



Transmittal #: **LUMA-PREB-T-00007**

**TRANSMITTAL**

**Title:** Submission of monthly status report for the period ending July 2020 for Front-End Transition Services

<b>Date:</b> 2020-08-10				
<b>LUMA Department:</b> IMO				
<table border="0"> <tr> <td><b>Sending Organization:</b> LUMA</td> <td><b>Receiving Organization:</b> PREB</td> </tr> <tr> <td><b>Sent from:</b> Craig Shutt</td> <td><b>Addressed to:</b> <a href="mailto:eavilesdeliz@energia.pr.gov">eavilesdeliz@energia.pr.gov</a></td> </tr> </table>	<b>Sending Organization:</b> LUMA	<b>Receiving Organization:</b> PREB	<b>Sent from:</b> Craig Shutt	<b>Addressed to:</b> <a href="mailto:eavilesdeliz@energia.pr.gov">eavilesdeliz@energia.pr.gov</a>
<b>Sending Organization:</b> LUMA	<b>Receiving Organization:</b> PREB			
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<b>LUMA CC:</b> <b>PREB CC:</b> LUMA-P3A-T-00014				

**TRANSMITTER COMMENTS:**

Please see attached the LUMA monthly status report submission for the period ending July 2020 for Front-End Transition Services as per section 4.2 (b) of the Puerto Rico Transmission and Distribution System Operation and Maintenance Agreement.

**Related RFI(s) or Transmittal(s):**

**Total Number of Documents:**

1

Document No.	Title	Rev.	File Type
1	Monthly status report for the period ending July 2020 for Front-End Transition Services		PDF
2			
3			
4			
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# LUMA

## Monthly Report

Report #: RPT-P3A-002

For the period ending July 2020

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# General Overview

In accordance with Section 4.2(b) of the Operations and Maintenance Agreement (OMA), LUMA hereby provides the P3A its monthly report on its performance of the Front-End Transition for the month ending July 31, 2020. A copy of the Handover Checklist has been provided in Appendix A of the report.

## PERFORMANCE OF FRONT-END TRANSITION (FET) PERIOD

### A. FET PERIOD PROGRESS REPORT

#### I. Key Achievements in reporting period

##### Safety, People, Communications & Stakeholders

###### Safety:

- Completed the COVID-19 practice to enable safe entry of LUMA personnel to PREPA's facilities.
- Established substation entry protocol to enable entry for LUMA field visits and began training LUMA employees.

###### People / Mobilization:

- Continued to mobilize LUMA personnel into PREPA's office based on space availability.
- Continued the refinement of LUMA's Organizational design and Job Descriptions
- Continued development of recruitment and communication plans

###### Internal & Stakeholder Communications:

- Continue producing FAQs in response to PREPA employees' questions via our web site, social media and field / office visits.
- Communicated our key messages over a multitude of avenues, including newspaper, radio, billboard, digital and social media ads.
- Launched social media campaign, as well as pitched numerous stories to local media.
- Proactively developed statements and disseminated to primary local media, as well as offered interviews with executives.
- Hosted events with the LUMA mobile training unit to gain visibility and communicate the LUMA College for Technical Training.
- Continued to build out the LUMAPR.com web site to communicate recruiting, hiring details.

###### Governmental Affairs:

- Met with key stakeholders including economic associations, renewable energy developers and energy-focused NGOs and/or think tanks to provide information on LUMA and the Front-End Transition Process.
- Submitted testimony to Puerto Rico Senate Commission on Federal, Political and Economic Affairs regarding their inquiry on the OMA.
- Communicated with US congressional staff, including meetings with staff of Representatives on the Natural Resources Committee and provided written testimony

on behalf of LUMA with respect to the hearing held on July 23, “The Transformation of the Puerto Rico Electric Power Authority (PREPA).”

