



**OATT Standards of Conduct
NONCONFORMANCE
REPORT**

NUMBER:
OATT-SoC-004

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Description of Nonconformance

DRAFT May 2, 2012 10:30 AM

Incorrect distribution list for May 2 2012 Morning Report was used. The list included staff who should no longer receive a copy of the Morning Report.

Originated By Alison Gillan Date May 2, 2012

Forward to
Manager/Supervisor

Corrective Action Taken to Prevent Recurrence

Manager /
Supervisor Alison Gillan Title SoC Chief Compliance Officer Date May 2, 2012

Complete below and forward to the Control Centre Administrative Assistant

Cause

Distributor of Morning Report uses the auto-fill function of Outlook to pull the distribution list for this report from the Outlook Address Book. This morning that function did not work and based on the key word entered pulled an outdated distribution list from the personal Outlook Contacts list of the sender. Sender did not realize the outdated list was inserted before distributing the report.

Immediate Corrective Action

1. Recipients who should not have received the report were sent a notice requesting that they delete the message and not save or distribute the report; confirmation of compliance was requested
2. Outdated distribution list was deleted from sender's Outlook Contacts ; review of other lists in Contacts was completed
3. Morning Report was sent to correct recipients
4. Discussion between Sender and SoC Chief Compliance Officer was held

Long-Term Corrective Action

1. Notice to be sent to all staff at Control Centre requesting that all distribution lists for communications from the Control Centre be maintained in the corporate address book and not in personal contact lists
2. All staff asked to review their Contacts list by May 15 to move/delete such distribution lists

ISSUE # 1, REV. 0

**AUTHORIZATION: Alison Gillan
OATT SoC Chief Compliance Officer**

DATE: June 10, 2005

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Follow Up of Corrective Action
Control Centre Managers are asked to follow up with their staff by May 19 to ensure compliance actions are completed.

Followed up by: _____ Date: _____

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