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ATTACHMENT 4

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## &lt;&lt; Emergency Contact List &gt;&gt;

Facility Contacts				
Description	Title/Address	Contact Name	Phone Number	Other
Emergency Announcements	Facility Leadership	██████████	██████████	██████████ ██████████
		██████████	██████████	██████████ ██████████
Facility Operations	Program Admin (Area Manager)	██████████	██████████	
	Evacuation Coordinator (Supervisor)	██████████	██████████	
	EHS Professional	██████████	██████████	
	Emergency Response	██████████	██████████	
Aggreko Microgrid	Remote Site Monitoring Center	██████████	██████████	N/A
Monitoring Center	Renewables Control Center (RCC)	██████████	██████████	██████████ ██████████

Emergency Contacts				
Description	Title/Address	Contact Name	Phone Number	Other
Fire Department	Goldsmith Fire and Rescue 216 N. Scharbauer St. Goldsmith, TX 79741	Dispatcher	911	Non-emergency: 915-238-3621
Law Enforcement	Odessa Police Dept. 205 N. Grant Ave Odessa, TX 79761	Operator	911	Non-emergency: 432-333-3641
Emergency Room	Medical Center Hospital 500 W. 4th St. Odessa, TX 79761	Operator	911	Emergency Room: 432-640-4000

## &lt;&lt; Emergency Contact List &gt;&gt;

State Contacts				
Description	Title/Address	Contact Name	Phone Number	Other
Petroleum or Hazardous Materials Spills	Texas Commission of Environmental Quality (TCEQ)	Operator	Spill Reporting: 800-832-8224	
State Department of Transportation	Texas Department of Public Safety	Operator	512-424-2000	
State Emergency Management	Texas Department of Public Safety 5805 North Lamar Blvd. Austin, TX 78752-4422	Operator	512-424-2000	
	Texas State Emergency Response Commission (SERC) P.O. Box 4087 Austin, TX 78773-0220		512-424-2208	
State Fire Marshal	Texas State Fire Marshal 333 Guadalupe Street Austin, TX 78701	Operator	817-598-4281	
State Highway Patrol	Texas Department of Public Safety 5805 North Lamar Blvd. Austin, TX 78752-4422	Operator or Dispatcher	512-424-2000	

## &lt;&lt; Emergency Contact List &gt;&gt;

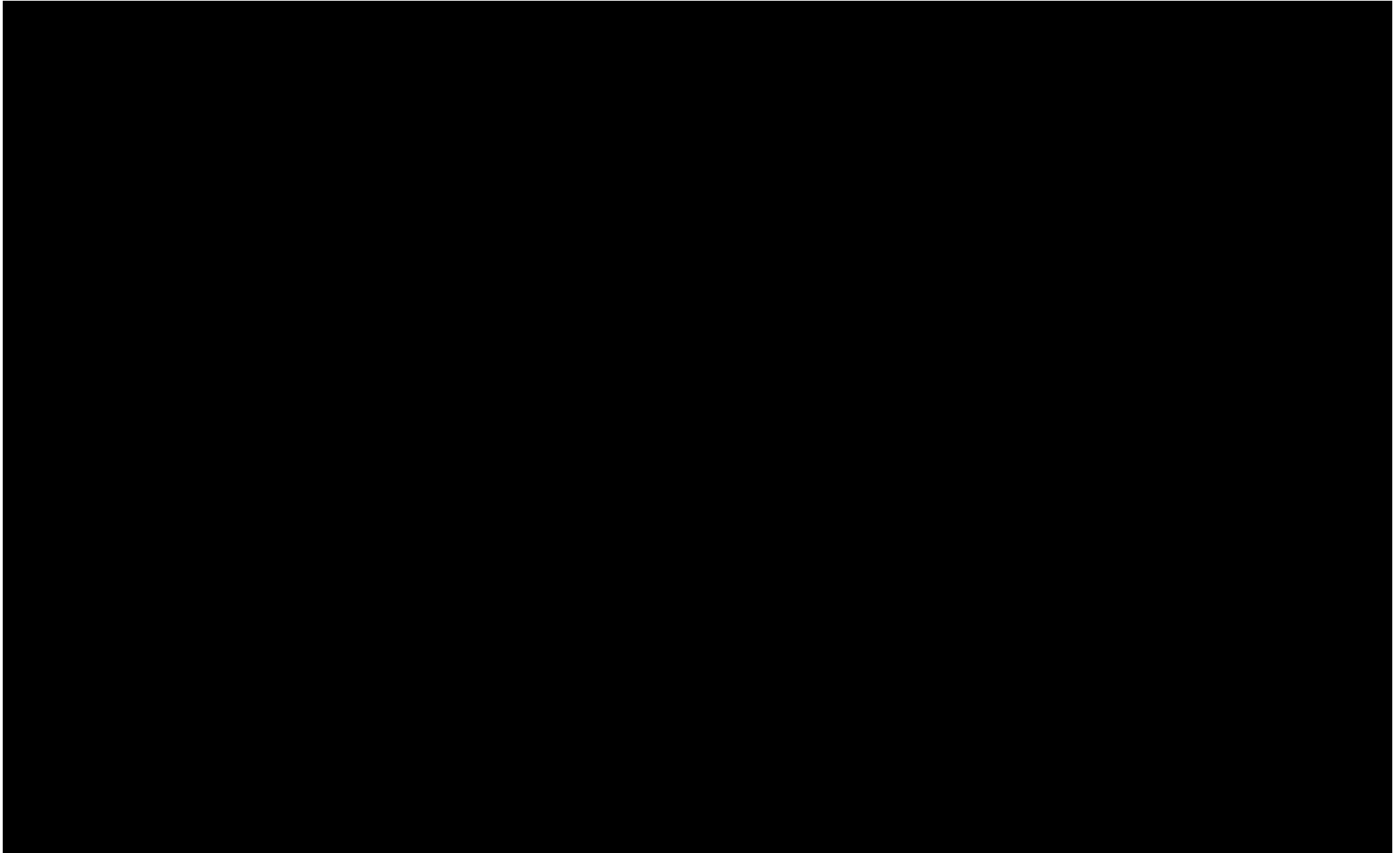
Federal Contacts				
Description	Title/Address	Contact Name	Phone Number	Other
Petroleum or Hazardous Materials Spill	National Response Center (NRC)	Emergency Operator	800-424-8802	
Environmental Reporting	US Environmental Protection Agency Region 6 1445 Ross Avenue, Suite 1200 Dallas, TX 75202	Operator	In State: 800-887-6063	Out of State: 214-665-6444
Storm Tracking and Reports	National Weather Service (NWS)			Website: <a href="http://www.nws.noaa.gov">www.nws.noaa.gov</a>
Medical Treatment	WorkCare	Nurse	888-449-7787	Not Emergency Response

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&lt;&lt; Assembly Area &gt;&gt;



## NOTES:

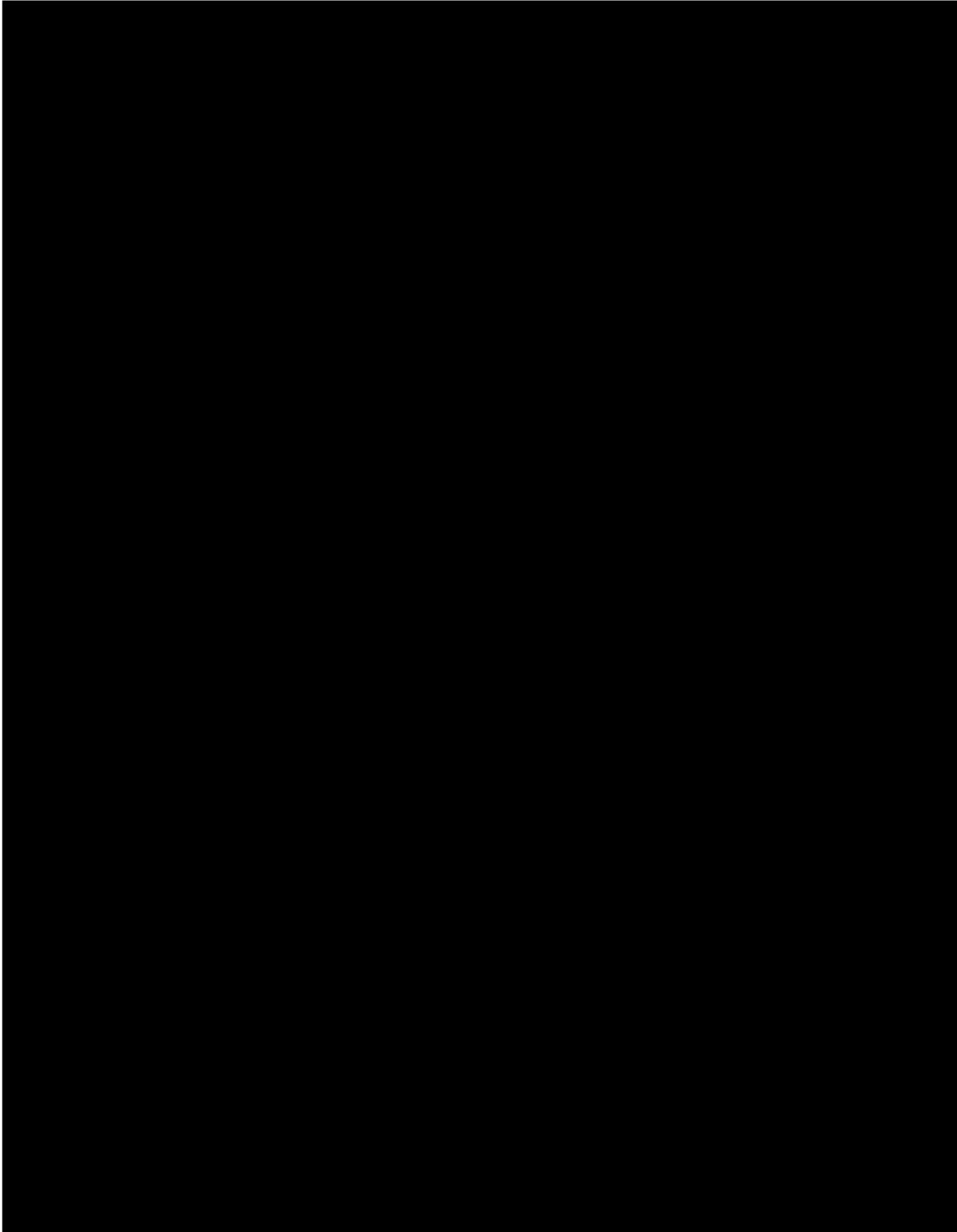
1. All Emergencies except Severe Weather: Assembly Area is access gate for O&M Building.
2. Severe Weather except Tornado: Assembly Area is inside O&M Building.
3. Severe Weather during Tornado Warnings: Assembly Area is inside tornado shelter located outside of O&M Building or if tornado shelter is full, assemble inside O&M Building restrooms.

