

IMO\_GDE\_0001

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GUIDE

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Market Participant Emergency Plan Guidelines & Requirements

This document assists *market participants* in the preparation of their *emergency preparedness plans (EPPs) and to meet* the requirements outlined in the Market Rules.

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| Issue | Reason for Issue | Date |
| For changes prior to 2012, refer to version 2.0. | | |
| 2.0 | Issue released for Baseline 27.1 | June 6, 2012 |
| 3.0 | Issue released for Baseline 36.1 | December 7, 2016 |

Related Documents

|  |  |
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| Document ID | Document Title |
| [IMO\_PLAN\_0002](http://www.ieso.ca/Documents/ep/ontElecEmerPlan.pdf) | Market Manual 7.10: Ontario Electricity Emergency Plan |
| [IMO\_PLAN\_0001](http://www.ieso.ca/Documents/systemOps/so_OntPowerSysRestorePlan.pdf) | Market Manual 7.8: Ontario Power System Restoration Plan |
|  | [Emergency Drills and Exercise Guide](http://www.ieso.ca/documents/ep/drillexercise.pdf) |

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Table of Changes

| Reference (Section and Paragraph) | Description of Change |
| --- | --- |
| Section 2 | Added the EPP Requirements Template, which has been extracted from Market Manual 7.8: Ontario Electricity Emergency Plan, Appendix C. |
| Section 3 | Updated guidelines to utilize them as a tool for reviewing Emergency Preparedness Plans. Cross-referenced guidelines to applicable Market Rule and CSA Z1600 requirements. |

# Introduction

This document assists market participants in the preparation of their emergency preparedness plans (EPPs) and to meet the requirements outlined in [*Market Rule* Chapter 5](http://www.ieso.ca/Documents/marketRules/mr_chapter5.pdf), Section 11. This document does not replace the EPP.

The *EPP* requirements in Section 2 of this document were extracted from [Market Manual 7.10: Ontario Electricity Emergency Plan](http://www.ieso.ca/Documents/ep/ontElecEmerPlan.pdf), Appendix C: Planning Requirements for Market Participants. The template contains a list of questions that the *market participants* must address in their *EPPs* in order to meet *market rule* requirements.

The guidelines in Section 3 assist *market participants* in meeting the requirements listed in Section 2. Where applicable, these guidelines reflect the Canadian Standards Association (CSA) Z1600 standard (Emergency and Continuity Management Program).

It is the responsibility of each market participant that their *EPP* adequately addresses each of the items listed in Sections 2 and 3. If a market participant determines that a requirement or guideline is not applicable to their business, the participant must provide the reason(s) in the Comments column for why it doesn’t apply.

This document will assist the *market participant* in preparing, and the IESO in assessing, the adequacy of market participant *EPPs* for meeting the intent of the market rules. Therefore, *market participants* are required to complete the tables contained in Sections 2 and 3, and submit this document along with their *EPPs*.

– End of Section –

# Emergency Preparedness Plan Requirements

| **Date:** | | **Market Participant ID:** |
| --- | --- | --- |
| **Emergency Preparedness Plan (EPP) Review Template** | | |
| **Market Manual 7.10: Ontario Electricity Emergency Plan (OEEP), Appendix C: Planning Requirements for Market Participants** | **Market Participant submitted EPP Compliance**  (Please indicate which sections in your plan meet Market Rule Requirements) | |
| **C.1 Planning** (ref. Market Rules, Chapter 5, Section 11.2.4) | | |
| What operating agreements or service arrangements do you have with others to manage the supply or delivery of electricity to or from your facility? |  | |
| What arrangements do you have in place to respond to electricity emergency, including coordination with government and local emergency responders such as police, fire and ambulance? |  | |
| What mutual aid arrangements are in place with others to support response to an electricity emergency? |  | |
| Do your plans identify critical and priority loads, and how do you mitigate the impact of an electricity emergency on public health and safety? |  | |
| **C.2 Testing** (ref. Market Rules, Chapter 5, Section 11.7) | | |
| How do you test your plans through training, drills, and exercises? |  | |
| **C.3 Communication** (ref. Market Rules, Chapter 5, Section 11.2.4) | | |
| What is your company's operational contact telephone number, available 24/7? |  | |
| What is the telephone number and title of your senior manager who would be contacted in the event of an electricity emergency? |  | |

