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PROJECT NO. 53385

**PROJECT TO SUBMIT EMERGENCY §
OPERATIONS PLANS AND RELATED §
DOCUMENTS UNDER 16 TAC § 25.53 §**

**BEFORE THE
PUBLIC UTILITY COMMISSION
OF TEXAS**

EMERGENCY OPERATIONS PLAN OF SFE ENERGY TEXAS, INC.

EXECUTIVE SUMMARY

I. Description of Contents and Policies

SFE Energy Texas, Inc., [hereinafter “SFE Energy”] is a licensed Retail Electric Provider (REP). SFE Energy adheres to a robust emergency operations plan (EOP) in order to ensure the continuity of business functions in the event of an emergency. The EOP is focused on maintaining the safety and security of employees, customers, property and data and also ensuring that customer service functions and communications are maintained.

The EOP addresses common operational functions that are relevant across emergency types as well as the response to specific emergency conditions addressed in the annexes to this EOP pertaining to pandemic and epidemic response, hurricane response, cybersecurity and physical security. The EOP includes a communications plan for communicating with different constituencies during an emergency. It additionally includes plans for maintaining emergency supplies, addressing staffing and the identification of weather-related hazards.

The EOP sets forth a framework of actions to be taken before, during and after an emergency. This includes the processes of detecting/identifying an emergency, analysis of the incident, determination of response, the recovery phase and a post-incident review. If the EOP is activated in response to an emergency, a post-event assessment of company performance will be conducted, areas of improvement and/or change to the EOP will be identified, and any necessary changes to the EOP will be documented and implemented.

As required, at least one drill of the EOP will be conducted each calendar year, and notification of the conduct of the drill will be provided to the Commission.

The EOP also identifies the individuals responsible for maintaining and implementing the EOP.

II. References to Rule Requirements

The EOP corresponds with the requirements of Public Utility Commission of Texas Substantive Rule Section 25.53 that apply to REPs.

The Section 25.53 requirements applicable to SFE Energy and the corresponding page numbers of the EOP are as follows:

Section	Requirement	Page(s)
Sec. 25.53(c)(1)	File an EOP and Executive Summary by April 18, 2022	1-16
Sec. 25.53(c)(1)(A)(i)(a)	Executive Summary sets forth contents and policies in the EOP	1-4
Sec. 25.53(c)(1)(A)(i)(b)	Executive Summary references to specific rule sections and corresponding pages of the EOP	2
Sec. 25.53(c)(1)(A)(i)(c) & (c)(4)(A)	Record of distribution of the EOP in tabular format	2
Sec. 25.53(c)(1)(A)(i)(c) & (c)(4)(C)	Affidavit from highest ranking company officer on the contents and execution of the EOP	4
Sec. 25.53(c)(1)(A)(ii)	Complete copy of the EOP with confidential portions removed	5-16
Sec. 25.53(c)(4)(B)	List of primary and backup emergency contacts	3
Sec. 25.53(d)(1)	EOP approval and implementation section	5-6
Sec. 25.53(d)(2)(C)	REP communication plan	6-7
Sec. 25.53(d)(3)	Plan to maintain pre-identified supplies for emergency response	7
Sec. 25.53(d)(4)	Plan for staffing during emergency response	8
Sec. 25.53(d)(5)	Plan for identification of weather-related hazards	8
Sec. 25.53(d)(6) & (e)(3)	Relevant annexes for a REP	9-16
Sec. 25.53(e)(3)(A)	Pandemic and epidemic annex	9-10
Sec. 25.53(e)(3)(B)	Hurricane annex	11-12
Sec. 25.53(e)(3)(C)	Cybersecurity annex	13-14
Sec. 25.53(e)(3)(D)	Physical security incident annex	15-16
Section 25.53(f)	Annual drill	6

III. Record of Distribution

Access to and training on the EOP was provided to the following individuals:

Name	Title	Date
Jeff Donnelly	Vice President, Regulatory Affairs & Compliance and Chief Privacy Officer	4/1/2022
Samir Kareem	Chief Technology & Operations Officer	4/1/2022

IV. Primary and Backup Emergency Contacts

Primary Emergency Contacts who can immediately address urgent requests and questions from the Commission during an emergency are as follows:

Alex Farmer

Manager, Regulatory Affairs and Audits
SFE Energy Texas, Inc.