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&lt;&lt; Site Map &gt;&gt;

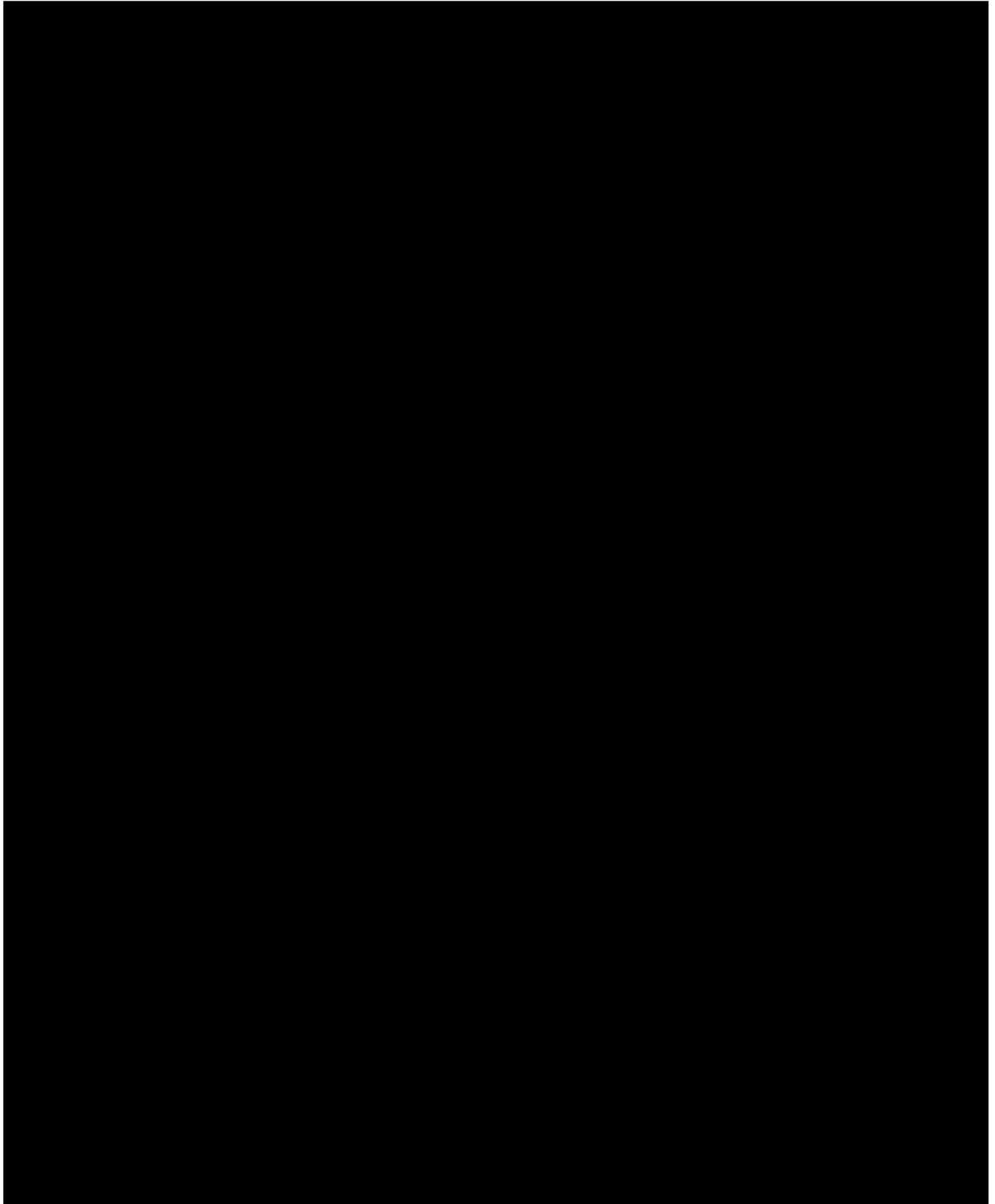


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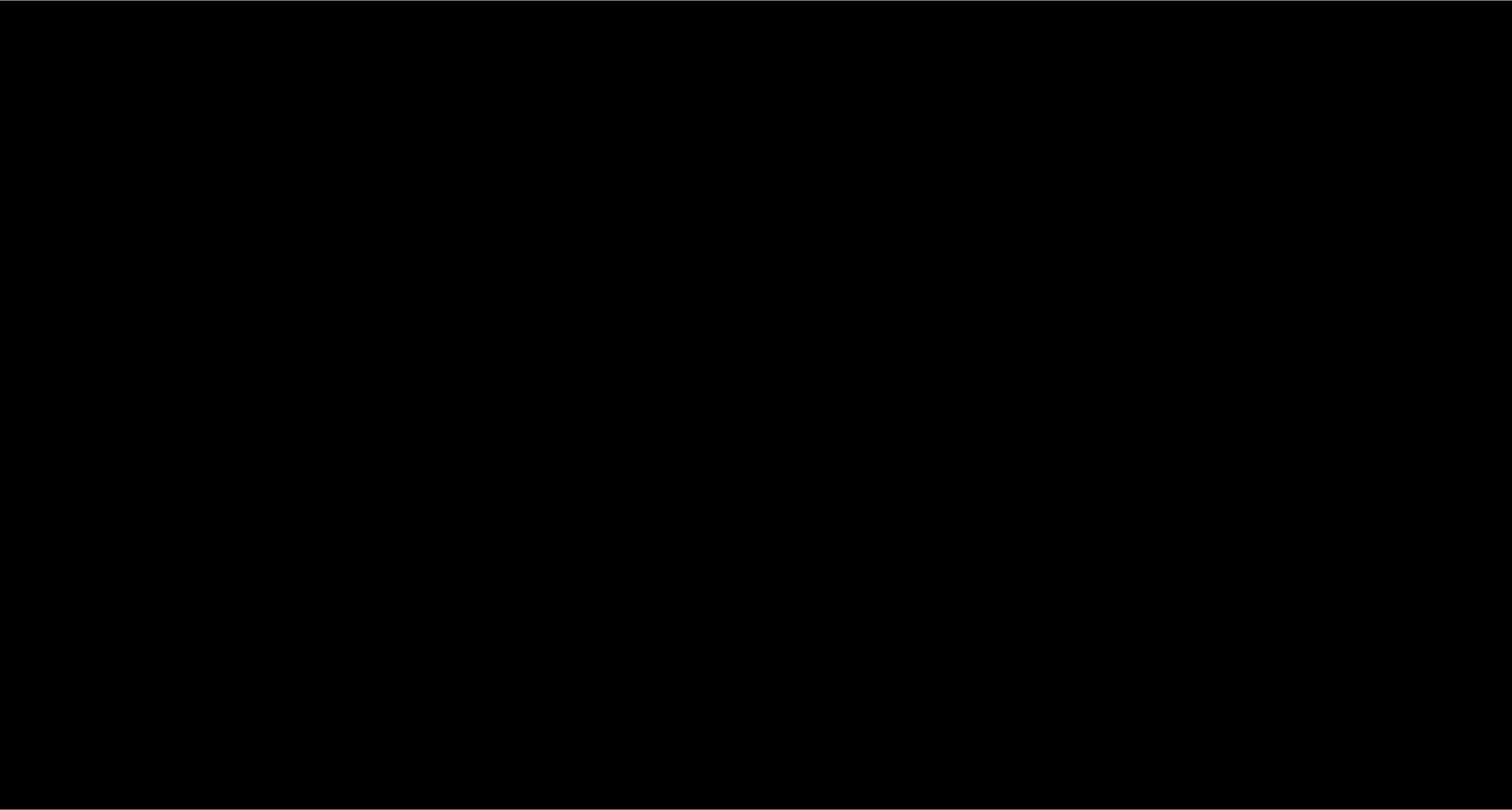
&lt;&lt; Battery Suppression System &gt;&gt;