– End of Section –

# Emergency Preparedness Plan Guidelines

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Date:** |  | **MP Name:** |  | **MP ID #:** |  | **Facility Name:** |  |

| Guideline | CSA Z1600 Section (where applicable) | EPP Section  (or N/A if Not Applicable) | Comment  (If a requirement is Not Applicable, use this column to explain why it doesn’t apply) | Accept / Decline[[1]](#footnote-1) |
| --- | --- | --- | --- | --- |
| **1. Emergency Preparedness Review Material** |  |  |  |  |
| **1.1 All - Hazards Analysis** |  |  |  |  |
| (a) Has an all-hazards analysis been completed for the market participant? | 5.3.2–5.3.7 |  |  |  |
| **1.2 Authority** |  |  |  |  |
| (a) Identify legislation, regulations and contractual agreements that apply to your company and that are relevant to electricity supply (e.g., black start facility, ancillary service). *[Market Rule Chapter 5, Section 11.2.4]* |  |  |  |  |
| (b) Have government and other organizations involved in electricity supply operations and their statutory authority (laws and policies) been clearly identified? Are there additional authorities during emergency operations? | 4.5 |  |  |  |
| (c) Are there additional regulations or permit conditions that require the preparation of an emergency response plan? |  |  |  |  |
| **1.3 Organizational Structure** |  |  |  |  |
| (a) Has a chain of command (including designated alternates) been established and identified in the plan for response through all levels of operations? | 4.1,  4.3,  5.2.2,  6.3.4 |  |  |  |
| (b) Are the roles, relationships, and internal coordination procedures delineated, understood, and acknowledged by all affected parties and incorporated into training? | 4.3,  6.2.8 |  |  |  |
| (c) Are the interrelationships and coordination procedures between government and non-government organizations clearly delineated and understood? Does the plan address mutual responsibilities? | 5.2.3, 6.2.7.2 |  |  |  |
| (d) Have the following organizations been included in emergency planning? Organizations may include fire, police, environmental, transportation, and other agencies with legal responsibility for public safety. | 5.3.2 |  |  |  |
| (e) How is the response system activated? | 6.3.1 |  |  |  |
| (f) Who is the individual designated to administer the emergency preparedness program? | 4.2 |  |  |  |
| (g) Does the plan address coordination and communication procedures with contiguous or neighbouring electricity *market participants* during emergency situations? See Section 2, Part C.1: Planning. | 6.2.5 |  |  |  |
| (h) Does the plan address coordination with government authorities in determining those parts of the service area requiring priority of service during an emergency electricity outage situation?  *Market participant EPPs* shall identify the mitigating actions to minimize the impact of an extended electricity service disruption on public health and safety.  Acceptance criteria:   * The *EPP* shall reference market participant arrangements made with customers, local government, emergency service providers and health representatives to confirm their understanding of the measures in place. * The *EPP* must indicate the manner in which the impact of an electricity emergency on public health and safety is mitigated.   *[Market Rule Chapter 5, Section 11.2.4]* | 6.2.5.8 |  |  |  |
| (i) Do the responsibilities of the manager/ coordinator of emergency preparedness include development, implementation and maintenance of the emergency response plan and procedures; development and conduct of training and drill/exercise programs; and maintenance of emergency response facilities and equipment? | 4.1,  4.2, 4.7, 5.1.1,  5.5.9 |  |  |  |
| (j) Do the plans clearly define lines of authority within the organization and lines of succession for key management positions during an emergency? | 4.3,  6.3.4 |  |  |  |
| (k) Is each position in the company emergency response organization staffed with a designated primary and back-up person? | 4.7 |  |  |  |
| (l) Does each emergency response organization position have listed specific emergency response responsibilities and tasks assigned? | 4.3 |  |  |  |