### **Operational & Regulatory**

#### **System Remediation Plan, Performance Metrics and Initial Budgets:**

- Conducted the daily Working Sessions - July 6 through to July 23
- Began detailed discussions with all Directorates and began field-based site visits (e.g. substations, vegetation management, training center, etc.).  
These discussions will be on-going and will focus on ‘deep dives’ into all key operational areas including establishing an understanding of organizational structure, work processes, procedures and documentation in order to facilitate LUMA understanding of operational gaps and support the development of the System Remediation Plan.
- Conducted some field visits to assess facilities and initiate discussions with PREPA staff; however, these were largely curtailed due to union activity limiting access to both facilities and personnel.
- Established all Planning teams including representatives from PREPA, the P3 Authority and COR3 as mandated in s.4.1, s.4.2 & s.4.3 of the OMA.
- Submitted Requests for Information (RFIs) to support the development of LUMA’s gap Assessment – a key input into the System Remediation Plan.
- Began the development of the System Remediation Plan including completing an initial distribution circuit outage assessment, the System Remediation Plan Prioritization Tool, and working with Sargent & Lundy to identify construction standards and the standards update priority.
- Held meetings with the PREPA environmental staff to confirm and finalize the scope, schedule, and overall execution plan for PREPA’s required baseline environmental assessment of pre-existing conditions.
- Began all major IT projects required for LUMA to be fully operational (e.g. EBS, Workday HCM, iCIMS recruitment system, Call Center Technology).

#### **Voice of the customer**

- Began the Voice of the Customer initiative with initial focus on a customer survey, self service requirements for LUMA website and bill redesign work
- Began discussions to better understand Claims, Billing Exceptions and Credit Collections

#### **GridCo-GenCo**

- Began work with PREPA and Sargent & Lundy to identify status of work for delineation between PREPA generation and T&D.
- Began Shared Services discussions with the Generation Directorate.

#### **Regulatory, Federal Funding & Legal**

- Held an introductory meeting with Commissioner Mateo and PREB Consultants.
- Began review with PREPA of current PREPA environmental permits, land permits, land access and ROW processes.
- Began review of regulatory mandates (i.e. renewables, energy efficiency, net metering and others) with focus on requirements in current IRP under review by PREB and PREPA processes.

- Began discussions related to Federal Funding to improve LUMA's understanding of how PREPA manages their recovery operation and accounting and tracking of potential reimbursable costs.
- Held a discussion with COR3's consultants to understand their perspective of PREPA recovery activity.
- Filed Ruling Request under Act No. 29-2009, enacted on June 8, 2009, and the Puerto Rico Internal Revenue Code of 2011, as amended with the Puerto Rico Treasury Department requesting private letter ruling or closing agreement as required by Section 4.5(t) of the O&M Agreement.
- LUMA worked with the counsel for the FOMB to prepare and file a Motion for Administrative Expense Treatment with the Title III Court. This motion requests administrative expense treatment for PREPA's payments to LUMA under the OMA.
- Worked on return of Bid Security as required by Section 2.2 (c) of the OMA.

#### Tropical Storm Isaias

- Participated in the majority of the PREPA T&D Ops emergency response meetings.

## **II. Key Focus Areas in upcoming month**

### **Safety, People, Communications & Stakeholders**

#### Safety:

- Continue coordinating with PREPA Security to safely access field worksites

#### People / Mobilization:

- Fully mobilize LUMA personnel into PREPA's offices.
- Continue the refinement of LUMA's Organizational design and Job Descriptions.
- Continue development of recruitment and communication plans
- Secure vendors for pre-screening employment
- Complete implementation of iCIMS (Recruiting software tool) and Traitify (Personality Assessment Tool)

#### Internal & Stakeholder Communications:

- Continue with our internal and external messaging.
- Begin producing a monthly newsletter from LUMA to PREPA employees.

#### Governmental Affairs:

- Continue outreach activities with key stakeholders.

### **Operational & Regulatory**

#### System Remediation Plan, Performance Metrics and Initial Budgets:

- Continue with 'deep-dive' discussions with all Directorates. This work will have all LUMA teams heavily involved in the development of the Gap Assessment and Analysis, and initial inventory of initiatives to be prioritized and documented in the System Remediation Plan.
- Conduct field visits to assess facilities and initiate discussions with PREPA staff. The Site assessments will continue with a steep ramp up in volumes including Regional Customer Services facilities, Technical Training facilities, Warehousing and substation visits for the

most critical and/or worst-performing substations. Note these field visits are a critical part of the Gap Assessment work noted above.