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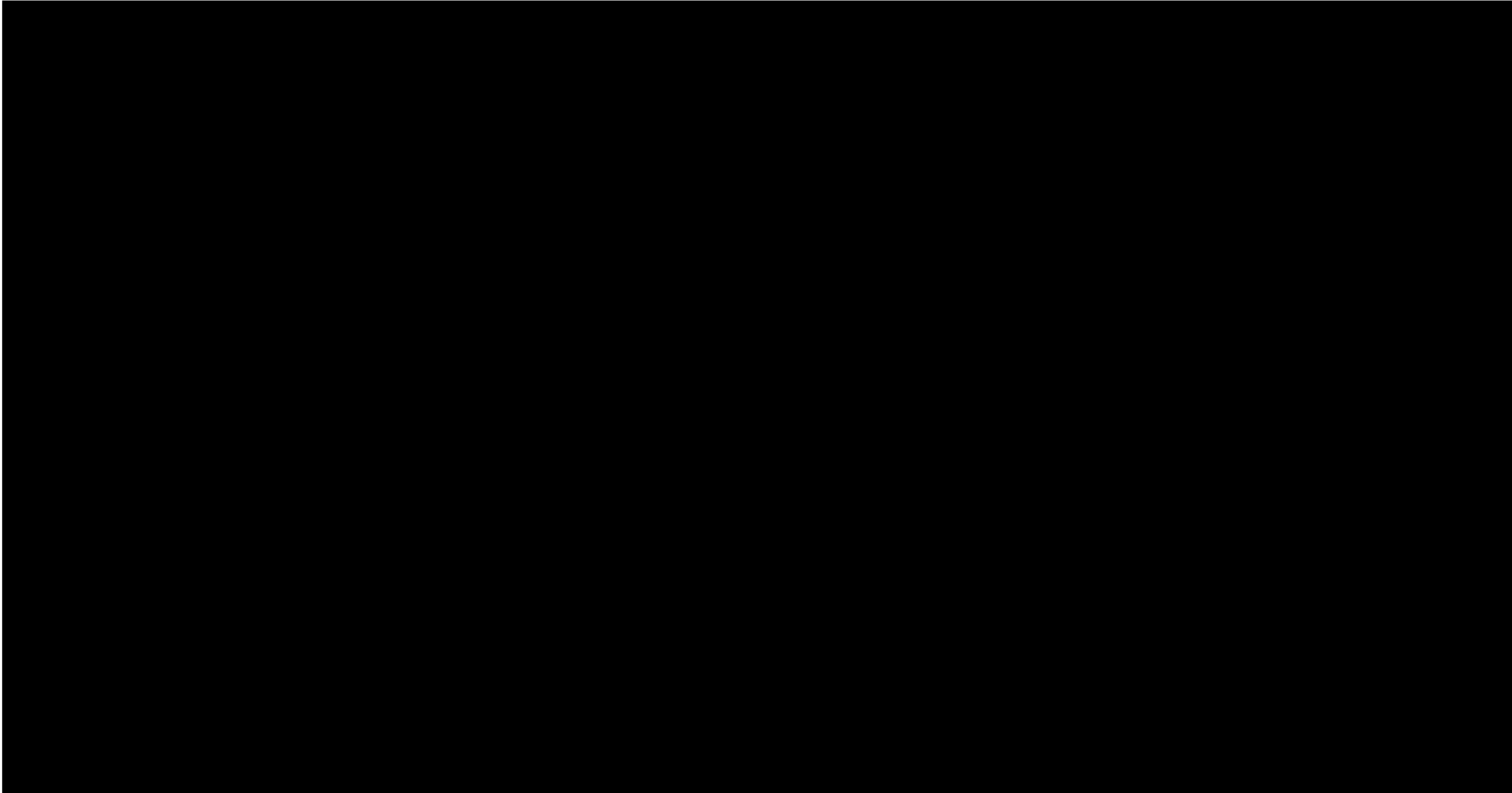
<< Confined And Enclosed Space Assessment >>



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<< Confined And Enclosed Space Assessment >>



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<< Driving Directions >>

[REDACTED]

[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

[REDACTED]

[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

[REDACTED]



**Information Use**

**RE RAMBLER SOLAR, LLC  
EMERGENCY ACTION PLAN**

AD-EAP-RAMB-0001

SITE PROCEDURE

RE RAMBLER SOLAR, LLC  
ADMINISTRATIVE PROCEDURE  
REVISION 0

Effective Date  
11/29/2021

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REVISION SUMMARY
PRR 0 DESCRIPTION
<p><b>Document Owner:</b> Terese Dodge, Lead EHS Professional <b>RPG Procedure Writer:</b> Dearl Lemons, Procedure Writer, Operational Excellence <b>Reviewer:</b> Cody Tellgren, Site Manager <b>Approver:</b> Tom Paff, RTO/ISO Coordinator Rev. 0 - This document is a new procedure.</p>

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## 1.0 PURPOSE

1. This Emergency Action Plan (EAP) for RE Rambler Solar, LLC (Rambler) located at [REDACTED], for responding to emergencies including safe and expedient evacuation of site personnel.

## 2.0 SCOPE

1. EAP applies to Duke Energy Renewable Services (DERS) site personnel, contractors and site facilities at Rambler during the following:
  - Bomb threats
  - Chemical spills and releases
  - Fires and thermal events
  - Arc Flash
  - Medical incidents
  - Chemical contacts
  - Neck/Spine injury
  - Power failures
  - Severe weather
  - Active shooter or hostile intruder onsite
  - Suspicious materials
  - Other emergency conditions as warranted
2. This EAP does not address threats to Operations nor systematic process for planning, preparing or responding to extreme severe weather events. Refer to the Wind Emergency Operating Plan (EOP) for technology and site specific action plan items when Extreme Weather Events (Heat, Cold, Wind, and Flood) are a threat to operations.
3. This EAP is applicable to all work areas, storage areas, and covered buildings, structures and receptacles during normal hours, after hours, weekends, and holidays.

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## 2.0 SCOPE (continued)

4. EAP is placed into effect by facility Area Manager or designated personnel upon activation of emergency monitoring device or notification of any emergency situation.
5. EAP is available to all onsite employees, contractors and visitors.

## 3.0 REFERENCES

### 3.1 Commitments

1. None

### 3.2 Procedures

1. AD-BO-ALL-0001, Safety, Environmental, Asset, and Megawatt Events Communication
2. AD-HP-ALL-0004, Corrective Action and Lessons Learned Program

### 3.3 Miscellaneous Documents

1. None

## 4.0 DEFINITIONS

1. **Arc Blast:** An explosive release of molten material from equipment caused by high-amperage arcs.
2. **Arc Flash:** A phenomenon where a flashover of electric current leaves its intended path and travels through air from one conductor to another, or to ground. Results are often violent and when a human is in close proximity to arc flash, serious injury, and even death can occur.
3. **Emergency Action Plan:** Pre-determined emergency plan for immediate protection of people from threats in workplace, including safe and expedient evacuation of personnel from threatened areas to areas of safety.
4. **Emergency Medical Services (EMS):** Professional emergency responders including Emergency Medical Technicians (EMTs) and Fire Fighters.
5. **Emergency Operations Plan:** Pre-determined emergency plan for protecting Operations from impact of an extreme severe weather event, such as extreme heat, cold, wind or flood conditions, including those a-typical for a region or season.

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## **5.0 RESPONSIBILITIES**

### **5.1 EHS Professional**

1. Assists in preparation, revision and implementation of EAP.
2. Provides guidance to Evacuation Team to ensure team is adequately trained and familiar with roles and responsibilities related to facility evacuation process.
3. Provides assistance and helps with oversight of annual emergency action drills for facility.
4. Participates in Lessons Learned sessions after drills and real emergencies, to evaluate and improve preparedness of organizations and personnel involved.

### **5.2 Program Administrator**

1. Administers and implements EAP.
2. Selects EAP Assistant Program Administrator and Evacuation Coordinator.
3. Develops and maintains business relationships with local fire, police, and safety organizations.
4. Coordinates activities with Evacuation Team and outside agencies that respond to emergency situations, such as fire department, police department, Local Emergency Response Committee, Sheriff's office.
5. Acts as liaison between local fire department and Evacuation Coordinator.
6. Ensures regularly scheduled walkdowns are conducted to verify egress routes and signage satisfy safety codes and other requirements.

### **5.3 Assistant Program Administrator**

1. Assists with administration and implementation of EAP as requested by Program Administrator.
2. Assumes role of Program Administrator in absence of Program Administrator.
3. Supports evacuation process.

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#### 5.4 **Evacuation Coordinator**

1. Is knowledgeable of facility equipment related to fire protection.
2. Inspects facility regularly and verifies the following are performed by Rambler site personnel during monthly Fire and Life Safety Inspections:
  - Fire protection and emergency egress devices are maintained in proper position.
  - No gates or doors are obstructed or inoperable.
  - Egress routes and signage satisfy safety codes and other requirements.
3. Ensures number of facility occupants is determined and recorded each work day using sign-in and sign-out log.
4. Conducts training sessions to instruct contractors and visitors of evacuation routes and Assembly Areas.
5. Notifies contractors and visitors to inform Rambler management immediately upon entering facility if special assistance is needed during an emergency evacuation.
6. Assigns special assistance aids for those persons who cannot exit unaided.
7. During emergency event, ensures personnel on-site are notified of emergency.
8. Ensures applicable emergency telephone calls are made.  
(Attachment 3, Emergency Contact List)
9. Develops search areas for Evacuation Team.
10. Directs and assists Evacuation Team as needed.
11. Verifies all employees, contractors, and visitors evacuated facility during emergency situation. (Note: Evacuation Coordinator is last person to exit facility.)
12. Reports status of facility to Program Administrator upon completion of a search or evacuation.
13. Follows specific instructions from Program Administrator or Assistant Program Administrator determined by type of emergency.

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## 5.5 Evacuation Team Members

1. Reports to Rambler site management:
  - Life threatening condition that may prevent evacuation of facility.
  - Any potential EAP improvements or corrections.
2. Knows all evacuation routes out of facility.
3. Provides assistance to personnel who need special assistance during evacuation as assigned by Evacuation Coordinator.
4. Provides assistance during evacuation to contractors or visitors who may not know evacuation routes as assigned by Evacuation Coordinator.
5. Notifies Evacuation Coordinator and other applicable personnel when special assistance is needed.
6. Assists contractors and visitors as needed to designated Assembly Area.
7. Assembles or musters during emergencies at access gate for O&M Building so Evacuation Coordinator can verify needed resources.
8. Conducts area searches during emergencies as assigned by Evacuation Coordinator.
9. Upon completion of area search, communicate 'all clear' or other results back to Evacuation Coordinator and proceeds to designated Assembly Area.
10. Remains in designated Assembly Area until receiving instructions from Evacuation Coordinator or fire department.
11. Participates in Lessons Learned sessions following drills and real emergencies, to help improve preparedness of organizations and personnel involved.

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**5.6 DERS Employee, Contractor or Site Visitor**

1. Immediately reports the following to Rambler site management:
  - Accidents
  - Illnesses
  - Fires
  - Spills and releases
  - Other emergency situations
  - Life threatening conditions that may prevent safe facility evacuation
2. Reports EAP improvements or corrections to Rambler management.
3. Safety shuts down work and reports to designated Assembly Area upon receiving emergency notification.
4. Notifies Rambler management if special assistance is required or no longer required.
5. Evacuates during practice drills as instructed.
6. Remains in designated Assembly Area until Evacuation Coordinator or fire department approves leaving area or re-entering facility.

