PACIFICORP

Standards of Conduct Compliance Procedures

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1. Introduction

The Federal Energy Regulatory Commission (FERC) Standards of Conduct for transmission providers (Standards of Conduct) promote four fundamental principles:

1. Non-discrimination requirement: A transmission provider must treat all transmission customers, affiliated and non-affiliated, on a not unduly discriminatory basis; must not make or grant any undue preference or advantage to any person; and must not subject any person to undue prejudice or disadvantage with respect to any transmission of electric energy in interstate commerce, or with respect to the wholesale sale of electric energy in interstate commerce.

2. Independent functioning rule: A transmission provider's transmission function employees must function independently from its marketing function employees, except as permitted in FERC rules or otherwise permitted by FERC Order No. 717 Standards of Conduct for Transmission Providers.

3. No conduit rule: A transmission provider and its employees, contractors, consultants, and agents are prohibited from disclosing, or using a conduit to disclose, non-public transmission function information to the transmission provider's marketing function employees.

4. Transparency rule: A transmission provider must provide equal access to non-public transmission function information to all its transmission customers, affiliated and non-affiliated, except in the case of confidential customer information or critical energy infrastructure information.

FERC rules govern the interaction, communication, and the information that can be shared between certain employees of PacifiCorp. All employees of PacifiCorp and PacifiCorp's affiliates must comply with the Standards of Conduct rules. The Standards of Conduct Compliance Procedures explain FERC's rules and the procedures PacifiCorp and its affiliates must follow to comply with the rules.

2. Chief Compliance Officer

Colt Norrish is the Chief Compliance Officer for the FERC Standards of Conduct; contact phone number: 503-813-5545.

3. Key Definitions

FERC rules govern interaction between transmission function employees and marketing function employees, including situations where an employee who does not fall within either category acts as a conduit for non-public transmission function information. The following terms have specific meanings under FERC rules, so careful understanding of the definitions is key to compliance.

A. Transmission Provider

A transmission provider is any public utility that owns, operates, or controls facilities used for the transmission of electric energy in interstate commerce. PacifiCorp is a transmission provider.

B. Transmission Function Employee

A transmission function employee is an employee, contractor, consultant or agent of a transmission provider who actively and personally engages on a day-to-day basis in transmission functions. Transmission functions include the planning, directing, organizing, or carrying out of day-to-day transmission operations, including the granting and denying of transmission service requests.

PacifiCorp transmission function employees include operators, schedulers, and employees that work on transmission services and interconnection requests.

C. Marketing Function Employee

A marketing function employee is an employee, contractor, consultant, or agent of a transmission provider or of an affiliate of a transmission provider who actively and personally engages on a day-to-day basis in marketing functions, which means the sale for resale of electric energy or capacity.

Certain PacifiCorp energy supply management employees are marketing function employees. PacifiCorp's marketing function employees are identified by the e-mail address designation "{Mkt Function}" following each marketing function employee's name.

D. Affiliate

An affiliate of a specified entity is another person who controls, is controlled by, or is under common control with the specified entity. An affiliate includes a division of the specified entity that operates as a functional unit.

What is an affiliate?

For a complete list of PacifiCorp's affiliates, please refer to PacifiCorp's Open Access Same-time Information System (OASIS): http://www.oasis.oati.com/PPW/PPWdocs/affiliates.pdf.

4. Independent Functioning Rule

PacifiCorp's transmission function employees must function independently from PacifiCorp's marketing function employees. Marketing function employees are prohibited from conducting transmission system operations, and cannot have access to a transmission control center or other transmission facilities or information systems that differs in any way from the access provided to non-affiliated transmission customers. Transmission function employees are prohibited from conducting marketing function activities.

A. Physical Separation

Workstations for PacifiCorp's transmission function employees are physically separated from those of PacifiCorp's marketing function employees, and access to workstation locations is restricted.

PacifiCorp's transmission function employees are located at:

- Portland Control Center - 9951 SE Ankeny Street, Portland, Oregon, 97216;
- Lloyd Center Tower - 825 NE Multnomah Street, Suite 1600, Portland, Oregon,97232; and
- North Temple Office - 1407 West North Temple Room 260, Salt Lake City, Utah, 84116, (backup control center).

Marketing function employees are located at:

- Lloyd Center Tower 825 NE Multnomah Street, Suite 600, Portland, Oregon, 97232,

There are no transmission function employees stationed at suite 600 of the Lloyd Center Tower.

