begin booking his flight, hotel, and car.

Click [Next](#) to help John book his travel.



Travel Management Company

When booking his trip, John should use Xcel Energy's contracted Travel Management Company to book his commercial flight, hotel, and rental car. By using Xcel Energy's Travel Management Company, John ensures he will receive the negotiated financial and safety benefits.

Click each icon to see how John books a trip:



Air Travel

Commercial flights are the most common type of air travel used by Xcel Energy employees when traveling for business.

Policy 10.2 outlines the guidelines around the other types of air travel including use of the corporate aircraft.

Frequent Flyer Miles and Points

John is a member of reward programs for airlines, hotels, and car rental companies he uses for business travel. John will be able to collect on the points/miles associated with his business trip to Denver. He will later be able to use those frequent flyer points/miles for upgrades during business or personal travel.

Travel Management Company

When booking his trip, John should use Xcel Energy's contracted Travel Management Company to book his commercial flight, hotel, and rental car. By using Xcel Energy's Travel Management Company, John ensures he will receive the negotiated financial and safety benefits.

Click each icon to see how John books a trip:



Lodging

Lodging arrangements should be made through the Travel Management Company.

For more information about cancellations, hotel accommodations in relation to conferences and booking stays with non-contract properties, see policy 10.2.

Frequent Flyer Miles and Points

John is a member of reward programs for airlines, hotels, and car rental companies he uses for business travel. John will be able to collect on the points/miles associated with his business trip to Denver. He will later be able to use those frequent flyer points/miles for upgrades during business or personal travel.

Travel Management Company

When booking his trip, John should use Xcel Energy's contracted Travel Management Company to book his commercial flight, hotel, and rental car. By using Xcel Energy's Travel Management Company, John ensures he will receive the negotiated financial and safety benefits.

Click each icon to see how John books a trip:



Vehicle Rental

Employees should only rent vehicles when other transportation such as mass transit, taxis, or limousines are more costly, impractical, or unavailable.

Policy 10.2 outlines the use of Ground Transportation and Vehicle Rental. If applicable, Company Vehicles can be used. [Policy 10.3](#) outlines the use of pool vehicles.

Frequent Flyer Miles and Points

John is a member of reward programs for airlines, hotels, and car rental companies he uses for business travel. John will be able to collect on the points/miles associated with his business trip to Denver. He will later be able to use those frequent flyer points/miles for upgrades during business or personal travel.



Help John Decide

What tool should John use when booking his flight, hotel, and rental car? Select the best answer.

Expedia

Airline Web Page

Xcel Energy's Travel Management Company



Help John Decide

What tool should John use when booking his flight, hotel, and rental car? Select the best answer.

That's Correct!

John should use Xcel Energy's Travel Management Company to ensure that he is receiving the negotiated financial and safety benefits.

Click the Next arrow to continue.

Introduction Policies Scenarios **John - Page 4 of 13**

Parking and Mileage Expenses

John booked his trip and is ready to head to Denver. Review the following to learn more about what John needs to know about parking and mileage while on his trip.

Parking

John plans to drive to his normal work location at 414 Nicollet Mall building in Minneapolis and then drive to the airport later that afternoon to catch his flight to Denver.

He will need to park his car both downtown and at the airport.

John is responsible for paying for the parking expenses incurred at his home work location, but the airport parking expenses incurred while John is in Denver are reimbursable.

Mileage

John will be driving to the office the day of his trip and then driving to the airport later that afternoon. Since John will be using his personal vehicle for company business he will be incurring mileage that will be reimbursable.

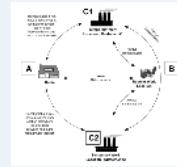
John will be reimbursed the standard IRS rate for mileage. This rate covers normal wear and tear on his personal vehicle as well as fuel consumed.

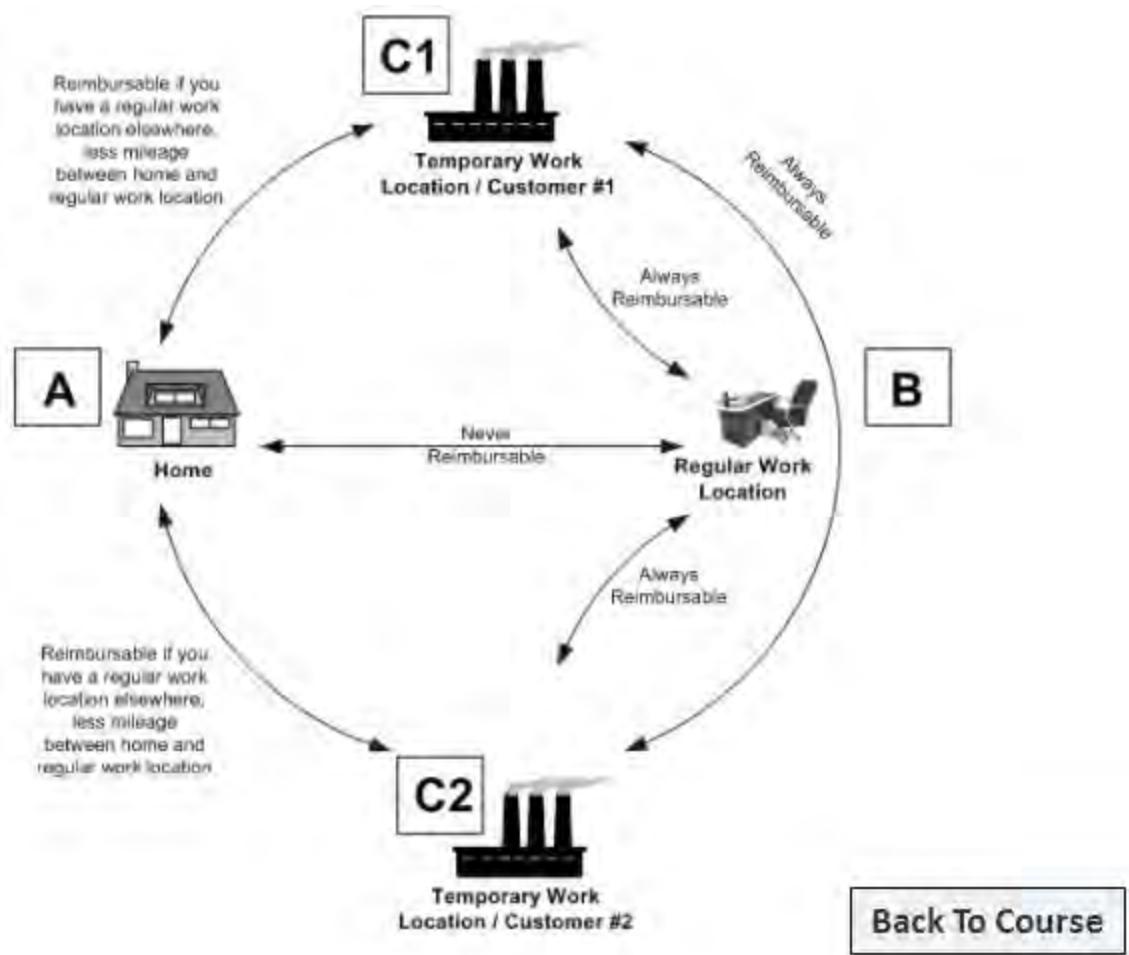
For documentation purposes, John must disclose the point of departure, the destination, and the total miles for the trip.

The illustration depicts reimbursable mileage John qualifies for as outlined in policy 10.2



Click the illustration to view in more detail.





Meal Types Defined

For more information on meal type definitions:

Travel Meal

Meals for individuals while traveling away from home on company business. Documentation must include a specific business purpose for the travel and detailed itemized receipts showing all items purchased.

Business Meal

Meals with employees and non-employees. May be reimbursed if the business cannot be reasonably conducted during regular business hours. Business meals are generally not associated with travel; however if the meal occurs while traveling, it must be coded as a Business Meal. Documentation must include a specific business purpose for the meal and detailed itemized receipts showing all items purchased.

Entertainment Events and Meals and Recognition Meal

See policy 10.2 for further guidelines around Entertainment Events and Meals and Recognition Meals.

The recommended per-meal guidance is:

- Breakfast: \$8-10
- Lunch: \$10-15
- Dinner: \$20-40

The maximum reimbursement is \$65 per person, per day, including food, non-alcoholic beverages, alcoholic beverages, and associated taxes and tips.

If an employee exceeds the \$65 per person, per day maximum, he or she must submit the receipts along with written approval from his or her vice president.

If vice president approval is not received for exceeding the per person, per day maximum employees must claim the difference as a personal expense and itemize accordingly.

Help John Decide:



When John arrives in Denver he grabs lunch at Subway on his way into the office. What type of meal expense is John's lunch at Subway?

Travel Meal

Business Meal

Introduction Policies Scenarios **John - Page 7 of 13**

Help John Decide:



When John arrives in Denver he grabs lunch at Subway on his way into the office. What type of meal expense is John's lunch at Subway?

Travel Meal

Business Meal

That's Correct!

John's lunch at Subway would be classified as a Travel Meal due to the fact that he was traveling on company business when the meal was consumed. It is important that John provides proper documentation.

Answer the next question below.

John and his project coordinator will be meeting to prepare for the project kick-off meeting taking place the following day. John and his co-worker work all afternoon and into the evening. John and his co-worker order Jimmy John's. What type of meal expense is John incurring when he and his co-worker order Jimmy John's for dinner?

Travel Meal

Business Meal

Introduction Policies Scenarios

John - Page 7 of 13

Help John Decide:



When John arrives in Denver he grabs lunch at Subway on his way into the office. What type of meal expense is John's lunch at Subway?

Travel Meal

Business Meal

That's Correct!

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Answer the next question below.

John and his project coordinator will be meeting to prepare for the project kick-off meeting taking place the following day. John and his co-worker work all afternoon and into the evening. John and his co-worker order Jimmy John's. What type of meal expense is John incurring when he and his co-worker order Jimmy John's for dinner?

Travel Meal

Business Meal

That's right!

The Jimmy John's meal is classified as a Business Meal. The intent of the meal is what changes the classification from travel meal to business meal. The intent of the meal would be for John and his co-worker to continue working through dinner to ensure that all preparations are complete prior to the next day's project kick-off meeting. Due to the tight timelines it makes the most sense to order a meal so they can continue working. It is important that John provides proper documentation.

Click the Next arrow to continue.

Expense Statement Filing Requirements

John is responsible for completing and submitting an expense report for the business related expenses incurred by his department. Typically, one expense report per month should be completed within 30 days of the first transaction.

Click the boxes below to learn more.



Expense Statement Filing Requirements

John is responsible for completing and submitting an expense report for the business related expenses incurred by his department. Typically, one expense report per month should be completed within 30 days of the first transaction.

Click the boxes below to learn more.

45 days



60 days



90 days



John will be notified by the Expense Management system daily if credit card transactions are not added to the expense report within 45 days of the incurred expenses.

Delinquency notifications are sent to notify the spender and their leader of expense report(s) with transactions that are more than 45 days after the credit card transaction(s) posting date.

Expense Statement Filing Requirements

John is responsible for completing and submitting an expense report for the business related expenses incurred by his department. Typically, one expense report per month should be completed within 30 days of the first transaction.

Click the boxes below to learn more.

45 days



60 days



90 days



John's corporate credit card will be suspended if credit card transactions are not added to the expense report, submitted, and approved within 60 days of incurred expenses.

Expense Statement Filing Requirements

John is responsible for completing and submitting an expense report for the business related expenses incurred by his department. Typically, one expense report per month should be completed within 30 days of the first transaction.

Click the boxes below to learn more.

45 days



60 days



90 days



John's corporate credit card will be closed if credit card transactions are not added, submitted, and approved within 90 days of the incurred expenses.

John would need to receive approval from the Director of Supply Chain Process Control and review 10.2 policy with his manager to obtain a new corporate credit card.



When John is completing his expense report, it is important that he provides a valid business purpose for each expense incurred while traveling. The business purpose must adequately describe why the expense was incurred.

Please review the following:



Inadequate: Travel Meal



Adequate: Attending project kick off meeting in Denver

John is required to provide Xcel Energy with itemized receipts to qualify the reimbursement of his travel expenses, including **lodging, airfare, and meals.**

Lodging

All lodging expenses require an itemized detailed receipt to ensure appropriate accounting for sales and use tax.

Airfare

The itinerary showing the amount charged is the required detailed itemized receipt for airline travel and service fees.

Meals

Meals at or above \$25 require a detailed itemized receipt. If a tip is included but not reflected on the itemized receipt the credit card receipt is also required.



Further instances including cash out of pocket, mileage, etc. which also require a detailed itemized receipt can be found in policy 10.2.

If a receipt is lost or not available, John would need to complete a [lost receipt form](#). For more details, refer to policy 10.2.

What Should John Provide?

One of the meal expenses John incurred while on his trip to Denver totaled \$23 and he added a \$3 tip to the credit card receipt when paying his bill. His Total amount charged on his Corporate Credit Card was \$26. When submitting his report, what documentation should John provide?



Itemized Receipt

Itemized Receipt and Credit Card Receipt

No Receipt

What Should John Provide?



One of the meal expenses John incurred while on his trip to Denver totaled \$23 and he added a \$3 tip to the credit card receipt when paying his bill. His Total amount charged on his Corporate Credit Card was \$26. When submitting his report, what documentation should John provide?

Itemized Receipt

Itemized Receipt and Credit Card Receipt

No Receipt

That's correct!

An itemized receipt is required for meals at or above \$25.00. Since John included a tip on the credit card receipt he would also need to include that when filing his expense report.

Click the Next arrow to continue.



It is important for John's manager to ensure the following when reviewing his expense statement.

- Adequate documentation (e.g. mileage logs, attached receipts)



For more information on accuracy and completeness, John's manager can reference policy 10.2.



Congratulations!

You helped John navigate policy 10.2 as it relates to:

- Approval and booking of travel
- Expenses related to Business Travel
- Expense statement filing requirements

Next, you will meet Jane, an Xcel Energy employee who uses her Corporate Card for business purchases.



In this scenario, we will follow Jane as she makes multiple department related purchases with her Corporate Credit Card.

It is important to know that all information referenced in this scenario can be found in Corporate Policy 10.2 Travel and Employee Expense Reimbursement. We will follow Jane as she procures the following:

- Office Supplies

One of Jane's co-workers has asked Jane to order 3-ring binders, tab dividers, and labels for upcoming training.

Jane references the [Sourcing and Procurement Matrix](#) to identify the purchasing method she should use to procure the needed office supplies. By using the Purchasing Guidelines Jane is quickly able to identify the following:

- Type of Purchase
- Purchase Description
- Purchasing Method



Click on thumbnail to learn more about the Supply Chain Sourcing and Procurement Matrix.

Jane has identified she can use her Corporate Credit Card to purchase the needed training materials.

SOURCING MATRIX*		
*The Sourcing and Procurement Matrix applies to the business areas that have deployed SAP Stock and Asset Management (SSAM) systems and processes. It does not apply to business areas that have not deployed SAP SSAM systems and processes.		
The matrix classifies and summarizes items based on the type of procurement activity:		Purchase Requisition Generation
Type of Agreement	SAP Outline Agreement Type	Sourcing Definitions
Work Order	Normal Order	Materials Master Planning (MMP)
Request for Quoted Materials	Master Material Agreement	These agreements are for long-term requirements and/or future many purchased under a fixed supplier. Multi-Supply Agreements
Request for Quoted Services	Master Service Agreement	These agreements are for long-term requirements and will have many purchase orders created against them. Professional Services, Consulting Services, Services, Maintenance, Repair and Operations, Services, Engineering Services, and Technical Services
Click-Off or Supplier Purchased	Local Arms Agreements	Stand alone agreements which are valid for a project or a one-time procurement and can be controlled by the organization. Examples include: Consulting Services, Consulting Services, Information Technology Services, Manufacturing Services, Project and Operations, Professional Services
	Other Parties Paid (Supplier Agreement)	Supplier PO must express the agreement to supply Software Licenses, Print Agreements, Functionality



It is important for Jane to reference the Sourcing and Procurement Matrix when making purchases for her department.

SOURCING MATRIX*					
This matrix identifies the four agreement types utilized by Sourcing that will be electronically set-up.			Purchase Requisition Generation		
Sourcing Definitions			WORK TYPE		
Type of Agreement	SAP Outline Agreement Type	Emptoris Agreements Aligned to Outline Agreement Types	Work Order	Internal Order	Materials Req's Planning (MRP)
Frequent Pre-Sourced Materials	Master Material Agreement	These agreements will be longer term agreements and will have many purchase orders created against them- Major Supply Agreement	X	X	X
Frequent Pre-Sourced Services	Master Service Agreement	These agreements will be longer term agreements and will have many purchase orders created against them- Professional Services, Construction Services, Environmental Services, Information Technology Services, Maintenance, Repair and Operations, Consulting Services, Staffing Services (thru IQN or Consulting Services, Staffing Services (thru IQN or	X	X	
One-Off or Irregular Purchases	Stand Alone Agreement	Stand alone agreements which may be for a project or a one time procurement and can be constructed from any of the following terms and conditions- Construction Services, Consulting Services, Environmental Services, Information Technology Services, Major Supply, Maintenance, Repair and Operations, Professional Services	X	X	
	Other Parties Paper (Supplier Agreement)	These agreements may be structured for one or multiple POs created against the agreement- Software Licenses, Rental Agreements, Supplier Terms	X	X	

The highlighted section is the part of the Sourcing and Procurement Matrix Jane would reference to identify the purchasing method she should use to order 3-ring binders, tab dividers, and labels for upcoming training.

Close



Help Jane With a Departmental Purchase:

What should Jane do prior to making any departmental purchases?

Refer to the Sourcing and Procurement Matrix

Call the local buyer

Create a requisition in SAP



Help Jane With a Departmental Purchase:

What should Jane do prior to making any departmental purchases?

Refer to the Sourcing and Procurement Matrix

Call the local buyer

Create a requisition in SAP

Correct!

The Sourcing and Procurement Matrix will help Jane to identify the type of purchase, purchase description, and purchasing method she should use to procure the goods and services she and her department needs.

Click the Next arrow to continue.



Jane's department holds annual off-site recertification courses. Jane has used the Sourcing and Procurement Matrix to determine that the recertification course would be classified as a low-risk service and she will be able to use her Corporate Credit Card to pay the invoice.

Jane receives the invoice for the recertification and realizes the invoice is for more than her assigned transaction limit on her Corporate Credit Card.

Authorization Limit Change

Jane will need to submit a One Time Authorization Limit Change form to have her credit limit increased to pay the invoice. The form will need to be approved by her manager and sent to cardadminsupport.

There are two types of reimbursable accounts for Mobile Devices:

Click each button

Corporate Responsible Account

Personal Responsible Account



Tip: For more information on the acquisition, use, and reimbursement of charges associated with Mobile Devices, Jane should reference the [Mobile Device Standard](#).

Introduction Policies Scenarios **Jane - Page 5 of 10**

There are two types of reimbursable accounts for Mobile Devices.

Corporate Responsible Account Click each button

Personal Responsible Account

Corporate Responsible Account

A Corporate Responsible Account is in Xcel Energy's name and Xcel Energy bears payment responsibility to the communication service provider using the Corporate Credit Card. Corporate Responsible Accounts may be used by:

- Bargaining unit employees
- Non-bargaining employees that share Mobile Devices or pooled minute plans with other employees

All employees must obtain approval from their business area management to become a Reimbursed Registered User.

Jane is the Account Administrator for her department. She uses her Corporate Credit Card to pay the corporate responsible account on a monthly basis for those who qualify and are approved as Reimbursable Registered Users.

 For more information on the acquisition, use, and reimbursement of charges associated with Mobile Devices, Jane should reference the [Mobile Device Standard](#).

Introduction Policies Scenarios **Jane - Page 5 of 10**



There are two types of reimbursable accounts for Mobile Devices:

Corporate Responsible Account

Click each button

Personal Responsible Account

Personal Responsible Account

A Personal Responsible Account is in an employee's name and the employee bears payment responsibility to the communication service provider using personal credit card or funds. Employees may use a Mobile Device to conduct company business under a Personal Responsible Account if the employee:

- Is required to be on-call after normal working hours
- Works in the field or a plant location and it is necessary to be in communication with other employees
- Works in a corporate office but frequently travels and it is necessary to be in communication with other employees
- Is in a leadership role and it is advantageous to Xcel Energy to conduct business when not in the office.

All employees must obtain approval from their business area management to become a Reimbursed Registered User.

Jane works at a plant location and her role requires frequent communication with other employees. Jane has been approved by her business area management to be a Reimbursed Registered User on a Personal Responsible Account. She will be paid a stipend for the Mobile Voice Services and/or Mobile Data Services.

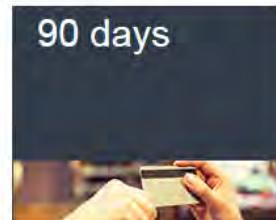


For more information on the acquisition, use, and reimbursement of charges associated with Mobile Devices, Jane should reference the [Mobile Device Standard](#).

Expense Statement Filing Requirements

Jane is responsible for completing and submitting an expense report for the business related expenses incurred by her department. Typically, one expense report per month should be completed within 30 days of the first transaction.

Click the boxes below to learn more.



Expense Statement Filing Requirements

Jane is responsible for completing and submitting an expense report for the business related expenses incurred by her department. Typically, one expense report per month should be completed within 30 days of the first transaction.

Click the boxes below to learn more.

45 days



60 days



90 days



Jane will be notified by the Expense Management system daily if credit card transactions are not added to the expense report within 45 days of the incurred expenses.

Delinquency notifications are sent to notify the spender and their leader of expense report(s) with transactions that are more than 45 days after the credit card transaction(s) posting date.

Expense Statement Filing Requirements

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Click the boxes below to learn more.

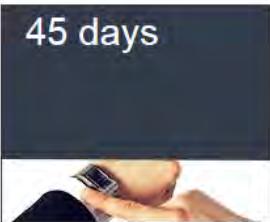


Jane's corporate credit card will be suspended if credit card transactions are not added to the expense report, submitted, and approved within 60 days of incurred expenses.

Expense Statement Filing Requirements

Jane is responsible for completing and submitting an expense report for the business related expenses incurred by her department. Typically, one expense report per month should be completed within 30 days of the first transaction.

Click the boxes below to learn more.



Jane's corporate credit card will be closed if credit card transactions are not added, submitted, and approved within 90 days of the incurred expenses.

Jane would need to receive approval from the Director of Supply Chain Process Control and review 10.2 policy with her manager to obtain a new corporate credit card.



When Jane is completing her expense report it is important that she provides business purposes for each expense incurred by her department. The business purpose must adequately describe why the expense was incurred.

Inadequate: Cell Phone



Adequate: March 2019 Stipend for Business Use of Personal Cell Phone



Introduction Policies Scenarios **Jane - Page 7 of 10**



Jane is required to provide Xcel Energy with itemized receipts for all purchase-type expenses regardless of the amount to ensure appropriate accounting for sales and use tax. Examples include:

- Materials
- Subscriptions
- Tangible goods



Further instances including cash out of pocket, mileage, etc. that also require a detailed itemized receipt can be found in policy 10.2.

If a receipt is lost or not available, Jane would need to complete a lost receipt form.



It is important for Jane's manager to ensure the following when reviewing her expense statement:

- Adequate documentation (e.g. mileage logs, attached receipts)



For more information on accuracy and completeness, Jane's manager can reference policy 10.2.



Congratulations for helping Jane perform some of her daily administrative duties.

You helped her navigate policy 10.2 as it relates to:

- Office Supplies
- Low Risk Services
- Mobile Device

Thank you for completing the Travel and Employee Expense Reimbursement training.

You learned about the travel and purchasing guidelines of the Corporate Policy 10.2, Travel and Expense Reimbursement to be utilized in your daily job.

The Learning Management System (LMS) offers more specific training regarding proxies and how to create and submit expense reports. While on the catalog site, search for the word "expense."

If you have unanswered questions or concerns, please send an email to the [Supply Chain Hotline](#).

For a more in depth training course see 'Creating and Submitting an Expense Report' — LPN B5300C-002.



Reminder: For more information about related policies, documents, and forms, please check out the [Resources](#) page.

Thank you for completing the Accrual Basics training course.

The course evaluation will be on your Learning Plan, thank you in advance for taking the time to complete the evaluation. We appreciate your feedback.

Please close this window to exit the course. You may wish to check your completed work to confirm that you have received credit on the LMS.
You can review this course at any time from your Completed Work.

Resources

For any questions or technical issues regarding the Learning Management System (LMS), please complete a [LMS Service Request](#) or call 612-330-6184.

Introduction Policies Scenarios



RESPONSIBLE BY NATURE™

<Corporate Card Department >

Procedure Name:	<SumTotal Reconciliation— Creating and Submitting Expense Reports >
------------------------	--

Responsibility:

Primary:	<Card Holders>
Backup:	<SumTotal Admins>

Frequency / Due Date:	<Monthly, Every 30 days>
------------------------------	--------------------------

Summary / Background:

A detailed process of how to create and submit an expense report, for expenses incurred on the BMO Purchase Card and Fleet Cards. Also, a detailed process of how to get reimbursed and how to pay back the company for Personal Expenses.

Required Tools and System Access:

(1) SumTotal
(2) XpressNet
(3)

Contacts:

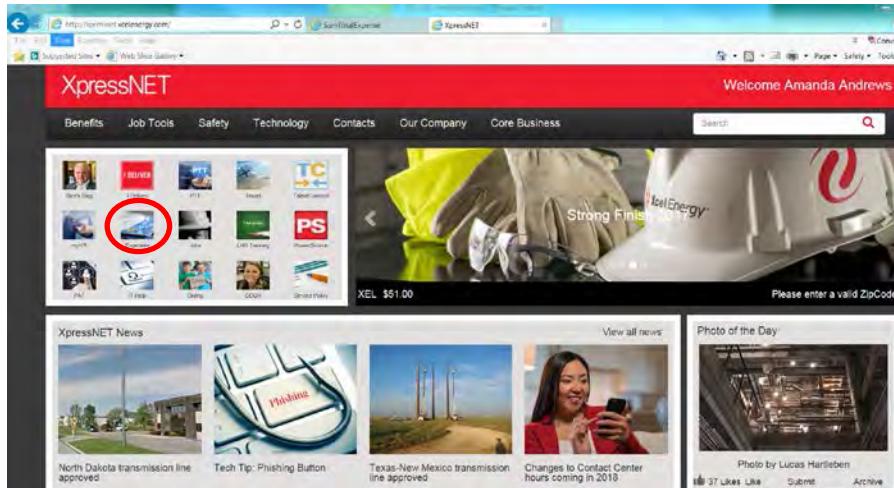
Name	E-Mail Address	Phone Number	Department / Title
Amanda Ornelas	Amanda.L.Andrews@xcelenergy.com	303-439-5834	Corp Card Depart
Karolyn Hedquist	Karolyn.T.Hedquist@xcelenergy.com	303-628-2648	Corp Card Depart
Vanessa Villa	Vanessa.Villa@xcelenergy.com	303-439-5801	Supervisor

Procedure:

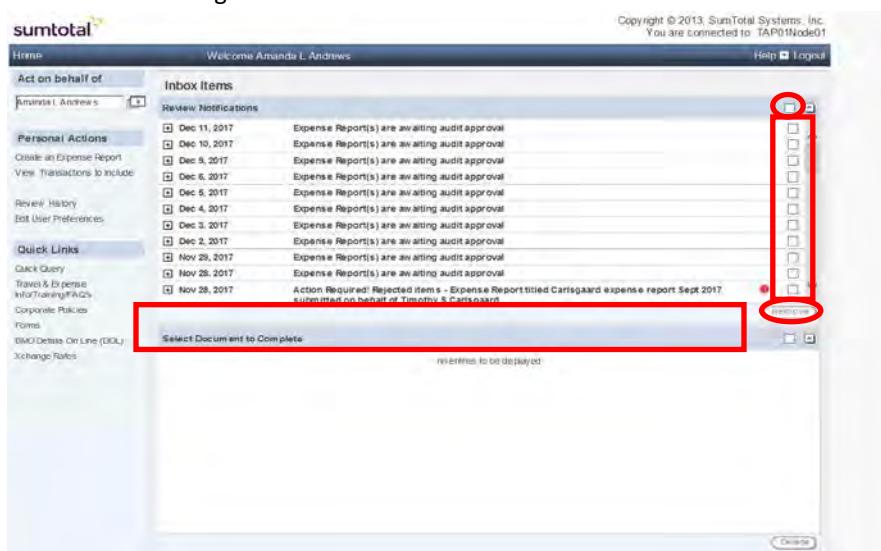
Detailed Process

Step One-- Log Into SumTotal

- From XpressNet, click on Expenses from the Main Menu



- Your SumTotal password will automatically be changed every time you change your network password.
- SumTotal Home Page-



- To remove notifications, select the check box to the right of the notification, or to select all, click the check box on the title bar and click Remove.
- This will clear all of the notifications.

3. To Log Out of SumTotal, user will click on the Logout button in the top right corner of the screen.

Copyright © 2013, SumTotal Systems, Inc.
You are connected to: TAP01Node01

Help Logout

4. System will close and access to SumTotal will require a password to get back in.

Step Two- Create and Expense Report

1. Under the Personal Actions list, select **Create an Expense Report**.



- Employees will submit one expense report per month.
- Credit card transactions must be reconciled every 30 days. Pick a day to always complete your expense reports and do so every 30 days. A 15 day grace period exists before notifications will be sent regarding delinquency of transactions based upon transaction posting date. Day 46 spender and manager will receive delinquency notifications daily until the transaction is included in an expense report. 60 day delinquencies will cause card to be suspended and 90 days, card will be closed.
- **Example:** If the spender picks the 15th of each month to prepare expense report – on that expense report the spender should include all transactions prior to the 15th of that respective month to be included in the expense report. The spender will get a 15 day courtesy notice to complete an expense report based upon transaction date.
- Employees who are on Short Term Disability (STD) or Long Term Disability (LTD) will not be able to use their company BMO card. **Managers should notify Supply Chain Hotline to temporarily suspend card until further notice.**
- For more information on the policy please access the 10.2 here:
[10.2 Travel and Employee Expense Reimbursement](#)

Step Three- Create a Report Header

1. Expense Report Header Screen-

sumtotal

Logged in as Amanda L Andrews

Copyright © 2013, SumTotal Systems, Inc.
You are connected to: TAP01Node01

Help Logout

Create

Create Expense Report

Report name: November 2017 Expense Report *

From: [] To: []

By clicking on the "checkbox" I certify that none of the expenses on this report relate to an activity in honor of anything or value it was provided to any Senator, any member of Congress or his or her respective staff, or any covered executive branch employee.

Default Allocation

Order Number

Change Default

Default Allocation Assignment

Cancel Continue

2. Report Name- Include Month/Year of expenses (i.e. July 2017 Expense Report). -
The name should be descriptive of time period of expenses included in report.

« Back to Home Logged in as Am

Create

Create Expense Report

Report name: November 2017 Expense Report *

From: [] To: []

3. From- The first date will be the first date of expense items on your report and the second date will be the last date of expense items. To select a date, click on the calendar icon and click on the specific date.

Create

Create Expense Report

Report name: November 2017 Expense Report *

From: 11/1/17 * [] To: 11/30/17 * []

- If your expenses do not fall within that date range, it will flag the report as being not policy compliant. This will make the report go to audit after manager approval.
- Once the report has been submitted, the user cannot change the date range even if it has been rejected back to the employee.

4. **Certify Compliance**- Click the empty box next to the compliance message to check mark that you have read and understand the compliance message.

sumtotal

« Back to Home Logged in as Amanda L Andrews

Create

Create Expense Report

Report name: November 2017 Expense Report *
From: 11/1/17 * To: 11/30/17 *

By clicking on the "checkbox" I certify that none of the expenses on this report relate to an activity w hereby anything of value w as provided to any Senator, any member of Congress or his or her respective staffs, or any covered executive branch employee.

Default Allocation Order Number:

- Managers will reject expense report(s) if compliance checkbox is not checked.

5. Verify all fields with a red (*) are filled out completely and efficiently, then click on the **Continue Button**.



- This will take the user to the Add Expenses Screen.

Step Four- Add Credit Card Transaction(s) to Expense Report

1. Click on the **Include Transactions** tab.

Copyright © 2013, SumTotal Systems, Inc. You are connected.

« Back to Home Logged in as Amanda L Andrews

Create **Report Header** **Include Transactions** **Add Expense** **View Summary**

Spender: Amanda L. Andrew s From: Nov 1, 2017 To: Nov 30, 2017 Reimbursement Amt: 0.00 USD
Report name: November 2017 Expense Report Report number: XER0000795392170005

Add Expense

Date: 11/1/17	Spent Amt: 0.00 * USD *	Description:
Expense Type:	Exchange Rate: 1.000000	
Merchant:	Domestic Amt: 0.00 USD	
Region:	Payment Method: Cash out of Pocket	
Area:	Rec. clpt:	Allocation:

Included Expenses 0 item(s)

Date	Expense Type	Spent Amt	Domestic Amt	Payment	Region	Allocation
No expenses are included on this report.						

- If the expense(s) have not came through to your include transactions, **do not go to the add expense tab and do them as Cash Out Of Pocket**. Wait until the expenses show up in the include transactions and then include them in your expense report.

2. A list of all credit card transactions to be included in an expense report will be displayed.

This is an image

Logged in as Sharon J Flores

Create Report Header Include Transactions Add Expense View Summary

Spender: Sharon J Flores Report name: March 2012 From Mar 1, 2012 To Mar 30, 2012 Report number: XETS000024052120081

Search For: Transaction Date Search Reset Show: All

Transaction Date	Posting Date Merchant	Spent Amt	Transaction No.	Source
Mar 29, 2012	Mar 29, 2012	0.00 USD	255369626901C0000510204	BMO MasterCard...
Mar 29, 2012	Mar 29, 2012	38.83 USD	2524780209000772780789	BMO MasterCard...
Mar 29, 2012	Mar 29, 2012	601.76 USD	55429502090027803511282	BMO MasterCard...
Mar 29, 2012	Mar 29, 2012	31.42 USD	55429502090027803476375	BMO MasterCard...
Mar 29, 2012	Mar 29, 2012	832.14 USD	85188892696980145481882	BMO MasterCard...
Mar 29, 2012	Mar 29, 2012	30.41 USD	55309592695005007255404	BMO MasterCard...
Mar 28, 2012	Mar 29, 2012	335.56 USD	2524780208000746357495	BMO MasterCard...
Mar 28, 2012	Mar 29, 2012	23.48 USD	2524780208800746357444	BMO MasterCard...
Mar 29, 2012	Mar 29, 2012	95.63 USD	55309592698005007465204	BMO MasterCard...
Mar 29, 2012	Mar 29, 2012	584.57 USD	553095926980083007396003	BMO MasterCard...
Mar 26, 2012	Mar 27, 2012	85.00 USD	85428142667860016505960	BMO MasterCard...
Mar 27, 2012	Mar 27, 2012	20.43 USD	25536962698104005888937	BMO MasterCard...
Mar 26, 2012	Mar 27, 2012	85.00 USD	85428142687860016506945	BMO MasterCard...
Mar 26, 2012	Mar 27, 2012	19.48 USD	75306372607160002527079	BMO MasterCard...
Mar 27, 2012	Mar 27, 2012	881.25 USD	25140612688005647042384	BMO MasterCard...

Mark as Personal Mark as Deleted Clear Clear Balance (Include)

3. To add a **SINGLE** transaction to the expense report, click on the box next to the individual transaction in the list and then click on include.