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## 6.0 INSTRUCTIONS

### 6.1 Evacuation Process

1. Proper emergency response including safe and expedient evacuation of personnel from threatened areas to areas of safety is the primary objective of this EAP and cannot be hampered in any way.
2. Effectiveness of EAP depends on personnel exercising good judgment and remaining calm in all emergencies.
3. Evacuation Coordinator ensures the following:
  - a. Onsite personnel are notified of emergency by alarm sounding or contacting personnel directly.
  - b. Local emergency telephone number (911) is called as needed.
4. Evacuation Coordinator and Evacuation Team upon receipt of alarm or notification performs the following:
  - a. Assembles at access gate for O&M Building while Evacuation Coordinator verifies needed resources.
  - b. Conducts area searches as determined and assigned by Evacuation Coordinator based on personnel resources and emergency type.
  - c. Communicates 'all clear' or other results back to Evacuation Coordinator upon completion of area search and proceeds to designated Assembly Area.
    - (1) Any missing individuals are reported immediately to Evacuation Coordinator.
    - (2) Evacuation Coordinator is last person to exit facility.
  - d. Remains in designated Assembly Area until receiving instructions from Evacuation Coordinator or fire department.
    - (1) Fire department assumes complete control of emergency situation upon arriving onsite.
    - (2) If fire department is unavailable, then Evacuation Coordinator is in control and makes decisions based on discussions with Program Administrator or Assistant Program Administrator.
  - e. Participates in Lessons Learned sessions following drills and real emergencies to help improve preparedness of organizations and personnel involved.

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## 6.1 Evacuation Process (continued)

5. Contractors, Site Visitors, and Employees upon receipt of alarm or notification, perform the following:
  - a. Calmly follows nearest evacuation route out of facility and proceeds directly to designated Assembly Area.
  - b. Does not delay evacuation, but if time allows, collects critical personal belongings (coats, keys, etc.).
  - c. Personnel needing special assistance are located and assisted to Assemble Area by Evacuation Coordinator or designee.
  - d. Remains in designated Assembly Area until Evacuation Coordinator or fire department approves leaving area or re-entering facility.

## 6.2 Assembly Areas

1. For emergencies except Severe Weather:
  - a. Assembly Area is access gate for O&M Building.
  - b. Access gate Assembly Area may be changed by Program Administrator or Evacuation Coordinator during fire emergencies due to wind direction.
2. For Severe Weather emergencies:
  - a. Assembly Area is inside O&M Building.
  - b. During tornado warnings, onsite personnel must be inside tornado shelter outside of O&M Building.
  - c. If tornado shelter is full, then inside restrooms in O&M Building.

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### **6.3     Emergencies**

#### **6.3.1   Bomb Threat**

1.     Record every word spoken by caller in spaces provided in Attachment 1, Bomb Threat Checklist.
2.     Keep caller on line as long as possible.
3.     Ask caller to repeat message.
4.     Ask caller for bomb location or time of possible detonation if caller does not provide this information voluntarily.
5.     Pay attention to and record peculiar background noises, such as motors, music, and any noise which may give a clue as to location of caller.
6.     Listen closely and record voice (male or female), voice quality (calm or excited), accents, and speech impediments.
7.     Dial 911 immediately and provide all information recorded on Attachment 1.
  - a.     Contact Program Administrator or Assistant Program Administrator.
  - b.     See Attachment 3, Emergency Contact List, for emergency contact telephone numbers.
8.     Person who received call must remain available until law enforcement arrives to talk first-hand.
9.     Evacuate facility if necessary or as instructed by Program Administrator or Assistant Program Administrator.

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### 6.3.2 Chemical Spill

1. Immediately notify RCC at [REDACTED], and if emergency assistance is needed dial 911.
2. Be prepared to provide the following information:
  - Location of spill/release
  - Was anyone injured
  - Material spilled/released
  - Approximate quantity of material spilled/released
3. Notify Program Administrator or Assistant Program Administrator and Rambler EHS Professional when safe to do so.
  - a. See Attachment 3, Emergency Contact List, for emergency contact telephone numbers.
4. If safe to do so practice **SWIM**:
  - a. **S**ecure area.
  - b. **W**arn others.
  - c. **I**nforn proper authorities.
  - d. **M**onitor situation until response crews arrive.
5. Do not attempt to control or clean-up spill/release unless you are trained and authorized to do so.
6. Move away from spill/release area, and evacuate facility if necessary or instructed by RCC.
7. Follow established evacuation procedure as needed.

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### 6.3.3 Fire/Thermal Event

1. Activate fire alarm if installed.
2. Verbally alert, if needed, onsite personnel in lieu of fire alarm.
3. Dial 911 to notify local emergency personnel as needed and be prepared to answer the following questions:
  - Type of emergency (fire, police, medical)
  - Name of company (Duke Energy Renewable Services)
  - Building name, location and address
  - Personnel name
  - Other questions asked by operator
4. If equipment fire occurs, then take the following action:
  - a. Exit or evacuate equipment area immediately.
  - b. Establish 'No Entry' perimeter as large as possible but no smaller than 400 feet around affected area.
5. Attempt to extinguishment only if:
  - Trained and qualified to do so.
  - Can be done without endangering yourself or others.

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#### 6.3.4 Arc Flashes

1. If equipment incident energy is above 40 cal/cm<sup>2</sup> (i.e. combiner boxes), then Rambler field technicians will utilize 40 cal/cm<sup>2</sup> arc flash suit while operating on such equipment.
2. Rambler field personnel operating on combiner boxes must set a minimum arc-flash boundary for technicians who are not wearing proper PPE.
  - a. All technicians not wearing an arc flash suit must not cross boundary denoted by technician operating on equipment.
3. If arc flash or arc blast occurs, then technicians beyond arc-flash boundary must:
  - a. Stay where they are.
  - b. Notify Emergency Authorities.
  - c. Not approach open equipment.

#### 6.3.5 Medical

1. If medical emergency, either accident or illness, occurs, then take the following actions:
  - a. Assess area for hazards such as electrical, mechanical, fall, and fire.
  - b. If unsafe work conditions cannot be mitigated, then leave incident area at once and await further assistance.
  - c. If first aid trained personnel are not at emergency scene, announce via radio (Channel 1), or cell phone, for all first aid trained personnel to report to emergency location and nature of emergency.
  - d. In case of medical emergency:
    - (1) Call 911 and provide emergency personnel with emergency information such as:
      - Name
      - Location
      - Phone number
      - Number and status of injured persons.
    - (2) Direct available personnel to escort emergency personnel to emergency location.

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### 6.3.5 Medical (continued)

- e. Complete the following as needed:
  - (1) Shut-off operating equipment in area to ensure safety of personnel.
  - (2) Barricade area from safe distance and deny entry of non-essential personnel.
  - (3) If safe to do so, provide basic first aid and attend victim until emergency personnel arrive.

### 6.3.6 Chemical Contact

1. The following requirements are in addition to requirements presented in Section 6.3.5:
  - a. Remove contaminated clothing.
  - b. Wash exposed body area with large quantity of soap solution and water for at least 15 minutes.
  - c. Immediately contact physician, see Attachment 3.
  - d. Review chemical Safety Data Sheet (SDS) to determine additional actions to take (if any).

### 6.3.7 Neck And Spine

1. Comply with requirements presented in Section 6.3.5.
2. Evaluate injury scene to determine if any hazards imminently life threatening.
3. Immediately remove victim from life threatening hazards.
4. Minimize movement of victim to prevent possible paralysis or death.
5. Site Emergency Response personnel attend victim in place until EMS arrive.

### 6.3.8 Power Failure

1. If power failure is associated with fire emergency, then all procedures for fire evacuation should be followed.
2. If power failure occurs independently of other emergency conditions, then remain at your location for further instructions. Do not move around unnecessarily.

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### 6.3.9 Severe Weather

#### NOTE

DERS EOP workbooks for Solar and Wind contain action plan items to plan, prepare and recover from extreme severe weather events, such as Hurricanes/Tropical Storms, Blizzards, Extreme Heat and Floods.

1. Before and during Severe Weather:
  - a. Ensure communication radios and cellular telephones work.
  - b. Be alert for weather conditions to worsen.
  - c. RCC and Rambler management advise facility occupants of severe weather and actions to take.
    - (1) Rambler management takes steps as needed to help ensure facility occupants are aware of severe weather notices provided by RCC.
  - d. Assembly Area for severe weather is inside O&M Building.
    - (1) During tornado warnings, onsite personnel take shelter inside tornado shelter outside of O&M Building.
    - (2) If tornado shelter is full, then personnel take shelter inside O&M Building restrooms.
  - e. As directed by RCC or Rambler management, retreat from facility and seek other shelter.
    - (1) If no shelter is available, then move to low lying area or depression for safety.
2. During lightning alerts:
  - a. RCC or Rambler management contact personnel onsite to inform of lighting alerts.
    - (1) If RCC is responsible for notifying onsite personnel of lighting alerts, then Rambler management contacts various onsite work groups to help ensure alerts are received.
  - b. No work is performed during lighting alerts.

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**6.3.9 Severe Weather (continued)**

- c. Personnel in vehicles avoid direct contact with vehicle external conductive surfaces during lighting alerts.
- d. Personnel remain in Assemble Area until no lightning is detected within 30 miles of facility for 30 minutes.

**6.3.10 Active Shooter or Hostile Intruder Onsite**

1. If shots are heard, then perform the following:
  - a. Stop work and remain at current location unless it is dangerous to do so.
  - b. Contact facility management and provide at a minimum:
    - Number of shots heard
    - Estimated location of shots
  - c. Remain in contact with management and follow instructions unless unsafe to do so.

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### 6.3.10 Active Shooter or Hostile Intruder Onsite (continued)

2. If you see or receive notification a hostile intruder is on site, then perform the following:
  - a. Quickly determine most reasonable way to protect your life:
    - (1) Evacuate area if it does not put you in additional danger:
      - Move to a place where intruder is unlikely to find you.
      - Warn others but do not wait for them.
      - Do not stop and gather belongings, equipment, etc.
      - Help others evacuate if it can be conducted in a safe manner.
      - Help prevent persons from entering area where intruder is located.
      - Do not move wounded people unless instructed to do so by law enforcement.
      - Keep your hands visible and follow instructions from law enforcement.
      - Call 911 and management when safe to do so.