B. Access Restrictions

Access is restricted at PacifiCorp's control centers and visitor logs are maintained. The Lloyd Center Tower building is shared with other businesses; therefore, access is restricted by floor. Any employee who is not stationed on a particular floor must either have a badge permitting access to the floor, or must contact an employee on the floor to escort them during any floor access. Badges for marketing function employees do not allow such employees to access a transmission function facility or floor without a personal escort from a transmission function or other non-marketing function employee.

5. No Conduit Rule

PacifiCorp is prohibited from using anyone as a conduit for the disclosure of non-public transmission function information to its marketing function employees. Any employee, contractor, consultant, or agent of PacifiCorp or its affiliates is prohibited from disclosing non-public transmission function information to any of the transmission provider's marketing function employees.

Non-public transmission function information includes information relating to the planning, directing, organizing or carrying out of day-to-day operations, including the granting and denying of transmission service requests, which is not available to the public or on the transmission provider's OASIS site.

Who must comply with the no conduit rule?

The no conduit rule applies to all employees, whether or not an employee is designated as a transmission function or marketing function employee. Employees may receive non-public or confidential transmission function information, but they are prohibited from sharing such information with marketing function employees through any non-public or off-OASIS communication.

The no conduit rule applies to communications between PacifiCorp employees and marketing function employees of PacifiCorp affiliates. MidAmerican Energy Company and NV Energy, Inc. are affiliated electric transmission providers, and each maintains marketing function employees. No non-public transmission function information regarding MidAmerican, NV Energy or PacifiCorp should be shared with those employees. Likewise, no MidAmerican and NV Energy non-public transmission function information should be shared with PacifiCorp's marketing function employees.

Similarly, Northern Natural Gas Company and Kern River Gas Transmission Company are affiliated gas transportation providers. Certain MidAmerican and PacifiCorp gas supply and unregulated retail services employees engage in marketing functions on the Northern Natural Gas or Kern River systems. No non-public transmission function information of Northern or Kern should be shared with these employees.

6. Transparency Rule

A. Contemporaneous Disclosure Requirement

If a transmission provider employee discloses non-public transmission function information in a manner contrary to the Standards of Conduct, the employee is required to immediately contact the regulatory compliance hotline at: 503-813-5555 (option 6), or 801-220-5555 (option 6), or contact the compliance office. Information disclosed in violation of the Standards of Conduct must be immediately posted on OASIS.

i. Exemption for Customer Information and Critical Energy Infrastructure Information

Under this exemption, transmission providers are required to post notice of disclosure, but not actual non-affiliated customer information or critical energy infrastructure information on its Internet web site or OASIS.

ii. Transaction Specific Exemption

Under this exemption, transmission providers do not have to contemporaneously disclose information that relates solely to a marketing function's specific request for transmission service. This exemption permits discussion of technical information regarding the transmission system, and practical operations of the transmission system, if related to the marketing function's transmission request.

iii. Voluntary Consent Exemption

A non-affiliated customer may voluntarily consent in writing to allow the transmission provider to share the customer's information with marketing function employees. To ensure customers are not inappropriately pressured to consent, FERC requires the transmission provider to post notice of the consent on its Internet web site or OASIS, along with a statement that it did not provide any preferences, either operational or rate-related, in exchange for the voluntary consent.

iv. Reliability Standards Compliance Exemption

A transmission provider's transmission function and marketing function employees may exchange information pertaining to compliance with Reliability Standards. Such exchanges must be documented, except in emergency circumstances where a record must be made as soon as practicable. The record shall be made available to FERC upon request. The record may consist of hand-written or typed notes, electronic records such as e-mails and text messages, or recorded telephone exchanges. The record must be retained for five years.

v. Exemption for Information Necessary to Maintain or Restore Operations

This exemption allows the transmission provider's transmission function employees and marketing function employees to exchange information necessary to maintain or restore operation of the transmission system or generating units, or information that may affect the dispatch of generating units. Such exchanges must be documented, except in emergency circumstances where a record must be made as soon as practicable. The record shall be made available to FERC upon request. The record may consist of hand-written or typed notes, electronic records such as e-mails and text messages, or recorded telephone exchanges. The record must be retained for five years.

Do the Standards of Conduct apply during a system emergency?

B. Access to Transmission Function System Information

PacifiCorp has structured its information access systems to ensure marketing function employees of PacifiCorp and its affiliates do not have access to information prohibited under the Standards of Conduct. PacifiCorp's information technology group has implemented controls, which are reviewed on a regular basis, to ensure access restrictions comply with FERC rules.