This is an image

Logged in as Sharon J Flores

From Mar 1, 2012 To Mar 30, 2012 Reimbursement Amt 0.00 USD

Search For: Transaction Date Search Reset Show: All

Transaction Date	Posting Date Merchant	Spent Amt	Transaction No.
Mar 29, 2012	Mar 29, 2012	0.00 USD	255369626901C0000510204
Mar 29, 2012	Mar 29, 2012	38.83 USD	2524780209000772780789
Mar 29, 2012	Mar 29, 2012	601.76 USD	55429502090027803511282
Mar 29, 2012	Mar 29, 2012	31.42 USD	55429502090027803476375
Mar 29, 2012	Mar 29, 2012	832.14 USD	85188892696980145481882

4. To add **ALL** of the transactions listed in the include transactions tab, click the check box on the title bar.

This is an image

Logged in as Sharon J Flores

From Mar 1, 2012 To Mar 30, 2012 Reimbursement Amt 0.00 USD

Search For: Transaction Date Search Reset Show: All

Transaction Date	Posting Date Merchant	Spent Amt	Transaction No.
Mar 29, 2012	Mar 29, 2012	0.00 USD	255369626901C0000510204
Mar 29, 2012	Mar 29, 2012	38.83 USD	2524780209000772780789
Mar 29, 2012	Mar 29, 2012	601.76 USD	55429502090027803511282
Mar 29, 2012	Mar 29, 2012	31.42 USD	55429502090027803476375
Mar 29, 2012	Mar 29, 2012	832.14 USD	85188892696980145481882
Mar 28, 2012	Mar 29, 2012	30.41 USD	55309592695005007255404
Mar 28, 2012	Mar 29, 2012	335.56 USD	2524780208000746357495
Mar 28, 2012	Mar 29, 2012	23.48 USD	2524780208800746357444
Mar 29, 2012	Mar 29, 2012	95.63 USD	55309592698005007465204
Mar 29, 2012	Mar 29, 2012	584.57 USD	553095926980083007396003
Mar 26, 2012	Mar 27, 2012	85.00 USD	85428142667860016505960
Mar 27, 2012	Mar 27, 2012	20.43 USD	25536962698104005888937
Mar 26, 2012	Mar 27, 2012	85.00 USD	85428142687860016506945
Mar 26, 2012	Mar 27, 2012	19.48 USD	75306372607160002527079
Mar 27, 2012	Mar 27, 2012	881.25 USD	25140612688005647042384

5. Once the transactions have been selected that need to be included, click on the **Include** button towards the bottom right.

This is an image

Logged in as Sharon J Flores

Create Report Header Include Transactions Add Expense View Summary

Spender: Sharon J Flores Report name: March 2012 From Mar 1, 2012 To Mar 30, 2012 Report number: XETS000024052120081

Search For: Transaction Date Search Reset Show: All

Transaction Date	Posting Date Merchant	Spent Amt	Transaction No.	Source
Mar 29, 2012	Mar 29, 2012	0.00 USD	255369626901C0000510204	BMO MasterCard...
Mar 29, 2012	Mar 29, 2012	38.83 USD	2524780209000772780789	BMO MasterCard...
Mar 29, 2012	Mar 29, 2012	601.76 USD	55429502090027803511282	BMO MasterCard...
Mar 29, 2012	Mar 29, 2012	31.42 USD	55429502090027803476375	BMO MasterCard...
Mar 29, 2012	Mar 29, 2012	832.14 USD	85188892696980145481882	BMO MasterCard...
Mar 28, 2012	Mar 29, 2012	30.41 USD	55309592695005007255404	BMO MasterCard...
Mar 28, 2012	Mar 29, 2012	335.56 USD	2524780208000746357495	BMO MasterCard...
Mar 28, 2012	Mar 29, 2012	23.48 USD	2524780208800746357444	BMO MasterCard...
Mar 29, 2012	Mar 29, 2012	95.63 USD	55309592698005007465204	BMO MasterCard...
Mar 29, 2012	Mar 29, 2012	584.57 USD	553095926980083007396003	BMO MasterCard...
Mar 26, 2012	Mar 27, 2012	85.00 USD	85428142667860016505960	BMO MasterCard...
Mar 27, 2012	Mar 27, 2012	20.43 USD	25536962698104005888937	BMO MasterCard...
Mar 26, 2012	Mar 27, 2012	85.00 USD	85428142687860016506945	BMO MasterCard...
Mar 26, 2012	Mar 27, 2012	19.48 USD	75306372607160002527079	BMO MasterCard...
Mar 27, 2012	Mar 27, 2012	881.25 USD	25140612688005647042384	BMO MasterCard...

Mark as Personal Mark as Deleted Clear Clear Balance (Include)

- If disputing fraudulent charges contact BMO **directly**. You will dispute the charges and BMO will do an investigation, and if they deem them as truly Fraudulent they will send a credit to your card.
6. The selected transaction(s) have moved to the **Included Expenses** section on the **Edit Expense Report** in the **View Summary** tab.

Date	Expense Type	Merchant	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
Mar 26, 2012		GRAYMAC INC	85.00 USD	85.00	BMO MasterCard	US-TEXAS		
Mar 27, 2012		GRAYMAC INC						

Report Totals

Expense Report Total	85.00 USD	Reconciled Advances	0.00 USD
Business Expense Total	85.00 USD	Reimbursement Amt	0.00 USD
Personal Expense Total	0.00 USD	Amount Owing to Company	0.00 USD

- The **Red** icon to the left of expense indicates the expense is missing required information.



7. Double click on the expense item to edit.

Date	Expense Type	Merchant	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
Mar 26, 2012		GRAYMAC INC	85.00 USD	85.00	BMO MasterCard	US-TEXAS		
Mar 27, 2012		GRAYMAC INC						

Report Totals

Expense Report Total	85.00 USD	Reconciled Advances	0.00 USD
Business Expense Total	85.00 USD	Reimbursement Amt	0.00 USD
Personal Expense Total	0.00 USD	Amount Owing to Company	0.00 USD

8. System displays transaction information on the **Edit Expense View** pane.

Expense View

Spender: Sharon J Flores From: Mar 1, 2012 To: Mar 30, 2012 Reimbursement Amt: 0.00 USD
Report name: March 2012 Report number: XETS000024052120061

Edit Expense

Date: 3/26/12	Spent Amt: 85.00 USD	Personal
Posting Date: 3/27/12	Exchange Rate: 1.00000	
Expense Type:	Billed Amt: 85.00 USD	Description: *
Merchant: GRAYMAC INC	Payment Method: BMO MasterCard	
Region: US-TEXAS	Receipt:	Allocation: *
Area: AMARILLO		

Policy Info

Included Expenses 1 item(s) Click to select

Date	Expense Type	Merchant	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
Mar 26, 2012		GRAYMAC INC	85.00 USD	85.00	BMO MasterCard	US-TEXAS		
Mar 27, 2012		GRAYMAC INC						

9. Bank transaction information populated in gray (user **cannot** edit):

- **Date**-The Date the expense incurred from merchant.
- **Posting Date**-The Date that the transaction(s) are received from MasterCard.
- **MERCHANTS NAME**-The name of the merchant where the expense was incurred.

- **Spent Amt.**-Credit Card Transaction Amount.

- **Currency**- USD, SEK, CAD, etc.

- **Payment Method**-BMO MasterCard, Cash Out of Pocket, etc.

10. The populated fields that can be edited and the information that's required to be populated are the fields with a red (*) next to them.

- **Expense Type**- Select the correct expense type from the drop down options.
- **Region**- State where the expense was incurred.
- **Area**- City where the expense was incurred.
- **Receipt**- Select Not required, Receipt Included, Lost or VAT Receipt Included.
 - Receipt field will default based on expense type selected. Per 10.2 Policy- Itemized Receipts are required for all expense types except:
 - ✓ T- Taxi/Bus/Other
 - ✓ T- Parking
 - ✓ T- Tips/Tolls
 - These will default to **Not Required**, however a receipt is required for all expense(s) equal to \$25 and over, therefore in these circumstances a basic receipt with the amount will need to be provided and the Receipt field will need to be changed to Receipt included.
 - Itemized receipts are required to substantiate expense reimbursements. An Itemized receipt details items and amounts, sales tax paid and total amount. The Credit Card Slip that is signed for MasterCard is **NOT** an itemized receipt.
 - Users can scan the credit card receipts along with the itemized receipt. However the Itemized receipt is the required documentation.
 - ✓ If the tip amount is not included on the itemized receipt then the credit card receipt with the tip amount and total amount is required along with the itemized receipt.
 - Users and approving managers are required to ensure itemized receipts are provided with expense report(s). If receipt is lost, user is required to mark the Receipt field as "Lost" and fill out the "[Lost Receipt Form](#)" , then scan and upload with expense report.
 - PII = Personal Identifiable Information- review the receipt if the full credit card number is legible, black it out so that it cannot be seen prior to scanning. Also if you owe money to Xcel and you scan a check in, please make sure you black out the acct. number, routing number and

address.

- Cross out credit card number on receipt if more than 4-digits are showing.

Step Five- Select Purchase Expense Type and Fill in Required Fields

1. Purchase type expense is reconciled at the expense level (not itemized).

Date: 8/1/17

Expense Type: (highlighted with a red border)

Merchant: Amazon

Region: (highlighted with a red border)

Area: (highlighted with a red border)

- Expense Types are grouped by "M" (Meals), "P" (Purchase) and "T" (Travel) categories.
- All Meal type expenses require itemization at line item level to identify meal vs. alcohol portion of the expense.
- T-Hotel requires itemization to break down; room rate, tax, etc
- All other expense types are reconciled at expense level.

2. Click on down arrow in Expense Type field and Select a purchase expense type (preceded by "P").

Date: 8/1/17

Expense Type: P-Safety Equipment (highlighted with a red border)

Merchant: Amazon

3. Enter Business Purpose

Date: 8/1/17

Expense Type: P-Safety Equipment

Merchant: Amazon

Region: *US-ALASKA

Area: AKHIOK

Business Purpose: Safety Gloves for Monticello Nuclear Plant (highlighted with a red border)

- The business purpose is a detailed description of the business reason for the expense item. It must adequately describe why the expense was incurred.
- Users will enter a business purpose for each expense added to an expense report.
 - The Business Purpose should include detailed information about why the expense was incurred. **Meal/Training is not valid.**
 - The Description field (box) can be used for further explanation for

expense if required.

Examples- Fork Lift Training in Denver

SAP Users Training in Denver

- When using expense types **Other Purchase** and **Other Travel** a description is required.

4. Click on **TAX INFO** tab to open Tax panel to enter sales tax information.

The screenshot shows a software interface for adding an expense. At the top, there's a dropdown menu labeled 'Area' with 'AKHIOK' selected. Below it is a 'Business Purpose' field containing 'Safety Gloves for Monticello Nuclear Plant'. A red circle highlights the 'Tax Info' tab, which is currently active. Underneath, there's a section titled 'Included Expenses 0 Item(s)' with a 'Expense Type' column header.

Step Six- Enter Sales Tax for Purchase Expense Type

1. Merchants should charge tax on all credit card transactions. Sales tax amount will be populated for credit card transactions if merchant sends data in the following fields:

The screenshot shows the 'Tax Info' panel. It includes fields for 'Sales Tax Paid' (set to 'Yes'), 'Amt of Sales Tax Paid' (set to '4.16'), and 'Facility Code' (set to '114 - Materials Distribution Center'). A red circle highlights the 'Sales Tax Paid' dropdown.

- **Sales Tax Paid**- Yes or No
 - **Amt. of Sales Tax Paid**- this will be the amount of tax paid to vendor.
 - **Facility Code**- Should automatically populate.
2. Click on **Sales Tax Paid** drop down arrow and Select Yes if sales tax was paid per receipt.

The screenshot shows the 'Tax Info' panel with the 'Sales Tax Paid' dropdown highlighted by a red box, showing 'Yes'.

3. Click in Amt. of Sales Tax Paid Enter amount of sales tax paid from the itemized receipt.

The screenshot shows the 'Tax Info' panel with the 'Amt of Sales Tax Paid' field highlighted by a red box, containing '4.16'.

4. Change Facility Code, if applicable.

- Facility Code defaults facility from user's profile. Facility Code is used to identify where you took possession of item(s) purchased or expects to use. Select appropriate facility code, if material was shipped/used at a location different than the users' facility.

- All facility codes are loaded. You may need to scroll down and/or select the **Next** button for additional facilities.

5. Some Expense Types that do not require tax are:

P-Charitable Contribution	P-Dues - Gas Utility Assoc	P-License/Fees/Permits
P-Civic & Political	P-Dues - Professional Assoc	P-Mail/ Frt/ Postage
P-Community Sponsorships	P-Dues - Social Service	P-Permits/Fees - Environ
P-Directors Fees	P-Dues - Utility Assoc	P-Permits-Temporary Cap Construction
P-Dues - Chamber of Commerce	P-Job Postings	P-Personal Communication-Service
P-Dues - Elect Utility Assoc	P-Lawn Care	

- Expense types that do not require tax will not have the tax tab.

6. If no sales tax was paid click on the **Sales Tax Paid** drop down arrow and select no.

The screenshot shows a dropdown menu labeled "Sales Tax Paid" with two options: "No" and "Yes". The "No" option is highlighted with a red box and has a red asterisk next to it, indicating it is a required field.

7. The amount of sales tax will automatically be set at 0.00.

The screenshot shows a text input field labeled "Amt of Sales Tax Paid" containing the value "0.00". The field is highlighted with a red box and has a red asterisk next to it, indicating it is a required field.

8. Change Facility Code, if applicable.

9. Select Exempt Code that describes why tax wasn't paid from the drop down menu.

The screenshot shows the "Tax Info" tab with several fields. The "Facility Code" field contains "114 - Materials Distribution Center" and has a red asterisk next to it. The "Exempt Code" field contains "XXX - NOT EXEMPT-USE TAX OWED" and has a red asterisk next to it. Both fields are highlighted with red boxes.

- If sales tax should have been paid but was not, select reason code "XXX-NOT EXEMPT-USE TAX OWED." This code informs the Tax Department to accrue and pay tax.

10. Click **TAX INFO** tab, a second time, to exit tax panel.

11. Once all tax information is added, allocate expense to the appropriate accounting.

12. Click **Allocation** button to navigate to Allocation pane.

The screenshot shows a form for entering expense details. At the top left is a currency input field with '27.00' and a dropdown menu set to 'USD'. To its right is a 'Description' text area. Below these are two dropdown menus: 'Cash out of Pocket' and 'Receipt Included'. On the far right is a button labeled '*Allocation ▶' which is circled in red.

Step Seven- Allocate Expense to Single Accounting String

1. There are 3 ways to allocate an expense:
 - **Allocate Single Acct**
 - **Split Allocations**
 - **Add Split Allocation to Preferences**
 - **Pre-Define Split Allocation**
2. To begin allocation to **single accounting string** click on **Modify Allocation**.

This screenshot shows the 'Add Expense: Allocation' dialog. It includes fields for Spender, Date, Validation String, and Merchant. It has three radio button options: 'Modify allocation' (selected and circled in red), 'Create split allocation', and 'Select pre-defined split allocation'. Below these is a dropdown menu for 'Order Number' with an arrow pointing down, which is also circled in red.

3. Click on the drop down arrow next to **Order Number**.

This screenshot shows the same 'Add Expense: Allocation' dialog as the previous one, but the 'Order Number' dropdown arrow is specifically highlighted with a red box.

4. Either select the correct order number from the drop down options or type in the order number in the search box and click search.

This screenshot shows the 'Add Expense: Allocation' dialog with a search results window titled 'SumTotalExpense - Prote...' overlaid. The search bar contains the number '100000077'. Below it, a list shows '100000077-2 RIVER WATER MAKE UP PUMP - Packing is'. The main dialog's 'Order Number' dropdown arrow is also highlighted with a red box.

5. Click on the correct options and it will populate in the Order Number field.

- User can use wild card (*) to narrow search results. Enter first 2 or 3 digits of account segment (Business Unit, Sub ledger, etc.) and add (*) then click search.
 - If IO number or allocation is unknown reach out to your manager.
6. Users have the ability to define and save split allocations to preferences.

7. Click on the **Create Split Allocation** radial.

8. Put in the percentage that you want to go to that **Allocation Order Number** in the percentage field.

Order Number	Percentage	Allocation Amt
100000077-2 RIVERWATER	10.00 %	2.70 \$
100000077-2 RIVERWATER	27.00 %	7.29 \$
100000077-2 RIVERWATER	53.00 %	13.50 \$

9. Make sure your Order Number is correct for where you want this to be charged to, and then click on the **Add Split Item** button.

Order Number	Percentage	Allocation Amt
100000077-2 RIVERWATER	10.00 %	2.70
100000077-2 RIVERWATER	27.00 %	7.29
100000077-2 RIVERWATER	50.00 %	13.50

10. This will bring the **percentage** and the **Allocation amount** under the **Allocation Summary**.

Order Number	Percentage	Allocation Amt
100000077-2 RIVERWATER	10.00 %	2.70
100000077-2 RIVERWATER	27.00 %	7.29
100000077-2 RIVERWATER	50.00 %	13.50

11. To Save the formula to your preferences click on **Add Formula to Preferences**.

Order Number	Percentage	Allocation Amt
100000077-2 RIVERWATER	10.00 %	2.70
100000077-2 RIVERWATER	27.00 %	7.29
100000077-2 RIVERWATER	50.00 %	13.50

12. In this screen you will fill out all the fields with a red (*).

Category:	Name:

Allocation Split Formula
Percentage: 0.00

Allocation Split Formula Summary	
Order Number: 100000077-2 RIVERWATER	Percentage: 10.00 %
100000077-2 RIVERWATER	27.00 %
100000077-2 RIVERWATER	50.00 %

- **Name**- Name of the Preference
- **Start Date**- When you want this preference to start.
- **Order Number**-The Order number you want to charge to.

13. Once you have filled in all the required fields, click **done**.

The screenshot shows the 'Allocation Split Formula Summary' section of a software interface. It lists several order numbers with their corresponding percentages: 100000077-2 RIVER WATER (10.00%), 100000077-2 RIVER WATER (27.00%), and 100000077-2 RIVER WATER (50.00%). At the bottom right, there are 'Cancel' and 'Done' buttons, with 'Done' being circled in red.

14. **Pre-Defined Split Allocation Option** is a saved option that has been saved from a previous report.
15. To Delete Split Allocations, click on the box next to the specific split allocation that needs to be deleted.

The screenshot shows the 'Allocation Split Formula Summary' section. It lists order numbers with their percentages: 100000077-2 RIVER WATER (10.00%), 100000077-2 RIVER WATER (27.00%), and 100000077-2 RIVER WATER (50.00%). Below the table, there is a 'Delete' button next to the first entry, which is circled in red.

16. Click on the **Delete** Button.
17. Click on the radial next to **Select Pre-Defined Split Allocation**.

The screenshot shows the 'Add Expense Allocation' screen. Under the 'Allocation By' section, the 'Percentage' radio button is selected. In the 'Create split allocation' section, the 'Select pre-defined split allocation' radio button is selected and highlighted with a red circle. The 'Allocation Summary' table below shows three rows of data with their respective percentages and allocation amounts.

18. There will be a drop down field option that will populate.

The screenshot shows the 'Add Expense Allocation' screen. The 'Select pre-defined split allocation' dropdown menu is open and highlighted with a red box. The 'Allocation Summary' table below shows three rows of data with their respective percentages and allocation amounts.

19. Click on the drop down arrow and select one of the pre-defined options to use.

20. This will automatically populate the percentages and the order numbers that need to be used.
 21. After allocating click **done**.

22. System returns to Expense View on Edit Expense panel.

23. Click the **Save Changes** button or all your information will be lost.

24. System displays View Summary tab on Edit screen with expense added to Included Expenses section.

Date	Expense Type	Merchant	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
Aug 1, 2017	P-Safety equipment	Amazon	27.00 USD	27.00	Cash out of	*US-ALASKA		

Report Totals

Expense Report Total	27.00 USD	Reworked Advances	0.00 USD
Business Expense Total	27.00 USD	Reimbursement Amt	27.00 USD
Personal Expense Total	0.00 USD	Amount Owing to Company	0.00 USD

25. Hover over the Green Diamond and it will say External Validation Successful.
- The system will perform the accounting validations and display a green icon and hover over message that states “External Validation Successful” at the expense report line level (main expense)
26. Click on the Save Report button to save report in draft status.



Step Eight- How to Scan and Upload Receipts

1. *PII = Personal Identifiable Information- review the receipt if the full credit card number is legible, black it out so that it cannot be seen prior to scanning or if a check is being uploaded to receipts. Black out the banking information at the bottom of the check.*
2. The PDF image below provides step-by-step instructions on how to login and use the Global Scan feature for the Ricoh devices is located:
- [Scanning Receipts](#)
3. Copies of receipts are reviewed during audits. Ensure that the receipts are legible and that you upload the correct receipts as these become a permanent record of each expense report.
4. Access the expense report from SumTotal home page.

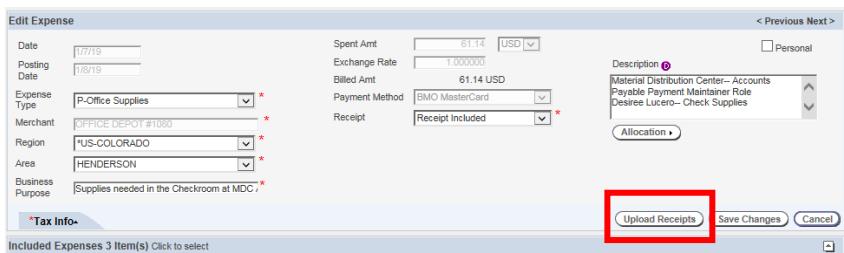
5. Click on the report that you want to drill into and then it will take you to the View Summary Home Screen.



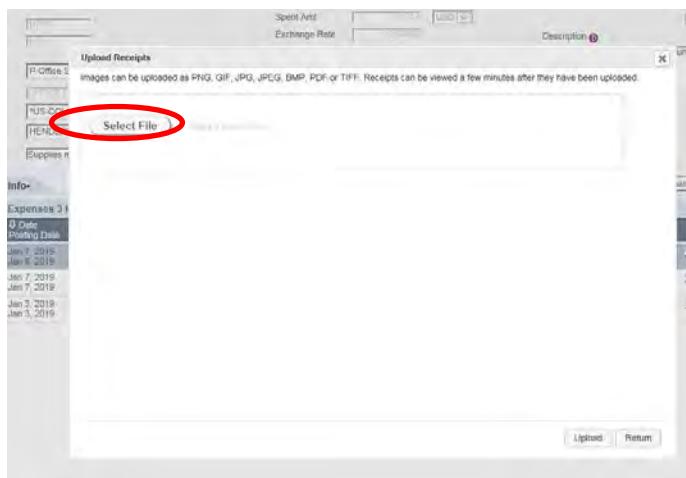
6. Click on the Expense Line.



7. Click on Upload Receipts.



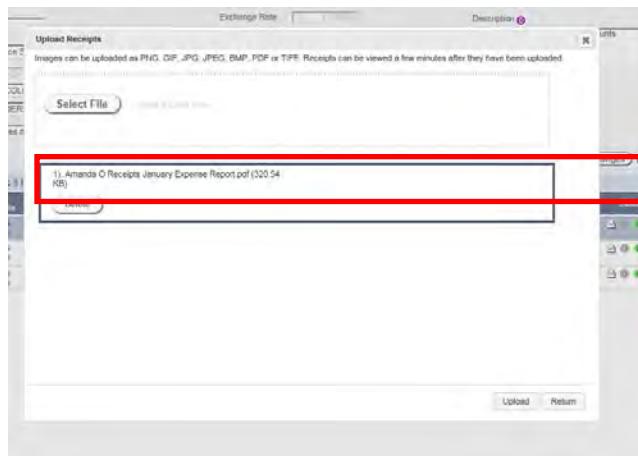
8. Click on Select File.



9. Find the document that you have scanned into your documents to upload.
Please keep in mind that the system will only allow you to upload 2MB per file. If it's more than that you'll have to split them up.

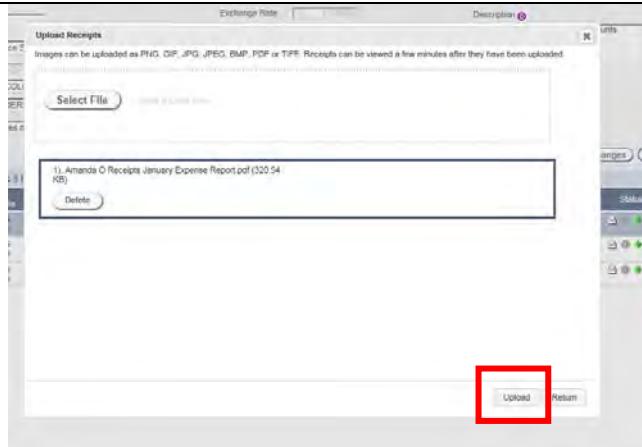


- If the receipt are coming through blank, print out the receipt, scan the receipt to your home folder, and then upload.
 - Do not try to upload more than 20 pages at one time, otherwise the user could experience an error.
10. Once the file has been located, click on **Open**.
11. This will bring the file name into the display.



- User can browse and upload multiple documents by continuing to click Select File and selecting the applicable document to upload.
- Standard upload amount is 20 pages. If more than 20 then break down into two separate scanning groups

12. Click **Upload**.

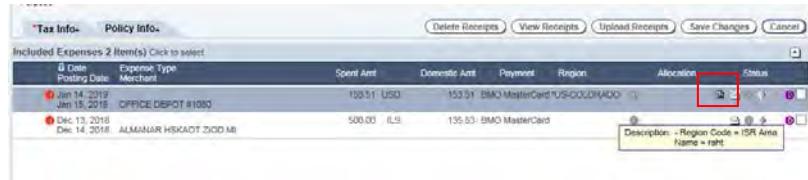


13. User will get a “Successful” page, if the receipts were uploaded correctly:



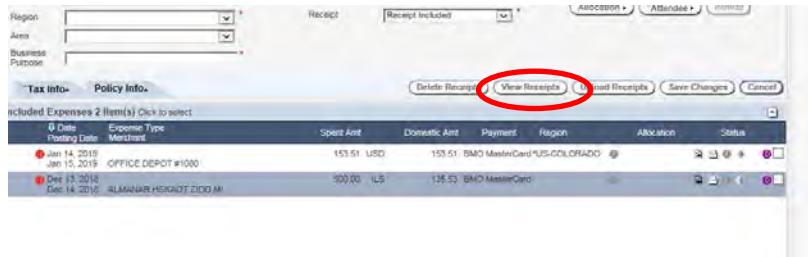
File uploaded successfully. Receipt can be viewed a few minutes after it has been uploaded.

14. Click on Return and it will take the user back to the Expense View page.
15. This will upload the selected receipts to this specific expense line.



- If unsuccessful the system will advise that the files were not uploaded.
Proceed to make the files smaller and upload more than one file.

16. Click on View Receipts button to ensure you have attached all required receipts by line.



- It may take up to 5-10 minutes for the file to be viewed. Please wait a few moments and try again.
- The Corporate Expense system will retain all records in accordance with the Corporate Record Retention policy guidelines.

17. User can also view receipts on the receipts by clicking on the View

Summary Tab, and then clicking on View Receipts.

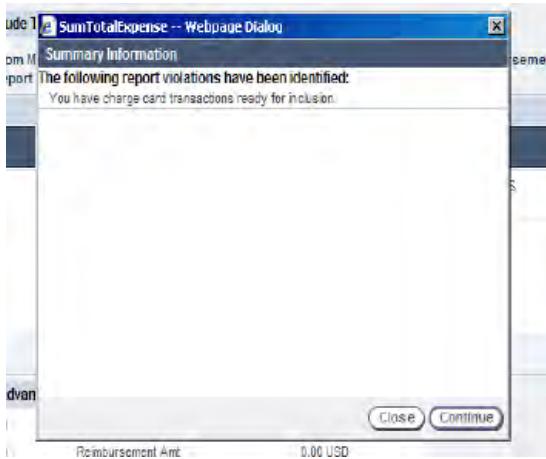
The screenshot shows a web-based expense reporting application. At the top, there's a navigation bar with links for 'Back to Home', 'Report Header', 'Include Transactions', 'Add Expense', 'View Summary', 'Help', and 'Logout'. The user is logged in as Amanda L. Ornelas. The main area displays a table of expense items with columns for Posting Date, Expense Type, Merchant, Spent Amnt, Domestic_Amt, Payment, Region, Allocation, and Status. Below the table, there are sections for Report Totals, CC Totals, and Cash Advance. On the right side, there are several buttons: 'Delete', 'Edit', 'View Receipts' (which is circled in red), 'Upload Receipts', 'Save Request', 'Print', and 'Cancel'. A large red box highlights the 'View Receipts' button. Below this, a separate window shows a receipt for an Amazon.com purchase. The receipt details include: Expense Spent Date: 2018-12-13, Expense Type: , and Spent Amount: 500.00 ILS. The receipt also lists the order number (113-6394479-6606638), the date it was placed (January 11, 2019), and the total amount (\$76.44). It shows a list of items ordered, including 'Coffee Mate Coffee Creamer, Hazelnut 15oz powder creamer, Pack of 12' at \$39.24. The receipt is from Amazon.com Services, Inc. and includes a digital signature and a timestamp of 1/11/2019 10:37:20 AM.

Step Nine- Submit Expense Report

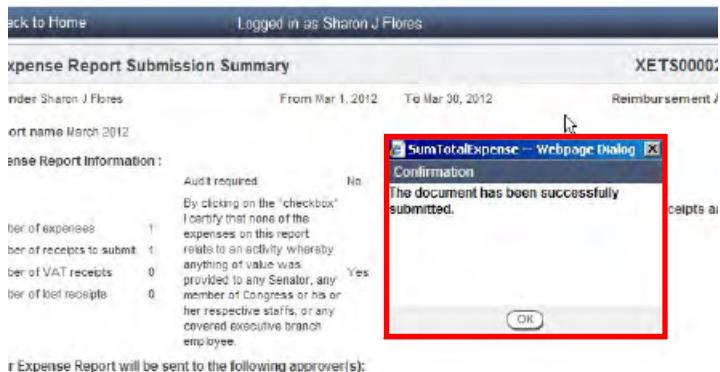
1. After receipts have been successfully scanned and uploaded to expense report, Click **Submit**.

The screenshot shows a web-based expense reporting application. At the top, there's a navigation bar with links like 'Edit', 'Report Header', 'Include Transactions', 'Add Expense', and 'View Summary'. Below the navigation is a summary table showing a single expense item: 'Aug 1 2017 P-Safety Equipment' with a 'Spent Amt' of '27.00 USD'. Further down, there are tabs for 'Report Totals', 'CC Totals', and 'Cash Advance'. Under 'Report Totals', it shows 'Expense Report Total: 27.00 USD', 'Business Expense Total: 27.00 USD', and 'Personal Expense Total: 0.00 USD'. On the right side of the screen, there are several buttons: 'Delete', 'Close', 'View Receipts', 'Upload Receipts', 'Save Report', 'Print', and 'Submit'. The 'Submit' button is highlighted with a red oval.

- The system validates the accounting string at the time of Submittal, once again, to ensure the validation is still successful and/or indicates if you have additional transactions.
- Users may receive warnings if there are additional transactions that are ready for inclusion. Select **continue** if you don't want to add more transactions to your current expense report.



2. System will display a Confirmation window.



3. Click **OK** and then **Done**.
4. Expense report is now submitted for MA Approval (Management Approval).

Specific Details

Add Meal Expense Type

1. Click on down arrow in Expense Type field and Select a Meal expense type (preceded by "M").

The screenshot shows an "Add Expense" form. The "Expense Type" field is highlighted with a red box and contains "M-Bus Meal (Emp Only)". Other fields visible include Date (8/1/17), Merchant (Domino's), Region (*US-COLORADO), Area (DENVER), and Business Purpose. A "Tax Info" link is at the bottom.

 - There are 2 Business Meal Expense Types and 1 Travel Meal Expense Type.
 - **Business Meal Employee Only**- This expense type is to be used if business cannot be reasonably conducted during regular business hours, and only Xcel Energy Employees are in attendance.
 - **Business Meal Non-Employee**-This expense type is to be used if business cannot be reasonably conducted during regular business hours and there are guests. (Contractors, Interns, Business Partners, etc.) Even if there is only 1 guest, Business Meal Non-Employee needs to be used.
 - **Travel Meal**- Travel Meals are generally for each individual while traveling on company business.
2. SumTotal provides the ability to flag an expense based on 10.2 Employee Expense Reimbursement policies.

3. The expense will be flagged with a yellow icon to the left of an expense when Expense Type exceeds policy spend/cap:
 - System will flag a meal type expense when total amount of all meals per day expensed by spender exceeds \$65 Daily Meal Allowance.
4. Users will enter a business purpose for each expense added to an expense report.
 - The Description field can be used for further explanation for expense, if required.
5. Enter the Number of Persons that attended the meal.

The screenshot shows a software interface for entering an expense. On the left, there's a date field (3/1/17) and a dropdown for 'Business Purpose' set to 'Meal'. On the right, there are several input fields: 'Nbr of persons' (1.00 *), 'Unit Amt' (67.00), 'Spent Amt' (67.00), 'USD' (selected in a dropdown), 'Exchange Rate' (1.000000), 'Domestic Amt' (67.00 USD), 'Payment Method' (Cash out of Pocket), and 'Receipt' (Receipt Included).

- Make sure that the number of persons matches how many attendees are listed in the attendee tab (20 attendees and under) or on your uploaded attendee sheet (over 20 attendees).
 - System will calculate **Unit Amt.** for each person
6. Enter any other required information, if not populated.
 7. Click on the **Tax Info Tab.**

The screenshot shows the 'Tax Info' tab of the expense entry interface. It displays two selected items: 'Date' (Aug 1, 2017) and 'Expense Type' (P-Safety Equipment, Amazon). There are tabs for 'Tax Info-' and 'Policy Info-'.

8. Click on **Sales Tax Paid** drop down arrow and select **yes**.

The screenshot shows the 'Edit Expense' screen with the 'Tax Info' section selected. The 'Sales Tax Paid' dropdown is highlighted with a red box and has 'Yes' selected. The 'Amt of Sales Tax Paid' field contains '2.16'.

9. Click in **Amt. of Sales Tax Paid** field, highlight the zeros and delete. Then enter amount of sales tax.

The screenshot shows the 'Edit Expense' interface with the 'Tax Info' tab selected. In the bottom right corner of the main pane, there is an input field labeled 'Amt of Sales Tax Paid' containing the value '2.16'. This field is circled in red to indicate it for step 9.

10. Click on **TAX INFO** tab to close tax screen
11. To Allocate Expense Line, user can allocate at the expense level or at the expense line (sub expense) level.
12. Click the **Allocation** button to allocate the expense line.

The screenshot shows the 'Edit Expense' interface with various fields for entering expense details. At the bottom right, there are three buttons: 'Allocation', 'Attendee', and 'Itemize'. The 'Allocation' button is highlighted with a red box to indicate it for step 12.

13. System displays Add Expense: Allocation on Expense View screen.
14. There are 3 ways to allocate an expense: Please see **Step 7** for Allocation instructions.
15. When allocation is completed, click **done**.
16. System returns to Edit Expense pane on Expense View screen.
17. Next, click the **Attendee** button.

The screenshot shows the 'Edit Expense' interface with various fields for entering expense details. At the bottom right, there are three buttons: 'Allocation', 'Attendee', and 'Itemize'. The 'Attendee' button is highlighted with a red box to indicate it for step 17.

Add Attendees from Global Xcel Employee List

- System displays Add Attendees on Expense View screen.

- System defaults user as attendee

- Click Add Attendee.

- Click on prompt arrow next to blank Attendee name field.

- If your attendee list is 20 and under you must enter them in the attendee tab and if your attendee list is over 20, you can upload an attendee sheet into your receipts. (If you have multiple meals with attendees over 20, please make sure you label the sheet to whatever meal it belongs to so we know which list goes with the correct meal.)

- System displays global list of all employees.

- User can search by the Following Criteria:

- **Attendee Name**-Employees Name
 - **CORP ID**-Employees ID
 - **Company**
- **Change the Drop Down option to match what you are searching by.**
5. Type in the search box the attendee information and click **Search**.