Email: afarmer@sfeenergy.com

Main Phone: 905-366-4461

Cell Phone: 416-704-6661

Toll-Free: 877-316-6344

Fax: 905-366-7011

Backup Emergency Contacts are as follows:

Jeff Donnelly

Vice President, Regulatory Affairs & Compliance
Chief Privacy Officer
SFE Energy Texas, Inc.

Email: jdonnelly@sfeenergy.com

Main Phone: 905-366-7020

Toll-Free: 877-316-6344

Fax: 905-366-7011

Samir Kareem

Chief Technology & Operations
Officer
SFE Energy Texas, Inc.

Email: skareem@sfeenergy.com

Main Phone: 905-366-7050

Toll-Free: 877-316-6344

Fax: 905-366-7011

Kris Plotzke

Vice President, Portfolio Management
SFE Energy Texas, Inc.

Email: kplotzke@sfeenergy.com

Main Phone: 905-366-7007

Toll-Free: 877-316-6344

Fax: 905-366-7011

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BEFORE THE
PUBLIC UTILITY COMMISSION
OF TEXAS

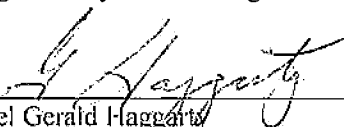
PROVINCE OF ONTARIO
CITY OF MISSISSAUGA

§
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AFFIDAVIT OF MICHAEL GERALD HAGGARTY

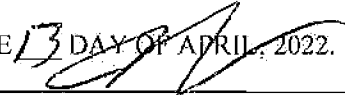
1. My name is Michael Gerald Haggarty. I am the President of SFE Energy Texas, Inc., which holds Retail Electric Provider (REP) Certificate No. 10249. I am over the age of eighteen (18) and am a resident of Ontario, Canada. I am competent to make this Affidavit.
2. I have personal knowledge of the facts set forth in this Affidavit and am authorized to make this Affidavit on behalf of SFE Energy Texas, Inc. Each of the facts set forth in this Affidavit is true and correct to the best of my knowledge and belief.
3. The relevant operating personnel of SFE Energy Texas, Inc. are familiar with and have received training on the applicable contents and execution of the Emergency Operations Plan (EOP), and such personnel are instructed to follow the applicable portions of the EOP except to the extent deviations are appropriate as a result of specific circumstances during the course of an emergency.
4. The EOP has been reviewed and approved by the appropriate executives.
5. Drills will be conducted to the extent required by subsection (f) of Section 25.53 during the third quarter of 2022.
6. The EOP or an appropriate summary has been distributed to local jurisdictions as needed.
7. SFE Energy Texas, Inc. maintains a business continuity plan that addresses returning to normal operations after disruptions caused by an incident.
8. SFE Energy Texas, Inc.'s emergency management personnel who are designated to interact with local, state, and federal emergency management officials during emergency events have received the latest IS-100, IS-200, IS-700, and IS-800 National Incident Management System training.


Further affiant sayeth not.



Michael Gerald Haggarty
President
SFE Energy Texas, Inc.

SWORN AND SUBSCRIBED TO BEFORE ME ON THE 13 DAY OF APRIL, 2022.



Commissioner of Oaths and Affidavits
In and for the Province of Ontario
My Commission Expires on: 



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EMERGENCY OPERATIONS PLAN OF SFE ENERGY TEXAS, INC.

As required under Public Utility Commission of Texas Substantive Rule Section 25.53, SFE Energy Texas, Inc. hereby submits its Emergency Operations Plan (EOP). SFE Energy Texas, Inc., [hereinafter "SFE Energy"] is a licensed Retail Electric Provider (REP) and therefore this EOP corresponds only to those provisions of Section 25.53 that pertain to REPs.

A. APPROVAL AND IMPLEMENTATION

1. INTRODUCTION OF EOP AND APPLICABILITY

SFE Energy is a licensed REP. [REDACTED] is the parent company of SFE Energy, Inc. and its affiliates, including SFE Energy Texas, Inc. [hereinafter collectively "the Company"] and is responsible for the management of the operations of SFE Energy Texas, Inc. [REDACTED]

The Company maintains a robust EOP in order to ensure the continuity of business functions in the event of an emergency. The EOP addresses common operational functions that are relevant across emergency types as well as the company response to specific emergency conditions addressed in the annexes to this EOP pertaining to pandemic and epidemic response, hurricanes, cybersecurity and physical security.

