



**OATT Standards of Conduct
NONCONFORMANCE
REPORT**

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Description of Nonconformance

Some of the Standards of Conduct Transmission and Wholesale Merchant Function job descriptions posted on OASIS were out of date. Several updates were required as a result of changes to NS Power Marketing & Sales/Affiliate employees and NS Power Transmission Functions. Section B.2.c.iv of the Standards of Conduct requires that NS Power update this information on OASIS within 7 business days of any change.

Originated By Nicole Mosher Date June 8, 2019 Forward to Manager/Supervisor

Corrective Action Taken to Prevent Recurrence

Manager /
Supervisor Dave Stanford
Sr. Manager,
Control Centre Ops.

Date June 8, 2019

Complete below and forward to the Control Centre Administrative Assistant.

Cause

Updating the NS Power Transmission and Wholesale Merchant Function job descriptions is a manual process performed by the Compliance & OATT Specialist. NS Power Human Resources regularly issues a human resource change report which lists new employees, employee transfers, retirements, and dismissals; however, the report does not indicate changes to job accountabilities or changes to organizational structure.

Several job descriptions became out of date as a result of changes to job accountabilities and organizational structure not captured in the regular reviews by the Compliance & OATT Specialist.

Immediate Corrective Action

The job descriptions have been updated and posted to OASIS.

Long-Term Corrective Action

OATT & Compliance Specialist will implement a more thorough business process with Human Resources and other internal departments to ensure that Transmission and Wholesale Merchant Function job descriptions are updated within 7 business days of any change.

ISSUE # 1, REV. 2

**AUTHORIZATION: Nicole Mosher
OATT SoC Chief Compliance Officer**

DATE: October 4, 2018



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Follow Up of Corrective Action

The corrective action plan has been reviewed and approved by the Senior Manager, Control Centre Operations. Once the new business process is implemented, an internal review will be conducted to validate that the new process is effective.

Followed up by: _____ Date: _____

Revisions	
Oct 16, 2017 – rev 1	Original Document, Review - DK
Oct 4, 2018 – rev 2	Annual Review - NM

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