

Standards of Conduct (Transmission) Policy 5 – Employee Information	Revision: B Effective Date: 10/09/18	Author: General Counsel (Central Region) <u>Sarah B. Knowlton</u> <small>Sarah B. Knowlton (Oct 5, 2018)</small>
Approval Signature(s) and date: <u>Mary Ellen Paravalos</u> <small>Mary Ellen Paravalos (Oct 23, 2018)</small> Chief Compliance and Risk Officer		

Revision History

Revision	Date	Changes	Approved By
A	08/16/17	Created New Documentation	L. Beairsto
B	10/09/18	Annual Review; Changed Chief Compliance Officer to Chief Compliance and Risk Officer and approver from J. Tindale to M. Paravalos	M. Paravalos

PRINCIPLE:

This policy addresses how APUC Transmission Providers will ensure compliance with Standards of Conduct requirements regarding the identification of transmission function employee information.

PRACTICE:

- I. Each APUC Transmission Provider will post (or request to be posted in the case of Algonquin Tinker Gen Co.) on the appropriate OASIS the titles and summary of job descriptions of its transmission function employees. The information on the Internet site shall be posted or requested to be posted as the case may be by the APUC Compliance and Risk Department within seven (7) days upon any change.
 - II. Every quarter, each APUC Transmission Provider’s applicable OASIS links will be tested to ensure accuracy of links. Test results will be documented and appropriate corrective actions will be initiated, if necessary.
 - III. Upon the discovery of any significant problems related to the posting of the above information, the Chief Compliance and Risk Officer will be notified and the problem will be evaluated to determine any necessary actions.
 - IV. Documentation of the aforementioned reviews and/or tests shall be retained for a period of five years.
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