

OATT Standards of Conduct (SoC) Nonconformance Report

Document Number: OATT-SoC-004
Issue Date: October 2017
Last Reviewed: December 8, 2023
Revision #: 7

Description of Non-conformance
<p>Previous NS Power Employee (now working with an NS Power affiliate company) has access to an internal Control Center SharePoint.</p> <p>Originated By <u>Natasha Flynn</u> Date <u>April 16, 2024</u> Forward to Manager/Supervisor</p>
Corrective Action Taken to Prevent Recurrence
<p>Manager/Supervisor: <u>Jill Searle</u> Title: <u>Director Control Centre Operations</u> Date: <u>April 19, 2024</u></p> <p style="text-align: center;">* Complete below and forward to the Chief Compliance Officer (Natasha Flynn) *</p>
<p>Cause</p> <p>While working on NS Power’s Reliability and Control Center Operations SharePoint (SP) Site, it was noted that a previous employee was still listed as a ‘Site Champion’ giving them complete access to all of the SP site. The employee moved to work with Emera, an affiliate company to Nova Scotia Power. When the employee moved their access to SP was not removed.</p> <p>Immediate Corrective Action</p> <p>IT was contacted to remove the previous employee from the SP Site Champion list. IT removed the previous employee from the site champion list.</p> <p>Long-Term Corrective Action</p> <p>A review of SP access has been conducted. The regular review of SP access will now be a part of the Ragged Lake Admin’s duties going forward.</p> <p>Follow-up of Corrective Action</p> <p>Work with IT is ongoing. An additional step to the offboarding process will be created to ensure that a search for SP Site Champion access is completed for each offboarding. If the SP site champion role is found, access will be removed.</p> <p>Followed up by: <u>Natasha Flynn</u> Date: <u>May 16, 2024</u></p>

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1.0 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, minor changes.
October 15, 2020 – rev 4	Nicole Mosher	Annual review, no changes.
December 2, 2021 – rev 5	Kelsey Settle	Annual review. Changed signing authority changed from Nicole Mosher to Natasha Flynn.
December 30, 2022 – rev 6	Kelsey Settle	Annual review, no changes.
December 2023 – rev 7	Natasha Flynn	Annual review, minor changes.

2.0 Document Approver

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