Attendee name	Corp ID	Company	Business Relationship
Abigail Flores	T3729	Xcel Energy Servi...	EMPLOYEE
Anna Katrina Flores	205670	Xcel Energy Servi...	GUEST
Armulfo Flores	200734	Northern States P...	GUEST
Brandon Flores	217326	Public Service Co...	UNION
Bryan Flores	004468	Public Service Co...	UNION
Chantel Rios Flores	231619	Public Service Co...	GUEST
Florine Flores	213066	Xcel Energy Servi...	EMPLOYEE
Gilbert Flores	206108	Xcel Energy Servi...	EMPLOYEE
Jaime Flores	FLRJ98	Public Service Co...	GUEST
Jeremy Flores	214746	Southwestern Publ...	EMPLOYEE
Jesus Flores	FLRJ97	Northern States P...	GUEST
Joe Flores	FLRJ01	Public Service Co...	UNION
Josephine Flores	220135	Southwestern Publ...	GUEST
Josue Flores	220619	Southwestern Publ...	UNION
Julio Flores	232262	Xcel Energy Servi...	GUEST
Kelsey Flores	216205	Xcel Energy Servi...	EMPLOYEE
Melissa Flores	228937	Southwestern Publ...	GUEST
Miguel Flores	206041	Xcel Energy Servi...	GUEST
Myrna Flores	211796	Xcel Energy Servi...	EMPLOYEE
Nathan Flores	204700	Public Service Co...	UNION

- This will bring up all Employees within that search criteria.
6. Select the Attendee by clicking in the check box next to the employee name.

Pablo Flores-Pacheco	210434	Northern States P...	GUEST
Robert Flores	210645	Southwestern Publ...	GUEST
Sharon Flores	T3201	Xcel Energy Servi...	EMPLOYEE
Sheryl Flores	TC535	Public Service Co...	EMPLOYEE
Stephanie Flores	220216	Southwestern Publ...	GUEST
Timothy Flores	231543	Southwestern Publ...	UNION

7. Click **Add** to add them to the attendees.

Pablo Flores-Pacheco	210434	Northern States P...	GUEST
Robert Flores	210645	Southwestern Publ...	GUEST
Sharon Flores	T3201	Xcel Energy Servi...	EMPLOYEE
Sheryl Flores	TC535	Public Service Co...	EMPLOYEE
Stephanie Flores	220216	Southwestern Publ...	GUEST
Timothy Flores	231543	Southwestern Publ...	UNION

- Repeat this process to add as many attendees as necessary.

Amanda L Andrew s	*	SPECIALISTS/ACCOUNTS PAYABLE	EMPLOYEE
Sharon Flores	*	T3201	EMPLOYEE

- All your added attendees will be listed here.

8. Click Save and Return once all the attendees have been added.
9. To Add Non-Employee Attendees, click on the add Attendee button.

Attendee name	Corp ID	Company	Business Relationship
Amanda L. Andrew s	SPECIALIST\ACCOUNTS PAYABLE	Xcel Energy Production	EMPLOYEE
Sharon Flores	T3201	Xcel Energy Services Inc	EMPLOYEE
Leslie Dee	XXX		GUEST

10. Enter in Attendees Name.

Attendee name	Corp ID	Company	Business Relationship
Amanda L. Andrew s	SPECIALIST\ACCOUNTS PAYABLE	Xcel Energy Production	EMPLOYEE
Sharon Flores	T3201	Xcel Energy Services Inc	EMPLOYEE
Leslie Dee	XXX		GUEST

11. Enter "XXX" in Corp ID Field.

Attendee name	Corp ID	Company	Business Relationship
Amanda L. Andrew s	SPECIALIST\ACCOUNTS PAYABLE	Xcel Energy Production	EMPLOYEE
Sharon Flores	T3201	Xcel Energy Services Inc	EMPLOYEE
Leslie Dee	XXX		GUEST

12. Click Business Relationship drop down arrow and select Guest.

Attendee name	Corp ID	Company	Business Relationship
Amanda L. Andrew s	SPECIALIST\ACCOUNTS PAYABLE	Xcel Energy Production	EMPLOYEE
Sharon Flores	T3201	Xcel Energy Services Inc	EMPLOYEE
Leslie Dee	XXX		GUEST

13. In the Company field enter the company that they work for.

Attendee name	Corp ID	Company	Business Relationship
Amanda L. Andrew s	SPECIALIST\ACCOUNTS PAYABLE	Xcel Energy Production	EMPLOYEE
Sharon Flores	T3201	Xcel Energy Services Inc	EMPLOYEE
Leslie Dee	XXX	Argus	GUEST

14. Click Save and Return if no Preferences needed.

15. Adding Attendees to Preferences creates a preferred list of attendees for easy selection on future expenses.
16. Select employee listed under Add Attendees by clicking check box to the right of name(s).

Attendee name	Corp ID	Company	Business Relationship
Amanda L. Andrew s	SPECIALIST\ACCOUNTS PAYABLE	Xcel Energy Production	EMPLOYEE
Sharon Flores	T3201	Xcel Energy Services Inc	EMPLOYEE
Leslie Dee	XXX	Argus	GUEST

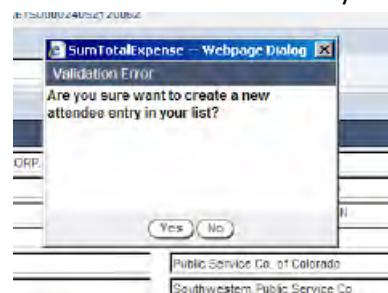
17. Click Add to Preferences.

Attendee name	Corp ID	Company	Business Relationship
Amanda L. Andrew s	SPECIALIST\ACCOUNTS PAYABLE	Xcel Energy Production	EMPLOYEE
Sharon Flores	T3201	Xcel Energy Services Inc	EMPLOYEE
Leslie Dee	XXX	Argus	GUEST

- You can select all on list by clicking on the check box on header section of screen

Attendee name	Corp ID	Company	Business Relationship
Amanda L. Andrew s	SPECIALIST ACCOUNTS PAYABLE	Xcel Energy Production	EMPLOYEE
Sharon Flores	T3201	Xcel Energy Services Inc.	EMPLOYEE
Leslie Dee	XXX	AirGas	GUEST

18. System displays pop up window with message "Are you sure you want to create a new attendee entry in your list?"



19. Click **Yes**.

20. System saves selected employees to your Attendees-Preferences list.

21. Click **Save and Return**.

22. View Preferred Attendees list by Clicking Add Attendee, and Click on prompt arrow next to Attendee Name field.

Attendee name	Corp ID	Company	Business Relationship
Amanda L. Andrew s	SPECIALIST ACCOUNTS PAYABLE	Xcel Energy Production	EMPLOYEE
Sharon Flores	T3201	Xcel Energy Services Inc.	EMPLOYEE
Leslie Dee	XXX	AirGas	GUEST

23. System displays preferred list of all employees added to Preferences by clicking on the drop down arrow next to Show and select **Preferred**.

Attendee name	Corp ID	Company	Business Relationship
Leslie Dee	XXX	AirGas	GUEST
Sharon Flores	T3201	Xcel Energy Servi...	EMPLOYEE

24. Select the Employees and add them to your attendee list.

25. Click **Save and Return** button.

Itemizing Expenses

1. Users are required to itemize all meal type expense(s).
2. Click on the **Itemize** Button.

Nbr of persons: 1.00 * Unit Amt: 67.00
Spent Amt: 67.00 USD *
Exchange Rate: 1.000000
Domestic Amt: 67.00 USD
Payment Method: Cash out of Pocket
Receipt: Receipt Included *

Description:

Allocation *Attendee **Itemize**

Save Changes Cancel

- All Meal type expenses require itemization at line item level (sub expense) to identify meal vs. alcohol portion.
- 3. Xcel Energy must identify meal vs. alcohol portion when applicable and account for expenses appropriately.
- 4. System displays Add Expense Item on the Expense Item View panel.
- 5. Spent Amount will display from expense

Expense Item View

Spender: Amanda L. Andrews
Report name: November 2047 Expense Report

From: Aug 1, 2017 To: Oct. 12, 2017 Reimbursement Amt: 94.00 USD
Report number: XEPD000795392170006

Add Expense Item

Aug 1, 2017	M-Bus Meal (Emp Only)	Domino's	Spent Amt: 67.00	Remaining Amt: 0.00
Item Date:	8/1/17	Spent Amt:	67.00 * USD	<input type="checkbox"/> Personal
Expense Type:		Domestic Amt:	67.00 USD	
<input type="checkbox"/> Am't does not include taxes				

Description:

Allocation

Tax Info-

Included Items: 1 item(s) Click to select	
Date: Aug 1, 2017 Expense Type: M-Bus Meal (Emp Only)	Spent Amt: 67.00 Units: Unit Amt: Domestic Amt: 67.00 Pers:

Clear Add Item Delete Return

6. Click on down arrow in Expense Type field to display a list of Sub Expense types.
7. Select the Correct Meal Expense type- Business Meal Employee Only, Non-Employee or Travel Meal.
8. If amount is meal only – Enter entire amount in Spent Amt. field.
9. Click on the Allocation Button.

Expense Item View

Spender: Amanda L. Andrews
Report name: November 2047 Expense Report

From: Aug 1, 2017 To: Oct. 12, 2017 Reimbursement Amt: 94.00 USD
Report number: XEPD000795392170006

Add Expense Item

Aug 1, 2017	M-Bus Meal (Emp Only)	Domino's	Spent Amt: 67.00	Remaining Amt: 0.00
Item Date:	8/1/17	Spent Amt:	67.00 * USD	<input type="checkbox"/> Personal
Expense Type:	MS-Bus Meal (Emp Only)	Domestic Amt:	67.00 USD	
<input type="checkbox"/> Am't does not include taxes				

Description:

Allocation

Tax Info-

Included Items: 1 item(s) Click to select	
Date: Aug 1, 2017 Expense Type: MS-Bus Meal (Emp Only)	Spent Amt: 67.00 Units: Unit Amt: Domestic Amt: 67.00 Pers:

Clear Add Item Delete Return

10. Refer to **Step 7** for Allocation process.

11. Once Allocation is complete, click **Add Item.**

- The system displays a “Grey” validation icon with a hover over message stating “Allocations haven’t been externally validated” as the sub expenses have not been added to Included Items yet.

12. This will add the item to the Included Items Section.

Date	Expense Type	Spent Amt	Units	Unit Amt	Domestic Amt	Pers
Aug 1, 2017	MS-Bus Meal (Emp Only)	67.00 USD			67.00	

13. Click on the **Return Button.**

Date	Expense Type	Spent Amt	Units	Unit Amt	Domestic Amt	Pers
Aug 1, 2017	MS-Bus Meal (Emp Only)	67.00 USD			67.00	

14. Click on **Save Changes button to save the information added to the expense.**

Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
27.00 USD	27.00	Cash out of ...	*US-ALASKA		

15. If no validation errors occur, the system displays a green icon to the right of the expense line.

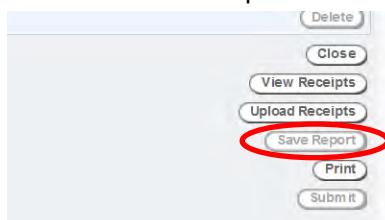
Date	Expense Type	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
Jan 5, 2012	M-Bus Meal (Emp Only)	62.52 USD	62.52	BOO MasterCard	*US-COLORADO	Itemized...	

16. Click “+” to the left of expense to expand and view sub expense(s).

Date	Expense Type	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
Jan 5, 2012	M-Bus Meal (Emp Only)	62.52 USD	62.52	BOO MasterCard	*US-COLORADO	Itemized...	

17. System will display a hover over message that states “External Validation Successful” at the expense report line (sub-expense)

18. Click on the Save Report button to save report in draft status.



Editing/Viewing Attendee Preferences

1. To access your Attendee preferences, go to your Expenses Home Page.



2. Click on Edit User Preferences.



3. Click on Preferences tab.



- System displays list of attendees added to preferences.
- User can add additional non-employees on this panel.
- 4. Click **Add Attendee** button.

The screenshot shows the 'Define Preferences' tab of a software application. At the top, there's a menu bar with 'Proxies', 'Reimbursement', 'Charge Cards', 'Defaults', 'Preferences', 'Expense Info', 'Change Password', 'Receipts', and 'What's New'. Below the menu, there's a section titled 'List of Attendees' with fields for 'Attendee name', 'Corp ID', 'Company', and 'Business Relationship'. A red oval highlights the 'Add Attendee' button at the bottom right of the list area.

- 5. Enter attendee name, title and company
- 6. Select Guest from drop down arrow of Business Relationship field.
- 7. Click **Save** button

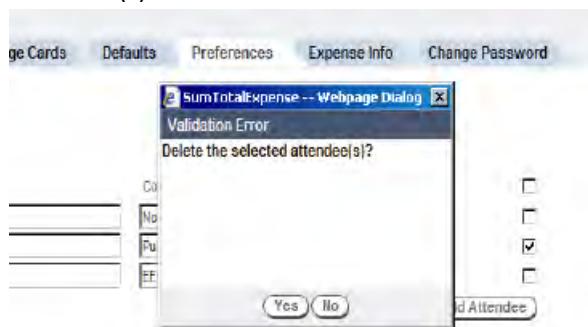
The screenshot shows the same 'Define Preferences' screen after adding a new attendee. The 'Attendee name' column now includes 'Rebecca Lee'. The 'Business Relationship' dropdown for her has been set to 'GUEST'. A red oval highlights the 'Save' button at the bottom right of the list area.

- 8. To Remove Attendees from the Preference Tab, click on checkbox next to attendee you wish to delete and click **delete**.

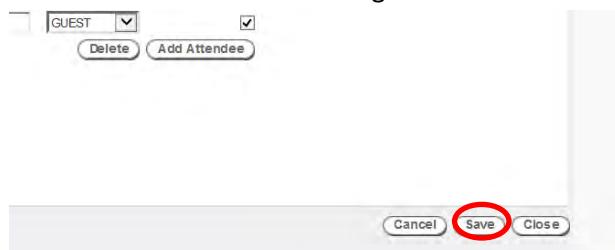
The screenshot shows the 'Define Preferences' screen again. The 'Attendee name' column now includes 'Rebecca Lee'. The 'Business Relationship' dropdown for her has been set to 'GUEST' with a checked checkbox. A red oval highlights the 'Delete' button at the bottom right of the list area.

- You can select all by clicking on the check box above the list

9. System displays pop up window with message "Delete the selected attendee(s)?"



10. Click **YES**.
11. Attendee is removed from Preferences
12. Click **Save** button to save changes.



13. Click **Close** button to return to SumTotal home page

Adding Proxy Submitter's and Approver's

1. Proxies are added to create and submit expense reports on behalf of a user.
2. To Add a Proxy Submitter, click on the **Proxies** tab under Manage User Profile.



3. Click the prompt arrow next to the Submitter Field.

The screenshot shows a web-based application interface titled 'Manage User Profiles'. At the top, it says 'Logged in as Amanda L Andrews'. Below that is a navigation bar with tabs: 'Proxies', 'Reimbursement', 'Charge Cards', 'Defaults', 'Preferences', 'Expense Info', and 'Change P...'. Under the 'Proxies' tab, there's a sub-section titled 'Define Proxies'. It has a table with columns: 'Proxy User Name', 'Start Date', and 'End Date'. The first row has a 'Submitter' entry with a dropdown arrow icon highlighted by a red box. There are eight rows in total, each with a similar structure.

4. System displays list of all active SumTotal Users.
5. Search for the employee.
- Easiest way to search is by the employee last name. Type in the employee last name in the search box, click on the drop down arrow, select **Last Name** and then click on **Search**.

The screenshot shows a search interface with a title 'Search'. It has a search bar containing 'Flores' and a dropdown menu set to 'Last Name'. To the right of the search bar is a 'Search' button highlighted with a red box. Below the search bar is a table with three columns: 'User Name', 'Employee Name', and 'Operating Company'. The table is currently empty and displays 'no entries to be displayed'.

6. This will display all employees within that search criteria.

The screenshot shows a search results table titled 'Search'. It has a search bar containing 'Flores' and a dropdown menu set to 'Last Name'. Below the search bar is a table with three columns: 'User Name', 'Employee Name', and 'Operating Company'. The table lists several employees with 'Flores' in their last name, such as Abigail A Flores, Brandon L Flores, Bryan Flores, etc.

User Name	Employee Name	Operating Company
T3729	Abigail A Flores	Xcel Energy Servi...
217326	Brandon L Flores	Public Service Co...
004488	Bryan Flores	Public Service Co...
206108	Gilbert Ysabel R...	Xcel Energy Servi...
214746	Jeremy I Flores	Southwestern Publi...
220619	Josue I Flores	Southwestern Publi...
216205	Kelsey N Flores	Xcel Energy Servi...
211796	Myrna T Flores	Xcel Energy Servi...
204790	Nathan T Flores	Public Service Co...
T3201	Sharon J Flores	Xcel Energy Servi...
TC535	Sheryl A Flores	Public Service Co...
231543	Timothy F Flores	Southwestern Publi...

7. Click on desired employee to add as Proxy Submitter.
8. Selection is added to Proxy Submitter list.

The screenshot shows the 'Manage User Profiles' page again, specifically the 'Define Proxies' section. The 'Submitter' field in the first row now contains 'Sharon J Flores', which is highlighted with a red box. The rest of the table remains the same as in the previous screenshot.

9. Click on the calendar next to the Start Date Field to select Proxy submitter Start Date, which will display in this field once identified.

Start Date

- Enter End Date if proxy submitter will only be a proxy for a limited time.
- Leave End Date blank if proxy is indefinite.

10. User can have multiple Proxy Submitters.

11. When manager assigns a Proxy Approver, they will include the start and end date for the duration.

12. Expense reports submitted for approval will be sent to the proxy approver only, once one is assigned.

13. To add a proxy approver click on the prompt arrow next to the Approver field.

14. Follow same steps for searching for an employee.

15. Click on desired employee to add as proxy approver.

16. Selection is added to proxy approver.

17. Click on calendar to select proxy approver Start Date.

18. Enter End Date the proxy approver will no longer need to approve expense reports on your behalf.

- All expense reports submitted for approval will be sent to the proxy approver: (based on Start and End Date)
- Be sure to always enter End Date for proxy approver. If no End Date is entered all expense reports submitted will continue to be sent to proxy approver until End Date is entered.
- User can have only one proxy approver during a given time

Adding Hotel Expense Allocation and Itemization

1. Expense types which require pre-approval documentation to be obtained and provided with receipts are:
 - Spousal Travel
 - International Travel
2. Users will enter a business purpose for each expense added to an expense report, and The Description field can be used for further explanation for expense if required.
3. Click on down arrow in Expense Type field and select T-Hotel expense type.

The screenshot shows a software interface titled 'Report name November 2047 Expense Report'. Under the 'Add Expense' section, there are several input fields: 'Date' (8/1/17), 'Expense Type' (set to 'T-Hotel'), 'Merchant' (Embassy), 'Region' (*US-COLORADO), 'Area' (FORT MORGAN), and 'Business Purpose' (SAP User Training). The 'Expense Type' field is highlighted with a red box.

4. Enter Business Purpose- Must adequately describe why the expense(s) was incurred.
5. Click Allocation button- Refer to **Step 7** for allocation process.
6. Once the Allocation is complete, click the **Itemize** button.

The screenshot shows a software interface titled 'Expense Item View'. It displays a list of items under 'Add Expense Item' (Spender: Amanda L. Andrew, Report name: November 2047 Expense Report, Date: Aug 1, 2017, Expense Type: T-Hotel). A modal dialog box titled 'Itemize Wizard for Recurring Expenses' is open, asking for 'Start Date' and 'End Date'. The entire dialog box is highlighted with a red box.

7. System displays **Itemization Wizard** for Recurring Expenses.
8. The Wizard should only be used for reoccurring charges (room rate, taxes, etc.)

9. Enter **Start Date** (first night) and Enter **End Date** (last night), by clicking on the calendar next to each field.

Itemize Wizard for Recurring Expenses

Start Date *	12/12/17	12/12/17
End Date *	12/15/17	12/15/17
<input type="checkbox"/> Charge includes last day	Number of units: 3	

- System will calculate Number of days
- 10. Click drop down arrow to select TS-Hotel-Room Rate Sub Expense

Remaining Amt 0.00 USD

TS-Hotel - Room Rate * 0.00 *USD

11. Enter the Room Rate Amount and click on add.

TS-Hotel - Room Rate * 100.00 *USD

Add

12. System displays fields for additional items to be selected.

TS-Hotel - Room Rate * 100.00 *USD

TS-Hotel - Room Tax * 12.27 *USD

0.00 *USD

13. Select TS- HOTEL- Room Tax and enter the amount.

TS-Hotel - Room Rate * 100.00 *USD

TS-Hotel - Room Tax * 12.27 *USD

0.00 *USD

14. Remaining Amt. field will display remaining amount that needs to be itemized, if all is itemized correctly the remaining amount should be 0.00.

Remaining Amt 225.46 USD

TS-Hotel - Room Rate * 100.00 *USD

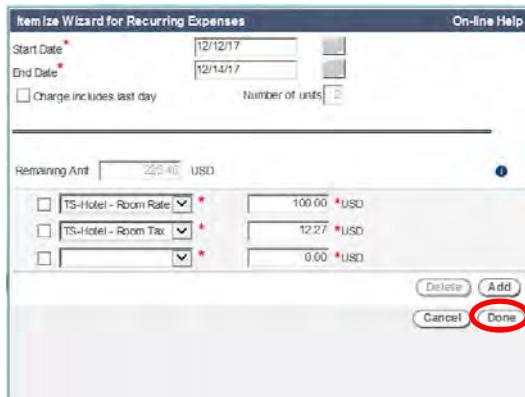
TS-Hotel - Room Tax * 12.27 *USD

0.00 *USD

Delete Add

- Hotel must be itemized out by Room Rate and Tax, per day/night of stay.

15. Once the Room Rate and Tax have been entered, click the **done** button.



16. Expense will show itemization by day in the included Items section.

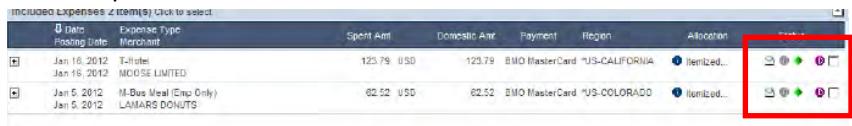


- The system adds a “Grey” validation icon with a hover over message that states “Allocations haven’t been externally validated” as the sub expenses have not been saved to “Add Expense” yet.

17. Click **Return** button

18. Click **Save Changes** button

19. If no validation errors occur, the system displays a **green icon** to the right of the expense line



20. System will display a hover over message that states “External Validation Successful” at the expense report line (sub-expense) level.

21. Click **Save Report** button

Credit Card Transaction Marked Personal

1. Personal use of the corporate card is limited to incidental use only.
2. Incidental use is when the personal portion of an expense is **less than** 50 percent of the combined business and personal expense amount.
3. If the personal expense is **greater than** the 50 percent of the total expense amount, the Employee should claim the business expense as “cash out of pocket” on an expense statement.
4. Personal expenses (e.g., movies, toiletry articles, etc.) are not reimbursable.

5. If an Employee accidentally uses a personal credit card for business travel or business-related expenses, the approving Leader can approve the expense along with the proper supporting original itemized receipt documentation.
6. In instances where the Corporate Credit Card is not accepted, the employee should claim the business expense as “cash out of pocket” on the expense report and the approving Leader can approve the expense along with the proper original itemized receipt documentation. A description as to why this happened must be put in the description box; i.e. Company Doesn’t accept card, Card machine not working, etc..
7. Cash out of pocket expenses are monitored to ensure the Corporate Credit Card is used appropriately.

Indicating Entire Expense Personal

1. From the View Summary Screen, click on the transaction/expense that needs to be marked personal.

Date	Expense Type	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
Aug 1, 2017	P-Safety Equipment Amazon	27.00 USD	27.00	Cash out of...	"US-ALASKA"	Itemized...	
Aug 1, 2017	M-Bus Meal (Emp Only) Comerica	67.00 USD	67.00	Cash out of...	"US-COLORADO"	Itemized...	

- All credit card transactions that have been included on a report will have a “Grey” icon and hover over message that states “Allocations haven’t been externally validated” until the validation has taken place after saving the expense line to the expense report

2. Select **Personal** check box.

Date	Spent Amt	USD	Description	Personal
1/4/12	21.86	USD		<input checked="" type="checkbox"/>
1/5/12	21.86	USD		
GIFT SHOP	BMO MasterCard			
"US-COLORADO"				
LOVELAND				

Date	Expense Type	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
Jan 10, 2012	T-Hotel MOOSE LIMITED	123.79	123.79	BMO MasterCard	"US-CALIFORNIA"	Itemized...	
Jan 16, 2012	M-Bus Meal (Emp Only)	62.52	62.52	BMO MasterCard	"US-COLORADO"	Itemized...	
Jan 5, 2012	LAMARS DONUTS	21.86	21.86	BMO MasterCard	"US-COLORADO"	Itemized...	
Jan 4, 2012	GIFT SHOP	21.86	21.86	BMO MasterCard	"US-COLORADO"	Itemized...	
Jan 5, 2012							

3. When the personal box has been checked the expense type, business purpose, allocation and Itemize fields are no longer required.
4. These do not need to be filled in if the whole transaction will be marked personal.
5. Click **Save Changes** button.

10024052120062

Spent Amt: 21.86 USD Personal

Exchange Rate: 1.000000

Billed Amt: 21.86 USD

Payment Method: BMO MasterCard

Receipt:

Description:

Save Changes **Cancel**

Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
21.86					

6. The system returns the user to the **View Summary** screen.

7. Expense is added to Included Expenses sections.

8. System displays a “Grey” icon with a hover over message stating “Allocations haven’t been externally validated”.

- The diamond will stay grey when an entire purchase is marked as personal.

9. Click **Save Report** button to save report in Draft status.

10. Amount Owing to Company in Report Totals.

Report Totals	CC Totals	Cash Advance	
Expense Report Total	208.17 USD	Reconciled Advances	0.00 USD
Business Expense Total	186.31 USD	Reimbursement Amt	0.00 USD
Personal Expense Total	21.00 USD	Amount Owing to Company	21.00 USD

- This is the amount that the employee owes the company.

11. When your report is complete the Amount Owing to Company will be the amount that the user will have to reimburse the company.

12. A check or money order will need to be sent in for the **EXACT** amount along with the follow [Amount Owing Xcel Energy Check Submittal Form](#).

13. The form can also be found by clicking on **Forms** under Quick Links on SumTotal home page.

Quick Links

- Quick Query
- Travel & Expense Info/Training/FAQ's
- Corporate Policies
- Forms**
- BMO Details On Line (DOL)
- Xchange Rates

14. This form is required to be completed and sent with check/money order payable to Xcel Energy.

15. The object account is the liability account where expenses that are marked as personal in Expense Report are booked to GL. This liability is cleared when check/money order is received and processed by

Customer Receivables. Object Acct field is pre- populated for this reason.

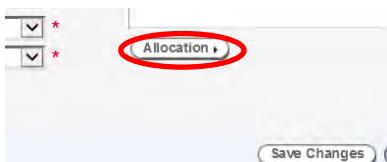
16. Enter Operating Co. #. This is the company you reside in.
17. 10 = NSP-MN
11 = NSP-WI
12 = PSCO
13 = SPS
50 = XLS
18. Click on Print Form button.
19. Attached check/money order for amount owed, payable to Xcel Energy.
20. Mail completed form with check to Customer Receivables-3115 Centre Point, Roseville, MN – 2nd Floor

Indicating a portion of Expense as Personal

1. Click on the transaction that will have a portion marked personal.

Date	Description	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
Aug 1, 2017	P-Safety Equipment Amazon	27.00 USD	27.00	Cash out of...	US-ALASKA	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Aug 1, 2017	MBus Meal (Emp Only) Dennis	67.00 USD	67.00	Cash out of...	US-COLORADO	<input checked="" type="checkbox"/>	<input type="checkbox"/>

2. Enter Expense Type and other required information.
3. Click on Allocation button.



4. Click on Create Split Allocation radio button.

Add Expense: Allocation Allocate By: Allocation Amt Percentage

Date: Aug 1, 2017 After tax Amt: 27.00 Merchant: Amazon

Modify allocation Create split allocation Select pre-defined split allocation

Allocation Amt: Percentage: 0.00% Remaining Amt: 27.00 Remaining %: 100.00% Personal

Order Number:

Allocation Summary Order Number: Percentage: Allocation Amt:

no entries to be displayed

5. Click in the percentage field and do the percentage that is to be marked personal.

Date: Aug 1, 2017 After tax Amt: 27.00 Merchant: Amazon

Modify allocation Percentage: 100.00% Select pre-defined esp allocation

Allocation Amt: Remaining Amt: 27.00 Remaining %: 100.00% Personal

Order Number:

6. Click on the Personal check box and then click on the Add Split Item button.

- Once the "Personal" checkbox is selected the system removes the allocation details.

7. Allocations display in Allocation Summary section of screen.

- The system displays personal item with no account element data displayed.
- This item is not associated with a Business Unit cost. There will be no order number, only the percentage and the Allocation Amount will display. The diamond next to the Allocation Amt. should be grey.

8. Click done button.

9. System displays Edit Expense on Expense View screen.

10. Continue with the Tax Info. Refer to Step 6.

11. Click Save Changes button.

The screenshot shows the 'Edit Expense' interface. At the bottom right, there is a 'Save Changes' button with a red circle around it. The main area displays expense details like date, type, and amount, along with a grid of included expenses.

Date	Expense Type	Spent Amt	Domestic Amt	Paid by	Region	Allocation	Status
Jan 24, 2012	OFFICE SUPPLIES	36.79 USD	36.79	BMO MasterCard	US-COLORADO		Initialized
Jan 16, 2012	T-Hotel	123.79 USD	123.79	BMO MasterCard	US-CALIFORNIA		Initialized
Jan 5, 2012	MOOSE LIMITED	62.52 USD	62.52	BMO MasterCard	US-COLORADO		Initialized
Jan 5, 2012	M-Bus Meal (Emp Only)	62.52 USD	62.52	BMO MasterCard	US-COLORADO		Initialized
Jan 5, 2012	LAMARS DONUTS	21.86 USD	21.86	BMO MasterCard	US-COLORADO		Initialized

12. Expense is added to the included expenses section in the View Summary Screen.

The screenshot shows the 'View Summary' screen. In the 'Included Expenses & Receipts' section, there is a message: 'EXTERNAL VALIDATION successful.' This message is displayed over the expense rows. Below this, there are buttons for 'Close', 'Upload Receipts', 'Save Report', 'Print', and 'Submit'.

13. The system will perform the accounting validations and display a green icon and hover over message that states “External Validation Successful” at the expense report line level (main expense).

14. Click Save Report button to save report in Draft status.

The screenshot shows the 'View Summary' screen again. The 'Save Report' button at the bottom right is highlighted with a red circle. The same 'EXTERNAL VALIDATION successful.' message is visible above the expense list.

- Report remains in draft status until submitted for approval.

Transaction with Expense Line Item (sub-expense) Marked Personal

- Click on transaction added that needs to be itemized as personal.

Date	Expense Type	Spent Amt	Domestic Amt	Paidamt	Region	Allocation	Status
Jan 24, 2012	P-Office Supplies	30.79 USD	30.79	BMO MasterCard	"US-COLORADO"		
Jan 24, 2012	OFFICE DEPOT #1000						
Jan 16, 2012	① T-Hotel	12.75 USD	12.75	BMO MasterCard	"US-NEW MEXICO"		
Jan 16, 2012	② T-Hotel	123.79 USD	123.79	BMO MasterCard	"US-CALIFORNIA"	Itemized...	
Jan 5, 2012	M-Bus Meal (mto CHIV)	62.52 USD	62.52	BMO MasterCard	"US-COLORADO"	Itemized...	

Report Totals CC Totals Cash Advance

Expense Report Total: 257.71 USD Recouped Advances: 0.00 USD
Business Expense Total: 217.40 USD Reimbursement Amt: 0.00 USD
Personal Expense Total: 40.25 USD Amount Owing to Company: 40.25 USD

Buttons: Close, View Receipts, Upload Receipts, Save Report, Print, Submit

- Select Expense Type that requires itemization (sub-Expenses); (e.g. M-Meal, M- Recognition, etc.).
- Enter required information.
- Click on **Attendee** button.
- Enter Attendees. Refer to Step **Add Attendees from Global Xcel Employee List**.
- Click **Itemize** button.

Expense View
Spender: Sharon J Flores
Report name: February 2012
From Jan 1, 2012 To Feb 29, 2012 Amount Owing to Company 40.25 USD

Edit Expense

Date: 1/20/12
Posting Date: 1/20/12
Expense Type: M-Recognition - Meal
Merchant: NOODLES CO 103
Retail: "US-COLORADO"
Area: WHEAT RIDGE
Business: Recognition Lunch with Director

Unit of measure: 2.60
Spent Amt: 30.79 USD
Exchange Rate: 1.000000
Billed Amt: 30.79 USD
Payment Method: BMO MasterCard
Receipt: Receipt Included
Allocation: ▾ Itemized (red circle)

Tax Info Policy Info

Included Expenses 5 items(s) Click to select

Date	Expense Type	Spent Amt	Domestic Amt	Paidamt	Region	Allocation	Status
Jan 20, 2012	M-Recognition - Meal	30.79 USD	30.79	BMO MasterCard	"US-COLORADO"		
Jan 28, 2012	P-Office Supplies	36.78 USD	36.78	BMO MasterCard	"US-COLORADO"		
Jan 24, 2012	OFFICE DEPOT #1000						
Jan 16, 2012	T-Hotel	123.79 USD	123.79	HAUT WorkCard	"US-CALIFORNIA"	Itemized	

Buttons: Save Changes, Cancel

- Click drop down arrow and select Sub Expense Type.

Expense Item View
Spender: Sharon J Flores From Jan 1, 2012 To Feb 29, 2012 Amount Owing to Company 40.25 USD

Add Expense Item

Date: 1/20/12
Item Date: 1/20/12
Expense Type: M-Recognition - Meal
Merchant: NOODLES CO 103
Retail: "US-COLORADO"
Area: WHEAT RIDGE
Business: Recognition Lunch with Director

Spent Amt: 30.79 Remaining Amt: 10.71
Spent Amt: 26.71 USD
Billed Amt: 25.71 USD
 Amt does not include taxes
Description: Allocation: ▾ Itemized (red circle)

Tax Info

Included Items 0 item(s)

Date	Expense Type	Spent Amt	Units	Unit Amt	Domestic Amt	Pers.
No expense items have been included for this expense.						

Buttons: Clear, Add Item, Link, Return

8. Enter amount of expense line item (sub-expense).

The screenshot shows the 'Expense Item View' page. At the top, it says 'Logged in as Sharon J Flores'. Below that, there's a section for 'Add Expense Item' with fields for 'Item Date' (1/26/12) and 'Expense Type' (NS-Recognition-Meal). The 'Spent Amt' field contains '25.71 USD'. A red circle highlights this field. To the right, there's a 'Remaining Amt' of '30.71'. Below this, there's a 'Tax Info' section and a table for 'Included Items 0 item(s)'.

9. Click Allocation button.

This screenshot is identical to the previous one, but the 'Allocation' button at the bottom right of the main form area is highlighted with a red circle.

10. Refer to Step 7 for Allocation instructions.

11. Click Add Item button

This screenshot is identical to the previous ones, but the 'Add Item' button at the bottom right of the main form area is highlighted with a red circle.

12. System saves and displays sub expense in Included Item on the Expense Item View screen.

13. Spent Amt. displays with remaining amount to expense.

This screenshot shows the system after saving the expense. The 'Spent Amt' field now shows '0.00 USD' and the 'Remaining Amt' shows '\$ 30'. The 'Allocation' button is also highlighted with a red circle.

14. Enter Spent Amt. for personal portion remaining.

15. Click on **Personal** checkbox.

The screenshot shows a software interface for managing expense items. At the top, it displays "NOODLES CO 103", "Spent Amt: 30.71", and "Remaining Amt: 5.00". Below this, there are input fields for "Spent Amt" (set to "5.00 * USD") and "Billed Amt" (set to "5.00 USD"). A checkbox labeled "Personal" is checked and highlighted with a red box. A note below the input fields states "Amt does not include taxes". At the bottom right, there are "Clear" and "Add Item" buttons.

- Allocation button is removed

16. Click **Add Item**.

This screenshot is similar to the previous one, showing the same expense item details. The "Personal" checkbox is checked. The "Add Item" button at the bottom right is circled with a red box.