| **1.4 Communication** |  |  |  |  |
| **1.4.1 Communication Procedures** |  |  |  |  |
| (a) Are there procedures for communicating during an emergency situation and the subsequent recovery with:   * Employees? * Customers? * Vendors? * Government officials and agencies? * Other stakeholders? * News media? * General Public | 5.2.5,  6.2.5 |  |  |  |
| **1.4.2 Coordination** |  |  |  |  |
| (a) Have procedures been established for coordination of information both internally and externally during an emergency? | 6.2.5.7 |  |  |  |
| (b) Have procedures been established to accommodate the needs of media personnel during an emergency? | 6.2.5.7 |  |  |  |
| **1.4.3 Information Dissemination** |  |  |  |  |
| (a) Has a system been identified to carry out pre-emergency public information, community relation activities and relevant planning/response participants and does this include provisions for informing the public of what hazards to expect and what precautions to take | 6.2.5.5 |  |  |  |
| (b) Has one department or individual been designated to coordinate with or speak to the media? | 6.2.5.7 |  |  |  |
| (c) Is this system available 24 hours per day? *[Market Rule Chapter 5, Section 11.2.4]* |  |  |  |  |
| **1.4.4 Notification** |  |  |  |  |
| (a) Has a central location or phone number been established for initial notification of an emergency? Is it available on a 24 hours-per-day basis?  *[Market Rule Chapter 5, Section 11.2.4]* | 6.2.5.7 |  |  |  |
| (b) Are 24-hour points of contact with government response organizations listed in the procedures? *[Market Rule Chapter 5, Section 11.2.4]* |  |  |  |  |
| (c) Is the initial notification process clear as to who calls whom, when, and how? *[Market Rule Chapter 5, Section 11.2.4]* |  |  |  |  |
| (d) Does the initial notification process include a standardized list of information to be collected and/or provided? | 5.5.1 |  |  |  |
| (e) Have procedures for internal and external notification of an emergency situation been developed? | 6.2.5.4 |  |  |  |
| **1.5 Resources** |  |  |  |  |
| **1.5.1 Resources** |  |  |  |  |
| (a) Do mutual aid agreements exist to facilitate support between organizations? Are the agreements listed in the *EPP*? *[Market Rule Chapter 5, Section 11.2.4]* | 5.2.3, 6.2.7.1, 6.2.7.2 |  |  |  |
| (b) If mutual aid agreements are in place, are they reviewed and updated annually? See Section 2, Part C.1: Planning. *[Market Rule Chapter 5, Section 11.2.4]* |  |  |  |  |
| **1.5.2 Personnel** |  |  |  |  |
| (a) Have the trained personnel available for response been identified? | 4.3,  6.3.1 |  |  |  |
| (b) Are sufficient personnel available to maintain a given level of response capability? | 4.3,  6.3.1–6.3.4 |  |  |  |
| (c) Has the availability of special technical expertise necessary for response been identified? | 4.3.3 |  |  |  |
| **1.5.3 Equipment** |  |  |  |  |
| (a) Are the equipment and supplies necessary for protracted emergency operations identified? | 5.4 |  |  |  |
| (b) Does a program exist to regularly test equipment and to provide a schedule for regular maintenance? | 7.2.2 |  |  |  |
| **1.5.4 Facilities** |  |  |  |  |
| (a) Have facilities and procedures been identified for employees requiring evacuation or temporary relocation as a result of an emergency? | 6.2.2, 6.2.7.3 |  |  |  |
| (b) Have facilities been identified that are suitable for command centres, such as an Emergency Operations Centre or an Emergency News Centre? | 6.3.6 |  |  |  |
| (c) Are the command centres equipped with back-up power systems and adequate supplies to permit operations for several days following a significant emergency situation? | 6.2.7.3 |  |  |  |
| (d) Are critical systems (e.g., communications and computer systems) supplemented with backup procedures and disaster recovery plans? | 5.4.1, 5.5.6, 6.2.6.1 |  |  |  |
| **2. Emergency Response** |  |  |  |  |
| **2.1 Operations** |  |  |  |  |
| (a) Does the EPP address the classification of events into categories or stages of escalation and is there a procedure for classifying the emergency situation? | 6.2.6.1, 6.2.6.2 |  |  |  |
| (b) Have appropriate implementing procedures been developed for the personnel conducting emergency operations? | 6.1.3.3 |  |  |  |