**2. INDIVIDUALS RESPONSIBLE FOR MAINTAINING, IMPLEMENTING
AND CHANGING EOP**

The following individuals are responsible for maintaining and implementing the EOP as well as making any changes:

- Jeff Donnelly, Vice President, Regulatory Affairs & Compliance, Chief Privacy Officer
- Samir Kareem, Chief Technology & Operations Officer

On a periodic basis, the EOP will be reviewed by the above individuals with respect to modifications to applicable regulatory and legal requirements and industry best practices. In addition, in the event the EOP is activated, a review will be performed to assess the plan's effectiveness, identify if changes to the plan are necessary, and update the EOP in accordance with that assessment.

In addition, an annual drill of the EOP will be performed each calendar year and notice of the drill will be provided to the Commission. SFE Energy does not have an office in a hurricane evacuation zone as defined by TDEM.

3. REVISION CONTROL SUMMARY

Version ID	Date of Change	Author	Rationale
Version 1	April 1, 2022	J. Donnelly; S. Kareem	Compliance with Revised Section 25.53

4. STATUS OF CURRENT EOP

As of the date of this filing on April 13, 2022, this is the current EOP that supersedes previous EOPs.

5. EOP DATE OF APPROVAL

The date of approval of the current EOP is April 1, 2022.

B. COMMUNICATION PLAN

SFE Energy is a licensed REP. This communication plan is tailored to SFE Energy's operations as a REP that does not own or operate generation or transmission and distribution infrastructure. Communications with the parties identified below will be coordinated internally and externally for consistency of message and after consultation with legal. For an electrical emergency or a power outage, customer inquiries will be directed to the relevant transmission and distribution utility that will have firsthand knowledge of the emergency.

For an information security incident, communications with affected customers, law enforcement and governmental agencies will be in accord with applicable regulatory and legal requirements commensurate with the extent of the incident and the information that is implicated as further explained in the Cybersecurity Annex of this EOP.

Communication with Customers

During an emergency, customers will be communicated with in writing and/or where the information has been provided with consent, via text or email, and/or the SFE Energy website (www.sfeenergy.com/texas), as necessary and appropriate under the specific circumstances. SFE Energy maintains a customer service email address and toll-free phone number to respond to customer inquiries.

SFE Energy will comply with any regulatory notices to customers of an emergency that the Commission may require of REPs. SFE Energy is in compliance with Section 25.479(d) on the provision of public service notices to customers regarding utility involuntary load shedding procedures, designation of and procedure for applying to be considered a critical care residential customers, critical load industrial customers, or critical load, and how customers can reduce electricity usage during load shed events. SFE Energy is also in compliance with the requirement to disclose on the YRAC information about the designation as a chronic condition or critical care customer under Section 25.475(h)(6)(C).

Communication with the Media and General Public

The SFE Energy website (www.sfeenergy.com/texas) will be utilized to communicate messages to the media and general public, as needed.

Communication with the Commission and OPUC

SFE Energy has designated primary and backup emergency contacts for Commission communications as set forth in the Executive Summary of this EOP. These contacts can respond to OPUC emergency communications as well.

Complaint Handling

SFE Energy will continue to comply with the requirements of Section 25.485 on Customer Access and Complaint Handling and Section 25.480 on Bill Payment and Adjustments, during an emergency. If SFE Energy receives a customer complaint during an emergency, if SFE Energy cannot immediately respond to the customer's question or complaint, it will promptly investigate the matter and report the results to the customer within twenty-one days. If the customer is not satisfied with SFE's response, the customer will be advised of the right to file a complaint with the commission and the Office of Attorney General, Consumer Protection Division. In the event of a local Texas emergency, because the Company headquarters and customer service personnel are located in Ontario, this should not affect SFE Energy's ability to timely respond to customer complaints and thus its standard complaint processing procedures are anticipated to be sufficient to withstand the increased level of complaints associated with Texas-based emergencies.