17. System returns to Edit Expense Item pane on Expense Item View screen.

18. Expense Item is added to Included Items pane and is marked Personal.

The screenshot shows the "Edit Expense Item" pane. It includes fields for "Expense Type" (dropdown), "Billed Amt" (0.00 USD), and "Description". Below these are sections for "Tax Info" and "Included Items". The "Included Items" table lists two items: "Jan 26, 2012 MS-Recognition-Meal" and "Jan 26, 2012". The second item has a "Pers" column entry "5.00 Pers" highlighted with a red box. Buttons for "Clear" and "Add Item" are visible at the bottom.

- Check remaining Amt. equals zero when sub expenses are added.

19. Click **Return** button.

This screenshot shows the "Edit Expense Item" pane again. The "Included Items" table is visible. The "Return" button at the bottom right is circled with a red box.

20. Click **Save Changes** button.

The screenshot shows the "Edit Expense Item" pane with various input fields filled out. The "Save Changes" button at the bottom right is circled with a red box. Below the main form, a smaller "Included Expenses" table is shown.

21. Expense is added to Included Expenses sections.

22. The system will perform the accounting validations and display a

green icon and hover over message that states “External Validation Successful” at the expense report line level (main expense).

This screenshot shows a list of expenses in a software application. Each expense item has a small green circular icon with a checkmark and a status message like "External Validation Successful". The columns include Date, Posting Date, Merchant, Spent Amt, Domestic Amt, Payment, Region, Allocation, and Status.

Date	Posting Date	Merchant	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
Jan 26, 2012		M-Recognition - Meal	38.71 USD	38.71	B&Q MasterCard	US-COLORADO	Itemized	
Jan 26, 2012		NOVOCLES CO 103						
Jan 24, 2012		P-OFFICE SUPPLIES	36.79 USD	36.79	B&Q MasterCard	US-COLORADO	Itemized	
Jan 24, 2012		OFFICE EQUIP #1050						
Jan 16, 2012		T-RATE	123.79 USD	123.79	B&Q MasterCard	US-CALIFORNIA	Itemized	
Jan 16, 2012		MOUSE LIMITED						
Jan 5, 2012		M-Bus. Meal (Ent Chn)	62.52 USD	62.52	B&Q MasterCard	US-COLORADO	Itemized	

Report Totals: CC Totals: Cash Advance:

- Expense Report Total: 275.07 USD
- Reconciled Advances: 0.00 USD
- Business Expense Total: 230.42 USD
- Reimbursement Amt: 0.00 USD
- Personal Expense Total: 45.25 USD
- Amount Owing to Company: 45.25 USD

Buttons: Delete, Close, View Receipts, Upload Receipts, Save Report, Print, Submit.

23. Click **Save Report** button to save report in draft status.

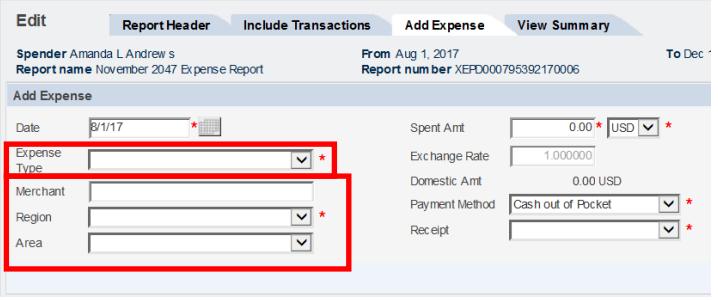
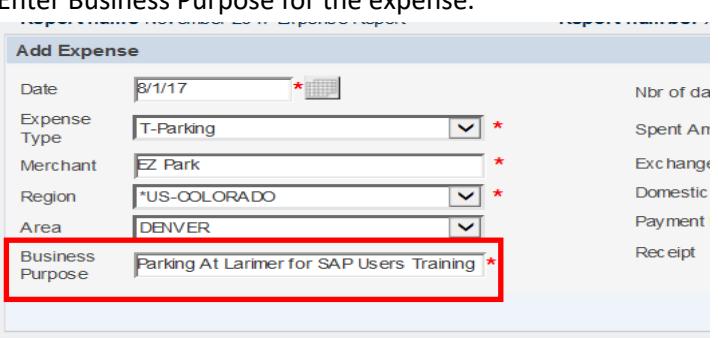
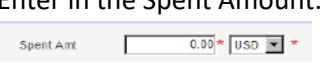
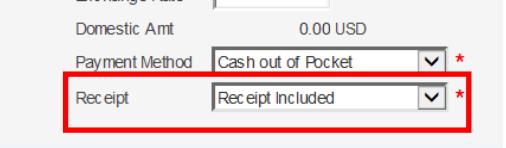
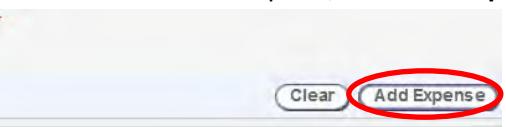
This screenshot is identical to the previous one, but the "Save Report" button in the bottom right corner is highlighted with a red circle. All other elements, including the expense list and validation icons, remain the same.

Enter Cash Out of Pocket Expense

1. Per policy, employees are required to use the Corporate Credit card for business related expenses. Cash out of pocket expenses should be limited to mileage reimbursements and other items when card is not accepted or practical (Tips/Tolls, parking meters, etc.).
2. Cash out of pocket expenses are entered on Add Expense Tab. All subsequent screens will refer to Add Expense.
3. System displays **Add Expense** tab on Edit screen.

This screenshot shows the "Add Expense" tab of the application. It includes fields for Date (set to 8/1/17), Expense Type (dropdown menu), Merchant (text input), Region (dropdown menu), Area (dropdown menu), Spent Amt (0.00 USD), Exchange Rate (1.000000), Domestic Amt (0.00 USD), Payment Method (dropdown menu set to "Cash out of Pocket"), and Receipt (dropdown menu). The "Add Expense" tab is circled in red.

4. Click on down arrow in Expense Type field and Select the correct expense type.
5. Enter Information in all required fields.

 <p>6. Enter Business Purpose for the expense.</p>  <p>7. Click Allocation button.</p> <p>8. Make sure that the Payment Method is Cash out of Pocket.</p>  <p>9. Enter in the Spent Amount.</p>  <p>10. The receipt field will always say Receipt Included because All Cash out-of-pocket expenses require an itemized receipt regardless of amount; exceptions include reasonable tips and tolls.</p>  <p>11. Click on the Allocation Tab. Refer to Step 7 for the 3 Ways to Allocate.</p> <p>12. Once Allocation is complete, Click Add Expense button.</p>  <p>13. System displays Add Expense on Add Expense tab.</p> <p>14. Added expense is displayed in Included Expenses section.</p>

Included Expenses 6 item(s) Click to select	Date	Expense Type	Spent Amnt	Domestic Amnt	Payment	Region	Allocation	Status
	Jan 26, 2012	M-Recognition - Meal NOODLES CO 103	30.71 USD	30.71	BMO MasterCard	*US-COLORADO		Itemized...
	Jan 26, 2012	T-Parking All Right Parking	7.00 USD	7.00	Cash out of...	*US-COLORADO		
	Jan 24, 2012	P-Office Supplies OFFICE DEPOT #1080	36.79 USD	36.79	BMO MasterCard	*US-COLORADO		External validation successful.
	Jan 16, 2012	T-Hotel	123.79 USD	123.79	BMO MasterCard	*US-CALIFORNIA		Itemized...

- If no errors occur, system displays green icon (right of the expense line) with hover over message, stating "External Validation Successful".

15. Click **Save Report** button to save report in draft status.

Add Mileage expense

1. Per Corporate Policy, Xcel Energy only reimburses mileage for use of personal vehicle for company business. Xcel does not reimburse gasoline as additional expense; gasoline. There are 2 expense types for mileage reimburses; T-Personal Car Mileage – This expense type is selected when single round trip (i.e. MDC to 1800 Larimer and back to MDC); T-Multi-Trip Mileage – This is used when traveling to multiple locations for business related activities. T-Multi-Trip Mileage requires a Mileage Log be attached as a receipt to substantiate the mileage claimed
2. **Single Trip mileage.**
3. From the Add Expense tab select Expense Type (T-Personal Car Mileage).

Edit		Report Header	Include Transactions	Add Expense	View Summary	Help																																																																																																									
Spender	Sharon J Flores	From Jan 1, 2012	To Feb 29, 2012	Amount Owning to Company 38.25 USD	Report name February 2012	Logout																																																																																																									
Add Expense <div style="border: 1px solid red; width: 100px; margin-bottom: 10px;"></div> <table border="1"> <tr> <td>Date</td> <td>1/26/12</td> <td>Nbr of miles</td> <td>16.03*</td> <td>Unit Amnt</td> <td>0.55*</td> <td>Description</td> <td></td> </tr> <tr> <td>Expense Type</td> <td>T-Personal Car Mileage</td> <td>Spent Amnt</td> <td>8.05</td> <td>USD</td> <td></td> <td>Allocation</td> <td>Mileage</td> </tr> <tr> <td>Rebill</td> <td>*US-COLORADO</td> <td>Exchange Rate</td> <td>1.000000</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Area</td> <td>DENVER</td> <td>Domestic Amnt</td> <td>8.08 (USD)</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Business Purpose</td> <td>Staff Meeting at Larimer</td> <td>Payment Method</td> <td>Cash out of Pocket</td> <td>*</td> <td>*</td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td>Receipt</td> <td>Not required</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td colspan="8" style="text-align: right;"> <input type="button" value="Clear"/> <input type="button" value="Add Expense"/> </td> </tr> </table> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> Included Expenses 6 item(s) Click to select <table border="1"> <thead> <tr> <th>Date</th> <th>Expense Type</th> <th>Spent Amnt</th> <th>Domestic Amnt</th> <th>Payment</th> <th>Region</th> <th>Allocation</th> <th>Status</th> </tr> </thead> <tbody> <tr> <td>Jan 26, 2012</td> <td>M-Recognition - Meal NOODLES CO 103</td> <td>30.71 USD</td> <td>30.71</td> <td>BMO MasterCard</td> <td>*US-COLORADO</td> <td></td> <td>Itemized...</td> </tr> <tr> <td>Jan 26, 2012</td> <td>T-Parking All Right Parking</td> <td>7.00 USD</td> <td>7.00</td> <td>Cash out of...</td> <td>*US-COLORADO</td> <td></td> <td></td> </tr> <tr> <td>Jan 24, 2012</td> <td>P-Office Supplies OFFICE DEPOT #1080</td> <td>36.79 USD</td> <td>36.79</td> <td>BMO MasterCard</td> <td>*US-COLORADO</td> <td></td> <td></td> </tr> <tr> <td>Jan 16, 2012</td> <td>T-Hotel</td> <td>123.79 USD</td> <td>123.79</td> <td>BMO MasterCard</td> <td>*US-CALIFORNIA</td> <td></td> <td>Itemized...</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> </div>								Date	1/26/12	Nbr of miles	16.03*	Unit Amnt	0.55*	Description		Expense Type	T-Personal Car Mileage	Spent Amnt	8.05	USD		Allocation	Mileage	Rebill	*US-COLORADO	Exchange Rate	1.000000					Area	DENVER	Domestic Amnt	8.08 (USD)					Business Purpose	Staff Meeting at Larimer	Payment Method	Cash out of Pocket	*	*					Receipt	Not required					<input type="button" value="Clear"/> <input type="button" value="Add Expense"/>								Date	Expense Type	Spent Amnt	Domestic Amnt	Payment	Region	Allocation	Status	Jan 26, 2012	M-Recognition - Meal NOODLES CO 103	30.71 USD	30.71	BMO MasterCard	*US-COLORADO		Itemized...	Jan 26, 2012	T-Parking All Right Parking	7.00 USD	7.00	Cash out of...	*US-COLORADO			Jan 24, 2012	P-Office Supplies OFFICE DEPOT #1080	36.79 USD	36.79	BMO MasterCard	*US-COLORADO			Jan 16, 2012	T-Hotel	123.79 USD	123.79	BMO MasterCard	*US-CALIFORNIA		Itemized...								
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Rebill	*US-COLORADO	Exchange Rate	1.000000																																																																																																												
Area	DENVER	Domestic Amnt	8.08 (USD)																																																																																																												
Business Purpose	Staff Meeting at Larimer	Payment Method	Cash out of Pocket	*	*																																																																																																										
		Receipt	Not required																																																																																																												
<input type="button" value="Clear"/> <input type="button" value="Add Expense"/>																																																																																																															
Date	Expense Type	Spent Amnt	Domestic Amnt	Payment	Region	Allocation	Status																																																																																																								
Jan 26, 2012	M-Recognition - Meal NOODLES CO 103	30.71 USD	30.71	BMO MasterCard	*US-COLORADO		Itemized...																																																																																																								
Jan 26, 2012	T-Parking All Right Parking	7.00 USD	7.00	Cash out of...	*US-COLORADO																																																																																																										
Jan 24, 2012	P-Office Supplies OFFICE DEPOT #1080	36.79 USD	36.79	BMO MasterCard	*US-COLORADO																																																																																																										
Jan 16, 2012	T-Hotel	123.79 USD	123.79	BMO MasterCard	*US-CALIFORNIA		Itemized...																																																																																																								

4. Enter Required Information.

5. Enter total number of miles for single trip (round trip).

- System calculates the number of miles entered times the mileage rate stored within the system.

6. To complete required data click on **Mileage** button.

7. Enter Point of Departure and Destination.

8. Select Round Trip check box.

- Number of miles entered in previous screen is defaulted in Distance field.

9. Click on Save and Return button.

Spender Sharon J Flores From Jan 1, 2012 To Feb 28, 2012 Amount Owing to Company 3825 USD
Report name February 2012 Report number XET3000024052120062

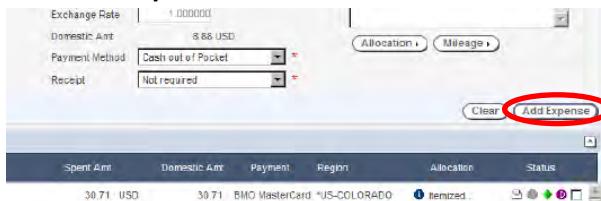
Add Expense: Enter Mileage Information

Expense Type: T-Personal Car Mileage	Date: Jan 26, 2012	Year to date: 477.00 miles
Point of departure: MDC *	Destination: Larimer *	
Vehicle:	Vehicle Registration:	Engine Size:
Fuel Type:	undefined	undefined
Distance: 16.00 miles	Mileage Rate: 0.555	Round Trip: <input checked="" type="checkbox"/>
Spent Amt: 8.88 USD		

(Cancel) **Save and Return**

10. Refer to Step 7 for Allocation Instructions.

11. Click Add Expense button.



12. If no errors occur, system displays a green icon (to the right of the expense line). If the user hovers over the "Allocation" the system will display a hover over message that states "External Validation Successful".

13. Expense is added to Included Expenses.

Included Expenses (7 item(s)) Click to select	Date	Expense Type	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
	Jan 26, 2012	T-Parking All Right Parking	7.00 USD	7.00	Cash out of... #US-COLORADO			
	Jan 26, 2012	T-Personal Car Mileage	8.88 USD	8.88	Cash out of... #US-COLORADO			
	Jan 24, 2012	P-Office Supplies	30.79 USD	30.79	BMO MasterCard #US-CO	External validation successful!		
	Jan 23, 2012	OFFICE DEPOT #1080						
	Jan 16, 2012	T-Mileage MOOSE LIMITED	123.70 USD	123.70	BMO MasterCard #US-COLORADO			
	Jan 16, 2012	T-Mileage MOOSE LIMITED	123.70 USD	123.70	BMO MasterCard #US-COLORADO			

Save Report Complete Report

14. Click Save Report button to save report in draft status.

15. Mileage Multi-Trip.

16. From the Add expense Tab, select Expense type T-Mileage- Multi-Trip Expense Type.

Report name February 2012 Report number XET3000024052120062

Add Expense

Date: 1/26/12	Nbr of miles: 238.00 *	Unit Amt: 0.555
Expense Type: T-Mileage-Multi-Trip	Spent Amt: 130.43	USD
Region: #US-COLORADO	Exchange Rate: 1.000000	
Area: DENVER	Domestic Amt: 130.43 USD	
Business Purpose: Meter Reading Denver Metro	Payment Method: Cash out of Pocket	*
	Receipt: Receipt included	*

17. Enter Required Information. They will all have red (*) next to the required information.

18. Enter total number of miles for multi-trip.

Mile of miles	235.00 *	Unit Amt	0.555
Spent Amt	130.43	USD	
Exchange Rate	1.00000		
Domestic Amt	130.43 USD		
Payment Method	Cash out of Pocket	*	
Receipt	Receipt Included	*	

- System calculates the number of miles entered times the mileage rate stored within the system.
- 19. Refer to **Step 7** for Allocation Instructions.
- 20. Mileage button is not required. The mileage log is required documentation and will be used as the receipt. Scan the mileage log and upload to expense report with all receipts.
- 21. Click **Add Expense**.

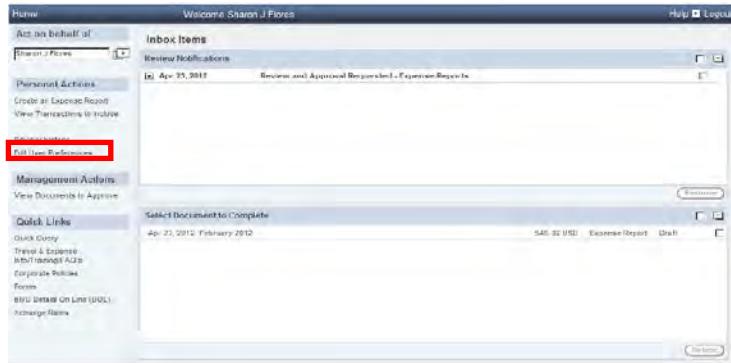
22. Expense is added to Included Expenses.

Date	Expense Type	Merchant	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
Jan 26, 2012	T-Personal Car-Mileage		0.00 USD	0.00	Cash out of...	"US-COLORADO		
Jan 26, 2012	T-Mileage-Julie-Trip		130.43 USD	130.43	Cash out of...	"US-COLORADO		
Jan 24, 2012	P-Office Supplies	OFFICE DEPOT #1080	36.79 USD	36.79	BMO MasterCard	"US-CO	External validation successful.	
Jan 16, 2012	Fees	JAIL 16, 2012 MOOSE LIMITED	123.79 USD	123.79	BMO MasterCard	"US-COLORADO	Validated...	
Jan 5, 2012	M-Rent Max (From Delv.)		82.52 USD	82.52	BMO MasterCard	"US-COLORADO	Validated...	

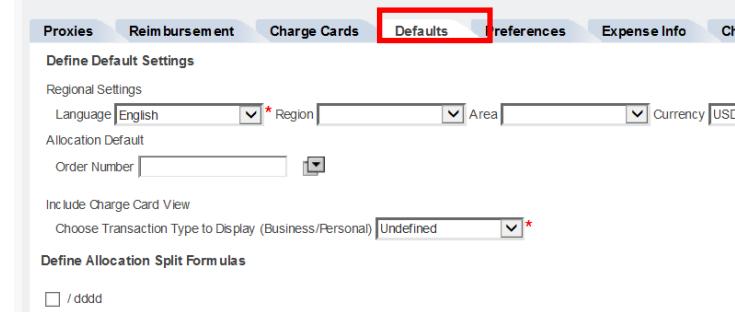
- 23. If no errors occur, the system displays a green icon to the right of the expense line. If the user hovers over the “Allocation” the system will display a hover over message that states “External Validation Successful”
- 24. Click **Save Report** button to save report in draft status.

Removing Pre-Defined Allocations

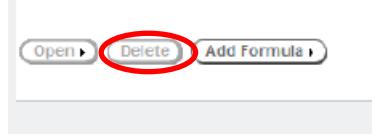
- From SumTotal home page, Click on Edit User Preferences link under Personal Actions.



- Click on Defaults tab.

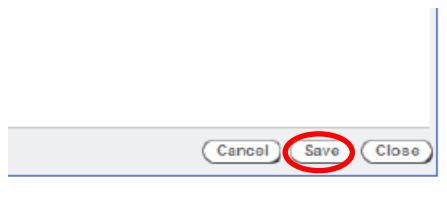


- Click Delete button.



- System removes defined allocation selected.

- Click Save button.



Review Policy Info Tab

- SumTotal provides the ability to flag an expense based on [10.2 Travel and Employee Expense Reimbursement](#).
- The expense will be flagged with a yellow icon to the left of an expense when Expense Type exceeds policy spend/cap:
 - System will flag Life Event expense type when amount per person is greater than \$70.
 - System will Flag Holiday/Celebration expense type greater than \$35 dollars per person.
 - Other Expense Types are flagged to ensure appropriate use.

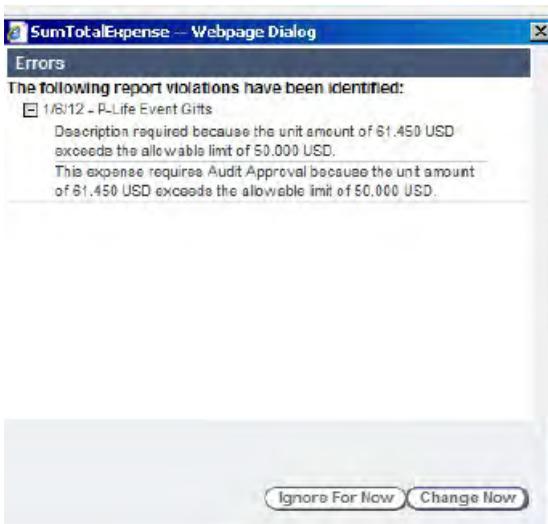
- Other Purchase
- Other Travel
- The System will also flag Meal expenses that are over the \$65 daily meal allowance.
- 3. All expense reports with flagged expense(s) will be sent for back office audit review. Non-compliance is monitored and reported on a monthly basis.
- 4. The system will display policy tab on expense which includes policy details of the flagged expense.



- 5. The Policy Info tab will explain why the expense is a violation of policy.



- 6. Once all of the required information has been entered and user clicks on Save Changes. The following message will pop up.



- 7. System displays error regarding policy violations and required action to be taken.
- 8. Description is required – Enter explanation of why amount exceeds policy limit
- 9. User has option to either Ignore for Now or Change Now.

- 10. Expense is added to Included Expense section with red icon

<p>displayed to the left.</p> <p>The screenshot shows a software window titled "Report Header". It displays a list of expenses from January 1, 2012, to January 5, 2012. One expense on January 5, 2012, for \$61.45 to Walmart has a yellow icon next to it. A tooltip message says "Allocations haven't been externally validated." There are buttons for "View Receipts", "Upload Receipts", "Save Report", "Print", and "Submit".</p>	<ol style="list-style-type: none"> 11. Grey Icon and hover over message Allocations haven't been externally validated. 12. Double click on expense to open. 13. Enter explanation in the Description box as to why amount exceeded policy limit. <p>The screenshot shows a detailed view of an expense. In the "Description" field, the text "Tax and Delivery was excess amount over \$50" is entered. This field is highlighted with a red box. Other fields shown include "Nbr of persons" (1.00), "Unit Amt" (\$1.450), "Spent Amt" (\$61.45), "Exchange Rate" (1.000000), "Billed Amt" (\$61.45 USD), "Payment Method" (EMO MasterCard), and "Receipt" (Receipt Included). Buttons for "Allocation" and "Attendee" are also visible.</p>
<ol style="list-style-type: none"> 14. Click Save Changes button. 15. Expense is added to Included Expenses section with yellow icon displayed to the left of expense. <p>The screenshot shows the "Included Expenses" section. The same expense from January 5, 2012, now has a green icon next to it. A tooltip message says "External validation successful.". The table includes columns for Date, Posting Date, Expense Type, Merchant, Spent Amt, Domestic Amt, Payment, Region, and Allocation.</p>	
<ol style="list-style-type: none"> 16. The system will perform the accounting validations and display a green icon and hover over message that states "External Validation Successful". 17. Click Save Report button to save in Draft Status. 18. This will still be sent to Audit for Second Approval. 	

Lost Receipt

1. Click in Receipt field and in drop down arrow, select **Lost**.

The screenshot shows a portion of a web-based expense reporting application. At the top, there are input fields for Spent Amt (11.48), Exchange Rate (1.00000), and Billed Amt (11.48 USD). Below these is a Payment Method dropdown set to BMO MasterCard. The Receipt dropdown is open, showing options including 'Lost', which is circled in red.

2. Click on **Save Changes** button.
3. System displays View Summary tab.
4. Expense is added to Included Expenses section with yellow icon displayed to the left of expense.

The screenshot shows the 'Included Expenses' section of the expense report. It lists 11 items. One item from January 24, 2012, is highlighted with a yellow circle and a question mark icon, indicating it has a missing receipt. The expense type is listed as P-Mail/Frh/Postage.

5. The system will perform the accounting validations and display a green icon and hover over message, stating "External Validation Successful".
6. Double click on expense to open.
7. Click on **POLICY INFO** tab to review Policy violation message for clarification.

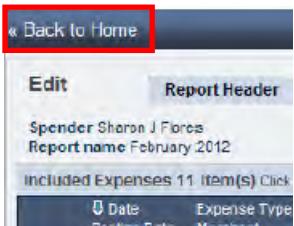
The screenshot shows the expense report form again. This time, the 'Policy Info' button is highlighted with a red box.

8. POLICY INFO tab opens with message regarding next steps that system will take – expense items submitted with yellow icons will be sent to Audit for second-level review and approval.

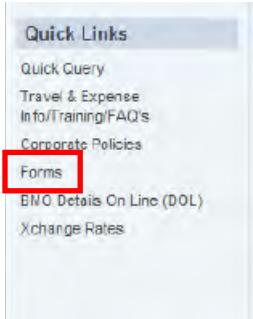
The screenshot shows a 'Policy Info' window. It contains a single message: '- Policy Violation: This expense requires Audit Approval because the required receipt has been lost.' The window has a standard title bar and scroll bars.

9. Click on **POLICY INFO** tab to close window.
10. Click **Save Report** to save in draft status.

11. Click **Back to Home** to return to SumTotal Home Page.



12. Click on **Forms** under Quick Links on SumTotal home page.



13. Click on Lost Form link.

14. Or it can be found here: [Lost Receipt Form](#).

15. Fill out all fields on form.

16. Click on Print Form button to PDF the form.

17. This form must be signed by spender and approving Manager.

18. Scan with other receipts and upload signed version with all receipts.

Electronic File Location:	http://xpressteams.xcelenergy.com/sc/reference_home/default.aspx
---------------------------	---

Changes to Procedure:

Date of Change	Reason for Change	What Changed?	Updated By:

Resource Appendix:

Post Additional Resource location	
Sample output	
Links to resource documents	
Distribution List	



SUPPLYCHAIN

Approving an Expense Report

SUMTOTAL – APPROVING AN EXPENSE REPORT

This document outlines how an approver of the employee can approve or reject and expense report or an expense item in SumTotal.

High Level Process Summary

<u>Step 1</u> - Log into SumTotal	2
<u>Step 2</u> – Review Home Page	3
<u>Step 3</u> – Open Expense Report	6
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<u>Step 7</u> – Review Hotel Type Expense	16
<u>Step 8</u> – Review Personal Car Mileage (Single round Trip)	18
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Approving an Expense Report

SUMTOTAL – APPROVING AN EXPENSE REPORT

Detailed Process

Step 1 - Log into SumTotal

- From XpressNet, click on **Job Tools** from the main menu
- Select **Travel and Expenses**
- Select **Employee Expense**
- Select **SumTotal (Expense Reporting System)**

The screenshot shows the XpressNET homepage with a red header containing the XpressNET logo. Below the header is a navigation bar with tabs: Benefits, Job Tools, Safety, and Technology. The main content area displays various modules: Ben's Blog, Always Deliver (circled in red), SAP, Travel, TalentConnect, myHR, Expenses (circled in red), Recognition, LMS Training, PowerSource, PAF, IT Help, Giving, CCQR, and Service Policy.

System displays SumTotal home page

- To Logout of the application, click on **Logout** link in the top right corner of the screen
- System closes

The screenshot shows the SumTotal home page. At the top, it says "Welcome Vanessa Villa" and has "Logout" highlighted with a red circle. On the left, there are sections for "Act on behalf of" (Vanessa Villa), "Personal Actions" (Create an Expense Report, View Transactions to include), "Management Actions" (View Documents to Approve), and "Quick Links" (Quick Query, Travel & Expense, InfoTrainingFAQs, Corporate Policies, Forms, BMO Spend Dynamics, Xchange Rates). The main area is titled "Inbox Items" and lists "Review Notifications" for various dates and descriptions. At the bottom, there is a "Select Document to Complete" section with a table showing a document for "Apr 24, 2019 test" with a value of "1.00 USD" and status "Expense Report Draft".



SUPPLYCHAIN

Approving an Expense Report

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Step 2 – Review Home Page

The approver can view the expense report(s)

- Click the **View Documents to Approve** under **Management Action** list and it will navigate you to all **Approval Items**

Approvers will receive an e-mail notification when an expense report has been submitted for review and approval. This notification is also sent to the inbox on the SumTotal home page. **If your email notifications are going to Junk Mail select the link for instructions.**

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Welcome Vanessa Villa

Home Help Logout

Inbox Items

Review Notifications

May 16, 2019	Review and Approval Requested - Expense Reports	<input type="checkbox"/>
May 16, 2019	Review and Approval Requested - Expense Reports	<input type="checkbox"/>
May 16, 2019	Expense Report(s) are awaiting audit approval	<input type="checkbox"/>
May 16, 2019	Expense Report(s) are awaiting audit approval	<input type="checkbox"/>
May 15, 2019	Approval Overdue - for Expense Report Karolyn TT.28	<input type="checkbox"/>
May 15, 2019	Approval Overdue - for Expense Report Karolyn TT.28B	<input type="checkbox"/>
May 15, 2019	Approval Overdue - for Expense Report Karolyn TT.28	<input type="checkbox"/>
May 15, 2019	Approval Overdue - for Expense Report Karolyn TT.28B	<input type="checkbox"/>
May 15, 2019	Review and Approval Requested - Expense Reports	<input type="checkbox"/>
May 15, 2019	Expense Report(s) are awaiting audit approval	<input type="checkbox"/>
May 15, 2019	Expense Report(s) are awaiting audit approval	<input type="checkbox"/>
May 14, 2019	Approval Overdue - for Expense Report CR.19 Hudson	<input type="checkbox"/>
May 14, 2019	Approval Overdue - for Expense Report cr.34 SCHM78 hudson	<input type="checkbox"/>
May 14, 2019	Approval Overdue - for Expense Report CR.25 MRHK99 Hudson	<input type="checkbox"/>
May 14, 2019	Approval Overdue - for Expense Report Cr.24 MRHK99hudson	<input type="checkbox"/>
May 14, 2019	Approval Overdue - for Expense Report Cr.24 MRHK99hudson	<input type="checkbox"/>

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The top section, **Approval Items**, displays a list of expense reports that have been submitted for approval.

The lower section under the **Included Expenses** tab displays a quick view of all expense(s) included in the above selected report.

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< Back to Home Logged in as Vanessa Villa Help Logo

Approve Documents Document to Approve Approval History

Approval Items (Click to select)

Date	Document Name	Domestic Amt	Document Type	Status
Apr 3, 2019	Ajay Rathore/Multiple	11,000.00	USD Expense Report	Submitted for MA
Apr 3, 2019	Ajay Rathore/Automation Test	1,000.00	USD Expense Report	Submitted for MA
Apr 3, 2019	Ajay Rathore/Testing Att.	1,000.00	USD Expense Report	Submitted for MA
Apr 3, 2019	Ajay Rathore/test	1,100.00	USD Expense Report	Submitted for MA
Apr 3, 2019	Ajay Rathore/Testing questions	1,021.00	USD Expense Report	Submitted for MA
Apr 3, 2019	Ajay Rathore/Testing without...	2,300.00	USD Expense Report	Submitted for MA
Apr 8, 2019	Kimberly Lee Hudson/CR.07 H...	60.00	USD Expense Report	Submitted for MA
Apr 8, 2019	Kimberly Lee Hudson/CR.09 H...	35.00	USD Expense Report	Submitted for MA
Apr 8, 2019	Kimberly Lee Hudson/CR.10 H...	80.00	USD Expense Report	Submitted for MA
Apr 8, 2019	Kimberly Lee Hudson/CR.11 H...	20.00	USD Expense Report	Submitted for MA
Apr 8, 2019	Kimberly Lee Hudson/CR.12 H...	23.52	USD Expense Report	Submitted for MA
Apr 4, 2019	Ajay Rathore/Multiple	11,000.00	USD Expense Report	Submitted for MA
Apr 4, 2019	Ajay Rathore/Automation Test	1,000.00	USD Expense Report	Submitted for MA
Apr 4, 2019	Ajay Rathore/Testing Att.	1,000.00	USD Expense Report	Submitted for MA
Apr 4, 2019	Ajay Rathore/Testing questions	1,021.00	USD Expense Report	Submitted for MA
Apr 4, 2019	Ajay Rathore/Testing without...	2,300.00	USD Expense Report	Submitted for MA
Apr 29, 2019	Kimberly Lee Hudson/CR.19 H...	22.00	USD Expense Report	Submitted for MA
Apr 8, 2019	Ajay Rathore/Multiple	11,000.00	USD Expense Report	Submitted for MA
Apr 8, 2019	Ajay Rathore/Multiple	11,000.00	USD Expense Report	Submitted for MA
Apr 8, 2019	Ajay Rathore/Automation Test	1,000.00	USD Expense Report	Submitted for MA

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Reject Approve Open

Included Expenses Event History Reason Approval Required

Spender	From	To	Reimbursement Amt
Ajay Rathore	Mar 27, 2019	Mar 27, 2019	11,000.00 USD
Report name Multiple			Report number XETS000505512190092

Included Expenses 4 item(s)

Date	Expense Type Merchant	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
Mar 27, 2019	P-Career Event Test	1,000.00	1,000.00	Cash out of ...	*US-NEBRASKA	Itemized...	
Mar 27, 2019	P-Charitable Contrib Test	2,000.00	2,000.00	Cash out of ...	*US-NEBRASKA		
Mar 27, 2019	P-Civic & Political Test	3,000.00	3,000.00	Cash out of ...	*US-NEBRASKA		
Mar 27, 2019	P-Contract LT O/S Vendor Test	5,000.00	5,000.00	Cash out of ...	*US-NEBRASKA		



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SUPPLYCHAIN

Approving an Expense Report

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The expense(s) with the “+” to the left, indicates the expense has been itemized to include expense line items (sub expenses)

Click the “+” to display expense line items

Approver must review all expenses to ensure compliance.

The approver can approve or reject an expense item or the entire report.

Note: A yellow icon to the left of expense report indicates expense(s) within the report that have been flagged as non-policy compliant. Select policy link to review:

[10.2 Travel and Employee Expense Reimbursement](#)

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Approve Documents		Document to Approve	Approval History	
Approval Items (Click to select)				
Date	Document Name	Domestic Amt	Document Type	Status
<input type="checkbox"/> Apr 8, 2019	Kimberly Lee Hudson/CR.07 H...	60.00 USD	Expense Report	Submitted for MA
<input type="checkbox"/> Apr 8, 2019	Kimberly Lee Hudson/CR.09 H...	35.00 USD	Expense Report	Submitted for MA
<input type="checkbox"/> Apr 8, 2019	Kimberly Lee Hudson/CR.10 H...	80.00 USD	Expense Report	Submitted for MA

Included Expenses		Event History	Reason Approval Required	
Spender Kimberly Lee Hudson	Report name CR.07 Hudson Test	From Mar 25, 2019	To Mar 31, 2019	Reimbursement Amt 60.00 USD
Report number XETS000174002190097		Report number XETS000174002190097		
Included Expenses 1 Item(s)				
Date	Expense Type	Spent Amt	Domestic Amt	Payment
<input checked="" type="checkbox"/> Mar 25, 2019	T-Hotel Merchant	60.00 USD	60.00	Cash out of ... *US-HAWAII
Hudson				

sumtotal TM		Copyright © 2004-2017 SumTotal Systems, LLC, a Skillsoft company. All rights reserved. You are connected to: TAPTC503Node01	
« Back to Home	Logged in as Vanessa Villa	Help	Logout
View	Report Header	Include Transactions	Add Expense View Summary
Spender Karolyn T Hedquist	From May 1, 2019	To May 31, 2019	Reimbursement Amt 75.00 USD
Report name Karolyn TT.28 Multi	Report number XETS000687972190011		
Included Expenses 3 Item(s)			
Date	Expense Type	Spent Amt	Domestic Amt
<input checked="" type="checkbox"/> May 1, 2018	M-Bus Meal (Emp Only) TT.28	25.00 USD	25.00
<input checked="" type="checkbox"/> May 1, 2018	M-Bus Meal (Emp Only) TT.28	25.00 USD	25.00
<input checked="" type="checkbox"/> May 1, 2018	M-Bus Meal (Emp Only) TT.28	25.00 USD	25.00
		Cash out of ... *US-COLORADO	

Report Totals	CC Totals	Cash Advance	Reason Approval Required	Event History	Reject	Approve
Expense Report Total	75.00 USD	Reconciled Advances	0.00 USD		View Receipts	
Business Expense Total	75.00 USD	Reimbursement Amt	75.00 USD		Continue	
Personal Expense Total	0.00 USD	Amount Owing to Company	0.00 USD		Print	Cancel



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SUPPLYCHAIN

Approving an Expense Report

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Approvers are required to review all expenses within an expense report to ensure they are appropriate and compliant with the [10.2 Travel and Employee Expense Reimbursement](#). Once the approver determines if each expense is or is not an appropriate business expense, the approver can approve or reject accordingly.