| (c) Is the responsibility and authority for classifying emergency situations clearly specified? Is flexibility built into the classification procedure? Are there allowances for personal judgment? | 4.1,  4.3.2 |  |  |  |
| (d) Are the procedures and contacts necessary to activate or deactivate the organization clearly given in the EPP? | 6.2.6.2 |  |  |  |
| (e) Have any multiple notifications required by overlapping jurisdictions (e.g., federal, provincial, local, and company policy) been addressed? | 6.2.5 |  |  |  |
| (f) Does a network exist for notifying and activating response personnel during or immediately after an incident? | 6.2.4 |  |  |  |
| (g) Have appropriate standard response procedures been established to activate facilities and coordinate emergency operations during or immediately after an incident? | 6.2.4 |  |  |  |
| (h) Is the control of response, operations, monitoring, and repair teams vested in a single emergency response facility or is it defined between multiple emergency response facilities? | 6.2.7.3 |  |  |  |
| (i) Have event reporting procedures been developed? | 6.2.5.7 |  |  |  |
| **3. Administration** |  |  |  |  |
| **3.1. Training** |  |  |  |  |
| (a) Have the training needs for the organization been identified and is training provided to response personnel? | 6.2.8 |  |  |  |
| (b) Has the level of training available been matched to the responsibilities or capabilities of the personnel being trained? | 6.2.8.1, 6.2.8.2 |  |  |  |
| (c) Does the training program provide for refresher courses or some other method to ensure that personnel remain up to date in their level of expertise? | 6.2.8.3 |  |  |  |
| (d) Has each employee in a response role been briefed or trained on the specific duties and responsibilities in an emergency situation and on the workings of the emergency response plan? *[Market Rule Chapter 5, Section 11.7]* |  |  |  |  |
| (e) Do refresher courses reflect changes to plans and procedures and lessons learned during actual emergency situations and drills and exercises? |  |  |  |  |
| **3.2 Testing and Drills** |  |  |  |  |
| (a) Does the plan provide for training exercises to test the response organization and the plan and its components regularly? How often are the exercises conducted? *[Market Rule Chapter 5, Section 11.7]* | 7.2 |  |  |  |
| (b) How often are exercises conducted to test the organizational structure? *[Market Rule Chapter 5, Section 11.7]* |  |  |  |  |
| (c) How often are communications networks tested? | 7.2.2 |  |  |  |
| (d) How often does each member of the emergency response organization participate in at least one drill or exercise to demonstrate proficiency in assigned response duties and responsibilities? *[Market Rule Chapter 5, Section 11.7]* |  |  |  |  |
| (e) Does an exercise schedule or plan exist to test all components of the emergency response plan within a three-year period? | 7.2.1 |  |  |  |
| (f) Does the exercise schedule plan to test the emergency response communication system with local authorities at least annually? |  |  |  |  |
| (g) Does the organization provide a mechanism to review and critique activities of an actual emergency response to identify shortcomings? | 8.1 |  |  |  |
| (h) Is there an after-action tracking system to assure re-mediation of the concerns identified by the evaluation and critique? | 8.1 |  |  |  |
| **3.3 Other Planning Elements** |  |  |  |  |
| 1. Have all appropriate individuals and groups reviewed, accepted or approved the plan?   **Note:** EPP signoff must be obtained by at least one of the following authorities:CEO, CFO, COO, CIO, President, Vice-President, or Legal Counsel/Secretary. | 4.4.2 |  |  |  |
| (b) Are self-assessment, review, and update of the emergency preparedness plan conducted annually, as well as when conditions change in such a way that the existing plan is put into question? *[Z1600 Sections 5.1.3 and 8.1]* | 5.1.3,  8.1 |  |  |  |
| (c) Are the organizational structure and notification lists and telephone rosters defined in the plan designated for review at least semi-annually? |  |  |  |  |

– End of Document –

1. For IESO use only. [↑](#footnote-ref-1)