7. Internet Web Site Posting Requirements

To encourage non-discriminatory, transparent practices, FERC requires PacifiCorp to publicly post certain information on its OASIS site. Information posted on OASIS is retained for five years for FERC audit.

PacifiCorp primarily posts required transmission information on its OASIS site: https://www.oasis.oati.com/ppw/.

A. General Requirements and Timing of Posting

i. A transmission provider must update required information on its Internet web site or OASIS site within seven business days of any change and post the date on which the information was updated.

ii. In the event an emergency, such as an earthquake, flood, fire, or hurricane, severely disrupts a transmission provider's normal business operations, the posting requirements may be suspended by the transmission provider. If the disruption lasts more than one month, the transmission provider must notify FERC and may seek a further exemption from the posting requirements.

iii. All required postings must be sufficiently prominent so as to be readily accessible.

B. Written Procedures

PacifiCorp posts current written procedures for implementation of the Standards of Conduct on its OASIS site.

C. Organizational Information

PacifiCorp posts the following organizational information on its OASIS site:

- The names and addresses of PacifiCorp's affiliates that employ or retain marketing function employees;

- A list of facilities shared by transmission function employees and marketing function employees, including the types of facilities shared and their addresses; and
- The job titles and job descriptions of transmission function employees.

D. Merger Information

PacifiCorp must post information concerning potential merger partners as affiliates within seven days after the potential merger is announced. PacifiCorp must also treat any potential merger partner as an affiliate.

E. Employee Transfers

Employees may transfer between the transmission function and the marketing function, so long as such transfer is not used to circumvent the Standards of Conduct rules. Notices of any employee transfers between the transmission function and the marketing function will be posted on OASIS and include the following information:

What information must be posted on PacifiCorp's OASIS?

- Name of transferring employee;
- The respective titles held at the prior and new positions; and
- The effective date of the transfer.

Employee transfers shall not be used as a conduit for improper information sharing (i.e., no "cycling" back and forth between the transmission function and the marketing function to evade the information disclosure prohibitions). Employee transfer information must remain posted on OASIS for ninety days.

8. Separate Books and Records

PacifiCorp maintains its books of account and records separately from those of its affiliates that employ or retain marketing function employees. PacifiCorp's books and records are available for FERC inspection at PacifiCorp's headquarters: 825 NE Multnomah, Portland, Oregon, 97232.

9. Standards of Conduct Training

A. Standards of Conduct Training Requirement

The Standards of Conduct require, and PacifiCorp provides, training for all transmission function employees, marketing function employees, officers, directors, supervisory employees, and any other employees likely to become privy to transmission function information. These employees must receive the Standards of Conduct procedures in written form and must receive Standards of Conduct training within the first thirty days of employment.

B. Annual Training Program

PacifiCorp provides annual training on the Standards of Conduct rules to all employees and contractors with assigned employee numbers. Any exceptions must be approved by the compliance office.

C. Certification

All employees that participate in Standards of Conduct training must sign a certification stating that they have completed training. In the case of electronic training, the PacifiCorp Learning Management System (LMS) certifies completion once the employee finishes the course. Manual training certifications are maintained by the business unit that performs the instructor-led training, with completed training status recorded in LMS.

10. Open Access Transmission Tariff Implementation

The transmission provider must apply all open access transmission tariff (OATT) provisions related to the purchase or sale of transmission service (including, but not limited to, issues of price, curtailments, scheduling, priority, ancillary services or balancing) in a fair, impartial, and non-discriminatory manner. The transmission provider must process all similar transmission service requests in the same manner and within the same timeframe.

A. Strict Enforcement of Tariff Provisions

The transmission provider must strictly enforce all OATT provisions that do not expressly provide for the use of discretion.

11. Other Information Sharing Restrictions

PacifiCorp will post on its OASIS the disposition of any request for transmission service by any power marketing affiliate in the same manner as it would post information for a request for service by any non-affiliated eligible entity.

Who should I call if I have questions about the Standards of Conduct?

12. Questions and Inquiries

Questions or concerns related to Standards of Conduct compliance, or any compliance requirement described herein, should be addressed to Colt Norrish, Director of Compliance at: 503-813-5545. Any employee receiving compliance-related inquiries from external parties, including but not limited to parties representing FERC, other regulatory bodies, companies or competitors, should refer said parties to this contact.

