

1.0 Purpose

The purpose of this document is to illustrate examples of what shall be reported as a Non-conformance.

2.0 Scope

The sample listing of Standards of Conduct Non-conformance in section 3.0 is not intended to be all-inclusive and therefore Non-conformance are not limited to those listed.

3.0 Sample Listing of Standards of Conduct Non-conformances

- 3.1 Any communication (other than via OASIS) between the Transmission System Operations group and the Transmission Customer (including NS Power's Marketing and Sales group, NS Power's Affiliates and any external Power Marketer) regarding the following constitutes a non-conformance of the Standards of Conduct:
- Transmission Service Price, Curtailments
 - Ancillary Services, Balancing / Energy Imbalance, etc.
 - Capacity Expansion plans
 - Capability of any Transmission System or Element
 - Maintenance Plans of any Transmission System or Element
 - Availability of any Transmission System or Element
 - Operational Status of any Transmission System or Element
 - Market information concerning an external Transmission Customer

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- Market information concerning external Generation

- 3.2 During emergency circumstances affecting System Reliability, employees may take whatever steps are necessary for maintaining system reliability. Each emergency that resulted in any deviation from the Standards of Conduct must be posted on OASIS within 24 hours. Failure to do so constitutes a non-conformance of the Standards of Conduct.

- 3.3 If an employee of an Affiliate or NS Power's Marketing & Sales group conducts Transmission System Operations or Reliability functions, this constitutes a non-conformance of the Standards of Conduct.

- 3.4 Failure to adequately post on OASIS the comprehensive Organizational Charts as outlined in Section 2 (c) of the SoC results in a non-conformance of the Standards of Conduct.

- 3.5 Failure to adequately post on OASIS the names and addresses of NS Power's Marketing & Sales Unit and Affiliates results in a non-conformance of the Standards of Conduct.

- 3.6 Failure to adequately post on OASIS the list of facilities shared by Transmission Function employees and NSPI's Marketing & Sales Unit and Affiliates results in a non-conformance of the Standards of Conduct.

- 3.7 Failure to adequately post on OASIS the transfer of an employee between NS Power's Marketing & Sales or Affiliates and the Transmission Function results in a non-conformance of the Standards of Conduct.

- 3.8 Failure to adequately post on OASIS the written procedures for implementing the SoC results in a non-conformance of the Standards of Conduct.

- 3.9 If a Tariff provision relating to the sale or purchase of Transmission Service provides for the use of discretion, employees must apply this provision in a fair and impartial manner that treats all customers (including NS Power & Affiliates) in a non-discriminatory manner. Failure to do so constitutes a non-conformance of the Standards of Conduct.

- 3.10 Failure to log and post on OASIS, within 24 hours, the circumstance and manner in which discretion was exercised under any Tariff provision constitutes a non-conformance of the Standards of Conduct.

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- 3.11 Preferential treatment in matters relating to the sale or purchase of Transmission Service (including issues of price, curtailments, scheduling, priority, ancillary services, etc.) given to any Transmission Customer, Power Marketer, or Generator (including NS Power & Affiliates) constitutes a non-conformance of the Standards of Conduct.
- 3.12 Failure to adequately post on OASIS, with the post remaining for 60 days, any offer of a Transmission Service Discount constitutes a non-conformance of the Standards of Conduct.

4.0 Revision History

Revision	Prepared by	Reason for change
October 17, 2017 – rev 1	Dave Kelly	Issued.
October 4, 2018 – rev 2	Nicole Mosher	Annual review
September 20, 2019 – rev 3	Nicole Mosher	Annual review, no changes.
December 12, 2019 – rev 4	Nicole Mosher	Review of document.
September 2020 – rev 5	Nicole Mosher	Annual review, no changes.
December 2021 – rev 6	Kelsey Settle	Annual review. Changed signing authority changed from Nicole Mosher to Natasha Flynn.
December 2022 – rev 7	Kelsey Settle	Annual review, no changes.
December 2023 – rev 8	Natasha Flynn	Annual review, minor changes.

5.0 Document Approver

Position	Signature	Approval Date
Chief Compliance Officer (Natasha Flynn)		December 8, 2023