

INFORMAL DISPUTE RESOLUTION PROCESS

TNMP must provide a complainant a written report of the investigation into the allegation of a violation of the Code of Conduct. TNMP must also provide information regarding the resolution of the complaint to the PUCT in the Annual Report of Affiliate Activities for Electric Utilities.

1. Third party makes informal complaint to Texas Code of Conduct Compliance Coordinator. Complaint can be received via written notification, e-mail, or telephone.
2. Texas Code of Conduct Compliance Coordinator completes the INFORMAL DISPUTE RESOLUTION FORM.
3. Texas Code of Conduct Compliance Coordinator forwards INFORMAL DISPUTE RESOLUTION FORM to a Designated Officer of the utility for review.
4. The Designated Officer acknowledges receipt of complaint to complainant, in writing, within five working days of receipt and completes required information on the INFORMAL DISPUTE RESOLUTION FORM.
5. Designated Officer forwards INFORMAL DISPUTE RESOLUTION FORM to the appropriate departments for resolution.
6. Appropriate department reviews complainant issues and works to resolve. The utility and the complainant shall make a good faith effort to resolve the complaint on an informal basis as promptly as practicable.
7. Appropriate department provides result of review with recommended actions to the Designated Officer.
8. Designated Officer provides INFORMAL DISPUTE RESOLUTION FORM with recommended action to Texas Code of Conduct Compliance Coordinator for completion of the recommendations (if any).
 - a. If an employee violation of the Code of Conduct is reported and confirmed, the Texas Code of Conduct Compliance Coordinator, Human Resources, and Designated Officer will

determine appropriate actions under the Employee Handbook.

9. Designated Officer provides a written report communicating the results of the investigation to the complainant within thirty days after receipt of the complaint, including a description of any course of action that will be taken. The notice shall notify the complainant of his or her right to file a formal complaint with the Commission and shall provide the complainant with the Commission's address and telephone number.
10. Texas Code of Conduct Compliance Coordinator forwards complaint file to the IRC for filing necessary information into a database for tracking purpose to be included in the Annual Report of Affiliate Activities.

Requirement:

Substantive Rule 25.272(l)(4)