Appendix – Commission's Standards of Conduct Rule, 18 CFR Part 358

PART 358—STANDARDS OF CONDUCT

Section Contents

§ 358.1 Applicability.
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§ 358.3 Definitions.
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§ 358.8 Implementation requirements.

Authority: 15 U.S.C. 717–717w, 3301–3432; 16 U.S.C. 791–825r, 2601–2645; 31 U.S.C. 9701; 42 U.S.C. 7101–7352.

Source: 73 FR 63829, Oct. 27, 2008, unless otherwise noted.

§ 358.1 Applicability.

a) This part applies to any interstate natural gas pipeline that transports gas for others pursuant to subparts B or G of part 284 of this chapter and conducts transmission transactions with an affiliate that engages in marketing functions.

b) This part applies to any public utility that owns, operates, or controls facilities used for the transmission of electric energy in interstate commerce and conducts transmission transactions with an affiliate that engages in marketing functions.

c) This part does not apply to a public utility transmission provider that is a Commission-approved Independent System Operator (ISO) or Regional Transmission Organization (RTO). If a public utility transmission owner participates in a Commission-approved ISO or RTO and does not operate or control its transmission system and has no access to transmission function information, it may request a waiver from this part.

d) A transmission provider may file a request for a waiver from all or some of the requirements of this part for good cause.

§ 358.2 General principles.

a) A transmission provider must treat all transmission customers, affiliated and non-affiliated, on a not unduly discriminatory basis, and must not make or grant any undue preference or advantage to any person or subject any person to any undue prejudice or disadvantage with respect to any transportation of natural gas or transmission of electric energy in interstate commerce, or with respect to the wholesale sale of natural gas or of electric energy in interstate commerce.

b) A transmission provider's transmission function employees must function independently from its marketing function employees, except as permitted in this part or otherwise permitted by Commission order.

c) A transmission provider and its employees, contractors, consultants and agents are prohibited from disclosing, or using a conduit to disclose, non-public transmission function information to the transmission provider's marketing function employees.

d) A transmission provider must provide equal access to non-public transmission function information disclosed to marketing function employees to all its transmission customers, affiliated and non-affiliated, except as permitted in this part or otherwise permitted by Commission order.

[74 FR 54482, Oct. 22, 2009]

§ 358.3 Definitions.

a) Affiliate of a specified entity means:

(1) Another person that controls, is controlled by or is under common control with, the specified entity. An affiliate includes a division of the specified entity that operates as a functional unit.

(2) For any exempt wholesale generator (as defined under §366.1 of this chapter), affiliate shall have the meaning set forth in §366.1 of this chapter, or any successor provision.

(3) "Control" as used in this definition means the direct or indirect authority, whether acting alone or in conjunction with others, to direct or cause to direct the management policies of an entity. A voting interest of 10 percent or more creates a rebuttable presumption of control.

b) Internet Web site refers to the Internet location where an interstate natural gas pipeline or a public utility posts the information, by electronic means, required under this part 358.

c) Marketing functions means:

(1) in the case of public utilities and their affiliates, the sale for resale in interstate commerce, or the submission of offers to sell in interstate commerce, of electric energy or capacity, demand response, virtual transactions, or financial or physical transmission rights, all as subject to an exclusion for bundled retail sales, including sales of electric energy made by providers of last resort (POLRs) acting in their POLR capacity; and

(2) in the case of interstate pipelines and their affiliates, the sale for resale in interstate commerce, or the submission of offers to sell in interstate commerce, natural gas, subject to the following exclusions:

(i) Bundled retail sales,

(ii) Incidental purchases or sales of natural gas to operate interstate natural gas pipeline transmission facilities,

(iii) Sales of natural gas solely from a seller's own production,

(iv) Sales of natural gas solely from a seller's own gathering or processing facilities, and

(v) On-system sales by an intrastate natural gas pipeline, by a Hinshaw interstate pipeline exempt from the Natural Gas Act, by a local distribution company, or by a local distribution company operating under section 7(f) of the Natural Gas Act.

d) Marketing function employee means an employee, contractor, consultant or agent of a transmission provider or of an affiliate of a transmission provider who actively and personally engages on a day-to-day basis in marketing functions.

e) Open Access Same Time Information System or OASIS refers to the Internet location where a public utility posts the information required by part 37 of this chapter, and where it may also post the information required to be posted on its Internet Web site by this part 358.