If an expense is inappropriate or is non-policy compliant the approver will review and decide to approve or reject. Rejected expense(s) will be sent back to the spender (employee) to adjust and/or mark as personal. Expense(s) marked personal will be offset by any cash out of pocket expense(s) in expense report. Any remaining amount will be reimbursed to employee or owed Xcel Energy. Employee must write a personal check/money order payable to Xcel Energy and submit with the Money Owed Xcel form and send to Corporate Card Department – 9500 Interstate 76, Henderson, CO 80640.

The system will display the policy tab indicating which policy details of the flagged expense are non-compliant.

All expense reports with flagged expense(s) will be sent for back office audit review. Non-compliance is monitored and reported on a monthly basis. Personal use of the Corporate Card is limited to incidental expenses only.

Managers will ensure employees follow the guidelines for Personal items on expense reports:

- Incidental use is when the personal portion of an expense is less than 50 percent of the combined business and personal expense amount
- If the personal expense is greater than 50 percent of the total expense amount, the Employee should claim the business expense as cash out of pocket on an expense report
- Personal expenses (e.g., movies, toiletry articles, etc.) are not reimbursable
- If an Employee accidentally uses a personal credit card for business travel or business-related expenses, the approving Leader can approve the expense along with the proper supporting original itemized receipt documentation
- In instances where the corporate credit card is not accepted, the Employee should claim the business expense as cash out of pocket on the expense report and the approving Leader can approve the expense along with the proper original itemized receipt documentation

Cash out of pocket expenses are monitored to ensure the Corporate Credit Card is used appropriately.

Employees are required to reconcile credit card transactions within 30 days from the posting date and Managers must ensure employees are meeting this requirement.

- All Credit card transactions are monitored monthly to ensure timely reconciliation
- Reminder notification is sent to spender 15 days from transaction(s) posting date
- If the transaction(s) remain unreconciled, delinquency notification will be sent to spender and spender's manager on day 46 and every day thereafter until transaction(s) have been reconciled and submitted for approval
- Credit card accounts are suspended at 60 days
- Credit card accounts are closed at 90 days
- If credit card account is closed due to 90 day delinquency, employee will be required to obtain approval from Director of Supply Chain Process Control to apply for new credit card.



SUPPLY CHAIN

Approving an Expense Report

Delinquency is tracked based on the “posting date” of the credit card transaction(s).

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We have 5 different notifications in SumTotal. They are set up as follows:

- Notify Spender: Stale CC Transactions** - This notification is sent to the spender **15** days after Credit Card transaction(s) posting date. This is a reminder that they have CC transactions that have not yet been added to expense report and that transactions must be added to expense report within 30 days of incurred transaction.
 - Notify Spender and Supervisor: Stale CC Transactions** - This notification is sent to the spender and Level 1 approver **45** days after credit card transaction(s) posting date. This email states that spender has cc transactions over 30 days that have not been added to expense report. They must reconcile and submit expenses within 15 days from the date of first notifications (this notification will be sent daily until transactions are added to expense report).
 - Notify Spender: Document awaiting to be submitted** - This notification is sent to the spender has expense report with credit card transactions that are **45** days from CC Transaction(s) posting date. They must submit expense report within 15 days from the date of the first notification (This notification will be sent daily until expense report is submitted for approval)
 - Notify Approver: Document approval is overdue** - This notification is sent to Approver when they have expense report(s) awaiting their approval for over 15 days (This notification will be sent 15 days from date expense report was submitted for approval and again 15 day later, if not approved within 15 day from 2nd notification expense report will skip to level 2 approver)
 - Notify Approver: Approval level has been skipped** - This notifies Level 1 approver that approval has been skipped and expense report has been sent to level 2 approver for approval. This notification is sent 30 days from date expense report was submitted to level 1 for approval

Step 3 – Open Expense Report

Approver will select the appropriate expense report.

- Click on and highlight the report
- Click **Open** button

Approve Documents		Document to Approve	Approval History			
Approval Items (Click to select)			Domestic Amt	Document Type	Status	
<input type="checkbox"/>	Date	Document Name	Domestic Amt	Document Type	Status	
<input type="checkbox"/>	Apr 8, 2019	Ajay Rathore/Multiple	11,000.00	USD	Expense Report	Submitted for MA
<input type="checkbox"/>	Apr 8, 2019	Ajay Rathore/Automation Test	1,000.00	USD	Expense Report	Submitted for MA
<input type="checkbox"/>	Apr 8, 2019	Ajay Rathore/Testing Att.	1,000.00	USD	Expense Report	Submitted for MA
<input type="checkbox"/>	Apr 8, 2019	Ajay Rathore/Testing questions	1,021.00	USD	Expense Report	Submitted for MA
<input type="checkbox"/>	Apr 8, 2019	Ajay Rathore/Testing without...	2,300.00	USD	Expense Report	Submitted for MA
<input type="checkbox"/>	Apr 9, 2019	Ajay Rathore/Multiple	11,000.00	USD	Expense Report	Submitted for MA
<input type="checkbox"/>	Apr 11, 2019	Ajay Rathore/Multiple	11,000.00	USD	Expense Report	Submitted for MA
<input type="checkbox"/>	Apr 11, 2019	Ajay Rathore/Automation Test	1,000.00	USD	Expense Report	Submitted for MA
<input type="checkbox"/>	Apr 12, 2019	Karolyn T Hedquist/TEST	0.00	USD	Expense Report	Submitted for MA
<input checked="" type="checkbox"/>	Apr 29, 2019	Kari Ann Moorhouse/cr/24 MR...	280.46	USD	Expense Report	Submitted for MA
<input checked="" type="checkbox"/>	Apr 29, 2019	Kari Ann Moorhouse/cr/25 MR...	564.78	USD	Expense Report	Submitted for MA
<input checked="" type="checkbox"/>	Apr 29, 2019	Kari Ann Moorhouse/cr/26 MR...	4.42	USD	Expense Report	Submitted for MA
<input type="checkbox"/>	Apr 29, 2019	Kari Ann Moorhouse/cr/28 MR...	48.53	USD	Expense Report	Submitted for MA
<input type="checkbox"/>	Apr 29, 2019	Kari Ann Moorhouse/cr/29 MR...	32.84	USD	Expense Report	Submitted for MA
<input type="checkbox"/>	Apr 29, 2019	Martin C Schuchard/cr/33 SC...	55.49	USD	Expense Report	Submitted for MA
<input type="checkbox"/>	Apr 29, 2019	Martin C Schuchard/cr/34 SC...	340.53	USD	Expense Report	Submitted for MA
<input type="checkbox"/>	Apr 29, 2019	Martin C Schuchard/cr/35 SC...	210.00	USD	Expense Report	Submitted for MA
<input type="checkbox"/>	Apr 30, 2019	Karolyn T Hedquist/Karolyn ...	500.00	USD	Expense Report	Submitted for MA
<input type="checkbox"/>	Apr 30, 2019	Karolyn T Hedquist/Karolyn ...	37.00	USD	Expense Report	Submitted for MA
<input type="checkbox"/>	May 6, 2019	Karolyn T Hedquist/Karolyn ...	75.00	USD	Expense Report	Submitted for MA

<p>System displays the View Summary tab with details of the expense report document</p> <ul style="list-style-type: none"> Click on Report Header tab 	
<p>Review Report Name and dates.</p> <p>Ensure the compliance certification checkbox is marked next to compliance message.</p> <p>Note: Approver will reject expense report if compliance message box is not checked</p> <p>Reject An Expense Report</p> <p>Click on View Summary tab to return to the details of the expense report.</p>	<p style="text-align: right;">Back to top</p>



SUPPLYCHAIN

Approving an Expense Report

From the **View Summary** tab a list of expense(s) included in report to be reviewed will be displayed.

Step 4 – Open & Review Receipt Packet

The receipt images will be reviewed and compared to each expense item on report.

To view the full receipt packet:

- Click the **View Receipts** button (circled in the red)

Or to review the receipt on an individual line item:

- Click the **Paper with Folded Corner** on each line item (in the red rectangle)

Back to Home Logged in as Vanessa Villa Help Logout

View Report Header Include Transactions Add Expense View Summary

Spender Karolyn T Hedquist From May 1, 2019 To May 31, 2019 Reimbursement Amt 130.99 USD
Report name May 2019 Expenses Report number XETS000887972190015

Included Expenses 2 Item(s)

Date	Expense Type Merchant	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
May 1, 2019	M-Bus Meal (Emp Only) Flatirons Bar & Grill	54.55 USD	54.55	Cash out of ...	*US-COLORADO	Itemized...	
May 1, 2019	P-Office Supplies Office Depot	76.44 USD	76.44	Cash out of ...	*US-COLORADO		

Report Totals CC Totals Cash Advance Reason Approval Required Event History **View Receipts** (Red Box)

Expense Report Total 130.99 USD Reconciled Advances 0.00 USD
Business Expense Total 130.99 USD Reimbursement Amt 130.99 USD
Personal Expense Total 0.00 USD Amount Owing to Company 0.00 USD

Reject Approve Continue Print Cancel

The system will display a scanned image of uploaded documentation

At the top of each receipt the **Expense Spend Date**, **Expense Type** and **Spent Amount** will appear (this is generated systematically based on the the expense line item)

There could be multiple images make sure to scroll to view all or click on each item to view all receipts

Review and validate appropriate for expense item

Expense Spent Date: 2019-05-01
Expense Type: M-Bus Meal (Emp Only)
Spent Amount: 54.55 USD

FLATIRONS
AMERICAN BAR & GRILL
2540 TENDERFOOT HILL STREET
(719)576-2540
WWW.FLATIRONS.BIZ

Table # 57 Covers 2
Check/No 832012/1 Server 98 Time 12:02:10 PM Date 01/24/2019

FLATIRONS
(719)576-2540
01/24/2019 12:11:59 PM

<p>From the View Summary panel, under the Included Expenses section</p> <ul style="list-style-type: none"> Click on the expense line to open and review 	<p>Copyright © 2004-2017 SumTotal Systems, LLC, a Skillsoft company. All rights reserved. You are connected to: TAPTC503Node01</p>
<p>Step 5 – Review Meal Type Expense</p> <p>Expense types are grouped by "M" (Meals), "P" (Purchase) and "T" (Travel) categories.</p> <ul style="list-style-type: none"> All meal type expenses require itemization at line item level to identify meal vs. alcohol portion All meal type expenses require number and list of attendees 	<p>Approver reviews the information entered by the Employee. Specific things approver should look at when reviewing Meal type expenses include:</p> <ul style="list-style-type: none"> Ensure Expense Type is accurate for expense Ensure Business Purpose is adequately documented to clearly describe business reason for expense Ensure Number of Persons is correct Ensure expense line item(s) is allocated to the correct accounting string Ensure List of Attendees is included Ensure meals are itemized and meal vs. alcohol portion identified when applicable Ensure tax information is entered as expected Ensure expense does not exceed Daily Meal Allowance per person/per day <p>Note: The system will flag all meal type expense(s) when total amount exceeds corporate policy.</p>



SUPPLYCHAIN

Approving an Expense Report

The **Expense View** screen displays the expense details under the **View Expense** section

- Review and ensure the above listed items are entered correctly (i.e. Expense Type, Business Purpose, Nbr of person etc.)

Expense View

Spender Karolyn T Hedquist
Report name May 2019 Expenses

From May 1, 2019 To May 31, 2019 Reimbursement Amt 130.99 USD

View Expense		< Previous Next >	
Date	5/1/19	Nbr of persons	1.00
Expense Type	M-Bus Meal (Emp Only)	Unit Amt	\$4.550
Merchant	Flatirons Bar & Grill	Spent Amt	54.55 USD
Region	*US-COLORADO	Exchange Rate	1.000000
Area	HENDERSON	Domestic Amt	54.55 USD
Business Purpose	Apprentice Training at MDC	Payment Method	Cash out of Pocket
		Receipt	Receipt Included
		Description Apprentice Training at MDC	
		Allocation Attendee Itemize Edit Comment	
		View Receipts Reject Approve Done	

Tax Info **Event History**

Included Expenses 2 Item(s)

Date	Expense Type	Merchant	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
May 1, 2019	M-Bus Meal (Emp Only)	Flatirons Bar & Grill	54.55 USD	54.55	Cash out of ...	*US-COLORADO	Itemized...	
May 1, 2019	P-Office Supplies	Office Depot	76.44 USD	76.44	Cash out of ...	*US-COLORADO	Not Itemized	

- Review and ensure **Expense Type** selected is accurate for expense
- Review **Business Purpose** to ensure it provides and adequately documents the business reason for the expense
- Review and ensure **Number of persons** is accurate
- Spent Amt**, if a receipt is required, verify that the report amount equals the itemized receipt amount
- View Receipt**, if a receipt is required, you need to verify that the receipt(s) matches all of the expense submitted

Expense View

Spender Karolyn T Hedquist
Report name May 2019 Expenses

From May 1, 2019 To May 31, 2019 Reimbursement Amt 130.99 USD

View Expense		< Previous Next >	
Date	5/1/19	Nbr of persons	1.00
Expense Type	M-Bus Meal (Emp Only)	Unit Amt	\$4.550
Merchant	Flatirons Bar & Grill	Spent Amt	54.55 USD
Region	*US-COLORADO	Exchange Rate	1.000000
Area	HENDERSON	Domestic Amt	54.55 USD
Business Purpose	Apprentice Training at MDC	Payment Method	Cash out of Pocket
		Receipt	Receipt Included
		Description Apprentice Training at MDC	
		Allocation Attendee Itemize Edit Comment	
		View Receipts Reject Approve Done	

Tax Info **Event History**

Included Expenses 2 Item(s)

Date	Expense Type	Merchant	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
May 1, 2019	M-Bus Meal (Emp Only)	Flatirons Bar & Grill	54.55 USD	54.55	Cash out of ...	*US-COLORADO	Itemized...	
May 1, 2019	P-Office Supplies	Office Depot	76.44 USD	76.44	Cash out of ...	*US-COLORADO	Not Itemized	

Meals less than \$25.00 do not require a receipt and the field must be changed to show **Not Required**.

- Click on **Allocation** button to review accounting allocation(s) are correct

Expense View

Spender Karolyn T Hedquist
Report name May 2019 Expenses

From May 1, 2019 To May 31, 2019 Reimbursement Amt 130.99 USD

View Expense		< Previous Next >	
Date	5/1/19	Nbr of persons	1.00
Expense Type	M-Bus Meal (Emp Only)	Unit Amt	\$4.550
Merchant	Flatirons Bar & Grill	Spent Amt	54.55 USD
Region	*US-COLORADO	Exchange Rate	1.000000
Area	HENDERSON	Domestic Amt	54.55 USD
Business Purpose	Apprentice Training at MDC	Payment Method	Cash out of Pocket
		Receipt	Receipt Included
		Description Apprentice Training at MDC	
		Allocation Attendee Itemize Edit Comment	
		View Receipts Reject Approve Done	

Tax Info **Event History**

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Approving an Expense Report

<ul style="list-style-type: none"> Verify Expense Line item(s) are allocated to the correct accounting string Click the Done button 	<p>Expense View</p> <p>Spender Karolyn T Hedquist Report name May 2019 Expenses</p> <p>From May 1, 2019 To May 31, 2019 Reimbursement Amt 130.99 USD</p> <p>Report number XETS000887972190015</p> <p>Add Expense: Allocation</p> <p>Date: May 1, 2019 Expense Type: M-Bus Meal (Emp Only)</p> <p>Expense after tax amt: 54.55 Unit Amt: 54.55 Merchant: Flatirons Bar & Grill</p> <p>Validation String:</p> <p>Order Number: 350001912610-35055273-SC Accounts Pay XL</p> <p>(Done)</p>																
<ul style="list-style-type: none"> Click on Attendee button 	<p>Expense View</p> <p>Spender Karolyn T Hedquist Report name May 2019 Expenses</p> <p>From May 1, 2019 To May 31, 2019 Reimbursement Amt 130.99 USD</p> <p>Report number XETS000887972190015</p> <p>View Expense</p> <p>Date: 5/1/19 Nbr of persons: 1.00 Unit Amt: 54.55 Description: Apprentice Training at MDC</p> <p>Expense Type: M-Bus Meal (Emp Only) Spent Amt: 54.55 USD Merchant: Flatirons Bar & Grill</p> <p>Merchant: Flatirons Bar & Grill Exchange Rate: 1.000000 Domestic Amt: 54.55 USD</p> <p>Region: *US-COLORADO Payment Method: Cash out of Pocket Receipt: Receipt Included</p> <p>Area: HENDERSON Business Purpose: Apprentice Training at MDC</p> <p>(Allocation) (Attendee) (Itemize) (Edit Comment)</p> <p>Tax Info Event History</p> <p>(View Receipts) (Reject) (Approve) (Done)</p>																
<p>Review attendee(s) name and information</p> <p>Note: All meal expense types require number and list of attendee(s)</p> <ul style="list-style-type: none"> Click Done button 	<p>sumtotal.TM A Skillsoft Company</p> <p>Copyright © 2004-2017 SumTotal Systems, LLC, a Skillsoft company. All rights reserved. You are connected to: TAFTC503Node01</p> <p>Back to Home Logged in as Vanessa Villa Help Logout</p> <p>Expense View</p> <p>Spender Karolyn T Hedquist Report name May 2019 Expenses</p> <p>From May 1, 2019 To May 31, 2019 Reimbursement Amt 130.99 USD</p> <p>Report number XETS000887972190015</p> <p>Edit Expense: Attendees Expense Type: M-Bus Meal (Emp Only) Merchant: Flatirons Bar & Grill Date: May 1, 2019</p> <p>Reason:</p> <p>Add Attendees</p> <table border="1"> <thead> <tr> <th>Attendee name</th> <th>Corp ID</th> <th>Company</th> <th>Business Relationship</th> </tr> </thead> <tbody> <tr> <td>Karolyn T Hedquist</td> <td>SPECIALIST ACCOUNTS PAYABLE</td> <td>Xcel Energy Test</td> <td>*EMPLOYEE</td> </tr> </tbody> </table> <p>(Done)</p>	Attendee name	Corp ID	Company	Business Relationship	Karolyn T Hedquist	SPECIALIST ACCOUNTS PAYABLE	Xcel Energy Test	*EMPLOYEE								
Attendee name	Corp ID	Company	Business Relationship														
Karolyn T Hedquist	SPECIALIST ACCOUNTS PAYABLE	Xcel Energy Test	*EMPLOYEE														
<p>Review itemization by selecting the Itemize button</p> <p>OR</p> <p>Select the "+" to expand and review the itemization</p>	<p>Back to Home Logged in as Vanessa Villa Help Logout</p> <p>Expense View</p> <p>Spender Karolyn T Hedquist Report name May 2019 Expenses</p> <p>From May 1, 2019 To May 31, 2019 Reimbursement Amt 130.99 USD</p> <p>Report number XETS000887972190015</p> <p>View Expense</p> <p>Date: 5/1/19 Nbr of persons: 1.00 Unit Amt: 54.55 Description: Apprentice Training at MDC</p> <p>Expense Type: M-Bus Meal (Emp Only) Spent Amt: 54.55 USD Merchant: Flatirons Bar & Grill</p> <p>Merchant: Flatirons Bar & Grill Exchange Rate: 1.000000 Domestic Amt: 54.55 USD</p> <p>Region: *US-COLORADO Payment Method: Cash out of Pocket Receipt: Receipt Included</p> <p>Area: HENDERSON Business Purpose: Apprentice Training at MDC</p> <p>(Allocation) (Attendee) (Itemize) (Edit Comment)</p> <p>Tax Info Event History</p> <p>Included Expenses 2 Item(s)</p> <table border="1"> <thead> <tr> <th>Date</th> <th>Expense Type</th> <th>Spent Amt</th> <th>Domestic Amt</th> <th>Payment</th> <th>Region</th> <th>Allocation</th> <th>Status</th> </tr> </thead> <tbody> <tr> <td>May 1, 2019</td> <td>M-Bus Meal (Emp Only)</td> <td>54.55 USD</td> <td>54.55</td> <td>Cash out of ...</td> <td>*US-COLORADO</td> <td>1 Itemized...</td> <td>OK</td> </tr> </tbody> </table>	Date	Expense Type	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status	May 1, 2019	M-Bus Meal (Emp Only)	54.55 USD	54.55	Cash out of ...	*US-COLORADO	1 Itemized...	OK
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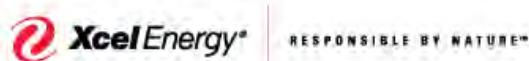
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SUPPLY CHAIN

Approving an Expense Report

<p>Ensure meal(s) are itemized and alcohol portion is separated if applicable</p> <p>Compare to the total receipt to verify accuracy</p>	<p>Expense View</p> <p>Spender Karolyn T Hedquist Report name May 2019 Expenses</p> <p>From May 1, 2019 To May 31, 2019 Reimbursement Amt 130.99 USD Report number XETS000887972190015</p> <p>View Expense</p> <p>Date: 5/1/19 Expense Type: M-Bus Meal (Emp Only) Merchant: Flatirons Bar & Grill Region: *US-COLORADO Area: HENDERSON Business Purpose: Apprentice Training at MDC</p> <p>Nbr of persons: 1.00 Unit Amt: \$4.550 Spent Amt: 54.55 USD Exchange Rate: 1.000000 Domestic Amt: 54.55 USD Payment Method: Cash out of Pocket Receipt: Receipt Included</p> <p>Description: Apprentice Training at MDC</p> <p>Allocation, Attendee, Itemize, Edit Comment buttons</p> <p>Tax Info, Event History tabs</p> <p>Included Expenses 2 Item(s)</p> <table border="1"> <thead> <tr> <th>Date</th> <th>Expense Type</th> <th>Merchant</th> <th>Spent Amt</th> <th>Domestic Amt</th> <th>Payment</th> <th>Region</th> <th>Allocation</th> <th>Status</th> </tr> </thead> <tbody> <tr> <td>May 1, 2019</td> <td>M-Bus Meal (Emp Only)</td> <td>Flatirons Bar & Grill</td> <td>54.55 USD</td> <td>54.55</td> <td>Cash out of ...</td> <td>*US-COLORADO</td> <td>Itemized...</td> <td>✓</td> </tr> <tr> <td>May 1, 2019</td> <td>MS-Bus Meal (Emp Only)</td> <td></td> <td>54.55 USD</td> <td>54.55</td> <td></td> <td></td> <td></td> <td>✓</td> </tr> </tbody> </table>	Date	Expense Type	Merchant	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status	May 1, 2019	M-Bus Meal (Emp Only)	Flatirons Bar & Grill	54.55 USD	54.55	Cash out of ...	*US-COLORADO	Itemized...	✓	May 1, 2019	MS-Bus Meal (Emp Only)		54.55 USD	54.55				✓
Date	Expense Type	Merchant	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status																				
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May 1, 2019	MS-Bus Meal (Emp Only)		54.55 USD	54.55				✓																				
<ul style="list-style-type: none"> Click on Tax Info tab to review sales tax 	<p>Expense View</p> <p>Spender Karolyn T Hedquist Report name May 2019 Expenses</p> <p>From May 1, 2019 To May 31, 2019 Reimbursement Amt 130.99 USD Report number XETS000887972190015</p> <p>View Expense</p> <p>Date: 5/1/19 Expense Type: M-Bus Meal (Emp Only) Merchant: Flatirons Bar & Grill Region: *US-COLORADO Area: HENDERSON Business Purpose: Apprentice Training at MDC</p> <p>Nbr of persons: 1.00 Unit Amt: \$4.550 Spent Amt: 54.55 USD Exchange Rate: 1.000000 Domestic Amt: 54.55 USD Payment Method: Cash out of Pocket Receipt: Receipt Included</p> <p>Description: Apprentice Training at MDC</p> <p>Allocation, Attendee, Itemize, Edit Comment buttons</p> <p>Tax Info, Event History tabs</p> <p>Included Expenses 2 Item(s)</p> <table border="1"> <thead> <tr> <th>Date</th> <th>Expense Type</th> <th>Merchant</th> <th>Spent Amt</th> <th>Domestic Amt</th> <th>Payment</th> <th>Region</th> <th>Allocation</th> <th>Status</th> </tr> </thead> <tbody> <tr> <td>May 1, 2019</td> <td>M-Bus Meal (Emp Only)</td> <td>Flatirons Bar & Grill</td> <td>54.55 USD</td> <td>54.55</td> <td>Cash out of ...</td> <td>*US-COLORADO</td> <td>Itemized...</td> <td>✓</td> </tr> <tr> <td>May 1, 2019</td> <td>MS-Bus Meal (Emp Only)</td> <td></td> <td>54.55 USD</td> <td>54.55</td> <td></td> <td></td> <td></td> <td>✓</td> </tr> </tbody> </table>	Date	Expense Type	Merchant	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status	May 1, 2019	M-Bus Meal (Emp Only)	Flatirons Bar & Grill	54.55 USD	54.55	Cash out of ...	*US-COLORADO	Itemized...	✓	May 1, 2019	MS-Bus Meal (Emp Only)		54.55 USD	54.55				✓
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<p>The Tax Info tab displays the Sales Tax Paid and Amt of Sales Tax Paid fields.</p> <ul style="list-style-type: none"> Click on Tax Info tab to close <p>Review and verification have been completed. The approver can:</p>	<p>Expense View</p> <p>Spender Karolyn T Hedquist Report name May 2019 Expenses</p> <p>From May 1, 2019 To May 31, 2019 Reimbursement Amt 130.99 USD Report number XETS000887972190015</p> <p>View Expense</p> <p>Date: 5/1/19 Expense Type: M-Bus Meal (Emp Only) Merchant: Flatirons Bar & Grill Region: *US-COLORADO Area: HENDERSON Business Purpose: Apprentice Training at MDC</p> <p>Nbr of persons: 1.00 Unit Amt: \$4.550 Spent Amt: 54.55 USD Exchange Rate: 1.000000 Domestic Amt: 54.55 USD Payment Method: Cash out of Pocket Receipt: Receipt Included</p> <p>Description: Apprentice Training at MDC</p> <p>Allocation, Itemized... buttons</p> <p>Tax Info, Event History tabs</p> <p>Sales Tax Paid: Yes, Amt of Sales Tax Paid: 3.47</p>																											

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SUPPLYCHAIN

Approving an Expense Report

- Repeat steps to continue reviewing additional expense items

OR

- [Approve An Expense Report](#)

OR

- [Reject An Expense Report](#)

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Expense View

Spender Karolyn T Hedquist
Report name May 2019 Expenses From May 1, 2019 To May 31, 2019 Reimbursement Amt 130.99 USD
Report number XETS000887972190015

View Expense		< Previous Next >																									
Date: 5/1/19	Nbr of persons: 1.00	Unit Amt: \$4.55	Description: Apprentice Training at MDC																								
Expense Type: M-Bus Meal (Emp Only)	Spent Amt: 54.55	Unit: USD	Allocation: <input type="button" value="Allocation"/>																								
Merchant: FlatIron Bar & Grill	Exchange Rate: 1.000000	Attendee: <input type="button" value="Attendee"/>	Itemize: <input type="button" value="Itemize"/>																								
Region: *US-COLORADO	Domestic Amt: 54.55 USD	Edit Comment: <input type="button" value="Edit Comment"/>																									
Area: HENDERSON	Payment Method: Cash out of Pocket	View Receipts: <input type="button" value="View Receipts"/> Reject: <input type="button" value="Reject"/> Approve: <input type="button" value="Approve"/> Done: <input type="button" value="Done"/>																									
Business Purpose: Apprentice Training at MDC	Receipt: Receipt Included																										
Tax Info: <input type="button" value="Event History"/> Included Expenses 2 Item(s)																											
<table border="1"> <thead> <tr> <th>Date</th> <th>Expense Type</th> <th>Spent Amt</th> <th>Domestic Amt</th> <th>Payment</th> <th>Region</th> <th>Allocation</th> <th>Status</th> </tr> </thead> <tbody> <tr> <td>May 1, 2019</td> <td>M-Bus Meal (Emp Only) FlatIron Bar & Grill</td> <td>54.55 USD</td> <td>54.55</td> <td>Cash out of ... *US-COLORADO</td> <td>Itemized...</td> <td><input type="button" value="Allocation"/></td> <td><input type="button" value="Edit Comment"/></td> </tr> <tr> <td>May 1, 2019</td> <td>P-Office Supplies Office Depot</td> <td>76.44 USD</td> <td>76.44</td> <td>Cash out of ... *US-COLORADO</td> <td><input type="button" value="Allocation"/></td> <td><input type="button" value="Edit Comment"/></td> <td><input type="button" value="Edit Comment"/></td> </tr> </tbody> </table>				Date	Expense Type	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status	May 1, 2019	M-Bus Meal (Emp Only) FlatIron Bar & Grill	54.55 USD	54.55	Cash out of ... *US-COLORADO	Itemized...	<input type="button" value="Allocation"/>	<input type="button" value="Edit Comment"/>	May 1, 2019	P-Office Supplies Office Depot	76.44 USD	76.44	Cash out of ... *US-COLORADO	<input type="button" value="Allocation"/>	<input type="button" value="Edit Comment"/>	<input type="button" value="Edit Comment"/>
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May 1, 2019	P-Office Supplies Office Depot	76.44 USD	76.44	Cash out of ... *US-COLORADO	<input type="button" value="Allocation"/>	<input type="button" value="Edit Comment"/>	<input type="button" value="Edit Comment"/>																				

Step 6 – Review Purchase Type Expense

Expense Types are grouped by “M” (Meals), “P” (Purchase) and “T” (Travel) categories.

Approver reviews the information entered by the Employee. Specific things approvers should look at when reviewing **Purchase Type** expenses include:

- Ensure **Expense Type** is accurate for expense
- Ensure **Business Purpose** is adequately documented to clearly describe business reason for expense
- Expense Line item(s) are **allocated** to the correct accounting string
- Ensure List of **Attendees** is included, if applicable
- **Purchase** expense types that require number and list of attendees/recipients include:
 - P-Recognition-Entertainment
 - P-Recognition-Safety
 - P-Recognition-Gifts
 - P-Entertainment-Tickets
 - P-Life Event-Gifts
- Ensure **tax** information is entered as expected
- Ensure correct **Facility Code** is selected

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The **Expense View** screen displays the expense details under the **View Expenses** section

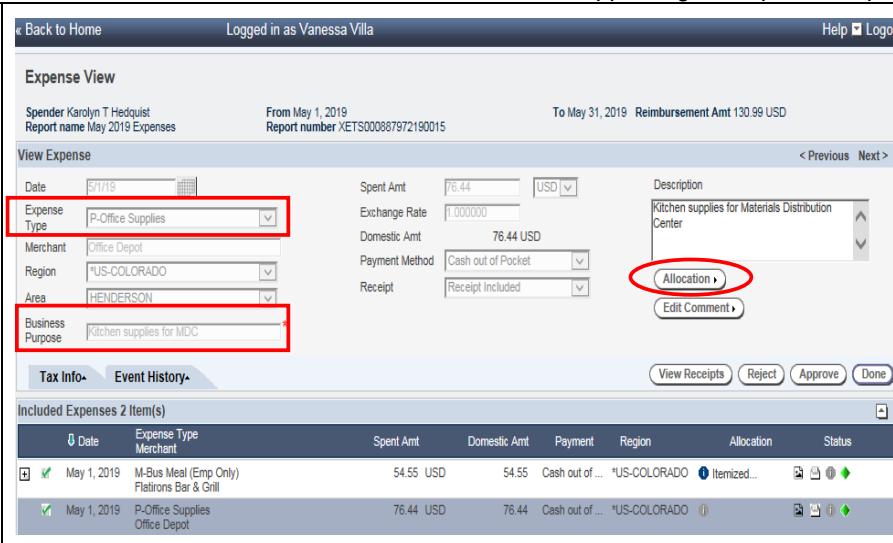
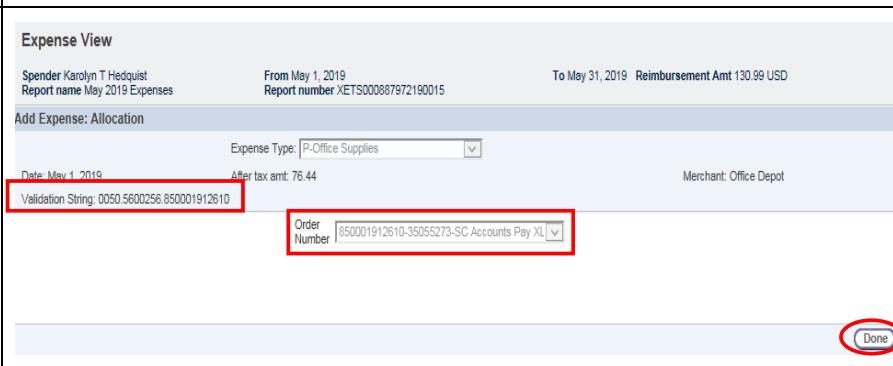
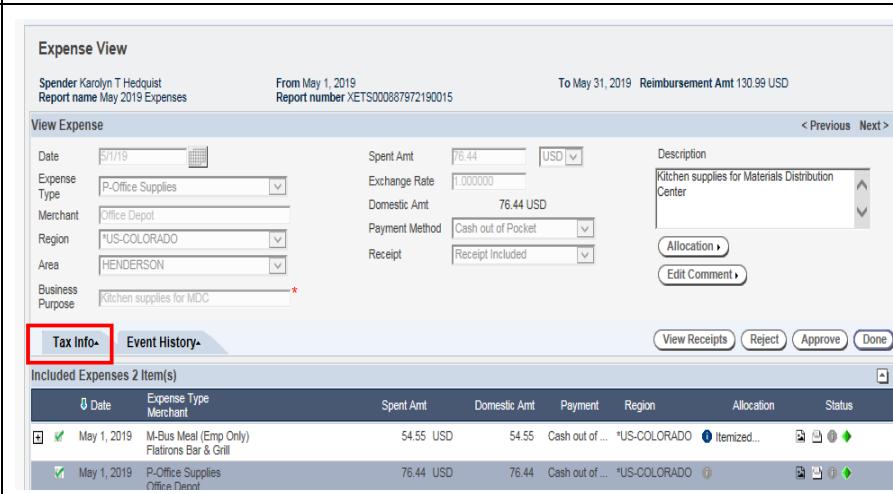
- Review and ensure the above listed items are entered correctly (i.e. Expense Type, Business Purpose, Nbr of person etc.)

