

**Code de conduite pro forma de la NERC pour les  
coordonnateurs de la fiabilité**



# NERC Reliability Coordinator Standards of Conduct

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## ***Introduction***

An entity performing the functions of RELIABILITY COORDINATOR must treat all users of the interconnected transmission systems in a fair and non-discriminatory manner. A RELIABILITY COORDINATOR must conduct its affairs in conformance with the following standards:

### **1. General rule.**

- 1.1. Independence.** Except as provided in paragraph 1.2 of this section, the RELIABILITY COORDINATOR, its employees, or the employees of any of its affiliates who perform RELIABILITY COORDINATOR functions (“RELIABILITY COORDINATOR employees”) must operate independently of employees/persons who engage in retail (energy purchases for or sales to native load customers) or wholesale (energy purchases or sales for resale) merchant functions (“Merchant employees”). [Note: “Operate independently” does not mean or require corporate separation of the RELIABILITY COORDINATOR from the Transmission Provider or Merchant employees or merchant functions.]
- 1.2. Emergency actions.** Notwithstanding any other provision of these standards of conduct, in emergency circumstances that could jeopardize operational security, RELIABILITY COORDINATORS may take whatever steps are necessary to maintain system security.
- 1.3. Reporting deviations from these Standards.** RELIABILITY COORDINATORS must report to NERC and the appropriate REGIONAL COUNCIL(S) the details of any deviation from these standards of conduct, within 24 hours of such deviation. NERC staff will post the reports to the NERC RELIABILITY COORDINATOR web site.

### **2. Rules governing employee conduct.**

- 2.1. Prohibitions.** RELIABILITY COORDINATOR employees are prohibited from:
  - 2.1.1. Merchant functions.** Conducting Merchant functions except as outlined in 1.2 above.
  - 2.1.2. Access to control facilities.** Allowing access for Merchant employees to the system control center or similar facilities used for RELIABILITY COORDINATOR functions that differs in any way from the access available to non-affiliated TRANSMISSION CUSTOMERS.
  - 2.1.3. Disclosing system information.** Disclosing to Merchant employees any information concerning the transmission system through non-public communications conducted off the OASIS, through access to information not posted on the OASIS that is not at the same time available to non-affiliated Transmission Customers without restriction, or through information on the OASIS that is not at the same time publicly available to all OASIS users (such as E-mail). If a RELIABILITY COORDINATOR employee discloses information in a manner contrary to the requirements of this subparagraph, the RELIABILITY COORDINATOR must, as soon as practicable, post such information on the NERC RELIABILITY COORDINATOR web site and inform the affected Transmission Provider to post such information on its OASIS.
  - 2.1.4. Sharing market information.** Sharing market information acquired from non-affiliated TRANSMISSION CUSTOMERS or potential non-affiliated Transmission

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Customers, or developed in the course of performing RELIABILITY COORDINATOR functions, with any Merchant employees.

**2.2. Transfers.** RELIABILITY COORDINATOR employees or Merchant employees are not precluded from transferring between such functions as long as such transfer is not used as a means to circumvent these standards of conduct. Notices of any employee transfer to or from RELIABILITY COORDINATOR functions must be reported to NERC and the appropriate REGIONAL COUNCIL(S). NERC staff will post the reports to the NERC RELIABILITY COORDINATOR web site. The information to be posted must include: the name of the transferring employee, the respective titles held while performing each function (i.e., on behalf of the RELIABILITY COORDINATOR, merchant or transmission provider, or merchant or transmission affiliate), and the effective date of the transfer. The information posted under this section must remain on the NERC web site for 90 days.

**2.3. Books and records.**

**2.3.1. Available for audit.** A RELIABILITY COORDINATOR must keep sufficient records of its activities available for audit.

**2.3.2. Separate records.** A RELIABILITY COORDINATOR must maintain its records separately from those of any affiliates and these must be available for inspection by NERC and the appropriate Regional Council(s).

**3. Rules governing maintenance of written procedures.**

**3.1. Publicly available.** A RELIABILITY COORDINATOR must provide an explanation for posting on the NERC RELIABILITY COORDINATOR web site describing the implementation of these standards of conduct in sufficient detail to demonstrate that the RELIABILITY COORDINATOR employees operate independently from merchant employees and that it is otherwise in compliance with these requirements.

**3.2. Provided to all employees.** A copy of the signed Standards of Conduct document shall be given to all employees with RELIABILITY COORDINATOR responsibilities.

**AGREEMENT**

As part of the process of being designated a NERC RELIABILITY COORDINATOR, [*Name of Organization*] hereby agrees to abide by the terms of the foregoing NERC Reliability Coordinator Standards of Conduct.

[*Name of Organization*]

By: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

**NORTH AMERICAN ELECTRIC RELIABILITY COUNCIL**

By: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_