f) Transmission means electric transmission, network or point-to-point service, ancillary services or other methods of electric transmission, or the interconnection with jurisdictional transmission facilities, under part 35 of this chapter; and natural gas transportation, storage, exchange, backhaul, or displacement service provided pursuant to subparts B or G of part 284 of this chapter.

g) Transmission customer means any eligible customer, shipper or designated agent that can or does execute a transmission service agreement or can or does receive transmission service, including all persons who have pending requests for transmission service or for information regarding transmission.

h) Transmission functions means the planning, directing, organizing or carrying out of day-to-day transmission operations, including the granting and denying of transmission service requests.

i) Transmission function employee means an employee, contractor, consultant or agent of a transmission provider who actively and personally engages on a day-to-day basis in transmission functions.

j) Transmission function information means information relating to transmission functions.

k) Transmission provider means:

(1) Any public utility that owns, operates or controls facilities used for the transmission of electric energy in interstate commerce; or

(2) Any interstate natural gas pipeline that transports gas for others pursuant to subparts B or G of part 284 of this chapter.

(3) A transmission provider does not include a natural gas storage provider authorized to charge market-based rates.

l) Transmission service means the provision of any transmission as defined in §358.3(f).

m) Waiver means the determination by a transmission provider, if authorized by its tariff, to waive any provisions of its tariff for a given entity.

[73 FR 63829, Oct. 27, 2008, as amended at 74 FR 54482, Oct. 22, 2009]

§ 358.4 Non-discrimination requirements.

a) A transmission provider must strictly enforce all tariff provisions relating to the sale or purchase of open access transmission service, if the tariff provisions do not permit the use of discretion.

b) A transmission provider must apply all tariff provisions relating to the sale or purchase of open access transmission service in a fair and impartial manner that treats all transmission customers in a not unduly discriminatory manner, if the tariff provisions permit the use of discretion.

c) A transmission provider may not, through its tariffs or otherwise, give undue preference to any person in matters relating to the sale or purchase of transmission service (including, but not limited to, issues of price, curtailments, scheduling, priority, ancillary services, or balancing).

d) A transmission provider must process all similar requests for transmission in the same manner and within the same period of time.

§ 358.5 Independent Functioning Rule.

a) General rule. Except as permitted in this part or otherwise permitted by Commission order, a transmission provider's transmission function employees must function independently of its marketing function employees.

b) Separation of functions.

(1) A transmission provider is prohibited from permitting its marketing function employees to:

(i) Conduct transmission functions; or

(ii) Have access to the system control center or similar facilities used for transmission operations that differs in any way from the access available to other transmission customers.

(2) A transmission provider is prohibited from permitting its transmission function employees to conduct marketing functions.

§ 358.6 No conduit rule.

a) A transmission provider is prohibited from using anyone as a conduit for the disclosure of non-public transmission function information to its marketing function employees.

b) An employee, contractor, consultant or agent of a transmission provider, and an employee, contractor, consultant or agent of an affiliate of a transmission provider that is engaged in marketing functions, is prohibited from disclosing non-public transmission function information to any of the transmission provider's marketing function employees.

§ 358.7 Transparency rule.

a) Contemporaneous disclosure.

(1) If a transmission provider discloses non-public transmission function information, other than information identified in paragraph (a)(2) of this section, in a manner contrary to the requirements of §358.6, the transmission provider must immediately post the information that was disclosed on its Internet Web site.

(2) If a transmission provider discloses, in a manner contrary to the requirements of §358.6, non-public transmission customer information, critical energy infrastructure information (CEII) as defined in §388.113(c)(1) of this chapter or any successor provision, or any other information that the Commission by law has determined is to be subject to limited dissemination, the transmission provider must immediately post notice on its Web site that the information was disclosed.

b) Exclusion for specific transaction information. A transmission provider's transmission function employee may discuss with its marketing function employee a specific request for transmission service submitted by the marketing function employee. The transmission provider is not required to contemporaneously disclose information otherwise covered by §358.6 if the information relates solely to a marketing function employee's specific request for transmission service.

c) Voluntary consent provision. A transmission customer may voluntarily consent, in writing, to allow the transmission provider to disclose the transmission customer's non-public information to the transmission provider's marketing function employees. If the transmission customer authorizes the transmission provider to disclose its information to marketing function employees, the transmission provider must post notice on its Internet Web site of that consent along with a statement that it did not provide any preferences, either operational or rate-related, in exchange for that voluntary consent.

d) Posting written procedures on the public Internet. A transmission provider must post on its Internet Web site current written procedures implementing the standards of conduct.

e) Identification of affiliate information on the public Internet.