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Expense View

Spender Karolyn T Hedquist
Report name May 2019 Expenses From May 1, 2019 To May 31, 2019 Reimbursement Amt 130.99 USD
Report number XETS000887972190015

View Expense		< Previous Next >																									
Date: 5/1/19	Spent Amt: 76.44	Unit: USD	Description: Kitchen supplies for Materials Distribution Center																								
Expense Type: P-Office Supplies	Exchange Rate: 1.000000	Allocation: <input type="button" value="Allocation"/>	Attendee: <input type="button" value="Attendee"/>																								
Merchant: Office Depot	Domestic Amt: 76.44 USD	Edit Comment: <input type="button" value="Edit Comment"/>																									
Region: *US-COLORADO	Payment Method: Cash out of Pocket	View Receipts: <input type="button" value="View Receipts"/> Reject: <input type="button" value="Reject"/> Approve: <input type="button" value="Approve"/> Done: <input type="button" value="Done"/>																									
Area: HENDERSON	Receipt: Receipt Included																										
Business Purpose: Kitchen supplies for MDC																											
Tax Info: <input type="button" value="Event History"/> Included Expenses 2 Item(s)																											
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Date	Expense Type	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status																				
May 1, 2019	M-Bus Meal (Emp Only) FlatIron Bar & Grill	54.55 USD	54.55	Cash out of ... *US-COLORADO	Itemized...	<input type="button" value="Allocation"/>	<input type="button" value="Edit Comment"/>																				
May 1, 2019	P-Office Supplies Office Depot	76.44 USD	76.44	Cash out of ... *US-COLORADO	<input type="button" value="Allocation"/>	<input type="button" value="Edit Comment"/>	<input type="button" value="Edit Comment"/>																				

<ul style="list-style-type: none"> Review and ensure Expense Type selected is accurate for expense Review Business Purpose to ensure it provides and adequately documents the business reason for the expense Click on Allocation button 	
<p>Review accounting allocation(s) are correct</p> <ul style="list-style-type: none"> Click the Done button 	
<p>From the View Expense panel</p> <ul style="list-style-type: none"> Click on Tax Info tab to review and ensure sales tax is entered or exempt reason code is selected 	



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The **Tax Info** tab displays the **Sales Tax Paid** and **Amt of Sales Tax Paid** fields.

- Review and ensure **Sales Tax Paid** is Yes and **Amt of Sales Tax Paid** is entered

If **Sales Tax Paid** field is marked **No** and amount is zero, check to ensure correct exempt code was selected.

If tax is owed, but was not charged; ensure the exempt code **XXX-NOT EXEMPT-USE TAX OWED** has been selected. This code informs the tax department to accrue and pay the tax to the appropriate taxing authorities.

- Check and ensure appropriate **Facility Code** is selected
- Click on **Tax Info** tab to close window

Expense View

Spender Karolyn T Hedquist
 Report name May 2019 Expenses

From May 1, 2019
 Report number XETS000887972190015

View Expense

Tax Info

Event History

Sales Tax Paid	No	Amt of Sales Tax Paid	0.00	Facility Code	114 - Materials Distribution Center
				Exempt Code	XXX - NOT EXEMPT-USE TAX OWE

Facility Code defaults the facility from user's profile. **Facility Code** is used to identify where we took possession of item(s) purchased.

Ensure appropriate facility code is entered for where material was shipped/used

Review and verification have been completed. The approver can:

- Repeat steps to continue reviewing additional expense items
OR
- [Approve An Expense Report](#)
OR
- [Reject An Expense Report](#)

Expense View

Spender Karolyn T Hedquist
 Report name May 2019 Expenses

From May 1, 2019
 Report number XETS000887972190015

To May 31, 2019 Reimbursement Amt 130.99 USD

View Expense

< Previous Next >

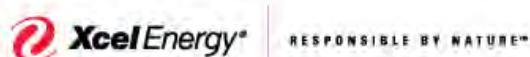
Date	5/1/19	Spent Amt	76.44	USD	Description
Expense Type	P-Office Supplies	Exchange Rate	1.000000		Kitchen supplies for Materials Distribution Center
Merchant	Office Depot	Domestic Amt	76.44 USD		
Region	*US-COLORADO	Payment Method	Cash out of Pocket		
Area	HENDERSON	Receipt	Receipt Included		
Business Purpose	Kitchen supplies for MDC	<input type="button" value="Allocation"/> <input type="button" value="Edit Comment"/>			

Tax Info

Event History

Included Expenses 2 Item(s)

Date	Expense Type	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
May 1, 2019	M-Bus Meal (Emp Only) FlatIron Bar & Grill	54.55 USD	54.55	Cash out of ...	*US-COLORADO	<input checked="" type="checkbox"/> Itemized...	
May 1, 2019	P-Office Supplies	76.44 USD	76.44	Cash out of ...	*US-COLORADO	<input type="checkbox"/>	



SUPPLYCHAIN

Approving an Expense Report

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Step 7 – Review Hotel Type Expense

Expense Types are grouped by "M" (Meals), "P" (Purchase) and "T" (Travel) categories.

Approver reviews the information entered by the Employee. Specific things approver should look at when reviewing **Hotel** type expenses include:

- Ensure **Expense Type** is accurate for expense
- Ensure **Business purpose** is adequately documented to clearly describe business reason for expense
- Ensure expense line item(s) are **allocated** to the correct accounting string
- Ensure Hotel expense is **itemized** to break out room rate, room tax for each night and any other expense included on hotel receipt.
- Ensure **tax** information is entered as expected
- Ensure expense meets Xcel's policy guidelines

System will flag Hotel expense type when room rate greater than the corporate policy per night

The **Expense View** screen displays the expense details under the **View Expenses** section

- Review and ensure the above listed items are entered correctly (i.e. Expense Type, Business Purpose, etc.)

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Expense View

Spender Amanda L. Ornelas
Report name Test.AOrnelas Hotel and Mileage

From May 1, 2019 To May 20, 2019 Reimbursement Amt 853.96 USD

Report number XETS00795392190052

View Expense		< Previous Next >	
Date: 5/11/19	Spent Amt: \$39.91	USD	Description
Expense Type: T-Hotel	Exchange Rate: 1.000000	Domestic Amt: 839.91 USD	
Merchant: Hyatt Regency Hotel	Payment Method: Cash out of Pocket	Receipt: Receipt Included	Allocation Itemize Edit Comment
Region: *US-COLORADO			
Area: HENDERSON			
Business Purpose: Attended Gary O'Hara's All Hands Meeting			

Event History: [View Receipts](#) [Reject](#) [Approve](#) [Done](#)

Included Expenses 2 Item(s)

Date	Expense Type	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
May 11, 2019	T-Hotel Hyatt Regency Hotel	839.91 USD	839.91	Cash out of ... *US-COLORADO	Itemized...		
May 1, 2019	T-Personal Car Mileage	14.05 USD	14.05	Cash out of ... *US-COLORADO			

- Review and ensure **Expense Type** selected is accurate for expense
- Review **Business Purpose** to ensure it provides and adequately documents the business reason for the expense
- Click on **Allocation** button

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Expense View

Spender Amanda L. Ornelas
Report name Test.AOrnelas Hotel and Mileage

From May 1, 2019 To May 20, 2019 Reimbursement Amt 853.96 USD

Report number XETS00795392190052

View Expense		< Previous Next >	
Date: 5/11/19	Spent Amt: \$39.91	USD	Description
Expense Type: T-Hotel	Exchange Rate: 1.000000	Domestic Amt: 839.91 USD	
Merchant: Hyatt Regency Hotel	Payment Method: Cash out of Pocket	Receipt: Receipt Included	Allocation Itemize Edit Comment
Region: *US-COLORADO			
Area: HENDERSON			
Business Purpose: Attended Gary O'Hara's All Hands Meeting			

Event History: [View Receipts](#) [Reject](#) [Approve](#) [Done](#)

Included Expenses 2 Item(s)

Date	Expense Type	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
May 11, 2019	T-Hotel Hyatt Regency Hotel	839.91 USD	839.91	Cash out of ... *US-COLORADO	Itemized...		
May 1, 2019	T-Personal Car Mileage	14.05 USD	14.05	Cash out of ... *US-COLORADO			



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Approving an Expense Report

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- Review to confirm accounting allocation(s) are correct
- Click **Done** button

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Expense View

Spender Amanda L Ornelas From May 1, 2019 To May 20, 2019 Reimbursement Amt 853.96 USD
Report name Test AOrnelas Hotel and Mileage Report number XETS000795392190052

Add Expense: Allocation

Expense Type: T-Hotel
Date: May 11, 2019 After tax amt: 839.91
Merchant: Hyatt Regency Hotel
Validation String:
Order Number 850001811115-30147825-601600-413-Purch C

Done

Review itemization by selecting the **Itemize** button
OR

Select the “+” to expand and review the itemization

Expense View

Spender Amanda L Ornelas From May 1, 2019 To May 20, 2019 Reimbursement Amt 853.96 USD
Report name Test AOrnelas Hotel and Mileage Report number XETS000795392190052

View Expense

Date 5/11/19 Spent Amt 839.91 USD
Expense Type T-Hotel Exchange Rate 0.000000
Merchant Hyatt Regency Hotel Domestic Amt 839.91 USD
Region *US-COLORADO Payment Method Cash out of Pocket
Area HENDERSON Receipt Receipt Included
Business Purpose Attended Gary O'Hara's All Hands Meeting

Description

Allocation **Itemize** **Edit Comment**

Event History

Included Expenses 2 Item(s)

Date	Expense Type	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
May 11, 2019	T-Hotel Hyatt Regency Hotel	839.91 USD	839.91	Cash out of ...	*US-COLORADO	Itemized...	
May 1, 2019	T-Personal Car Mileage	14.05 USD	14.05	Cash out of ...	*US-COLORADO		

View Receipts **Reject** **Approve** **Done**

Click on **View Receipts** to compare allocation to receipt

Expense View

Spender Amanda L Ornelas From May 1, 2019 To May 20, 2019 Reimbursement Amt 853.96 USD
Report name Test AOrnelas Hotel and Mileage Report number XETS000795392190052

View Expense

Date 5/11/19 Spent Amt 839.91 USD
Expense Type T-Hotel Exchange Rate 0.000000
Merchant Hyatt Regency Hotel Domestic Amt 839.91 USD
Region *US-COLORADO Payment Method Cash out of Pocket
Area HENDERSON Receipt Receipt Included

Description

Allocation **Itemize** **Edit Comment**

Event History

View Receipts **Reject** **Approve** **Done**

Ensure hotel expense is itemized to break out room rate, room tax for each night and any other expense included on hotel receipt

Compare the total receipt to verify accurate.

Included Expenses 2 Item(s)

Date	Expense Type	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
May 11, 2019	T-Hotel Hyatt Regency Hotel	839.91 USD	839.91	Cash out of ...	*US-COLORADO	Itemized...	
May 14, 2019	TS-Hotel - Room Rate	177.00 USD	177.00				
May 14, 2019	TS-Hotel - Room Tax	27.88 USD	27.88				
May 13, 2019	TS-Hotel - Room Rate	177.00 USD	177.00				
May 13, 2019	TS-Hotel - Room Tax	27.88 USD	27.88				
May 12, 2019	TS-Hotel - Room Tax	177.00 USD	177.00				
May 12, 2019	TS-Hotel - Room Tax	27.88 USD	27.88				
May 11, 2019	TS-Hotel - Room Rate	177.00 USD	177.00				
May 11, 2019	TS-Hotel - Room Tax	27.88 USD	27.88				
May 11, 2019	MS-Travel Meal	20.39 USD	20.39				

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SUPPLY CHAIN

Approving an Expense Report

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<p>View Expense screen displays</p> <p>Once review and verification have been completed, the approver can:</p> <ul style="list-style-type: none"> • Repeat steps to continue reviewing additional expense items OR • Approve An Expense Report OR • Reject An Expense Report 	
<p>Step 8 – Review Personal Car Mileage (Single round Trip)</p> <p>Per Policy Xcel Energy only reimburses mileage for use of personal vehicle for company business. Xcel Energy does not reimburse gasoline as additional expense.</p> <p>The required documentation (Departure/Destination and number of miles) is entered in system for Personal Car Mileage</p> <ul style="list-style-type: none"> • Review and ensure Expense Type T-Personal Car Mileage is selected for expense • Review Business Purpose to ensure it provides and adequately documents the business reason for the expense • Click on Allocation button 	<p>There are 2 expense types for mileage reimbursements</p> <ul style="list-style-type: none"> ○ T-Personal Car Mileage – This expense type is selected when there is a single round trip (i.e. MDC to 1800 Larimer and back to MDC) ○ T-Multi-Trip Mileage – This is used when traveling to multiple locations for business related activities. T-Multi-Trip Mileage requires a mileage log to be attached to the expense report.



SUPPLYCHAIN

Approving an Expense Report

<ul style="list-style-type: none"> Review to confirm accounting allocation(s) are correct Click Done 		Back to top
Click on Mileage button		
<ul style="list-style-type: none"> Review and ensure correct Point of Departure and Destination are entered Review number of miles are entered accurately Click Save and Return button to return to Expense View <p>Personal Mileage (single trip) expense does not require receipts as all documentation is entered in the Mileage button</p>		



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SUPPLY CHAIN

Approving an Expense Report

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View Expense screen displays

Once review and verification have been completed, the approver can:

- Repeat steps to continue reviewing additional expense items

OR

- [Approve An Expense Report](#)

OR

- [Reject An Expense Report](#)

View Expense screen displays Once review and verification have been completed, the approver can: <ul style="list-style-type: none"> • Repeat steps to continue reviewing additional expense items <p>OR</p> <ul style="list-style-type: none"> • Approve An Expense Report <p>OR</p> <ul style="list-style-type: none"> • Reject An Expense Report 	
Step 9 – Review Mileage Multi-Trip <ul style="list-style-type: none"> • Review and ensure Expense Type T – Multi – Trip Mileage is selected and accurate for expense • Ensure Business Purpose provides and adequately documents the business reason for the expense • Click on Allocation • Review to confirm accounting allocation(s) are correct • Click Done 	



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Mileage button is not required for multi trip; instead the mileage log is used as the required documentation

Employee must scan the mileage log and upload to the expense report

Expense View screen displays

Review and verification have been completed. The approver can:

- Repeat steps to continue reviewing additional expense items

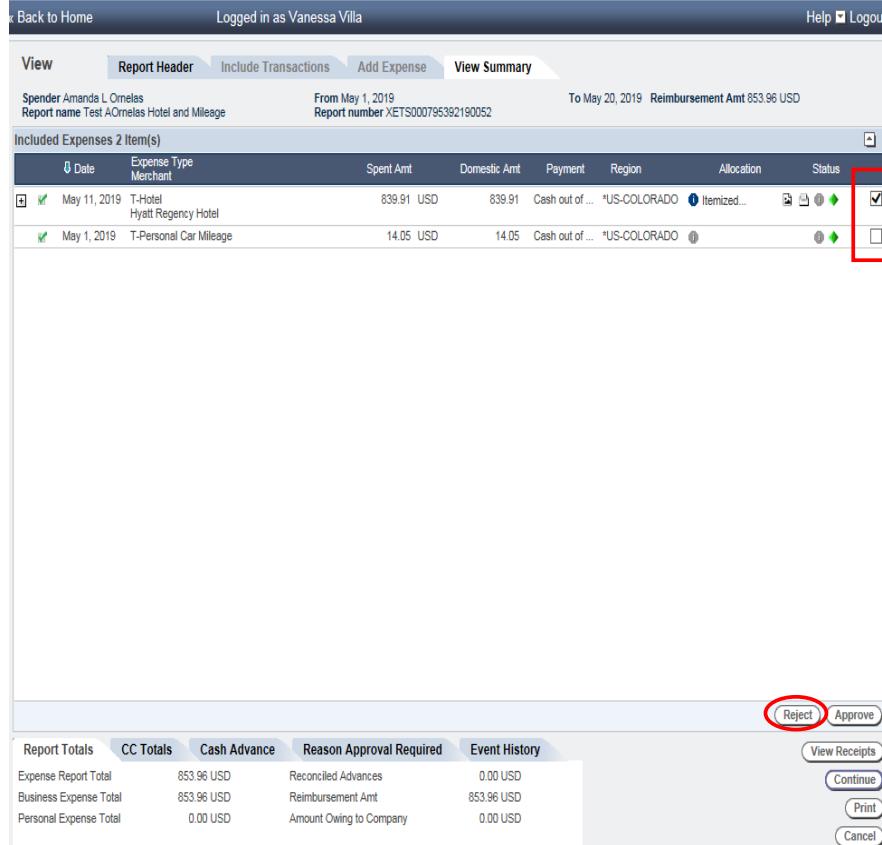
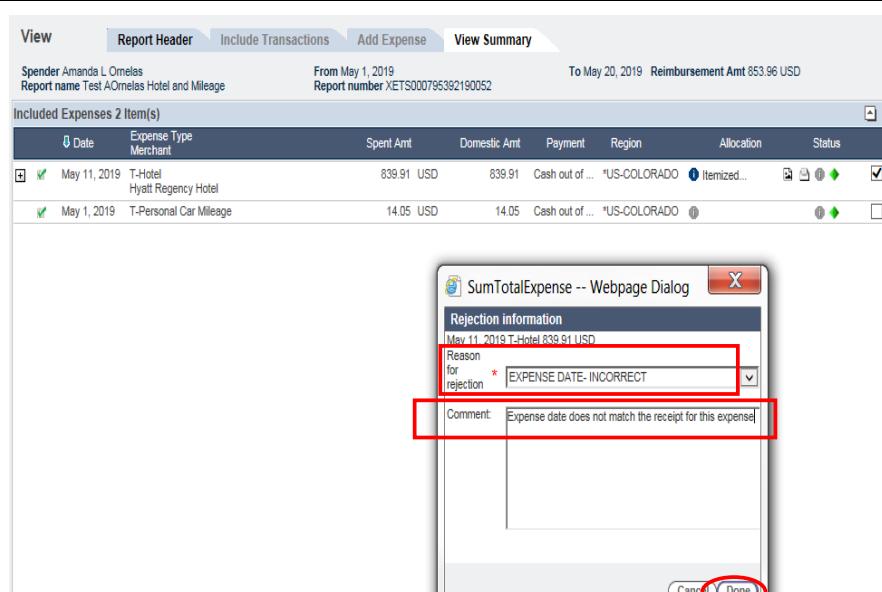
OR

- [Approve An Expense Report](#)

OR

- [Reject An Expense Report](#)

<p>Expense Spent Date: 2019-05-01 Expense Type: T-Mileage-Multi-Trip Spent Amount: 151.41 USD</p>																																																																	
<p style="text-align: center;">2018 MILEAGE AUTHORIZATION</p> <table border="1"> <thead> <tr> <th colspan="3">Employee Name:</th> <th>Employee #:</th> </tr> <tr> <th colspan="3">Year: 2018</th> <th>Phone #:</th> </tr> <tr> <th>Mo</th> <th>Day</th> <th>Starting Location</th> <th>Ending Destination</th> <th>Business Reason for Trip</th> <th>Trip Miles</th> </tr> </thead> <tbody> <tr> <td>5</td> <td>1</td> <td>MDC</td> <td>1800 Larimer Street</td> <td>SumTotal Training</td> <td>12.23</td> </tr> <tr> <td>5</td> <td>1</td> <td>1800 Larimer Streety</td> <td>MDC</td> <td>Returning from SumTotal Training</td> <td>12.23</td> </tr> <tr> <td>5</td> <td>3</td> <td>MDC</td> <td>LDC</td> <td>SumTotal Training</td> <td>15.6</td> </tr> <tr> <td>5</td> <td>3</td> <td>LDC</td> <td>MDC</td> <td>Returning from SumTotal Training</td> <td>15.6</td> </tr> <tr> <td>5</td> <td>7</td> <td>MDC</td> <td>Pueblo Service Center</td> <td>SumTotal Training</td> <td>102.7</td> </tr> </tbody> </table>		Employee Name:			Employee #:	Year: 2018			Phone #:	Mo	Day	Starting Location	Ending Destination	Business Reason for Trip	Trip Miles	5	1	MDC	1800 Larimer Street	SumTotal Training	12.23	5	1	1800 Larimer Streety	MDC	Returning from SumTotal Training	12.23	5	3	MDC	LDC	SumTotal Training	15.6	5	3	LDC	MDC	Returning from SumTotal Training	15.6	5	7	MDC	Pueblo Service Center	SumTotal Training	102.7																				
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<p>Step 10 – Reject an Expense</p> <p>Approvers have the ability to reject a single expense or all expenses on an expense report.</p> <p>If expense is non-compliant the approver must either:</p> <ul style="list-style-type: none"> Approve the expense report/item knowing that it is non-compliant Select the item(s) to reject and click Reject <p>OR</p>	
<p>The Rejection Information box displays</p> <ul style="list-style-type: none"> Click on drop down arrow and select correct Reason for rejection code Enter information in Comment section <p>Make sure to include enough information to allow the spender to make corrections and resubmit the expense.</p> <ul style="list-style-type: none"> Click Done button 	

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Approving an Expense Report

System will display red "X" next to the rejected expense
The rejected expense is sent back to spender with instructions detailing how to correct the item/report.
Spender will adjust the expense per approver's comments and resubmit for approval.

You can review and edit your comments

- Click **Edit Comment** button
- Click **Done** button

From the **Expense View** panel

- Click **Done** button

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View Report Header Include Transactions Add Expense **View Summary**

Spender Amanda L Ornelas From May 1, 2019 To May 20, 2019 Reimbursement Amt 853.96 USD
Report name Test AOrnelas Hotel and Mileage Report number XETS000795392190052

Included Expenses 2 Item(s)

Date	Expense Type	Spent Amt	Domestic Amt	Payment	Region	Allocation	Status
May 11, 2019	T-Hotel Hyatt Regency Hotel	839.91 USD	839.91	Cash out of ...	*US-COLORADO	Itemized...	
May 1, 2019	T-Personal Car Mileage	14.05 USD	14.05	Cash out of ...	*US-COLORADO		

SumTotalExpense -- Webpage Dialog

Rejection information
May 11, 2019 ET91013883 839.91 USD
Reason for rejection * EXPENSE DATE- INCORRECT
Comment: Expense date does not match the receipt for this expense

Description
Allocation
Edit Comment (highlighted with a red box)
View Receipts
Region All
US-COLORADO Itemized

Cancel **Done** (highlighted with a red box)

The **View Summary** tab displays a list of expense(s) included in report you are reviewing.
Red "X" displays next to the reject expense.

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View Report Header Include Transactions Add Expense **View Summary**

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SUPPLYCHAIN

Approving an Expense Report

Step 11 - Approving an Expense Report

After the review and validation process is completed:

- Click the **X** on the receipt viewer to close
- Click **Continue** button
- Click **Submit** to save the report in **Approval Complete** status

The expense report will be retained in the Corporate Expense system in accordance with the Record Retention policy.

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Approving an Expense Report

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The system will navigate to the **Document to Approve** tab on the **Approve Documents** panel

Click the **Approval History** tab



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You are connected to: TAPTC503Node01

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Approve Documents Document to Approve **Approval History**

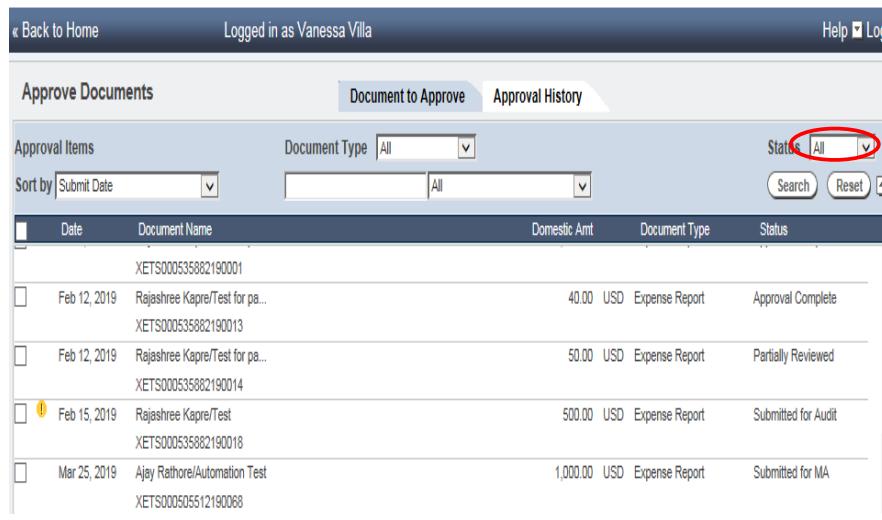
Approval Items (Click to select)

	Date	Document Name	Domestic Amt	Document Type	Status	
<input type="checkbox"/>	Apr 8, 2019	Kimberly Lee Hudson/CR.07 H...	60.00	USD	Expense Report	Submitted for MA
<input type="checkbox"/>	Apr 8, 2019	Kimberly Lee Hudson/CR.09 H...	35.00	USD	Expense Report	Submitted for MA
<input type="checkbox"/>	Apr 8, 2019	Kimberly Lee Hudson/CR.10 H...	80.00	USD	Expense Report	Submitted for MA

Approval History displays all reports and status of approver action (approval complete, rejected or partially approved, Submitted for MA, Submitted for Audit)

The expense report will be retained in the Corporate Expense System in accordance with the Record Retention policy

Sort by **Status** to review. Status options include: Approved, Rejected or Partially Approved.



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Approve Documents Document to Approve **Approval History**

Approval Items Document Type **All** Status **All**

Sort by **Submit Date** All **Search** **Reset**

	Date	Document Name	Domestic Amt	Document Type	Status	
<input type="checkbox"/>		XETS00053588219001				
<input type="checkbox"/>	Feb 12, 2019	Rajashree Kapre/Test for pa...	40.00	USD	Expense Report	Approval Complete
<input type="checkbox"/>	Feb 12, 2019	Rajashree Kapre/Test for pa...	50.00	USD	Expense Report	Partially Reviewed
<input type="checkbox"/>	Feb 15, 2019	Rajashree Kapre/Test	500.00	USD	Expense Report	Submitted for Audit
<input type="checkbox"/>	Mar 25, 2019	Ajay Rathore/Automation Test	1,000.00	USD	Expense Report	Submitted for MA

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**Employee Expense
Budget and Actual**
**Table I – Employee Expense
State of Minnesota Electric Jurisdiction**

(\$ 000's)	2017 Actual	2018 Actual	2019 Actual	2020 Forecast	2021 Budget	2021 TY Adj	2021 Test Year	2022 Budget	2022 PY Adj	2022 Plan Year	2023 Budget	2023 PY Adj	2023 Plan Year
Travel Expense	3,579	4,062	4,295	2,837	4,280	(224)	4,056	4,092	(216)	3,876	4,059	(223)	3,835
Lodging Expense	2,058	2,402	2,317	1,185	2,126	(161)	1,965	2,095	(155)	1,940	2,105	(160)	1,945
Meals Expense	1,742	2,088	2,116	1,190	1,601	(828)	773	1,583	(798)	785	1,594	(824)	770
Misc. Travel Expense (1)	4,033	4,166	4,854	2,570	5,070	(232)	4,838	4,677	(223)	4,454	5,167	(231)	4,936
Travel Expense Subtotal	11,412	12,719	13,582	7,783	13,077	(1,444)	11,633	12,447	(1,392)	11,055	12,924	(1,438)	11,486
Dues & Memberships	551	431	302	776	761	(20)	741	752	(19)	732	753	(20)	733
Gifts & Recognition	934	1,058	1,475	1,021	1,008	(41)	967	1,028	(40)	989	1,067	(41)	1,027
Board of Directors	1,025	1,048	1,136	1,318	1,322	(64)	1,258	1,354	(61)	1,292	1,354	(63)	1,290
Total	13,922	15,256	16,495	10,897	16,168	(1,569)	14,598	15,581	(1,512)	14,069	16,098	(1,562)	14,535

1. Changes are driven largely by employee relocation expenses and per diem expenses. This category also includes conference expenses.

Table II – Employee Expense Actual vs. Budget Comparisons
State of Minnesota Electric Jurisdiction

(\$ 000's)	2017 Actual	2017 Adjusted Budget	2017 Adjusted Variance	2018 Actual	2018 Adjusted Budget	2018 Adjusted Variance	2019 Actual	2019 Budget	2019 Variance	2020 Forecast	2020 Budget	2020 Variance
Travel Expense	3,579	4,203	-624	4,062	3,348	714	4,295	4,207	88	2,837	4,329	-1,492
Lodging Expense	2,058	1,761	297	2,402	1,860	542	2,317	1,819	498	1,185	1,835	-650
Meals Expense	1,742	727	1,015	2,088	790	1,298	2,116	1,206	910	1,190	1,319	-128
Misc. Travel Expense (1)	4,033	4,592	-560	4,166	4,026	140	4,854	5,376	-522	2,570	4,522	-1,952
Travel Expense Subtotal	11,412	11,283	129	12,719	10,024	2,695	13,582	12,608	974	7,783	12,005	-4,222
Dues & Memberships	551	662	-111	431	605	-174	302	897	-595	776	951	-174
Gifts & Recognition	934	679	255	1,058	1,248	-190	1,475	1,136	339	1,021	1,124	-104
Board of Directors	1,025	902	122	1,048	1,008	40	1,136	972	165	1,318	1,298	20
Total	13,922	13,527	395	15,256	12,884	2,372	16,495	15,613	882	10,897	15,378	-4,481

1. Changes are driven largely by employee relocation expenses and per diem expenses. This category also includes conference expenses.
2. Adjusted budget means the employee expense amount minus the employee expense adjustment as was proposed by Xcel Energy in our previous rate case Docket No. E002/GR-15-826.

EER - Schedule 1	Travel Expenses
EER - Schedule 1A	VP and Above
EER - Schedule 2	Meal Expenses
EER - Schedule 3	Entertainment Expenses
EER - Schedule 4	Board of Directors Compensation and Expenses
EER - Schedule 5	Top Ten Compensation
EER - Schedule 5A	Top Ten Expenses - Benjamin G. Fowke III
EER - Schedule 5B	Top Ten Expenses - Robert Frenzel
EER – Schedule 5C	Top Ten Expenses - Kent T. Larson
EER - Schedule 5D	Top Ten Expenses - Scott M. Wilensky
EER - Schedule 5E	Top Ten Expenses - Brett C. Carter Sr.
EER - Schedule 5F	Top Ten Expenses - Timothy J. O'Connor
EER - Schedule 5G	Top Ten Expenses - David L. Eves
EER - Schedule 5H	Top Ten Expenses - Darla Figoli
EER - Schedule 5I	Top Ten Expenses - Christopher B. Clark
EER - Schedule 5J	Top Ten Expenses - Judy M. Poferl
EER - Schedule 6	Dues
EER - Schedule 7	Gifts
EER - Schedule 8	Aviation
EER - Schedule 9	Lobbying
EER - Schedule 10	SAP-VIM Transactions
EER - Schedule 11	SAP-VIM Nuclear Transactions
EER - Schedule 12	TIME Transactions

Northern States Power Company
List of EER Schedules

Docket No. E002/GR-20-723
Exhibit____(WKH-1), Schedule 7
Page 2 of 2

EER - Summary Report 1	2021 Test Year
EER - Summary Report 2	2022 Plan Year
EER - Summary Report 3	2023 Plan Year

**Employee Expense Reporting
Report Preparation, Rate Case Adjustment Summary, and Analysis Overview**

This schedule describes the detailed steps taken to develop the EER Schedules, and the efforts taken by the Company to analyze and review transactions processed within SumTotal, Vendor Invoice Management (VIM) and TIME in order to provide a summary of employee expenses found in those technical systems. The Company's proposed test year adjustment for employee expenses is also summarized in this schedule.

Creation of EER Schedules

The Company took the following steps to create the EER Schedules provided in Volume 3, Required Information, Section IV Other Required Information, Tab 2.

1. The Supply Chain organization provided employee expense information for 2019 corporate credit card transactions, as well as reimbursements for other expenses, such as mileage, that were processed within the Company's primary expense reporting system, SumTotal. The data included transactions that were incurred by employees of the 1) Xcel Energy Service Company (XES), and 2) the Northern States Power Minnesota Operating Company (NSPM). The raw data file contained the transaction lines assigned to employee-related expense accounts that were required in the analysis. While SumTotal has many fields, only those fields that would (1) determine whether the transaction was allocable to Minnesota electric ratepayers, and (2) determine whether the transaction was within the scope of the Employee Expense Statute were included.
2. Transactions were sorted based on the Company's accounting general ledger "Systems, Applications and Products in Data Processing" (SAP) software's "Internal Order" account field to limit the size of the raw data set to be analyzed to approximately 223,000 transactions by including only those costs that were either direct assigned, or that were allocated in part as operating expense to the NSPM Operating Company. Specifically, transactions assigned to Company Code "10" (NSPM) and Company Code "50" (XES) were retained due to the likelihood the entire transaction cost, or a portion of the cost, could be allocated to NSPM. All other transactions, directly assigned to other Xcel Energy legal entities, were eliminated as being outside of the scope of analysis related to rate cases and reporting required for jurisdictions residing within NSPM.
3. Several columns were added to facilitate analysis of the data and creation of the EER Reports. Examples of these analysis fields include: "EER Summary Cost Element" (Employee Expense Report), "EER Report #", "File Line Ref. #", "Required EER Report Transaction", "Year", "International Travel", "Above / Below the Line", "Board of Directors", "VP & Above", "Employee's Company", "Compensation Level", "Ten Highest Paid Employees", "Executive + Assistant's Transactions", "Executive / Assistant", "Key Word Search", "Keyword", "Vague Business Purpose Desc.", "Meals > \$65 per Attendee", "Life Events", "Business Meals - Employee Only", "Flagged Transaction", and "Rate Case Adj. Transaction".
4. Data fields (columns) were also added to the file to manually calculate the amount of each transaction's total that was allocated to the NSPM Company, NSPM Company Electric Utility and to the State of Minnesota Electric Retail jurisdiction. The allocations were derived by matching the accounting used for the SumTotal transaction against tables of the Company's SAP general ledger accounting system data and then assigning the

associated allocation factors using Microsoft Excel VLookup functions. The analysis was then restricted to approximately 200,000 transactions which ultimately allocated above-the-line expense to the State of Minnesota Electric Retail jurisdiction, or as a below-the-line expense to the NSPM Company.

5. Of this data set, the Company's employees who were Vice Presidents and above and their executive assistants during 2019 were identified.
6. Employee expense transactions for our employees with a title of Vice President, or higher were identified. For each transaction of a Vice President or higher employee title, the field "VP & Above" was populated as "Yes". This field was coded as "No" for other employees' transactions. The "Executive / Assistant" field was then populated as "Executive" for executive (having a title of Vice President, or higher) employees' transactions.
7. The executives' Executive Assistants' transactions were identified and coded with their respective executive's name within the "Executive + Assistant's Transactions" field. The "Executive / Assistant" field was then populated as "Executive Assistant" for the Executive Assistants' transactions. The other employees' transactions were populated as "No".
8. Transactions of the ten highest compensated employees were identified. These transactions were coded with the employee's full name within the "EER Report #'s (5A – 5J) Ten Highest Paid Employees" field. This field was left blank for other employees' transactions.
9. Transactions of the top (ten) highest compensated employees were identified as "Ten Highest Paid Employees" within the "Compensation Level" field. Other employees' transactions were labeled as "Not in 10 Highest Paid Group" within this field.
10. Xcel Energy Board of Director-related transactions were identified through the SAP "Internal Order" account field. Transactions coded to "850001936606 - CEO Board of Directors" and a few other internal order accounts were identified to be Board of Director related. In addition, a few other Board of Director-related transactions were coded to the SAP cost element account "5600656 - Fees – Directors". These transactions were coded as "4 - Board of Directors Compensation and Expenses" within the "EER Report #4 Board of Directors" field. Other transactions were coded as "No" within this field.
11. Aviation and Travel Services transactions were identified through the SAP "Internal Order" account field. Transactions coded to "850001904397-35000127-Cessna Sovereign MN", "850001904398-35000128-Cessna Sovereign 680-0266 CO" and "850000007001-30144783-Ops 110-110- Executive (Corp)" were identified to be related to corporate aviation. These transactions were coded as "EER Schedule 8 - Aviation" within the "EER Report # 8 Aviation" field. Other transactions were coded as "No" within this field.
12. Company employees who lobby on behalf of NSPM and Xcel Energy were identified. Their transactions were coded "9 - Lobbyist Employees" within the "Employees Who Lobby From Time to Time" field.
13. Employee expense transactions incurred by employees who lobby from time to time on behalf of NSPM or Xcel Energy were identified and coded as "Lobby from time-to-time" within the "Employees Who Lobby From Time to Time" field. This field was coded as "No" for other employees' transactions.
14. The "Posting GL Acct Desc" field was reviewed for the SAP "Cost Element" account codes identified in Table 1 to this Schedule "EER Cost Element Accounts (SAP)". Whenever a transaction was found with a matching code, the "EER Summary Account"

field was populated with a “Yes”. Transactions coded to all other accounts required for the EER reporting were identified as “No” within this field.