C. MAINTAINING PRE-IDENTIFIED SUPPLIES FOR EMERGENCY RESPONSE

The plan for maintaining pre-identified supplies for emergency response is tailored to SFE Energy as a REP. Neither SFE Energy nor its corporate parent own or operate generation facilities or transmission and distribution facilities. Therefore, the nature of emergency supplies necessary are those for the office environment.

The supplies maintained for emergency response in the office environment consist of general health and safety supplies in the nature of: fire and smoke detectors; fire extinguishers; first aid supplies; flashlights; clearly marked exit signage; general tools; hygiene items; and water. These items are maintained on an on-going basis to ensure proper operation and availability, if and when needed.

D. STAFFING DURING EMERGENCY RESPONSE

[REDACTED]

[REDACTED]

E. IDENTIFICATION OF WEATHER-RELATED HAZARDS

As a competitive retail supplier, SFE Energy must be acutely aware of weather and the impacts of weather on commodity supply availability and pricing in order to serve its customers. The supply department is actively monitoring weather and weather-related hazards (tornadoes, hurricanes, extreme cold and hot weather, drought, flooding) in this regard. However, SFE Energy and its corporate parent do not own or operate generation facilities or transmission and distribution infrastructure and do not need to secure such assets against weather-related hazards.

If a weather event is detected that will affect SFE Energy business operations, the individuals identified herein as responsible for implementing the EOP are notified in order to initiate preparedness and response. The severity of the event will be assessed, including its impact on operations. This will determine the timing and extent of the response as well as who will be charged with its execution. The hurricane annex of this EOP will be activated if necessary.

Annex A

Pandemic and Epidemic Response

The Company has a pandemic and epidemic response plan that is applied to the operations of SFE Energy as a REP. The purpose of the pandemic and epidemic response plan is to ensure continuity of operations, protection of employees, service to customers, and communications with various constituencies during a pandemic or epidemic. An epidemic is an outbreak of disease that spreads quickly and affects many individuals at the same time. A pandemic is a type of epidemic (one with greater range and coverage) and is an outbreak of a disease that occurs over a wide geographic area and affects an exceptionally high proportion of the population. Emergency actions will be appropriately escalated, as conditions warrant. The intent of the plan is to prepare staff to respond in the event of a pandemic or epidemic.

The pandemic and epidemic response plan consists of the following components:

[REDACTED]

- 1. [REDACTED]

[REDACTED]

- 2. [REDACTED]

[REDACTED]

- 3. [REDACTED]

- 4. [REDACTED]

- 5. [REDACTED]

- 6. [REDACTED]

- 7. [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Annex B

Hurricane Response Annex

The Company has a hurricane response plan that is applied to the operations of SFE Energy as a REP. The purpose of the hurricane response plan is to provide information necessary for an effective and safe response to hurricanes that could potentially affect corporate operations and the ability to serve customers. The Company does not own, operate or maintain energy delivery infrastructure or generation facilities that could be impacted by a hurricane and does not have an office in a hurricane evacuation zone as defined by TDEM. However, a hurricane could damage corporate office facilities and cause other incidents of varying severity depending on the intensity of the hurricane. The Company will monitor national and regional weather service advisories and updates on current weather conditions and forecasts. Emergency actions will be appropriately escalated, as conditions warrant. The intent of this plan is to allow staff adequate time to prepare in the event of a hurricane. The Atlantic hurricane season runs from June 1 to November 30. The Pacific hurricane seasons begins May 15. The peak months for hurricanes in the Atlantic and Pacific are August through early October.

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Annex C

Cybersecurity Plan Annex

The Company has an Information Technology Incident Response Plan as well as a Privacy Policy that collectively constitute its cybersecurity plan¹ and are applied to the operations of SFE Energy as a REP. The purpose of this cybersecurity plan is to ensure the integrity of operations and security of company assets and also to protect customer, employee and corporate information. The Company does not own, operate or maintain energy delivery infrastructure or generation that could be subject to cyberattacks.

[REDACTED]

[REDACTED]

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

[REDACTED]

[REDACTED]

[REDACTED]

¹ These documents are incorporated by reference herein. Full texts of the documents are available upon request by Public Utility Commission Staff.

[REDACTED]

Physical Security Incident Annex

[illegible]

15

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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