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### 6.3.10 Active Shooter or Hostile Intruder Onsite (continued)

- b. Hide if evacuation is not feasible:
  - (1) Find a place where intruder is unlikely to find you and you are out of sight.
  - (2) Select a closable, securable location providing protection if shots are fired.
    - Lock yourself in a room within a building or structure.
    - Close, lock, block, and/or obstruct any windows or doors in building/structure and room where you are located.
    - Invite others to join you as you proceed to and prepare area.
    - Turn off lights and light sources.
    - Eliminate sources of sound, including cell phones, and remain quiet.
    - Hide behind large and sturdy objects.
    - Do not trap or restrict your movement options.
    - Call 911 and management when safe to do so.
    - If intruder is nearby and you cannot speak, leave line open and allow 911 dispatcher to listen.
- c. Fight as last resort and only when your life is in imminent danger and law enforcement is not engaged:
  - (1) Attempt to disrupt or incapacitate intruder by:
    - Positioning yourself for attack if your area is breached.
    - Improvising weapons using materials within reach.
    - Acting as aggressively as possible against intruder.
    - Throwing items at intruder.
    - Yelling at intruder.

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### 6.3.10 Active Shooter or Hostile Intruder Onsite (continued)

- (2) If you are caught and subdued, then perform the following:
  - Never look intruder in the eyes.
  - Be submissive and obey all commands.
  - Do not appear to pose a challenge or threat.
3. When Law Enforcement arrives onsite perform the following:
  - Obey all instructions from law enforcement.
  - Put down any items in your hands (bags, jackets, etc.).
  - Immediately raise your hands and spread fingers.
  - Always keep your hands visible.
  - Avoid making quick movements toward law enforcement officers.
  - Avoid pointing, screaming, and yelling.
  - If you do not know direction to evacuate, then proceed in direction officers entered area.
  - Do not distract officers by stopping to ask for help or directions when evacuating.
  - Do not stop to help injured persons unless told to do so by law enforcement.
  - If law enforcement directs you to a safe area, stay there until released by law enforcement.

### 6.3.11 Suspicious Materials

1. Guidelines for observation of or exposure to suspicious material are provided in Attachment 2, Suspicious Material Guideline. Attachment 2 contains and explains a step-by-step process to determine if such suspicious material is a credible threat.
  - a. Refer to Attachment 3, Emergency Contact List for Emergency Contact List with names and telephone numbers.

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### 6.3.12 Other Emergency Conditions

1. Attachment 3, Emergency Contact List contains Emergency Contact names and telephone numbers.
2. Notify Site Management of the following:
  - Unusual odors
  - Unusual sounds
  - Acts or indications of vandalism
3. If suspicious persons are observed, then perform the following:
  - a. Dial 911.
  - b. Notify Site Management.
4. If evidence of damaged fire safety equipment, such as extinguisher, hoses, or any other safety hazards are observed, then notify Program Administrator, Assistant Program Administrator, or facility EHS Professional.

### 6.3.13 Crisis Management Team Activation and Local Media Notification

1. Activation of Duke Energy Crisis Management Team may be required for certain emergencies at facility.
2. Contact DERS point of contact for crisis communications including any of the following notification triggers:
  - Fatality occurring at, or as a result of DERS operation.
  - Three or more hospitalizations resulting from single incident and occurring as result of DERS operation.
  - Incident requiring unplanned emergency response resource support from outside.
  - Incident requiring significant interface with, or on-ground presence from, regulatory or civil authorities.
  - Incidents of wide-spread media interest.
3. As result of emergency, notification to local media may be warranted.
  - a. Contact Duke Energy Public Affairs Department at [REDACTED] for assistance.

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#### **6.4     Change Management of EAP**

1.     This EAP is updated expediently as EAP improvements or corrections are uncovered, reported to Rambler management, or obtained from Lessons Learned sessions.
2.     Record improvements or corrections to EAP in Revision Summary section (page 2) of this document.

#### **7.0     RECORDS**

1.     Attachment 1, Bomb Threat Checklist

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ATTACHMENT 1

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## &lt;&lt; Bomb Threat Checklist &gt;&gt;

Record the exact message.

---



---



---

Ask caller to repeat message. Review the message recorded above.

Ask "WHO IS THIS?" \_\_\_\_\_

Ask "WHEN WILL THE BOMB GO OFF?" Indicate time bomb is set to go off.

\_\_\_\_\_ A.M. \_\_\_\_\_ P.M.

Ask "WHERE IS BOMB LOCATED?" Indicate location.

---



---

Ask "WHAT DOES BOMB LOOK LIKE?" Describe.

---



---

Ask "WHY ARE YOU DOING THIS?" Indicate reason.

---



---

Note any background noises (traffic, train, music, factory, etc.)

---



---

Voice: Male \_\_\_ Female \_\_\_ Young \_\_\_ Old \_\_\_ Excited \_\_\_ Calm \_\_\_

Accent (describe) \_\_\_\_\_

Speech impediment/characteristics

---

Other

---



---



---

Person receiving call \_\_\_\_\_

Phone number on which call was received \_\_\_\_\_

Date/Time call received \_\_\_\_/\_\_\_\_/\_\_\_\_ : \_\_\_\_ A.M./P.M.

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**ATTACHMENT 2**

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**<< Suspicious Material Guideline >>****IF YOU OBSERVE OR BECOME EXPOSED TO SUSPICIOUS MATERIAL:**

- Do not touch, taste, or disturb the material.
- Do not shake or empty contents of suspicious envelopes or packages.
- Keep hands away from your nose, mouth, and eyes.
- If material is on shoes or clothing do not brush off. Thoroughly wash exposed skin with soap and water.
- Contact site management and the site's EHS Professional to determine if the threat is credible (See list of contacts).

**EHS in conjunction with site management will assess the situation - Is the substance considered a credible threat?**

The following questions may be used as a guide:

- Is the source of material in an envelope or package?
- Do non-employees have access to the area?
- Has the site received any specific threats?
- Could the material come from a likely non-hazardous source (e.g., ceiling tile, janitorial supplies, etc.)?
- Is there evidence of recent activity by construction workers, janitors, or maintenance?

**No****Material is not considered a credible threat.**

- Follow procedure for material cleaning and disposal.
- Document event and take action to prevent reoccurrence.
- Do not send material for precautionary testing.
- Do not contact law enforcement.
- No medical intervention warranted.
- Contact Human Resources (HR) for assistance with employee concerns if appropriate.

**Yes****Material is considered a credible threat.**

- Do not attempt to take a sample or disturb material. Area is considered a crime scene.
- Shut off fans, HVAC, or other devices that may disturb the material.
- If the substance is in an office, shut the door.
- Consult with law enforcement and follow their guidance (see Contact List shown above).
- Notify appropriate contacts in the Contact List shown above.
- Do not attempt to remove or clean up any unknown substance.
- Wait in the vicinity until assistance arrives to prevent tracking into other areas.
- Make a list of all personnel who were in the immediate area with the material.
- Site management will remain at onsite to evaluate conditions, decide on further action, and assure the safety of all personnel.
- Contact HR for assistance with employee concerns if appropriate.

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ATTACHMENT 3

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## &lt;&lt; Emergency Contact List &gt;&gt;

Facility Contacts				
Description	Title/Address	Contact Name	Phone Number	Other
Emergency Announcements	Facility Leadership	██████████	██████████	██████████ ██████████ ██████████
		██████████	██████████	██████████ ██████████
Facility Operations	Program Administrator (Area Manager)	██████████	██████████	
	Assistant Program Administrator (Solar Technician)	██████████	██████████	
	Evacuation Coordinator (Solar Technician)	██████████	██████████	
	Director of Solar	██████████	██████████	
	EHS Director	██████████	██████████	
	EHS Professional	██████████	██████████	
Monitoring Center	Renewable Control Center (RCC)	██████████	██████████	██████████ ██████████

Emergency Contacts				
Description	Title/Address	Contact Name	Phone Number	Other
Fire Department	Grape Creek Volunteer Fire Department 7912 Wren Rd, San Angelo, TX 76901	Dispatcher	911	Non-emergency: (325) 657-4357
Law Enforcement	San Angelo Police Department 401 E Beauregard Ave, San Angelo, TX 76903	Operator	911	Non-emergency: (325) 657-4315
Emergency Room	Shannon Medical Center 120 E Harris Ave, San Angelo, TX 76903	Operator	911	Emergency Room: (325) 653-6741

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**ATTACHMENT 3**

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**<< Emergency Contact List >>**

<b>State Contacts</b>				
<b>Description</b>	<b>Title/Address</b>	<b>Contact Name</b>	<b>Phone Number</b>	<b>Other</b>
Reporting of Petroleum and/or Hazardous Materials Spills	Texas Commission of Environmental Quality (TCEQ)	Operator	Spill Reporting: (800) 832-8224	
State Department of Transportation	Texas Department of Public Safety	Operator	(512) 424-2000	
State Emergency Management	Texas Department of Public Safety 5805 North Lamar Blvd Austin, TX 78752-4422	Operator	(512) 424-2000	
	Texas State Emergency Response Commission (SERC) P.O. Box 4087 Austin, TX 78773-0220	Operator	(512 )424-2208	
State Fire Marshall	Texas State Fire Marshall's Office 333 Guadalupe Street Austin, TX 78701		(817) 598-4281	
State Highway Patrol	Texas Department of Public Safety 5805 North Lamar Blvd Austin, TX 78752-4422	Operator or Dispatcher	(512) 424-2000	

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ATTACHMENT 3

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## &lt;&lt; Emergency Contact List &gt;&gt;

Federal Contacts				
Description	Title/Address	Contact Name	Telephone	Other
Reporting of Petroleum and/or Hazardous Materials Spill	National Response Center (NRC)	Emergency Operator	(800) 424-8802	
Environmental Reporting	United States Environmental Protection Agency, Region 6 1445 Ross Avenue, Suite 1200 Dallas, TX 75202	Operator	In State: (800) 887-6063	Out of State: (214) 665-6444
Storm Tracking and Reports	National Weather Service (NWS)			Website: <a href="http://www.nws.noaa.gov">www.nws.noaa.gov</a>