15. For all transactions identified (in Step 14 above), we populated the “Required EER Report Transaction” field as “Yes”. In addition, all other transactions required for the Top Ten Compensated Employees, Board of Directors, Corporate Aviation and Lobbyist Employees were coded as “Yes” in the “Required EER Report Transaction” field. Other transactions not required to be included on the employee expense reports were coded as a “No.” The “Required EER Report Transaction” field would be used at the end of the process to help develop the EER Reports. This field was used to sort-out only those transactions that would ultimately be included on the various EER Schedules.
16. Transactions coded to “Below-the-Line” FERC accounts based on the SAP “Cost Element” accounts (5600286 Non-Recoverable Recognition, 5600606 Dues – Lobbying, 5600626 Contributions - Charitable, 5600631 Contributions - Community Sponsorships, 5600641 Contributions - Economic Development, 5600636 Contributions - Civic and Political, 5600616 Dues - Chamber of Commerce, 5600621 Dues - Social Service, 5600696 Deductions - Corporate Tickets, and 5600701 Deductions Other) were identified. These transactions were coded as “Below” within the “Above / Below the Line” field. For all other transactions, their respective FERC account assignment determined whether they were coded as “Above” or “Below” within this field.
17. Lobbyists’ transactions coded to “Below-the-Line” FERC accounts based on the SAP “Internal Order” accounts 200000038008-30150979-OpCoNSPM-CS-Cser-811002-9951, 200002061708-Mapping-628005-995101, 200002061710-Mapping-628105-995101 and a few other internal order accounts were identified. These transactions were coded as “Below” within the “Above / Below the Line” field.
18. Based on the SAP “Cost Element” accounts included on the Company’s EER reports, the combined total number of SumTotal system above the line transactions reviewed was 196,212.
19. Life Event-related transactions that were posted to the SAP “Cost Element” account “5600276 - Life Events” were identified and coded with the word “Yes” in the “Rate Case Adj. Transaction” field for inclusion in the 2021 test year employee expense adjustment.
20. A list of “key words” that would be used to search the data set for transactions which may not be appropriate for rate recovery was developed. The key word list was formed from our experience in past electric rate cases and was designed to identify expenditures related to sporting and entertainment events, life events, recreation, celebrations, recognition, international travel and lobbying. The key word list contains 124 words and is provided as Table 2 to this Schedule.
21. The key word search was performed on transactions coded both as having the “EER Summary Cost Element” field populated with a “Yes” and the “Above-The-Line” field populated as “Above” on the following SumTotal transactional fields: “Expense Type Name”, “Sub Expense Type”, “Business Purpose”, “Line Description”, “Report Name and “Merchant”.
 - a. Alcohol-related transactions were labeled “Alcohol” within the “Key Word” analytic field. In addition, key word searches were performed to identify any other alcohol-related transaction that was incorrectly coded, or that was not itemized and reported within the “Sub Expense Type” field as being alcohol-related. Alcoholic beverage-related transactions were coded with the word “Yes” in the “Rate Case Adj. Transaction” field for inclusion in the 2021 test year employee expense adjustment.

- b. International travel related transactions were identified and labeled as “Yes” within the “International Travel” field and labeled “International” within the “Key Word” field, with the exception of international travel alcohol-related expenses which were labeled “Alcohol.” Transactions coded under the “Expense Type” as “Airfare – International” were labeled “International” within the “Key Word” field. Other transactions of those employees who assigned airline costs to “Airfare – International” were reviewed to identify the related lodging, meals and other costs associated with their international travel. These transactions were also labeled as “International” within the “Key Word” field. Finally, other transactions of those employees having traveled abroad were searched based on the “Expense Incurred Date”, “Business Purpose”, “Line Description”, “Report Name” and “Merchant” to identify any remaining transactions associated with their international travel. These transactions were labeled as “International” within the “Key Word” field.
- c. Transactions that were not posted to the SAP “Cost Element” account “5600276 - Life Events” but that were later identified by key words associated with life events such as “Funeral”, “Bereavement”, “Flowers”, “Floral”, “Wedding”, “Birthday”, “Baby”, etc. were coded with the word “Yes” in the “Rate Case Adj. Transaction” field for inclusion in the 2021 test year employee expense adjustment.
- d. Gift-related transactions processed to merchant OC Tanner using the corporate recognition program Xcelebrate were identified and coded with the word “Yes” in the “Corporate Recognition” field and were not included in the 2021 test year employee expense adjustment. Corporate-related recognition gifts presented under the Xcelebrate program were coded as “Recognition (Gift)” within the “Key Word” field.
- e. Gift related transactions that were not previously identified by the key word search process and that were coded under the “Expense Type” of “Recognition - Safety” were identified and labeled as “Recognition (Safety)” within the “Key Word” field.
- f. Gift related transactions that were not previously identified by the key word search process were identified and labeled as “Gift” within the “Key Word” field if not coded under the “Expense Type” of either “Life Event Gifts”, or “Recognition - Safety”.
- g. Other gift-related transactions were identified and labeled as “Gift” within the “Key Word” field if they were not previously identified by the various key words (other than “Gift”) but were coded under the “Sub-Expense Type” of “Career Event-Gift”, “Engagement-Gift”, “Recognition-Gift”.
- h. Recognition related transactions were identified and labeled as “Recognition (Meals)” within the “Key Word” field if not identified by the various key words (other than “Recognition”) but coded under the “Sub-Expense Types” of “Recognition - Meals”, “Career Event-Meal”, or “Engagement-Meal”.
- i. Recognition-related transactions were identified and labeled as either “Recognition (Gift)”, or “Recognition (Meals)”, within the “Key Word” field if not identified by the various key words (other than “Recognition”) but were coded under the “Sub-Expense Type” of “Engagement-Event”.
- j. Recognition related transactions were identified and labeled as “Recognition (Safety)” within the “Key Word” field if not identified by the various key words (other than “Recognition”) but that were coded under the “Expense Type” of “Recognition - Safety.”

- k. Recognition related transactions were identified and labeled as “Recognition (Gifts)” within the “Key Word” field if not identified by the various key words (other than “Recognition”) but were coded under the “Sub-Expense Type” of “Recognition - Gifts.”
 - l. The Business Purpose field of transactions that were identified by searching for the recognition-related key words “Appreciation”, “Award”, “Event”, “Thank You”, “Gift” and “Recognition” was inspected to determine whether the transaction pertained to safety. The safety-related transactions were assigned “Recognition (Safety)” within the “Keyword” field.
 - m. Key word searches often included any conceived common abbreviations of words, such as “Tckt” or “Tix” for “Ticket”, “Avs” for “Avalanche”, “T-Wolves” or “Wolves” for “Timberwolves”, etc. The 2021 test year adjustment does not include costs related to retirement “workshops / seminars”, “Retiree Broker Finalists,” nor “Reach Retirement,” etc. that were identified by searching for the key word “Retirement.” The 2021 test year adjustment does include the celebration/appreciation/meals/gift-related and specific travel-related expenses associated with “Retirement” events.
22. Transactions initially identified through the key word search process, or other cursory review, were subsequently reviewed, line by line, to confirm if the transaction should be included in the rate case adjustment. Examples of transactions identified as part of the key word search but appropriate for rate recovery could include those incurred with vendors such as Holiday Inn Express, or Holiday Station Store when searching for the word “Holiday”, etc. Transactions identified through the key word search process, or other cursory review, but that are not a part of the rate case adjustment are coded as “FALSE / OK” within the “Rate Case Adj. Transaction” field.
23. Transactions for Meals > \$65 per Attendee were identified. Meal transactions having costs exceeding \$65 per attendee were identified as “Yes” within the “Meals > \$65 per Attendee” field. These transactions were identified based on review of the SumTotal systems’ “Cost Per Attendee” data field. The entire amount of the excluded transactions’ total cost that was allocated to the State of Minnesota electric retail jurisdiction was included in the 2021 test year adjustment by coding the “Rate Case Adj. Transaction” analytic field with the word “Yes”.
24. Transactions that are not a reasonable cost of service, based on our prior experience, including large transaction amounts for airfare or lodging, etc. were identified. This was a line-by-line, field-by-field review. Transactions that would have more appropriately been recorded “below the line” were identified by populating the “Flagged Transaction” analytic field with the word “Yes”. These transaction costs were coded with the word “Yes” in the “Rate Case Adj. Transaction” field for inclusion in the 2021 test year adjustment.
25. Transactions that could have a “vague” business purpose were reviewed. A line-by-line review of the “Business Purpose” field of all remaining above the line EER-related transactions that had not previously been assigned the word “Yes” within the “Rate Case Adj. Transaction” field for inclusion in the rate case 2021 test year adjustment was completed. If the “Business Purpose” field, in isolation, could not convey enough detail about the purpose of the transaction, the word “Yes” was placed within the “Vague Business Purpose Desc.” field. Examples include single-word entries such as “Dinner,” “Airfare,” “Travel,” and “Meeting.” A line-by-line review of those transactions flagged “Yes” was performed using a combination of the Business Purpose and Line Description

fields to determine if the business purpose remained vague. Since many of the initially flagged transactions contained only acronyms, the acronyms were reviewed in conjunction with other transaction data fields. A list of 229 acronyms that are commonly used by our employees was developed. It is not intended to be a complete list of every acronym found in the Business Purpose field. It demonstrates that hundreds of industry acronyms are used by our employees and are not necessarily vague descriptions of their activities and costs. The acronym list is provided as Table 3 to this Schedule.

26. If the combined documentation properly supported the transaction, the transaction cost was coded as “FALSE / OK” within the “Rate Case Adj. Transaction” analytic field. The respective cost for each of the remaining transactions identified as having a “vague” business purpose were coded with the word “Yes” in the “Rate Case Adj. Transaction” analytic field for inclusion in the 2021 test year adjustment.
27. Transactions that were not otherwise identified by the various key words and line-by-line review that pertained to business meals involving only employees were identified. All remaining XES and NSPM employees’ transactions processed with the Expense Type of “Business Meals - Employee Only” were subsequently coded with the word “Yes” in the “Rate Case Adj. Transaction” field for inclusion in the 2021 test year employee expense adjustment.
28. The 2021 test year employee expense adjustment for SumTotal transactions was calculated by selecting all the transactions with “Yes” in the “Rate Case Adj. Transaction” field and summing the amounts that were allocated to the State of Minnesota electric retail jurisdiction to quantify the appropriate aggregate adjustment.
29. The “EER Summary Report 1” which reflects the State of Minnesota electric retail jurisdiction adjusted 2021 budget test year amount was developed. The summary report provides the employee expense-related costs in the following categories that are identified in accordance to the related detail EER Schedule number that has also been provided to report the Company’s 2019 actual expenditures:

- Schedule1 - Travel and Lodging Expenses
- Schedule 2 - Food and Beverage Expenses
- Schedule 3 - Recreational and Entertainment Expenses
- Schedule 4 - Board of Director Expenses
- Schedule 6 - Dues and Memberships Expenses
- Schedule 7 - Gift Expenses
- Schedule 8 - Owned, Leased, or Chartered Aircraft Expenses
- Schedule 9 - Lobbying Expenses

Note: Schedule 5 is a sub-report that provided all transactions of the Company’s ten highest compensated employees and is therefore not included in the list above.

The detailed EER Schedules of 2019 actual expenses were developed:

1. Travel and Lodging Expenses
- 1A. VP and Above Travel and Meal Expenses
2. Food and Beverage Expenses
3. Recreational and Entertainment Expenses
4. Board of Director Expenses
5. EER Schedule 5 provides the transactions of each of the Ten Highest Compensated Employees

6. Dues and Memberships Expenses
7. Gift Expenses
8. Owned, Leased or Chartered Aircraft Expenses
9. Lobbying Expenses
10. SAP Vendor Invoice Management (VIM) Applications Expenses
11. SAP Vendor Invoice Management (VIM) - Nuclear Application Expenses
12. TIME Application Expenses

Each Schedule was given a Line Reference Number. Schedules 1 through 7 include the following SumTotal system data fields:

1. Application
2. Company
3. Expense Incurred Date
4. Expense Category
5. Expense Type
6. Sub Expense Type
7. Business Purpose
8. Line Description
9. Merchant
10. Approved Amount
11. NSPM Company Total Amount
12. NSPM Electric Utility Total Amount
13. State of Minnesota Electric Retail Amount

The following additional data fields are provided on EER Schedules 1A, 2, 3, 5A-5J and 7:

1. Attendees Count
2. Cost Per Attendee

Analysis of Other Company Systems

There may be employee expenses in Company systems other than SumTotal so an analysis was performed on the transactions processed in the SAP Vendor Information Management (VIM), SAP Vendor Information Management (VIM) – Nuclear and TIME payroll systems.

SAP-VIM:

1. In 2019, there were 5,988 transactions processed by the Xcel Energy Service Company (XES) and the NSPM Operating Company (NSPM) to the cost element accounts included in the employee-related expense analysis. Of these, the vast majority, 84%, pertain to 5,041 reimbursement request transactions entered by NSPM Company Time Keeper employees to re-fund their respective corporate petty cash accounts for non-labor expense entries incurred by the NSPM union work force across all business areas which are reported within the TIME system. Examples of these entries are per diems, meal allowances, mileage, site allowance, and safety shoes, uniforms, and other similar charges. These expenses are processed within the TIME system so that they are properly reported to the Internal Revenue Service and included in these employees' annual W2 wage statements.
2. Data was queried for XES and NSPM transactions coded to the accounts included on the Company's EER reports, as provided in Table 1 "EER Cost Element Accounts (SAP)". This was done to focus only on transactions that were either direct assigned, or that were

allocated in part to the NSPM Operating Company. Transactions that did not directly assign or allocate any costs to the NSPM legal entity were excluded from the data set. The results of the query were exported to a Microsoft Excel worksheet for further analysis and to enable sharing the information with others.

3. Data fields in the Microsoft Excel file include: "Company Code", "Vendor", "Document Date", "Item Text", "Document Type", "G/L Account Desc", "Internal Order – Key", "IO TYPE" and "Amount".
4. Data fields (appended in the spreadsheet's columns following the raw data) were added to track, analyze, and summarize the detailed transactions: "EER Report #", "Line Ref. #", "Year", "Vendor Category", "Above / Below the Line", "Transaction Sort" and "Rate Case Adj. Transaction".
5. Data fields (columns) were added to the file to manually calculate the amount of each transaction's total that was allocated to the NSPM Company, NSPM Company Electric Utility and to the State of Minnesota electric retail jurisdiction. The allocations were derived by matching the accounting used for the transaction against tables of the Company's SAP general ledger accounting system data and then assigning the associated allocation factors using Microsoft Excel VLookup functions. The analysis was then restricted to 5,873 transactions which ultimately allocated to above-the-line expense to the State of Minnesota Electric Retail jurisdiction, or as a below-the-line expense to the NSPM Company.
6. Transactions coded to "Below-the-Line" FERC accounts based on the cost element accounts 5600286 Non-Recoverable Recognition, 5600606 Dues – Lobbying, 5600626 Contributions - Charitable, 5600631 Contributions - Community Sponsorships, 5600641 Contributions - Economic Development, 5600636 Contributions - Civic and Political, 5600616 Dues - Chamber of Commerce, 5600621 Dues - Social Service, 5600696 Deductions - Corporate Tickets, and 5600701 Deductions Other were identified. These transactions were coded as "Below" within the "Above / Below the Line" field. For all other transactions, their respective FERC account assignment based on the SAP internal order used determined whether they were coded as "Above" or "Below" within this field.
7. The "Vendor Category" field was used to identify whether the transactions pertained to a vendor, Board, or Time Keeper/Employee reimbursement "Request For Payment" (RFP) processed in SAP VIM, and then distributed to various time-keeper employees to re-fund their respective corporate petty cash accounts. These transactions are excluded from the EER Schedule 10 - SAP Vendor Invoice Management (VIM) Application Expenses, since these payments are captured through the TIME system (as taxable payments on these employees' W2 tax forms). These transactions were coded as "In TIME System per Time Keeper (=Petty Cash Reimb.)" within the "Vendor Category" field.
8. Xcel Energy Board of Director-related transactions were identified through the SAP "Internal Order" account field. These transactions were coded as "Board of Directors" within the "Vendor Category" analytic field.
9. Vendor-related transactions were coded as "Outside Vendor" within the "Vendor Category" analytic field.
10. Based on the cost element accounts included in the analysis, there were 802 transactions that allocated costs to the State of Minnesota electric retail jurisdiction during 2019. There were 199 employee expense-related transactions processed within the SAP VIM system by employees of the Xcel Energy Service Company (XES) and the Northern States Power Minnesota Operating Company (NSPM). There were 196 transactions related to Xcel

Energy Board of Directors payments and reimbursements, and 407 transactions related to outside vendors.

11. Transactions that would have more appropriately been recorded “below-the-line” were identified. For transactions identified as such, we populated the “Flagged Transaction” analytic field with the word “Yes”. These transaction costs were coded with the word “Yes” in the “Rate Case Adj. Transaction” analytic field for inclusion in the rate case’ 2021 test year employee expense adjustment.
12. The 2021 test year employee expense adjustment for the SAP VIM system’s transactions was calculated by selecting all the transactions with “Yes” in the “Rate Case Adj. Transaction” field and summing the amounts that were allocated to the State of Minnesota electric retail jurisdiction to quantify the appropriate aggregate adjustment.

SAP-VIM-Nuclear:

1. A data file of 2019 transactions from the SAP-VIM-Nuclear system was created. The file contained transactions with SAP cost element accounts corresponding to the “Posting General Ledger Account Description” field in Table 1 to this Schedule. All the resulting transactions were directly assigned to the Northern States Power Minnesota Operating Company (NSPM).
2. Data fields in the SAP-VIM-Nuclear Microsoft Excel file include: “Fiscal Year”, “Period”, “Document Date”, “Document Type”, “Company Code”, “Vendor - Key”, “Document Number”, “Ref. document number”, “Transaction Description”, “Internal Order”, “Cost Element”, “Cost Center Org Lvl 1 Desc” and “Amount”.
3. Analytic data fields (appended in the spreadsheet’s columns following the raw data) were added to track, analyze, and summarize the detailed transactions: “Application”, “EER Summary Object Account”, “EER Report #”, “Line Ref. #”, “FERC Account”, “Above / Below the Line”, and “Rate Case Adj. Transaction”.
4. Data fields (columns) were added to the file to manually calculate the amount of each transaction’s total that was allocated to the NSPM Company, NSPM Company Electric Utility and to the State of Minnesota electric retail jurisdiction. The allocations were derived by matching the accounting used for the transaction against tables of the Company’s SAP general ledger accounting system data and then assigning the associated allocation factors using Microsoft Excel VLookup functions. Based on the cost element accounts included in the analysis, the total number of SAP-VIM-Nuclear system 2019 transaction lines reviewed was 95. Each of these employee expense-related transactions included in the analysis allocated some expense to the State of Minnesota electric retail jurisdiction.
5. Transactions were reviewed line by line to find any employee expenses that may be “below the line” type transactions. In such cases, the transaction would have then been identified by populating the “Rate Case Adj. Transaction” field with the word “Yes”.
6. No costs from the SAP-VIM-Nuclear application, allocated to the State of Minnesota electric retail jurisdiction, were included as an adjustment to the 2021 test year.

TIME:

1. The TIME payroll system’s data was queried for the Xcel Energy Service Company (XES) and the NSPM Company employees’ non-labor transactions coded to the cost element accounts included on the Company’s EER reports, as provided in Table 1 “EER Cost Element Accounts (SAP)”. This provided transactions that were direct assigned to the

NSPM Operating Company. The results of the queries were exported to Microsoft Excel files and combined for further analysis and to enable sharing the information with others.

2. The total number of TIME system 2019 transaction lines reviewed was 118,107. Of these transactions, 96,528 assigned cost to the State of Minnesota electric retail jurisdiction.
3. Data fields in the TIME file include: “CO” (Company), “WORK.DT”, “ERNCD DESCR” (Earnings Code Desc), “SAP GL ACCT” (SAP General Ledger Account), “Internal Order”, “LVL2 DESCR” (Business area), “LVL3 DESCR” (Sub-Business area), “DEPT DESCR”, “UNION” (employee’s category - assigned as ‘Yes’, or ‘No’), “Year”, “Period” and “Total Amount”.
4. Analytic data fields (appended in the spreadsheet’s columns following the raw data) were added to track, analyze, and summarize the detailed transactions: “EER Summary Cost Element”, “EER Report #”, “Line Ref. #”, “Utility”, “Above / Below the Line”, and “NSPM MN Electric 2019 Test Year Adj. Transaction”.
5. Data fields (columns) were added to the file to manually calculate the amount of each transaction’s total that was allocated to the State of Minnesota electric retail jurisdiction. The allocations were derived by matching the accounting used for the TIME system transaction against tables of the Company’s SAP general ledger accounting system data and then assigning the associated allocation factors using Microsoft Excel VLookup functions.
6. The transactions having activity in 2019 against the accounts included on the Company’s EER reports were coded to “Above-the-Line” accounts.
7. The non-labor transaction lines identified within the TIME application were associated with NSPM union employees’ tax reportable reimbursements.
8. The TIME application “Earnings Codes” are summarized in Table 4 “TIME Earnings Codes” located at the end of this document.
9. Transactions were reviewed to find any employee expenses that may be “below the line” type transactions. No transactions that would have more appropriately been recorded “below the line” were identified.
10. No costs from the TIME application, allocated to the State of Minnesota electric retail jurisdiction, were included as an adjustment to the 2021 test year.

Test Year Adjustment

The analysis described above resulted in the following employee expense-related adjustment, reducing the 2021 Budget Test Year cost of service request included in the 2020 State of Minnesota Electric Utility rate case filing:

Based on Service Company & NSPM Company employees' 2019 transactions	Total Amount	NSPM Total Amount	NSPM Electric Utility Above the Line Amount	State of MN Electric Retail Adjustment Amount
SumTotal				
Key Word Search	\$ 1,299,476.14	\$ 750,459.82	\$ 710,512.01	\$ 584,574.43
Business Meals - Employee Only	\$ 1,060,217.19	\$ 708,605.10	\$ 687,193.46	\$ 567,338.01
Flagged Transactions	\$ 723,792.93	\$ 354,209.89	\$ 330,177.79	\$ 278,366.00
Vague Business Purpose	\$ 149,224.31	\$ 92,169.62	\$ 88,242.30	\$ 72,960.82
Life Events	\$ 30,153.53	\$ 19,179.82	\$ 18,382.09	\$ 15,117.03
Meals > \$65 per Attendee	\$ 47,792.70	\$ 28,109.69	\$ 27,067.78	\$ 22,165.63
Subtotal	\$ 3,310,656.80	\$ 1,952,733.94	\$ 1,861,575.43	\$ 1,540,521.91
SAP-VIM				
Flagged Transactions	\$ 47,865.15	\$ 35,890.03	\$ 32,954.18	\$ 28,727.79
SAP-VIM - Nuclear				
Flagged Transactions	\$ -	\$ -	\$ -	\$ -
TIME (Non-Labor)				
Flagged Transactions	\$ -	\$ -	\$ -	\$ -
	\$ 3,358,521.95	\$ 1,988,623.96	\$ 1,894,529.61	\$ 1,569,249.70

Table 1 - EER Cost Element Accounts (SAP)

EER Summary Cost Element Account Grouping	Description	Posting GL Acct Desc
1 - Travel and Lodging Expenses	Travel and Lodging Expenses	5600191 - Employee Expenses Airfare 5600196 - Employee Expenses Car Rental 5600201 - Employee Expenses Taxi and Bus 5600206 - Employee Expenses Mileage 5600231 - Employee Expenses Parking
	Lodging Expenses	5600216 - Employee Expenses Hotel
	Misc. Travel Expenses	5600211 - Employee Expenses Conf Seminar Trng 5600236 - EE Expenses Per Diem 5600246 - Employee Expenses Other
2 - Food and Beverage Expenses	Meal Expenses	5600221 - Employee Expenses Meals 5600226 - Employee Expenses Meals Non-Employee
3 - Recreational and Entertainment Expenses	Tickets and Other Entertainment Expenses	5600286 - Non - Recoverable Recognition 5600696 - Deductions - Corporate Tickets 5600701 - Deductions - Other
4 - Board of Directors Compensation and Expenses	Director Fees and Expenses	5600656 - Fees - Directors
6 - Dues	Professional and Social Dues	5600591 - Dues - Professional Association 5600606 - Dues - Lobbying 5600616 - Dues - Chamber of Commerce 5600621 - Dues - Social Service
7 - Gifts	Recognition and Rewards	5600246 - Employee Expenses Other 5600271 - Safety Recognition 5600276 - Life Events 5600281 - Employee Performance Recognition
9 - Lobbying	Civic and Political Expenses (FERC 426.4)	5600636 - Contributions - Civic and Political

Table 2 - Key Word Search List

Search Order	Key Word	Search Order	Key Word
1	Alcohol	63	Legis
2	Drinks	64	Lobby
3	Liquor	65	Political
4	Brewery	66	PUC
5	Cocktails	67	PAC
6	Beverage	68	Repr
7	International	69	Senat
8	Golf	70	Brand
9	Open	71	Sponsorship
10	Avalanche	72	Team Building
11	Broncos	73	Coach
12	Gophers	74	Retirement
13	Nuggets	75	Thank You
14	Rockies	76	Gala
15	Saints	77	Birthday
16	Timberwolves	78	Anniv
17	Wolves	79	Farewell
18	Twins	80	Going Away
19	Vikings	81	Last Day
20	Wild	82	Wedding
21	Bowl	83	Baby
22	Curling	84	Bridal
23	Fish	85	Shower
24	Hockey	86	Bagel
25	Hunt	87	Bereavement
26	Lucky Strike	88	Cookies
27	Motocross	89	Doughnut
28	Skeet	90	Donut
29	Ski	91	Flowers
30	Vail	92	Floral
31	Face Plant	93	Florist
32	Tennis	94	Funeral
33	Final Four	95	Fruit
34	Tournament	96	Ham
35	WCHA	97	Turkey
36	Game	98	Refreshments
37	Super Bowl	99	Snacks
38	Concert	100	Trinkets
39	Ticket	101	New Employee
40	Levy (events & tickets)	102	First Day
41	Pepsi	103	Welcome
42	Mall of America Field	104	Get Together
43	HHH	105	Rotary
44	Allianz Field	106	Club
45	Coors Field	107	Social
46	U.S. Bank Stadium	108	Event
47	Target Field	109	Celebration
48	TCF Stadium	110	Party
49	MN United	111	Award
50	Casino	112	Gift
51	Hooters	113	Prize
52	Movie	114	Spouse
53	Video	115	Spa
54	Resort	116	Retreat
55	Yacht	117	AGA
56	Holiday	118	American Gas
57	Christmas	119	Edison Electric
58	XMAS	120	EEI
59	Chamber	121	Appreciation
60	Commission	122	Recreation
61	Contribution	123	Entertainment
62	Election	124	Recognition

Table 3 – Commonly Used Acronyms

Count	Acronym	Definition	Definition's Source
1	ACS	"Dues" - American Chemical Society (ACS) is a congressionally chartered independent membership organization which represents professionals at all degree levels and in all fields of chemistry and sciences that involve chemistry.	Internet
2	AGA	American Gas Association	Internet
3	AICPA	"acct assn" - American Institute of CPAs	Internet
4	AIHA	American Industrial Hygiene Association	Internet
5	ANS	"Dues" - The American Nuclear Society (ANS) is a not-for-profit, international, scientific and educational organization. It was established by a group of individuals who recognized the need to unify the professional activities within the diverse fields of nuclear science and technology.	Internet
6	APDA	American Power Dispatchers Association. Founded in 1946 for the purpose of encouraging and promoting the formulation and attainment of higher professional standards among System Operators (Load Dispatchers and Power Dispatchers), and for the purpose of facilitating the interchange of ideas and information, as well as for the development of a spirit of fellowship, the APDA continues to promote excellence in individual education and professional operation of the North American Bulk Electric System.	Internet
7	ARCM	"Travel for Substation Reliability Summit, ARCM kickoff meeting, and various other meetings" - ARCM stands for Adaptive Reliability Centered Maintenance.	Employee
8	ASDSO	ASDSO - Association of State Dams Safety Officials. In addition to being regulated by FERC DDS we also fall under State Requirements for Security and for two of our dams that is our only regulator.	Employee
9	ASME	American Society of Mechanical Engineers	Internet
10	ATV	Accrediation Team Visit, every four years our training programs in the nuclear area need to be Accredited, similar to accreditation for colleges. Without having an accredited training program, nuclear plants are not allowed to operate.	Employee
11	AWA	Alternative Work Arrangements - roll out of the flexible work arrangement program	Employee
12	BART	BART - Best Available Retrofit Technology evaluations (Energy Supply business area)	Employee
13	Boiler MACT	""Boiler MACT"" is the name given to national emission standards being promulgated by the Environmental Protection Agency in an effort to curb emissions of hazardous air pollutants (HAP) from industrial boilers and process heaters.	Internet
14	BWROG	"BWR (Boiling Water Reactor) Owners' Group (nuclear) - Mission: To provide a forum, in the spirit of partnership with GE, where utility members can achieve higher plant reliability,	Internet

		<u>maintain and improve plant safety, minimize and share costs and facilitate regulatory interaction.</u>		
15	Byron	"Byron benchmarking" - RESULTS OF THE BYRON NUCLEAR POWER STATION UNITS 1 AND 2 SIGNIFICANCE DETERMINATION PROCESS PHASE 2 NOTEBOOK BENCHMARKING VISIT		Internet
16	CACJA	Clean Air Clean Jobs Act - In late 2010, the Colorado Public Utilities Commission approved an emissions reduction plan for Xcel Energy under the state's Clean Air-Clean Jobs Act.		Internet
17	CGA	Compressed Gas Association (CGA) develops and promotes safety standards and safe practices in the industrial gas industry.		Internet
18	CIPAC	CIPAC - Critical Infrastructure Protection Advisory Council.		Employee
19	CIPC	"NERC Critical Infrastructure Protection Committee (CIPC) - coordinates NERC's security initiatives. The group is comprised of industry experts in the areas of cyber security, physical security, and operational security. CIPC reports to NERC's Board of Trustees. It is governed by an Executive Committee, whose members manage CIPC policy matters and provide support to CIPC's subcommittees and their working groups and task forces.		Internet
20	CLE	Continuing legal education (CLE; also known as MCLE (mandatory or minimum continuing legal education)) is professional education of lawyers that takes place after their initial admission to the bar.		Internet
21	CMBG	"CMBG Conference" - Configuration Management Benchmarking Group (CMBG)		Internet
22	CONTE	"The American Nuclear Society (ANS) is a not-for-profit, international, scientific and educational organization. It was established by a group of individuals who recognized the need to unify the professional activities within the diverse fields of nuclear science and technology. ""CONTE"" stands for Conference on Nuclear Training and Education - An International Forum on Nuclear Training, Education and Workforce Issues.		Internet
23	COSS	Cost of Service Study		Employee
24	CRIB	Any items on the report that say CRIB are items purchased to support Monticello inprocessing at the Chelsea Road Inprocessing Building (CRIB).		Employee
25	CRM	CRM - Customer Relationship Management software.		Employee
26	CRMOC	Corporate Risk Management Oversight Committee		Employee
27	CSAPR	"CSAPR DC 10/02-10/04" - Judicial Review of EPA's Cross State Air Pollution Rule (CSAPR) - imposes limits on the interstate transport of emissions of nitrogen oxides ("NOx") and sulfur dioxide ("SO2") from multiple states in the eastern, Midwestern, and southern United States that, according to the Environmental Protection Agency (EPA), affect the ability of downwind states to attain and maintain compliance with national air quality standards for particulates and ozone.		Internet

28	CVI 15	CVI0015 is "Compliance Violation Investigation #15". The number is assigned by NERC. This is an investigation instituted by NERC "North American Reliability Corporation" who are the regulators overseeing the FERC mandated reliability standards. The investigation is still open and legal holds on all aspects remain in place at this time.	Employee
29	DBO	Distribution Business Operations	Employee
30	DEMS	DEMS stands for Dynamic Energy Management System. The EMS is used in the control centers to manage, monitor, and control the power flow in and grid. NSP, PSCo & SPS are replacing the current Siemens EMS with a GE EMS.	Employee
31	DHS SSA	DHS SSA for Dams - Department of Homeland Security Sector Specific Agency for Dams which is responsible for Dams security.	Employee
32	DHS TSA	"DHS TSA - Department of Homeland Security Transportation Security Administration Office of Pipeline Security which under Secretarial Agreement with the Department of Transportation Regulates our Gas Asset Security.	Employee
33	DistribuTECH	DistribuTECH is the utility industry's leading smart grid conference and exposition, covering automation and control systems, energy efficiency, demand response, renewable energy integration, advanced metering, T&D system operation and reliability, power delivery equipment and water utility technology.	Internet
34	DLT	Distribution Leadership Team	Employee
35	DO	Distribution Operations	Employee
36	DSCC	DSCC - Department of Homeland Security (DHS) Critical Infrastructure Advisory Council (CIPAC) Dams Sector Coordinating Council (DSCC). This is the Private Sector Dam Owner and Operator Coordinating Council.	Employee
37	E&A support	E&A is a required Plant Evaluation and Assessment that is run by the Industry of Nuclear Power Operators and the report and grades are given directly to the CEO – this is a requirement of the operation of nuclear units throughout the country.	Employee
38	EAM	EAM: ideas related to an enterprise asset management and work management system(s). This term is commonly used in connection with the Productivity Through Technology initiative.	Employee
39	ECR	Employee Concerns Program in conjunction with the Management Safety Review Committee.	Employee
40	EDRM	Electronic document and records management (EDRM) aims to enable organizations to manage documents and records throughout the document life-cycle, from creation to destruction.	Internet
41	EDS	EDS stands for "Electric Distribution Standards"	Employee
42	EEAC	"Training for managers in Amarillo, EEAC Conference in New Orleans and Business meetings in Denver". The Equal Employment Advisory Council (EEAC) is a nonprofit employer association founded in 1976 to provide guidance to its member companies on understanding and complying with their EEO and affirmative action obligations.	Internet

