

Procedures for Implementing Standards of Conduct Under The Southwestern Power Administration Open Access Tariff (Docket Number NJ 98-2)

Southwestern applies the following guidelines and procedures to assure nondiscriminatory access to its transmission system for deliveries of non-Federal power under its Tariff, to the extent that transmission capacity is available in excess of that necessary to reliably market and deliver Federal power as authorized by Section 5 of the Flood Control Act of 1944.

Implementing Tariffs

Employees will strictly enforce all non-discretionary provisions of Southwestern's Tariff and apply all provisions fairly and impartially to treat all customers in a nondiscriminatory manner. All requests for transmission service will be processed on a first-come, first-served basis, as soon as practicable after they are received, and in accordance with §18.4 of the Tariff. Employees will provide equal treatment to any customer in the sale or purchase of transmission services related to the delivery of non-Federal power and energy.

Employees will not, through Southwestern's tariff or otherwise, give preference to sales for resale, if any, of non-Federal power by Southwestern's wholesale merchant function or by any affiliate over the interests of any other wholesale customers in matters relating to the sale or purchase of transmission service for the delivery of such non-Federal power and energy (including price, curtailments, scheduling, priority, ancillary services, etc.).

Southwestern maintains a log, available for Commission audit, detailing the circumstances and manner in which it exercises discretion in the application of its Tariff. A log is maintained by both the Division of Scheduling and Operations located in Tulsa, Oklahoma and by the Operations Center located in Springfield, Missouri. The following information is included in each log:

- Time references (i.e., duration, deadlines, dates, times, etc.)
- Parties involved identified by name
- Description of the situation
- Description of the normal application of the particular tariff provision
- Description of any extenuating circumstances
- Criteria and other factors used to decide to take the action
- Conclusions reached
- Facilities involved
- Limitations or caveats associated with the decision
- Actions taken

Books and Records

To the extent allowed by applicable laws and regulations, Southwestern maintains its books of accounts and records separately from those of its affiliates, if any, and makes them available for Commission inspection.

Auditing Transmission Service Information

All OASIS database transactions, except those transmission-related communications provided under 18 C.F.R. § 37.6(g)(2), are stored, dated and time-stamped. Audit data is available for downloading on Southwestern's OASIS for 90 days, except for Available Transfer Capability /Total Transmission Capability postings which are available for downloading on the OASIS for 20 days. The audit data is retained and available upon request for download for three years from the date when first posted, in the same electronic form as it was when originally posted on the OASIS.

Written Procedures

Southwestern has developed and maintains current written procedures implementing the Standards of Conduct. The most current procedures are posted and maintained on Southwestern's home page, located at <http://www.swpa.gov> and are also accessible from Southwestern's OASIS.

Sanctions for Violation of Standards of Conduct

All Southwestern employees have been advised of these Standards of Conduct and procedures. Selected employees (who are in any way involved in implementing or administering the Tariff or performing or supervising transmission or marketing functions) have signed a certification that they have reviewed and understand Southwestern's Standards of Conduct and have been informed that a violation of the Standards of Conduct may result in disciplinary action. Southwestern has designated a Standards of Conduct compliance officer to whom ongoing employee questions about compliance with the Standards of Conduct will be directed.

Point of Contact

Any questions relating to Southwestern's Standards of Conduct should be directed to the Standards of Conduct Compliance Officer at SOC@swpa.gov.