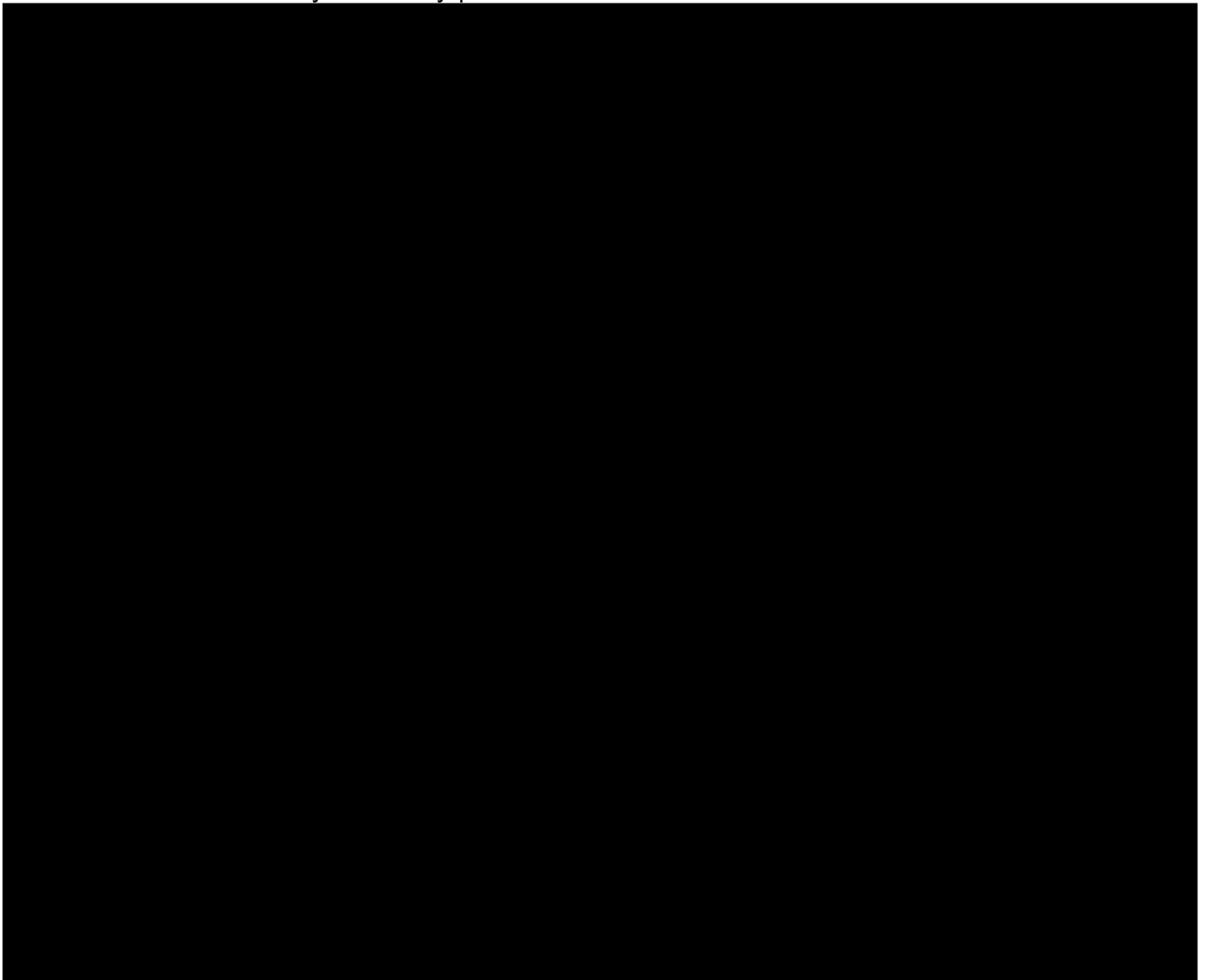
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ATTACHMENT 4

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**<< Assembly Area >>**

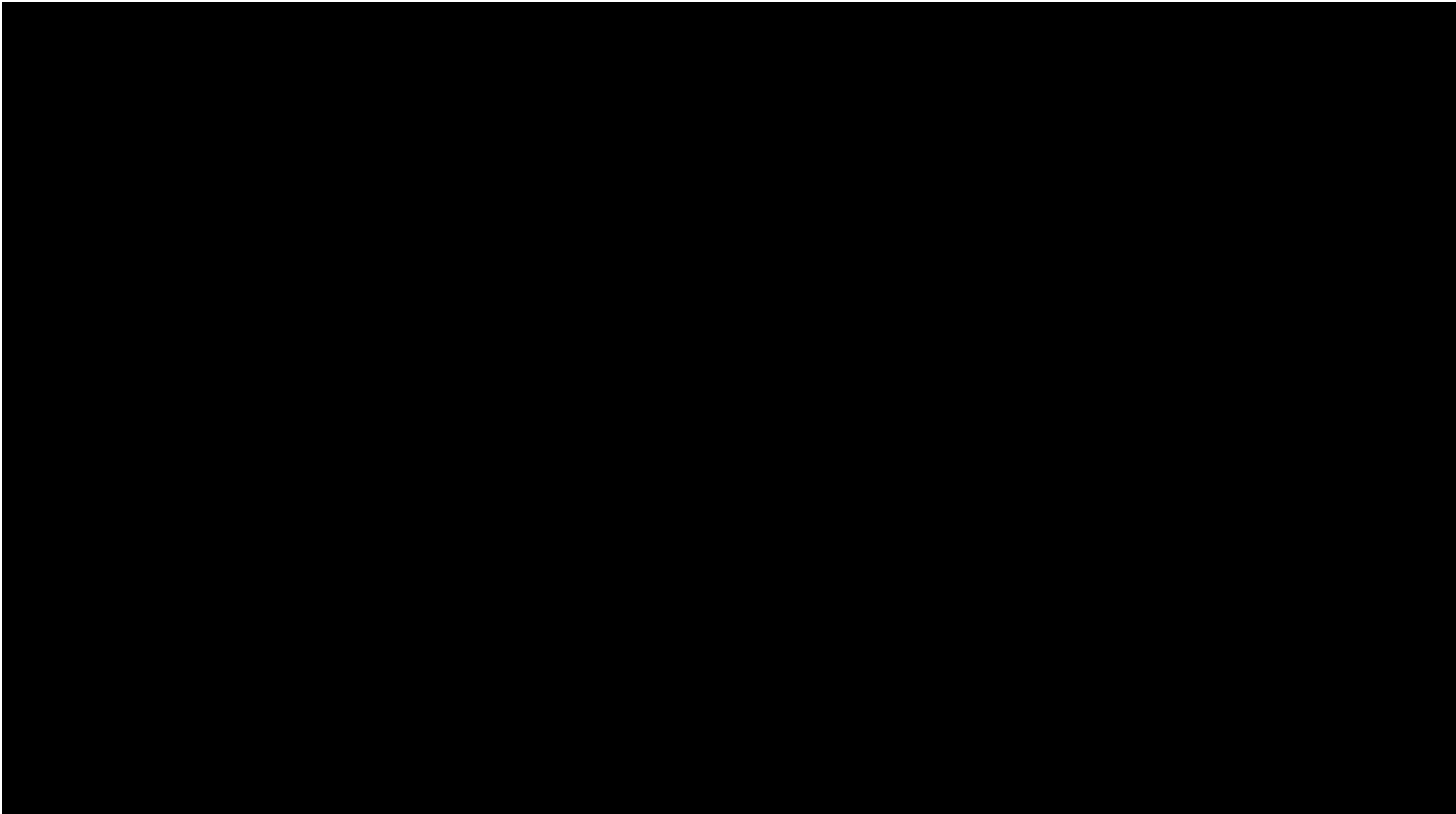
1. All Emergencies except Severe Weather: Assembly Area is outside of main gate and to side of access roadway.
2. Severe Weather: Assembly Area is various service vehicles utilized by onsite personnel with such vehicles located offsite.
3. Evacuation Route: Primary assembly point is sites main Duke Energy Trailer. Secondary assembly point is entrance to access road at FM228.



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ATTACHMENT 5  
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<< Site Map >>





**Information Use**

# **PANDEMIC PREPAREDNESS PLAN**

AD-EOP-ALL-0002

RENEWABLES OPERATING FLEET

ADMINISTRATIVE PROCEDURE

REVISION 0

Effective Date

04/01/2022

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REVISION SUMMARY
PRR 0
DESCRIPTION
<p><b>Document Owner:</b> Cindy Wagner, Manager, Human Performance and Procedures</p> <p><b>RPG Procedure Writer:</b> Kimberly Nash, Senior Procedure Writer, Operational Excellence</p> <p><b>Reviewer:</b> Tyler Stinson, Manager, NERC Compliance</p> <p><b>Approvers:</b> Scott Abramson, Director, Operational Excellence; Christian Robles, Director, Solar Operations; Jim Bezner, Director, Performance Services; Byron Jessee, Director, Central Field Services</p> <p>Rev. 0 - This document is a new procedure.</p>

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## 1.0 PURPOSE

1. This procedure provides comprehensive and systematic process for Duke Energy Renewable Services (DERS) before, during and after pandemic to:
  - a. Mitigate risks to reliable operation of bulk power system
  - b. Effectively prepare for continuation of critical business operations
  - c. Ensure timely recovery in event of business interruption
2. This procedure describes DERS commitment to, and program for, prevention of incidents that could result in illness to DERS employees, contingent workers, or visitors.

## 2.0 SCOPE

1. This procedure applies specifically to the following DERS Operational workgroups:
  - a. Renewables Control Center (RCC)
  - b. Wind Operations
  - c. Solar Operations
  - d. Performance Services
  - e. Operational Excellence
    - (1) Training
    - (2) Quality
    - (3) Human Performance and Procedures
  - f. Central Field Services
    - (1) Material Management
    - (2) Large Correctives Team
    - (3) High Voltage Team
    - (4) Mobile Service Team

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## 2.0 SCOPE (continued)

- (5) Gearbox Repair Team
  - (6) Blade Maintenance
  - (7) Work Management
2. This procedure applies to DERS employees, contingent workers and visitors on DERS-controlled job sites and office locations.
  3. This procedure is a working document and may be subject to change based on new information, updates from Government agencies or best practices and procedures identified by Duke Energy.

## 3.0 REFERENCES

### 3.1 Commitments

1. None

### 3.2 Procedures

1. AD-BO-ALL-0001, Safety, Environmental, Asset and Megawatt Events Communication
2. AD-HP-ALL-0002, Controlled Procedure and Document Use and Adherence
3. AD-HP-ALL-0003, Conduct of Job Briefings
4. AD-HP-ALL-0004, Corrective Action and Lessons Learned Program
5. AD-HP-ALL-0005, After Action Reviews
6. AD-HS-ALL-0013, Coronavirus Protection and Prevention Program

### 3.3 Miscellaneous Documents

1. 2021 Duke Energy Environmental, Health and Safety Handbook
2. Duke Energy Business Continuity and Emergency Management Policy
3. Duke Energy Enterprise Pandemic Preparedness Guide
4. Duke Energy Health and Safety Compliance Manual
5. Duke Energy Preparedness Program

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### 3.3 Miscellaneous Documents (continued)

6. Duke Energy Renewable Services Business Continuity Plan
7. NFPA 1600 - Standard on Continuity, Emergency, and Crisis Management

## 4.0 DEFINITIONS

1. **Pandemic:** Sudden disease outbreak that covers large portions of a country, continent or the world; has potential to impact large percentage of population and, in interconnected society, create significant impacts to both business operations and personal lives.