(1) A transmission provider must post on its Internet Web site the names and addresses of all its affiliates that employ or retain marketing function employees.

(2) A transmission provider must post on its Internet Web site a complete list of the employee-staffed facilities shared by any of the transmission provider's transmission function employees and marketing function employees. The list must include the types of facilities shared and the addresses of the facilities.

(3) The transmission provider must post information concerning potential merger partners as affiliates that may employ or retain marketing function employees, within seven days after the potential merger is announced.

f) Identification of employee information on the public Internet.

(1) A transmission provider must post on its Internet Web site the job titles and job descriptions of its transmission function employees.

(2) A transmission provider must post a notice on its Internet Web site of any transfer of a transmission function employee to a position as a marketing function employee, or any transfer of a marketing function employee to a position as a transmission function employee. The information posted under this section must remain on its Internet Web site for 90 days. No such job transfer may be used as a means to circumvent any provision of this part. The information to be posted must include:

(i) The name of the transferring employee,

(ii) The respective titles held while performing each function (i.e., as a transmission function employee and as a marketing function employee), and

(iii) The effective date of the transfer.

g) Timing and general requirements of postings on the public Internet.

(1) A transmission provider must update on its Internet Web site the information required by this part 358 within seven business days of any change, and post the date on which the information was updated. A public utility may also post the information required to be posted under part 358 on its OASIS, but is not required to do so.

(2) In the event an emergency, such as an earthquake, flood, fire or hurricane, severely disrupts a transmission provider's normal business operations, the posting requirements in this part may be suspended by the transmission provider. If the disruption lasts longer than one month, the transmission provider must so notify the Commission and may seek a further exemption from the posting requirements.

(3) All Internet Web site postings required by this part must be sufficiently prominent as to be readily accessible.

h) Exclusion for and recordation of certain information exchanges.

(1) Notwithstanding the requirements of §§358.5(a) and 358.6, a transmission provider's transmission function employees and marketing function employees may exchange certain non-public transmission function information, as delineated in §358.7(h)(2), in which case the transmission provider must make and retain a contemporaneous record of all such exchanges except in emergency circumstances, in which case a record must be made of the exchange as soon as practicable after the fact. The transmission provider shall make the record available to the Commission upon request. The record may consist of hand-written or typed notes, electronic records such as e-mails and text messages, recorded telephone exchanges, and the like, and must be retained for a period of five years.

(2) The non-public information subject to the exclusion in §358.7(h)(1) is as follows:

(i) Information pertaining to compliance with Reliability Standards approved by the Commission, and

(ii) Information necessary to maintain or restore operation of the transmission system or generating units, or that may affect the dispatch of generating units.

i) Posting of waivers. A transmission provider must post on its Internet Web site notice of each waiver of a tariff provision that it grants in favor of an affiliate unless such waiver has been approved by the Commission. The posting must be made within one business day of the act of a waiver. The transmission provider must also maintain a log of the acts of waiver, and must make it available to the Commission upon request. The records must be kept for a period of five years from the date of each act of waiver.

§ 358.8 Implementation requirements.

a) Effective date. A transmission provider must be in full compliance with the standards of conduct on the date it commences transmission transactions with an affiliate that engages in marketing functions.

b) Compliance measures and written procedures.

(1) A transmission provider must implement measures to ensure that the requirements of §§358.5 and 358.6 are observed by its employees and by the employees of its affiliates.

(2) A transmission provider must distribute the written procedures referred to in §358.7(d) to all its transmission function employees, marketing function employees, officers, directors, supervisory employees, and any other employees likely to become privy to transmission function information.

c) Training and compliance personnel.

(1) A transmission provider must provide annual training on the standards of conduct to all the employees listed in paragraph (b)(2) of this section. The transmission provider must provide training on the standards of conduct to new employees in the categories listed in paragraph (b)(2) of this section, within the first 30 days of their employment. The transmission provider must require each employee who has taken the training to certify electronically or in writing that s/he has completed the training.

(2) A transmission provider must designate a chief compliance officer who will be responsible for standards of conduct compliance. The transmission provider must post the name of the chief compliance officer and provide his or her contact information on its Internet Web site.

d) Books and records. A transmission provider must maintain its books of account and records (as prescribed under parts 101, 125, 201 and 225 of this chapter) separately from those of its affiliates that employ or retain marketing function employees, and these must be available for Commission inspections.