43	EEI	Edison Electric Institute	Internet
44	ELS for Diversity	""50% of 2-day workshop by ELS for Diversity"" - Enlightened Leadership Solutions (ELS) Leadership Development training seminars. - We (ELS) Make Managers Into Leaders quickly and effectively and guarantee your results. The Leadership Challenge: Numerous studies indicate that people join organizations, but they leave bosses. Up to 80% of employee turnover is directly caused by ineffective managers and leaders. Intangible assets like knowledge and information, while hard to measure, account for as much as 75% of an organization's value.	Employee
45	EMD	"Training for EMD Diesel Engines at Engine Systems Inc. in Rocky Mount, NC." - Electro Motive Diesel (EMD) Engines	Internet
46	EMDOG	Emergency Diesel Generator Owners Group	Employee
47	ENTELEC	ENTELEC is a User Association focusing on communications and control technologies used by petroleum, natural gas, pipeline and electric utility companies.	Internet
48	EP	""Mileage Reimbursement for EP meeting in Minneapolis." - Emergency Planning is what EP stands for and is the name of the department that I previously supported.	Employee
49	EPRI	The Electric Power Research Institute (EPRI) is an independent, non-profit company performing research, development and demonstration in the electricity sector for the benefit of the public.	Internet
50	EPRI CBUG	The Electric Power Research Institute (EPRI) is an independent, non-profit company performing research, development and demonstration in the electricity sector for the benefit of the public. The EPRI Circuit Breaker Users Group (CBUG) facilitates meetings on each breaker and are intended to provide open discussions on maintenance, maintenance programs, technical issues, operations and maintenance experiences, tools and techniques, motor control center maintenance, switchgear and bus maintenance.	Internet
51	EPU	Electric Power Uprate	Employee
52	ERCM	Electronic Records Content Management. General Counsel was the first department to fully implement it. The software is called Meridio.	Employee
53	ERO	Electric Reliability Organization (Transmission)	Employee
54	ERSC	"Travel to FERC and MISO" -Energy Regional State Committee	Internet
55	ERWG INPO	INPO - the Equipment Reliability Working Group (ERWG)	Internet
56	ESRI	"Certification" - Esri Technical Certification exams are delivered exclusively at Pearson VUE testing centers, worldwide.	Internet
57	EUEC	""EUEC conference"" - ENERGY UTILITY ENVIRONMENT CONFERENCE	Internet
58	EU-HRMG	"Travel to Scottsdale (EU-HRMG), Denver" - Electric Utility-HR Metrics (EU-HRMG). The EU-HRMG is a nuclear industry-wide benchmarking project. The primary focus, in addition	Internet

			to benchmarking, is HR Metrics and Staffing & Recruiting for the future.	
59	FAT		Factory Acceptance Test (FAT)	Employee
60	FEI		"FEI Annual Dues" - Financial Executives International (FEI) Financial Executives International (FEI) is a member-service oriented organization based in Morristown, New Jersey for senior-level financial executives in companies in varying sizes, both public and private, and in all industries.	Internet
61	FEMA		The Federal Emergency Management Agency (FEMA) is an agency of the United States Department of Homeland Security.	Internet
62	FERC		Federal Energy Regulatory Commission	Employee
63	FERC DDS		FERC DDS - Federal Energy Regulatory Commission Division of Dam Safety also responsible for/regulates dam security.	Employee
64	FFD		Fitness For Duty	Employee
65	FHR		Flint Hills Resources	Employee
66	FOF		Force On Force exercises.	Employee
67	FPED		Force Protection Equipment Demonstration (nuclear plant security). Equipment to meet current and evolving force protection needs, anti-terrorist requirements, and the demands of an increasingly broad range of other physical security threats and challenges.	Internet
68	FRRB		Fuel Reliability Review Board	Employee
69	FSA		FSA is an acronym for focus self-assessment. Duane Arnold is a Nuclear power plant in Cedar Rapids Iowa.	Employee
70	FSRUG		FSRUG Feedwater System Reliability User's Group - A way for Feedwater System Engineers to connect, share operational experiences, and recommended practices in order to ensure reliable plant operations.	Internet
71	Future State		Future State teams in HR - Talent Mgmt to develop improvement initiatives regarding leadership, performance management, succession planning, culture, assessments, and on boarding.	Employee
72	FWH		"Travel to Pittsburgh to evaluate crack found in FWH @ Holtec Inc." - Feed Water Heater (FWH). Holtec International, a Delaware corporation, is a global turnkey supplier of equipment and systems for the Nuclear, Solar, Geothermal and Fossil Power Generation sectors of the energy industry.	Internet
73	FWSI		BWR (Boiling Water Reactor) Owners' Group (nuclear) Feedwater System Improvement (FWSI)	Internet
74	GCC		GCC - Department of Homeland Security (DHS) Critical Infrastructure Advisory Council (CIPAC) Government Coordinating Council (GCC).	Internet
75	GE7FA Users Group		"GE7FA Users Group - To provide an open forum through conferences and technological aids, to the Owners/Operators of General Electric Frame 7F/7H/9F/9H/6FA generator systems for effective communication, discussion, and information dissemination regarding the operation, maintenance, inspection, troubleshooting, and repair of such systems to maximize equipment performance and reliability.	Internet

76	GPTC	Gas Piping Technology Committee / American Gas Association.	Employee
77	Grede	""Grede Meeting"" - Grede is Grede Foundries, a Minnesota retail customer located in St Cloud, MN	Employee
78	Hope Creek Benchmarking	"Hope Creek Benchmarking; Industry benchmarking for resolution of red / yellow systems" - U. S. Nuclear Regulatory Commission - Hope Creek Generating Station: Additional benchmarking to establish scale model test (SMT) flow rates more representative of main steam flow speeds at current licensed thermal power (CLTP) and EPU conditions.	Internet
79	HTAC	The HTAC is the US Secretary of Energy's Hydrogen and Fuel Cell Technical Advisory Committee. I was appointed by the Secretary to this Committee several years ago and serve as the only utility representative on the Committee. Many of the issues discussed are of relevance to Xcel Energy and utilities in general (both gas and electric), such as stationary fuel cells in distributed generation applications and hydrogen energy storage for renewables integration applications.	Employee
80	HRBC	HRBC stands for Human Resource Business Consultant. The purpose of HRBC meetings is to bring all HRBC's (assigned to various business areas) together as a staff to discuss updates on ongoing HR initiatives (i.e., MERIT increases, IPAD, etc), upcoming roll out of new / or changes to initiatives or policy changes and focus on continuity in policy interpretation around HR issues across the company.	Employee
81	IECA	International Energy Credit Association. This is an organization which provides training to credit and contract administration professionals in the energy credit industry. These conferences have training sessions reflecting new contract issues impacting the industry, in 2012, this conference focused a lot on Dodd Frank contracting compliance issues.	Employee
82	IEEE	"Industry Dues" - IEEE, pronounced "Eye-triple-E", stands for the Institute of Electrical and Electronics Engineers. IEEE is the world's largest professional association dedicated to advancing technological innovation.	Internet
83	IH	Industrial Hygiene - Corporate Industrial Hygiene Support	Employee
84	ILRT	Prairie Island plant integrated leak rate test (ILRT).	Employee
85	INPO	INPO - The Institute of Nuclear Power Operations promotes excellence in the operation of nuclear electric generating plants.	Internet
86	INPO ATV	INPO Accreditation Team Visit. (ATV)	Internet
87	INPO E&A	INPO E&A and Training Accreditation Auditor.	Internet
88	INPO EAG	INPO - Advisory Group (EAG)	Internet
89	INPO SOER	INPO - SOER 10-2, "Engaged, Thinking Organizations" which says you need to have a "thinking" organization.	Internet
90	IPAD	Individual Performance And Development (IPAD) - Corporate employee performance evaluation reporting and review process.	Employee
91	IPTF	Interconnection Process Task Force	Employee
92	IRC	Investment Review Council	Employee

93	IRWA	IRWA - The International Right of Way Association (IRWA) creates public awareness, trust and confidence in the right of way process. IRWA has united the efforts of its members toward professional development, strong ethics and improved service to employers and the public, along with advancements within the right of way profession. IRWA is the unsurpassed source of right of way educational programs and professional services worldwide. Dedicated exclusively to the right of way profession, IRWA has nearly 10,000 members throughout the U.S. and Canada. Our members are multi-disciplined professionals employed by private industry and government agencies.	Internet
94	ISA	ISA Resources -The International Society of Automation is a nonprofit organization that helps its 30000 worldwide members and other automation professionals	Internet
95	ISCD	ISCD - Department of Homeland Security Chemical (Infrastructure Security Compliance Division) which regulates and enforces security for our Registered (18) and Tiered (2) Chemical Facilities.	Employee
96	JAC	"JAC Meeting" - JAC stands for Joint Apprenticeship Subcommittee, which I am a member representing the Chestnut Hazardous Waste Storage Facility and our Union apprenticeship program.	Employee
97	JTA	JTA - Job and Task Analysis. I was assessing each Operators capability to perform Power System Operations tasks in accordance with NERC Standard PER-005, Requirement 2.	Employee
98	KPI	Key Performance Indicator	Employee
99	KPMG	"KPMG is a global network of professional firms providing Audit, Advisory and Tax services. KPMG's Executive Education Continuing Education for Corporate Executives and their Staffs.	Internet
100	KPMG IFRS	Meet with KPMG regarding International Financial Reporting Standards (IFRS) readiness assessment proposal." KPMG is a global network of professional firms providing Audit, Advisory and Tax services.	Internet
101	LPI	"LPI Meeting" - LPI stands for Liberty Paper Incorporated in Becker, a Minnesota retail electric customer of NSP	Employee
102	LRIWG	Attend the NEI License Renewal Implementation Working Group (LRIWG) meeting in Miami, FL	Internet
103	LRTF	LRTF Meeting supporting license renewal aging management. LRTF stands for (Babcock & Wilcox Owners Group (B&WOG)) License Renewal Task Force	Internet
104	MARC	Mid-America Regulatory Conference	Employee
105	MASMS	"MASMS" - The Minnesota Educational Facilities Management Professionals (also known as MASMS) is a group of over 300 individuals in the area of facilities/grounds/health & safety/operations. The purpose of MASMS is to develop and maintain high standards in the administration, care, operation, planning, budgeting and development of buildings and	Internet

			grounds used by public and non-public educational facilities.	
106	MCT		"MCT" stands for Material Coordination Team, a new team formed under Supply Chain. The main responsibility is ensuring that materials are on time in full for all Substation and Transmission projects prior to construction start. The initiative spans all three OPCO's for coverage and our primary role is coordination of materials from the Supplier/Distributor to the Xcel Energy jobsite and/or Xcel Energy Warehouse for all major Substation and Transmission projects. We are striving for keeping crews working and having the materials at the right time, right place for increased productivity. MCT works with Engineering, Design, Construction, Buyers, Accounts Payable, Project Controls, Sourcing, Suppliers, & Warehousing to accomplish these tasks.	Employee
107	MIPSYCON		"Minnesota Power Systems Conference (MIPSYCON) - provides electric utility engineers and consultants the opportunity to stay abreast of today's power system technology. The conference emphasizes the unique challenges faced by electric utilities in the Midwest. The conference also serves as a forum for power engineers to meet with their colleagues from other utilities to discuss mutual concerns.	Internet
108	MISO		"Midwest Independent System Operator (MISO) is an essential link in the safe, cost-effective delivery of electric power across much of North America. We are committed to reliability, the nondiscriminatory operation of the bulk power transmission system, and to collaborating on creating cost-effective and innovative solutions for our changing industry.	Internet
109	Mk5 Control System training		"Mk5 Control System training in Salem, VA" - GE Energy Technical Training - This course provides training on the essential elements of the Mk V turbine control system. The course will include instruction on the hardware and software components of the Mk V control system and its interface system (HMI). Alarm troubleshooting and LVDT calibration will be central topics of the program.	Internet
110	MNGP		Monticello Nuclear Generating Plant	Employee
111	MNCPA		"acct assn" - Minnesota Society of CPAs	Internet
112	MNOPS		Minnesota Office of Pipeline Safety	Internet
113	MNSEIA		The Minnesota Solar Energy Industries Association (MnSEIA) represents and serves Minnesota energy professionals and solar energy users.	Internet
114	MP		Marquette Plaza office - Minneapolis	Employee
115	MRM		Management Review Meeting - these meetings are conducted to discuss process and expenditure changes that are made by the site management are subsequently reviewed by corporate management to ensure alignment with the Company's business goals.	Employee
116	NAEMA		The North American Energy Markets Association (NAEMA) is an independent, nonprofit trade	Internet

		association representing entities involved in the buying and selling (marketing) of energy or in providing services to the energy industry.		
117	NAPCO	North American Power Credit Organization	Employee	
118	NARUC	"National Association of Regulatory Commissioners (NARUC) is the national association representing the State Public Service Commissioners who regulate essential utility services in your State. NARUC members are responsible for assuring reliable utility service at fair, just, and reasonable rates.	Internet	
119	NDE	Non-destructive examinations	Employee	
120	NEI / NEA	"The Nuclear Energy Institute (NEI) is the policy organization of the nuclear energy and technologies industry and participates in both the national and global policy-making process. NEI's objective is to ensure the formation of policies that promote the beneficial uses of nuclear energy and technologies in the United States and around the world. The Nuclear Energy Agency (NEA) is a specialized agency within the Organization for Economic Co-operation and Development (OECD), an intergovernmental organization of industrialized countries, based in Paris, France.	Internet	
121	NEIL	Nuclear Electric Insurance Limited (NEIL) - The Company insures electric utilities for damages to insured sites, decontamination expenses incurred at such sites arising from nuclear contamination, other risks of direct physical loss at such sites, certain premature decommissioning costs, and the costs associated with certain long-term interruptions of electricity supply.	Internet	
122	NERC	NERC "North American Reliability Corporation" who are the regulators overseeing the FERC mandated reliability standards.	Employee	
123	NESCSL	Nuclear Energy Supply Chain Strategic Leadership	Employee	
124	NFPA	"Codes" - National Fire Protection Association (NFPA) - The world's leading advocate of fire prevention and an authoritative source on public safety, NFPA develops, publishes, and disseminates more than 300 consensus codes and standards intended to minimize the possibility and effects of fire and other risks.	Internet	
125	NICET	"License" - National Institute for Certification in Engineering Technologies (NICET) defines engineering technicians as the "hands-on" members of the engineering team who work under the direction of engineers, scientists, and technologists. More than 125,000 technicians and technologists have met NICET's rigorous certification criteria, and the number grows rapidly as more employers and local and state governments rely on NICET certification to measure the qualifications of their workforce.	Internet	
126	NIEP	Nuclear Industry Evaluation Program (NIEP) - Insights to influence performance excellence at operating nuclear power plants.	Internet	
127	NNSC	The National Nuclear Security Conference is an opportunity for	Internet	

		security professionals to gather, exchange ideas and participate in discussions on the latest industry and Nuclear Regulatory Commission trends.		
128	NRA	"NRA" - The National Rifle Association (PI FOF and Range/Training Items)	Employee	
129	NRC	The Nuclear Regulatory Commission	Internet	
130	NRC RIC	NRC - Regulatory Information Conference (RIC)	Internet	
131	NRRPT	"NRRPT Annual Dues" - The National Registry of Radiation Protection Technologists (NRRPT)	Internet	
132	NSCA	Nuclear Safety Culture Assessment (NSCA) - All operating nuclear power plants strive to receive the coveted INPO "Excellent" rating on their evaluations; therefore, when the organization released the Principles for a Strong Nuclear Safety Culture in late 2004, nuclear power plant owners took notice. The Utilities Services Alliance Inc. (USA) responded to the INPO document and focused on ensuring its member plants operate in what it calls a "Strong Nuclear Safety Culture." USA developed the Nuclear Safety Culture Assessment (NSCA) process tool. The tool's purpose is to evaluate an organization's overall safety culture and provide an early warning of areas where that culture could be beginning to erode. The tool is a formal mechanism that judges plant personnel's behaviors to ensure they maintain the appropriate focus on nuclear safety.	Internet	
133	Nuclear AA/FFD	Nuclear Access Authorization (AA) - The licensee for each nuclear power plant licensed under 10 CFR Part 50 is required to develop, implement, and maintain an Access Authorization (AA) program to protect against an insider threat at the plant. Fitness For Duty (FFD) - implementation of 10 CFR Part 26 Fitness for Duty Program requirements.	Internet	
134	NUCC	Nuclear Utility Coatings Council	Employee	
135	NWSC	Nuclear Waste Strategy Coalition	Employee	
136	ODL	Outdoor Lighting - Distribution Operations	Employee	
137	OH	Overhead Electric Service Lines - Distribution Operations	Employee	
138	PAC	PAC stands for "Program Advisory Committee". This acronym is used by Energy Supply and Nuclear Generation employees. These are quarterly training meetings. The maintenance programs that require these meetings are I&C, Electrical and Mechanical.	Employee	
139	PACT	PACT is the Professional Association of Computer Trainers.	Employee	
140	PBAPS	"Traveled to PBAPS in Delta, Pa to walk down their RP Remote Monitoring Camera system." - Peach Bottom Atomic Power Station (PBAPS) is a two-unit nuclear generation facility located on the west bank of the Conowingo Pond (Susquehanna River) in Delta, Pennsylvania.	Internet	
141	PINGP	Prairie Island Nuclear Generating Plant-PINGP	Employee	
142	PM	Project Manager	Employee	
143	PMI	Project Management Institute	Employee	
144	PowerPlan	"Work with PowerPlan in Denver" - PowerPlan's business performance management (BPM) solution provides	Internet	

		<p>powerful budgeting, in-depth analysis, and flexible reporting features that replace spreadsheets and cumbersome, error-prone tools.</p>		
145	PRA	Probabilistic Risk Assessment (PRA) Modification	Employee	
146	PRDIG	Pressure Relief Device Interest Group (PRDIG)	Employee	
147	PTL	"PTL Meeting at Wilmarth" - PTL is short for "Pathway to Leadership" and the meeting was at the Wilmarth power plant. Pathway to Leadership is a program Xcel Energy has initiated to identify and develop future leaders for the company in a mentoring intense setting. In this program, members of our mentoring group visited a small Refuse Derived Fuel (RDF) power electrical generating facility and had our monthly meeting on site. The topic was on Trust in the Workplace.	Employee	
148	PTT	Productivity Through Technology (PTT) is a commitment to uncover innovative solutions to employees' work challenges. We are evaluating technologies that can streamline, simplify, and improve work processes throughout the Operations and Nuclear organizations.	Internet	
149	PWG	"THIS IS PSCO: PWG stands for Performance work group, it's part of WECC Western Electric coordinating council which PSCO is a part of the interconnection (www.wecc.biz) I am on the PWG group which helps define standards for WECC and NERC and assists with compliance of members."	Employee	
150	PWR Owners Group	Pressurized Water Reactor (PWR) Owners Group (nuclear)	Internet	
151	PWROG	"Pressurized Water Reactor Owners Group - Nuclear - Attend the PWROG Meeting	Internet	
152	Quad FBM	Formal Benchmark of Quad Cities Nuclear Generating Station.	Employee	
153	RDF	RDF - Renewable Development Fund	Employee	
154	RFP FAT	Request For Proposal (RFP)	Employee	
155	REC	Renewable Energy Credits	Employee	
156	RIC	U.S. Nuclear Regulatory Commission's (USNRC's) Regulatory Information Conference (RIC)	Internet	
157	RIMS	Risk Management & Insurance Society	Internet	
158	River Bend	""Benchmark trip to River Bend"" - River Bend Nuclear Generating Station is a nuclear power station on a 3,300-acre (13 km2) site near St. Francisville, Louisiana, approximately 30 miles (50 km) north of Baton Rouge. The plant has a General Electric 978 MW[1] boiling water reactor, which began operation on June 16, 1986. River Bend is operated by Entergy Nuclear and owned by Entergy Gulf States, Inc.	Internet	
159	RMEL	RMEL is a not-for-profit energy trade association that has served the electric utility industry with a variety of education and networking services since 1903. Dedicated to fostering a thriving community of electric energy professionals, RMEL's 300 corporate members share ideas, techniques and programs to better serve the industry and its customers. Once known as the Rocky Mountain Electrical League.	Internet	
160	RPC	"NSP Plant Visit, NSP Directors' and NSP RPC attendance" - RPC is the "Regional Project Committee" capital project meeting. Committee meets to	Employee	

			review Energy Supply's ongoing & future capital projects.	
161	RPS		RPS - Renewable Portfolio Standard (RPS).	Employee
162	RSC		"RSC" stands for Regional Safety Committee. Each of our power plants in the MN/WI region has a safety committee. The RSC is composed of one or two members from each of our region's plant safety committees (approx. 25 people). The RSC works on safety issues/initiatives at a regional level.	Employee
163	RTC		Riverside Training Center (Riverside generation plant)	Employee
164	S3		Sherco Generation Plant - Unit #3	Employee
165	SACC Job Fair		Registration fee for the Washington, D.C. SACC Job Fair"" - Service Academy Career Conference (SACC) Job Fair: Recruiting for: Engineers, Pilots, Program Managers, Business and Cost Analysts etc. This was a job fair for Service Academy alumni/veterans. The purpose of attending this job fair was to support military hiring at Xcel Energy and recruit Service Academy alumni/veterans for opportunities at Xcel Energy; these types of new hires, with specialized training, add immediate value to an organization. The registration fee was a flat rate; however, we did have 3 employees attend to recruit at this event.	Employee
166	SAG		Safety Advisory Group (SAG). Each geographical work area has a field employee assigned as a member to the Safety Advisory Group (SAG). These groups meet regionally monthly and jointly on a quarterly base to proactively seek solution to safety concerns and enhance workplace safety.	Employee
167	SAGE		Supportive Association for Gay, Lesbian, Bi-Sexual, Transgender, Ally Employees	Employee
168	SAS		"SAS is the leader in business analytics software and services and the largest independent vendor in the business intelligence market.	Internet
169	SAWG		"Supply adequacy working group	
170	SC		Supply Chain department.	Employee
171	SCC		SCC - Department of Homeland Security (DHS) Critical Infrastructure Advisory Council (CIPAC) Dams Sector Coordinating Council (DSCC). This is the Private Sector Dam Owner and Operator Coordinating Council.	Employee
172	SCCIA		SCCIA promotes the formation and growth of captive insurance programs. Captive insurance programs are a valuable tool for many corporate entities looking for a better way to manage risk.	Internet
173	SCLT		SCLT stands for "Supply Chain Leadership Team" meeting where all direct reports gather to plan the department budget, plan our projects and initiatives, safety programs, training and address critical operating requirements for the upcoming year. Since all of us have employees in all regions it is critical we are consistent and aligned with each region's operating priorities.	Employee
174	SCSU		St. Cloud Minnesota State University	Employee
175	SDG&E		San Diego Gas & Electric - a Sempra Energy utility.	Internet

176	SFDC	SFDC - SalesForce.Com. The meetings were to set the requirements for our new CRM (customer relationship management) software.	Employee
177	SFPE	Society of Fire Protection Engineers	Employee
178	SGA	Southern Gas Association - a 501 (c)(6) organization. Serves members who conduct business in the following sectors of the natural gas industry: Distribution, Transmission (pipeline) and Gas Supply Marketing. Produces events and manages joint industry projects, conducts surveys on business critical issues, and facilitates peer-to-peer collaboration for the purpose of identifying and implementing best practices.	Internet
179	SGMP TAG	Steam generator management program technical advisory group	Employee
180	SGS	SGS is the world's leading inspection, verification, testing and certification company. The Company was first registered in Geneva as Société Générale de Surveillance in 1919.	Internet
181	SHC	Sherco Fossil Plant.	Employee
182	SIM	SIM - Strategic Initiative Meeting	Employee
183	SHRM	"SHRM" - The Society for Human Resource Management (SHRM) is the world's largest association devoted to human resource management. Representing more than 250,000 members in over 140 countries, the Society serves the needs of HR professionals and advances the interests of the HR profession.	Internet
184	SISW	Safety Intervention and Stop Work training. This was required training. The training was required to be completed in a specific time frame so travel was required to the sites where the employees were working.	Employee
185	Skire Unifier Software	Skire's Unifier (software) offers an agile, web-based, collaborative solution for organizations looking to manage, maintain and optimize their property portfolio, facilities and capital assets.	Internet
186	S&T	Safety and Training department	Employee
187	SL&R	Siting and Land Rights department.	Employee
188	SLT	Senior Leadership Team	Employee
189	SME	"Travel for meetings in order to transition from SME to Sub Syst Perf department" - SME stands for Substation Maintenance Engineering	Employee
190	Sox	Sarbanes-Oxley (SOX) - The Sarbanes-Oxley Act of 2002, or SOX, is a United States federal law that set new or enhanced standards for all U.S. public company boards, management and public accounting firms.	Internet
191	SPP	Southwest Power Pool Electric Energy Network	Internet
192	Star Achievement Certification	Star Achievement Certification Part III"" (training) - Star Achievement Certification: The Star Achievement Series® is a training program developed by the Founder and CEO of Office Dynamics, Ltd, Joan Burge. Joan is an author and national corporate trainer with over 25 years of experience in the administrative and training profession. The philosophy behind Star Achievement® is that it takes a combination of skills, attitude, teamwork and strategies to stay on the cutting edge.	Employee
193	STEP	STEP - Success Through Employee Participation employee development program	Employee

194	SUG	The Settlement User Group shall be utilized to develop recommendations related to financial settlements of Energy Market activities administered by SPP.	Internet
195	SWG	"SWG Meeting" - SWG stands for Security Working Group. It is a group of utility security professionals, NEI (Nuclear Energy Institute) and NRC folks.	Employee
196	Taleo	The Oracle Taleo Cloud Service enables enterprises and midsize businesses to recruit top talent, align that talent to key goals, manage performance, develop and compensate top performers, and turn today's best performers into tomorrow's leaders.	Internet
197	TAPS	TAPS - Travel and Procurement System. The new SumTotal application includes functionality to require users to upload scanned images of required receipts and attach them to their expense report systematically.	Employee
198	TLP	TLP - Transmission's Transmission Line Performance department	Employee
199	TM	TM - Human Resources' Talent Management department	Employee
200	TMI	TMI - Three Mile Island nuclear generation plant	Employee
201	TRO	TRO stands for Transmission Resource Optimization. The substation group although in the transmission business unit actually works on both transmission and distribution substation assets.	Employee
202	True North	"True North Membership Dues" - True North Consulting is an Engineering Services company specializing in support for the electric power industry. Founded in 1999, True North has provided engineering based consulting services to the majority of US utilities and to several abroad.	Internet
203	TSPS	TSPS - Transmission & Substation Performance and Standards.	Employee
204	TSS	TSS - Transmission and Substation Standards	Employee
205	TW	Towers Watson Vendor - a leading global professional services company that helps organizations improve performance through effective people, risk and financial management, offering solutions in the areas of benefits, talent management, rewards, and risk and capital management.	Internet
206	UCMDB	UCMDB is Universal Configuration Management Data Base. It's a system that tracks, records, and correlates hardware and software throughout the company. We are implementing the ucmdb for monitoring and controlling assets and asset interactions across the company.	Employee
207	UFLS	Under Frequency Load Shed - Distribution Electric Engineering program	Employee
208	UG	Under Ground systems	Employee
209	UHC	United Healthcare vendor - Health insurance and medical care options for employer groups.	Internet
210	UI	Utilities International, Inc. vendor - Utilities International's UIPlanner software is designed specifically for utilities. UIPlanner is now the leading financial planning software within the utility industry.	Internet

211	USA	Utilities Service Alliance (USA) is a not-for-profit cooperative designed to facilitate collaboration among its member utilities. Together, we work to reduce operating and maintenance costs, improve safety and performance, and provide innovation and leadership within the nuclear power industry.	Internet
212	USUG	Utility Simulator Users Group - "Simulator Supervision MNGP ILT, NRC Exam Post Exam Activities, ANSI/ANS-3.5 Committee Meeting	Internet
213	USSD	FERC - United States Society on Dams	Internet
214	USWAG	Utility Solid Waste Activities Group - USWAG provides the most comprehensive, knowledgeable and experienced legal and technical resources on utility solid waste management issues available.	Internet
215	UVIG	Utility Variable-Generation Integration Group - The UVIG Board of Directors officially voted to change our name from the Utility Wind Integration Group (UWIG) to the Utility Variable-Generation Integration Group at the board meeting in Maui last October. The change was driven by requests from our members facing rapid growth from solar generation.	Internet
216	UWIG	Utility Variable-Generation Integration Group - The UVIG Board of Directors officially voted to change our name from the Utility Wind Integration Group (UWIG) to the Utility Variable-Generation Integration Group at the board meeting in Maui last October. The change was driven by requests from our members facing rapid growth from solar generation.	Internet
217	Ventyx	Ventyx, an ABB company, is the world's leading supplier of enterprise software and services for essential industries such as energy, mining, and public infrastructure.	Internet
218	VOC	VOC is an internal abbreviation for Voice of the Customer, an ongoing tracking market research study of customer perceptions of Xcel Energy. Focus groups were held to provide direction for the online portion of the work now underway.	Employee
219	VOIP	VOIP - Voice Over Internet Protocol	Employee
220	WAPA	Western Area Power Administration	Internet
221	WECC	The Western Electricity Coordinating Council (WECC) is the Regional Entity responsible for coordinating and promoting Bulk Electric System reliability in the Western Interconnection.	Internet
222	WFC	WFC - Human Resources Workforce Strategy department's "Work Force Council"	Employee
223	WFP	"WFP is "Work Force Planning", which is a major ongoing Corporate HR and Operations initiative to make sure our staffing is "right-sized", with the right number and mix of employee grades and skill sets for the future. Also part of this is developing short- and long-term plans to prepare the Company for employee retirements and the associated loss of institutional knowledge.	Employee
224	WFR	WFR - Human Resources' Safety & "Work Force Relations" department	Employee
225	WICF	"The Western Interconnection Compliance Forum (WICF) has emerged as a dynamic information	Internet

		<p>sharing organization within the Western Interconnection. It is run by and on behalf of entities subject to WECC and NERC compliance requirements."</p>		
226	WIL	<p>WIL - "Women in Leadership" is an industry professional organization</p>		Employee
227	WIN	<p>WIN - "Women's Interest Network" which is an Xcel Energy employee network group. Our team often supports various employee events they hold to develop their members (Xcel Energy employees), focused on career development, competencies and interviewing skills.</p>		Employee
228	WSPP	<p>Western Systems Power Pool (WSPP) is an agreement and an organization that creates power trading opportunities and allows WSPP members to manage power delivery and price risk. The Current WSPP Agreement effective April 23, 2012, updated July 12, 2012, is the most commonly used standardized power sales contract in the electric industry. It is approved by the FERC and used by jurisdictional and non-jurisdictional entities.</p>		Internet
229	WUA	<p>Wisconsin Utilities Association</p>		Internet

Table 4 - TIME Earnings Codes

Earning Code Group	Earning Code Desc
Per Diem-Related	Per Diem Overnite - Per Diem Rptg - T/R Per Diem Overnite Tx Per Diem Non-Tx M&I PerDiem Txbl M&I Per Diem Taxable Per Diem Overnite No
Meal-Related	Overtime Meal Taxabl Overtime Meal Cash Taxable Meal Meal Non-Taxable
Mileage-Related	Zone Mileage Casual Use Mileage Maximo Mileage
Allowance-Related	BA Site Allowance Outage Allowance
Other	Midweek Trnsfr Pymt Reporting Pay Daily Trav-Res Share Boiler Lic Reimburse Daily Assg-Res Share Parking Reimbursment Uniform Reimbursement

Fleet, Tools, & Equipment - Capital Additions

State of MN Electric Jurisdiction

Includes AFUDC

Capital Budget Groupings	Func Class Descr	WBS Level 2	Description	2021	2022	2023
Fleet Asset Additions	Electric General Plant	A.0006056.289	Fleet-PHEV-<\$50K-Dist Elec-NSPM	-	191,708	191,708
Fleet Asset Additions	Electric General Plant	A.0006056.297	Fleet-PHEV-NSPM < \$50K Transmission	30,499	-	-
Fleet Asset Additions	Common General Plant	A.0006056.288	Fleet-PHEV-NSPM Dist < \$50K COMMON	377,356	528,298	-
Fleet Asset Additions	Common General Plant	A.0006056.291	Fleet-PHEV-NSPM-ND-Dist COMMON	25,157	25,157	-
Fueling Depots and Garage Tools	Common General Plant	A.0006056.246	MN - Dist Fleet Transp Tools Common	591,956	312,699	41,486
Replacements, Additions, & Repairs	Common General Plant	A.0006056.003	MN-Dist Fleet New Unit Purchase Com	937,462	746,891	836,355
Replacements, Additions, & Repairs	Common General Plant	A.0006056.206	MN-Dist Fleet New Unit Purchase Com	241,931	192,256	199,724
Replacements, Additions, & Repairs	Common General Plant	A.0006056.219	ND-Dist Fleet New Unit Purchase Com	3,252	45	1
Replacements, Additions, & Repairs	Electric General Plant	A.0006056.002	MN-Dist Fleet NewUnit Prchse El Ops	10,026,307	8,493,735	6,907,355
Replacements, Additions, & Repairs	Electric General Plant	A.0006056.091	MN Transportation Units Over 50K	2,775,403	4,840,617	6,583,413
Replacements, Additions, & Repairs	Electric General Plant	A.0006056.146	Transportation Blanket Trans M	-	-	-
Replacements, Additions, & Repairs	Electric General Plant	A.0006056.205	MN-Dist Fleet NewUnit Prchse El Ops	514,995	699,188	712,859
Replacements, Additions, & Repairs	Electric General Plant	A.0006056.215	ND-DIST Fleet New Unit Purchase El	643,650	782,718	662,085
Replacements, Additions, & Repairs	Electric General Plant	A.0006056.216	SD-Dist Fleet New Unit Purchase El	1,015,904	932,958	854,543
Replacements, Additions, & Repairs	Electric General Plant	A.0006056.221	Fleet New El Trans MN <\$50K	100,211	300,632	387,772
Replacements, Additions, & Repairs	Electric General Plant	A.0006056.235	SER-SMC-Vehicles <\$50K	784,258	995,485	995,485
Replacements, Additions, & Repairs	Electric General Plant	A.0006056.241	SER-CSC-Vehicle Purchase <\$50K	-	-	34,858
Replacements, Additions, & Repairs	Electric General Plant	A.0006056.242	MN- Fleet New Unit Purch Nuclear	261,419	261,419	261,419
Grand Total				18,329,761	19,303,806	18,669,061

**PUBLIC DOCUMENT –
HIGHLY CONFIDENTIAL – NOT PUBLIC DATA HAS BEEN EXCISED**

Northern States Power Company

Docket No. E002/GR-20-723
Exhibit____(WHK-1), Schedule 10
Page 1 of 2

Employee Labor Costs for Lobbying Activities

In compliance with ALJ Finding 557 in Docket No. E002/GR-10-971, this schedule includes a report of the total compensation for employees engaged in lobbying, with an explanation of the costs included and excluded in the rate request.

This schedule shows the total salary budgeted for 2021 employees engaged in lobbying and other civic and political type activities. This includes employees whose compensation is, in part, included in this rate request.

Employee labor costs are budgeted within a department by level of position based on the average salary for that position. The department labor costs are then allocated between lobbying and non-lobbying activities at an aggregated level and reported in total for each department. Labor costs are also not uniquely identified in the budget specific to just legislative lobbying. FERC account 426.4 includes lobbying and other civic and political type activities. Using this budgeting process, the approximate percentage of time spent by each of the employees performing lobbying and other civic and political type activities is shown in this schedule. This is the percentage that is budgeted below the line.

Using this budgeting process, this schedule also shows the amount included in above the line FERC account 920 for 2021.

PUBLIC DOCUMENT – NOT PUBLIC AND HIGHLY CONFIDENTIAL DATA HAS BEEN EXCISED

Lobby Costs

NSPM Government Affairs - MN 102333

Lobbying Activities = 20%

Non Lobbying Activities = 80%

Job Code	Number of Positions	Average Salary	Total of Average Salaries	Lobbying Labor Costs (1)	Non-Lobbying Labor Costs (2)
[PROTECTED DATA BEGINS]					
DIR581: Director Regional Government Affairs TML115: Manager State Government Affairs					
[PROTECTED DATA ENDS]					

Federal Government Affairs - 102629

Lobbying Activities = 60.7%

Non Lobbying Activities = 39.3%

Job Code	Number of Positions	Average Salary	Total of Average Salaries	Lobbying Labor Costs (1)	Non-Lobbying Labor Costs (2)
[PROTECTED DATA BEGINS]					
AST271: Administrative Assistant COS280: LOBBYIST*FEDERAL GOVN'T AFFAIR DIR796: SR DIR*FED GOVTL AFFAIRS COS613: PAC Manager					
[PROTECTED DATA ENDS]					

Community Relations - MN - 102346

Lobbying Activities = 7.3%

Non Lobbying Activities = 92.7%

Job Code	Number of Positions	Average Salary	Total of Average Salaries	Lobbying Labor Costs (1)	Non-Lobbying Labor Costs (2)
[PROTECTED DATA BEGINS]					
AST273: Administrative Assistant COS180: Community Relations Manager COS449: MANAGER*EXTERNAL AFFAIRS DIR647: Director Community Relations					
[PROTECTED DATA ENDS]					

Policy & Federal Affairs - 102456

Lobbying Activities = 4%

Non Lobbying Activities = 96%

Job Code	Number of Positions	Average Salary	Total of Average Salaries	Lobbying Labor Costs (1)	Non-Lobbying Labor Costs (2)
[PROTECTED DATA BEGINS]					
AST252: ASSISTANT*EXECUTIVE OFC300: SVP, Strategy, Planning & External Affairs					
[PROTECTED DATA ENDS]					

Notes:

(1) Approximate amount of compensation included in below the line FERC account 426.4

(2) Approximate amount of compensation included in above the line FERC account 920