## 5.0 RESPONSIBILITIES

### 5.1 DERS Management

1. Complies, and ensures compliance, with this procedure.
2. Reviews information with team members on regular basis to communicate key information and ensure DERS personnel understanding.
3. Ensures best efforts are used to meet and complete requirements outlined in this procedure in a timely and effective manner.
4. Continuously communicates with affected employees, DERS Leadership and RCC before, during and after Pandemic.

### 5.2 DERS Employee or Contractor (Augmented Staff)

1. Complies with this procedure.
2. Works with DERS Management to identify prioritized work that must continue execution and discretionary work that may be postponed.

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## 6.0 INSTRUCTIONS

### 6.1 General Awareness and Education for Personal Protective Measures

1. Instruct personnel to regularly review pandemic information contained on The (Duke Energy) Portal SharePoint site.
  - a. Operations Managers review information and engage team members on a regular basis to communicate key information and ensure employee understanding.
2. Identify working groups that can work from home.
  - a. Renewables Control Center (RCC) - Staff cannot work from home.
  - b. Wind Operations, Solar Operations, and Central Field Services
    - (1) General site support staff, including work management teams, Site Resource Coordinators, and department management, can work from home.
    - (2) Field Technicians are not able to perform normal work functions from home, however, some limited administrative functions can be performed from home.
  - c. Other business departments
    - (1) Performance Services, Quality, and Human Performance (HP) and Procedure groups can perform normal functions from home.
    - (2) Training team members can perform some training sessions from home or remote locations, however, courses with required hands-on portions or practical examinations are not to be held away from designated training location.
    - (3) Material Management can perform most functions from home, however, warehouse shipping and receiving of materials may not be performed from home.

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## 6.1 General Awareness and Education for Personal Protective Measures (continued)

3. Develop alternate work procedures for personnel that cannot work from home.
  - a. RCC defers to and follows Business Continuity Plan (BCP).
  - b. Wind Operations, Solar Operations, and Central Field Services
    - (1) Follow site-specific call-out or work scheduling procedures to identify and perform required equipment work.
    - (2) Material Management provides additional guidance to ensure staff ordering or shipping items direct carriers to contact Material Management directly to schedule delivery and pick up.
  - c. Other business departments
    - (1) Quality personnel are able to fulfill normal functions remotely without need for alternative procedures, but with possible heightened use of remote auditing process.
    - (2) HP and Procedures Team schedules daily team calls to review work plans and progress.
4. Ensure contact information is shared in case conference lines or network is not available.
  - a. RCC uses printed list of emergency contact information.
  - b. Operations management
    - (1) In the event that Duke Energy network is not available, then prior to possibility of emergency:
      - (a) Area/Team Managers create and locally save hard copies of key contact information for area of responsibility.
      - (b) RCC creates and maintains emergency contact information for each site as back up.
  - c. Operations non-management, e.g., Planners, Quality Auditors, Procedure Writers
    - (1) In the event that Duke Energy network is not available, then prior to possibility of emergency, direct supervision creates and locally saves hard copies of key contact information for area of responsibility.

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## 6.2 **Maintaining Essential Business Functions**

1. Identify essential business functions (prioritized work) that must continue execution.
  - a. RCC defers to BCP, specifically PJM Generator Operator (GO) requirements, ERCOT Qualified Scheduling Entity (QSE) requirements.
  - b. Wind and Solar Operations
    - (1) Repair of down assets and turbines in no-communication state
    - (2) Substation outages
    - (3) Ordering and securing necessary parts
    - (4) Compliance with NERC directives
    - (5) Critical repairs ensuring site availability and production
    - (6) Facility regulatory compliance training or tasks
    - (7) Preventative maintenance on key equipment , e.g., transformers, inverters, substation, back-up generation
    - (8) Environmental response on site per applicable regulatory body
  - c. Performance Services
    - (1) Reporting
    - (2) Condition monitoring
    - (3) Site monitoring
  - d. Operational Excellence
    - (1) Training
      - (a) Duke Renewables Academy (DRA) classes
      - (b) Instructor-led certifications required on training matrix to complete work in field
    - (2) Quality
      - (a) Ensures overall Quality Program continues to function as required.

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## 6.2 Maintaining Essential Business Functions (continued)

- (3) HP and Procedures
    - (a) Work task procedures and program reviews, updates, and development of work documents
    - (b) Specific projects
    - (c) Continuous Improvement, Corrective Actions and analysis support of significant events
- e. Central Field Services
  - (1) Material Management
    - (a) Scheduling, shipping and receiving of materials and equipment
  - (2) Work Management, Large Correctives, High Voltage, Gearbox, Mobile Services and Blade support teams
    - (a) Wind and solar operations
    - (b) Planning and Scheduling
    - (c) Essential business functions
- 2. Identify and defer the following discretionary work that could be postponed, as needed.
  - a. RCC - Not applicable
  - b. Wind, Solar and Central Field Services Operations
    - (1) Preventative maintenance on non-critical equipment, components or facility determined by Management and technical support
    - (2) Travel for work that can be performed remotely, e.g., travel meetings, seminars, networking
    - (3) Cycle counts on non-critical items
    - (4) Blade Maintenance Team - Non-critical Category 4 repairs for short periods and LEP installation
  - c. Performance Services - Non-critical work

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## 6.2 Maintaining Essential Business Functions (continued)

- d. Operational Excellence
  - (1) Training - Conducting non-regulatory or non-compliance related training
  - (2) Quality - On-site quality reviews
  - (3) HP and Procedures - Low priority action plans and document revisions
- 3. Identify minimum staffing levels for essential business functions including the following plans for each position.
  - a. RCC defers to BCP.
  - b. Wind and Solar Management
    - (1) Lead Technician or Supervisor
    - (2) Area/Team Manager
    - (3) Director or General Manager
  - c. Wind Technicians
    - (1) Number of on-call technicians varies depending on site task requirements.
    - (2) Two wind technicians always respond to after-hours call outs.
  - d. Solar Technicians
    - (1) Number of on-call technicians varies depending on area task requirements.
    - (2) At least three technicians in each region must be EO2 qualified.
    - (3) Solar Operations organization requires minimum of two SRCs.
  - e. Performance Services
    - (1) Performance Service Engineers (PSEs) and analysts can cover for others of same function.
    - (2) Both first-level managers can act in lieu of director.

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## 6.2 Maintaining Essential Business Functions (continued)

- f. Operational Excellence - Director may act as leadership as needed.
  - (1) Training
    - (a) Trainer - Minimum of one
    - (b) Manager
  - (2) Quality
    - (a) QA staff - Minimum of one
    - (b) Manager
  - (3) HP and Procedures
    - (a) Procedure Writers/Editors
    - (b) Project Managers
    - (c) Manager
- g. Central Field Services
  - (1) Material Management
    - (a) Staff - Depending on specific need
    - (b) Manager
  - (2) Large Correctives
    - (a) Technologists - Minimum varies by project requirements.
    - (b) Manager I
    - (c) Manager II
  - (3) High Voltage
    - (a) Senior Technologist
    - (b) Manager

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## 6.2 Maintaining Essential Business Functions (continued)

- (4) Mobile Services
    - (a) Technicians - Minimum varies by project requirements.
    - (b) Manager
  - (5) Gearbox Repair
    - (a) Lead Technologists
    - (b) Manager
  - (6) Blade Maintenance
    - (a) Technologist II
    - (b) Manager
  - (7) Work Management
    - (a) Planner-Scheduler
    - (b) Business System Specialist
    - (c) Manager
- 4. Identify essential roles for minimum staffing levels and conduct cross training.
  - a. RCC defers to BCP.
  - b. Wind, Solar, and Central Field Services SRC, Planner-Scheduler, Lead Technician, Area/Team Manager, and Director or General Manager
    - (1) Number of staff depends on conditions.
    - (2) Some roles could incorporate similar roles from other work locations.
  - c. Field technicians
    - (1) Ensure technicians are trained on NERC requirements.
  - d. Performance Services
    - (1) Cross training may be required per business need.

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## 6.2 Maintaining Essential Business Functions (continued)

- e. HP and Procedures
  - (1) Cross train for reviewing documents and access to necessary documents.
- f. Material Management
  - (1) Procure critical materials to ensure site operation.
- g. Blade Maintenance
  - (1) Ability to review Category 5 damages
  - (2) Cross training Manager and Blade Engineer
- 5. Identify supplemental workforce sources, e.g., contractors.
  - a. RCC defers to BCP.
  - b. Wind, Solar and Central Field Service Operations
    - (1) Supplemental internal staff with use of Central Field Services or staff from other internal locations.
    - (2) External staffing, service contractors and contingent work agencies set up within Avetta and Maximo.
  - c. Performance Services
    - (1) Contract support for needed analytical support.
  - d. High Voltage Team
  - e. Work Management

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## 6.2 Maintaining Essential Business Functions (continued)

6. Identify essential business functions that have face-to-face contact with external customers and develop guidance for personnel.
  - a. RCC defers to BCP.
  - b. Wind, Solar, Central Field Services, Operational Excellence, Performance Services
    - (1) No required face-to-face contact with external customers or contractors is needed.
    - (2) Follows Duke Energy guidance for personal safety, distancing and hygiene practices.
  - c. Central Field Services - Large Correctives, Third Party Services, Mobile Services, and Gearbox Repair teams
    - (1) Field Services management and technicians work at multiple internal and external locations with face-to-face interactions with variety of key support vendors, i.e., crane operators, shipping or delivery services.
    - (2) Follow Duke Energy guidance on engagement practices, in addition to governmental guidance and restrictions, such as:
      - Hand washing
      - Avoiding direct contact
      - Social distancing
      - Monitoring signs and symptoms of disease
7. Identify transportation disruptions that could impact essential business functions.
  - a. RCC defers to BCP.
  - b. Wind, Solar, and Central Field Service Operations
    - (1) Potential for delivery delays in key component delivery, e.g., FedEx, UPS

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## 6.2 Maintaining Essential Business Functions (continued)

- (2) Potential fuel shortage impacting internal travel supporting key functions
    - (a) Identify alternate fuel supply or storage.
    - (b) Eliminate non-essential driving.
  - (3) Dining and lodging may be restricted.
  - (4) Public transportation option may be restricted and commercial flights suspended.
    - (a) Evaluate alternatives to travel and impacts to scheduling.
- c. Performance Services and Operational Excellence - None anticipated
- 8. Ensure contact information is updated in Workday (cell phones).
  - a. RCC - Workday and OneNote Trackers
  - b. Wind, Solar and Central Field Services Operations, Operational Excellence and Performance Services
    - (1) Manager or SRC ensures all contact information is current.

## 6.3 Evaluation of Potential Supply Chain Disruptions

- 1. Evaluate long lead time or single source commodities and providers and determine if precautions are warranted.
  - a. RCC defers to BCP.
  - b. Solar Operations, Wind Operations, Work Management, Gearbox, Blade Maintenance, High Voltage teams, and Material Management
    - (1) Review Material Management Plan for anticipated impacts to operations with appropriate supplies.
  - c. Performance Services and Operational Excellence - None identified
  - d. Large Correctives Team
    - (1) Regional impacts could require use of second- or third-tier crane vendors.

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### 6.3 Evaluation of Potential Supply Chain Disruptions (continued)

2. Determine if obtaining alternate suppliers or service providers is appropriate.
  - a. RCC defers to BCP.
  - b. Solar Operations, Wind Operations, Mobile Services, Gearbox and Blade Maintenance teams
    - (1) Review with Material Management for anticipated impacts to operations.
  - c. Performance Services, Operational Excellence and Work Management - None identified
  - d. High Voltage Team, Material Management and Large Correctives Team
    - (1) Multiple vendors are used for all materials and services.
3. Assess and address logistics concerns or impacts.
  - a. RCC defers to BCP.
  - b. Wind, Solar, and Central Field Services Operations
    - (1) Review with Material Management for anticipated impacts.
    - (2) Ensure field technicians have access to necessary safety controls, e.g., PPE, electrical class 0 gloves.
    - (3) Ensure 40 Cal Arc Flash suits are in compliance and current in testing cycles for use.
  - c. Performance Services and Operational Excellence - None identified
4. Identify additional PPE needed and coordinate with Supply Chain.
  - a. RCC defers to BCP.
  - b. Wind, Solar, and Central Field Service Operations
    - (1) Logistics concerns or impacts are contained within Material Management Plan.
    - (2) PPE, i.e., hand soap, sanitizer, gloves, face shield and apron, are issued to all technicians for battery maintenance.
  - c. Performance Services and Operational Excellence - None identified

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### **6.3 Evaluation of Potential Supply Chain Disruptions (continued)**

5. Working with Supply Chain, discuss preparedness actions with key vendors.
  - a. RCC defers to BCP.
  - b. Wind, Solar, and Central Field Service Operations
    - (1) Management hosts periodic calls with Supply Chain to discuss key vendors and lead times for OEM.
  - c. Performance Services and Operational Excellence - None identified

### **7.0 RECORDS**

1. No records are generated by this procedure.

# DERS Security Incident Response

PD-SE-ALL-001

## Administrative Procedure

Revision 000

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<b>Applicability:</b>	All Duke Energy Renewables personnel
<b>Originator:</b>	Kristen Kocon
<b>Approval:</b>	Kristen Kocon
<b>Effective Date:</b>	11/1/2016
<b>Revision Date:</b>	11/1/2016

<b>Revision Summary</b>
Revision 000 – 11/1/2016 – Kristen Kocon – Procedure Creation

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## 1.0 PURPOSE

1. This document provides information to Duke Energy Commercial Renewables personnel when a security event is discovered and outlines the steps necessary to analyze, classify, notify, and escalate reportable security events to enterprise incident responders. The document is intended to supplement IT 503.07 Incident Management procedures and the IT 502.01 Cyber Incident Response Team process.
2. This document addresses the following items:
  - Procedures to characterize and classify events as reportable security events (or potential Cyber Security Incidents)
  - Response actions, including roles and responsibilities, Cyber Security Incident handling procedures, and notification and communication plans

**Note:** Where there is an immediate threat to the reliability and operability of the BES or harm to life, the manager responsible for the site associated with the incident has the right to respond to the incident locally prior to contacting the Cyber Incident Response Team.

## 2.0 SCOPE

1. The following procedure is applicable to the Duke Energy Commercial Renewables wind and solar sites and the Renewable Control Center.

## 3.0 REFERENCES

1. IT 503.07-01 IM Cyber Security Incident Handling Enterprise Process
2. NERC EOP-004
3. OE-417 reporting

## 4.0 DEFINITIONS

1. **BES:** Bulk Electric System
2. **CIOps:** Critical Infrastructure Operations - As an enterprise responder for security events that affect applicable devices at the Control Centers, Duke Energy's Critical Infrastructure Operations Team functions as the IT support group for the Control Centers.
3. **CIRT:** As an enterprise incident responder for logical Cyber Security Incidents, the Duke Energy Cyber Incident Response Team is a matrix team formed and led by the CIRT Head in Cyber Security Operations to evaluate and determine if a reportable security event is a Cyber Security Incident.

- 4. **Enterprise Incident Responders:** These are enterprise groups in Duke Energy that manage, coordinate, and resolve potential Cyber Security Incidents. These include the Duke Energy CIRT, the Control Centers (i.e. CIOps, RCC), and the Enterprise Security Command Center (operated by EPS).
- 5. **EPS:** Enterprise Protective Services - As an enterprise incident responder for security events that are classified as Physical Security Perimeter breaches, physical loss or theft of data and applicable devices, and sabotage and/or physical damage, Duke Energy’s Enterprise Protective Services operates and manages the Enterprise Security Command Center.
- 6. **Security Event:** An unevaluated occurrence or activity that may threaten to adversely affect the security of Duke Energy assets or that may indicate potential security vulnerabilities within an environment.
- 7. **Security Incident:** Any malicious act or suspicious event that either compromises, or was an attempt to compromise, the Electronic Security Perimeter or Physical Security Perimeter, or disrupts, or was an attempt to disrupt, the operation of applicable devices. Refer to the NERC Glossary of Definitions for the most current and effective version.

5.0 RESPONSIBILITIES

- 1. None

6.0 DIRECTIONS

6.1 Incident Discovery

- 1. Analyze the event and confirm if it is an actual incident. Any malicious act or suspicious event that fits in one of the categories listed below is considered a security incident:
  - █ [REDACTED]
  - █ [REDACTED]
  - █ [REDACTED]
  - █ [REDACTED]
  - █ [REDACTED]
  - █ [REDACTED]

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- █ [REDACTED]
- █ [REDACTED]
- █ [REDACTED]
- █ [REDACTED]
- █ [REDACTED]
- █ [REDACTED]
- █ [REDACTED]

2. Complete Attachment 1 - Security Event Identification & Classification Form.

## 6.2 Incident Reporting

1. **IF** an event is identified as a security incident, **THEN** notify incident response and incident management groups as indicated in Attachment 3 - Contact Tree.
  - a. For cyber incidents, contact the Enterprise Helpdesk at [REDACTED] and notify them to initiate the CIRT Process.
  - b. For physical incidents, contact the Renewable Control Center (RCC) and notify them that a security event has occurred. The RCC will report the security event to the Enterprise Security Command Center and the RCC will complete any necessary notifications to other entities.
    - If the reportable security event meets the characteristics of an event that requires NERC EOP-004 and/or OE-417 reporting, the RCC will follow the procedure for performing and completing those reporting requirements within the required timeframes, with support from DERS compliance personnel.
2. Reporting to External Agencies: Reporting should be based on the best available information and promote the sharing of information on an actionable, need-to-know basis.
  - a. Business units and enterprise groups are required to submit a preliminary notification to E-ISAC within 60 minutes of determining an incident as reportable in accordance with the IT 503.07-01 IM Cyber Security Incident Handling Enterprise Process.
  - b. Business units and enterprise groups are also encouraged to work together to report Cyber Security Incidents as soon as possible to other need-to-know entities, including the following:
    - Department of Energy (DOE)

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- Law enforcement agencies (e.g. local, state/provincial, FBI/RCMP, etc.)
  - Government agencies and regulators as is necessary or required (e.g. at the state/provincial or federal level)
  - Other electricity sector entities (e.g. balancing authorities, reliability coordinators, regional transmission operators, and independent system/market operators)
3. Complete Attachment 2 - Notifications and Reportable Security Event Escalation Form.

## 7.0 ATTACHMENTS

1. Attachment 1 – Security Event Identification & Classification Form
2. Attachment 2 – Notifications and Reportable Security Event Escalation Form
3. Attachment 3 – Contact Tree

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## ATTACHMENTS

### Attachment 1 – Security Event Identification & Classification Form

Security Event Identification and Classification	
Security Event Name/Description:	
Date and Time discovered:	Number of Affected Users:
Location:	Affected Physical Security Perimeters:
Affected Electronic Security Perimeters:	Affected Device Names (by unique ID):
Security Event Details:	
Security Event Evaluation	
Security Event Type:	Security Event Source:
Evaluation Notes:	
Supporting Documentation (or Information Sources):	
Reportable Security Event?	
<input type="radio"/> No <input type="radio"/> Yes	

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## Attachment 2 – Notifications & Reportable Security Event Escalation Form

Notifications & Reportable Security Event Escalation	
Security Event Name/Description:	
Discoverer Name:	Date and Time discovered:
First Line Manager:	Date and Time notified:
Business Unit Management:	Date and Time notified:
Business Unit Analysis Team:	
Escalation to Enterprise Incident Responders	
Enterprise Security Command Center (physical):	Date and Time contacted & Contact Method:
Enterprise IT Helpdesk (cyber):	Date and Time contacted & Contact Method:
RCC Operator contacted:	Date and Time contacted & Ticket Number:
Other Groups contacted: Compliance, Legal	Date and Time contacted & Contact Method:

Attachment 3 – Contact Tree