- Based on the foregoing, continue the development of the System Remediation Plan. In addition to the above, this work will involve:
  - o Completing an overall outage management and restoration process map
  - o Completing the consolidation of plans (Sargent & Lundy, IRP, etc.). To be adjusted as appropriate based on the pending approval of the IRP.
  - o Working with Sargent & Lundy and PREPA to finish identifying the work necessary to complete the separate of the Generation and T&D Systems.
- Develop Initial Budgets methodology and framework based on learnings from discussion with PREPA & PREB. Departments will begin early compilation of operating budgets.
- Complete the chart-of-accounts for LUMA Servco including the identification of transaction flows between LUMA Servco and Gridco
- Continue all major IT projects required for LUMA to be fully operational (e.g. EBS, Workday HCM, Call Center Technology). Work will include:
  - o Continue discovery sessions and System Design on EBS
  - o Continue gathering to configure system and begin training LUMA on Workday HCM
  - o Holding Q&A sessions with vendors for the Call Center Technology
  - o Holding discovery sessions for CC&B
  - o Complete evaluation of IT/OT Applications and Infrastructure data collection forms and validation of context diagrams.
  - o Distribute final Data Security Plan to key stakeholders for approval
  - o Draft and distribute for review Cyber and BCP plans
- Hold detailed workshop on Non-federally Funded procurement manual with joint Planning Team, and advance build-out of the manual.

#### Voice of the customer

- Continue the Voice of the Customer initiative with initial focus on a customer survey, self service requirements for LUMA website and bill redesign work
- Further the discussions to better understand Claims, Billing Exceptions and Credit Collections
- Conduct vendor demos for the cloud-based call center technology.

#### GridCo-GenCo

- Continue work with PREPA and Sargent & Lundy to identify delineation between PREPA generation and T&D. Obtain internal alignment and outline key steps needed to design and structure new Genco.
- Continue Shared Services discussions with an objective of outlining Shared Services objectives, timeline and issues for each service to be provided to GenCo
- Begin early development of the Shared Services Agreement and Master PPOA
- Outline Systems Operations principles (SOP) detailed workplan and begin coordinating scope delineation with PREPA.
- Begin work with PREPA to identify key steps that will lead to PREPA reorganization.

#### Regulatory, Federal Funding and Legal



- Hold information sessions on System Remediation Plan, Performance Metrics and Initial Budgets with PREB consultants.
- Obtain P3A participation in the Government Approvals planning team.
- Continue review with PREPA of current PREPA environmental permits, land permits, land access and ROW processes. This work will include (i) defining legal requirements for permit changes, or additional permits necessary for Commencement; (ii) developing process assessment for current PREPA land acquisition and management of land rights; and (iii) developing process assessment for current PREPA permit acquisition and management of permits.
- Continue review of Federal Funding to improve LUMA's understanding of PREPA's management of recovery operation, accounting and tracking of potential reimbursable costs.
- Work with joint Planning Team on processes utilized and establish groundwork for development of the Federal Funding Procurement Manual

#### Tropical Storm Isaias

- Support after-action meeting with PREPA in response to Tropical Storm Isaias.
- Identify and advance opportunities / recommendations for improving PREPA's emergency preparedness and response.

### **III. Handover Checklist**

In accordance with s.4.2(b), LUMA has provided the Handover Checklist as part of Appendix A. This month's status captures early stages of development with many items initiated and in-progress.

Please note that the Handover Checklist in Appendix A is presented to capture key deliverables by LUMA's Departments based on our organizational structure for the FET period. We believe this will facilitate tracking throughout the FET period.

LUMA has cross referenced and confirmed that all items in the Handover Checklist provided in Annex II of the OMA have been included in the Handover Checklist provided in Appendix A.



## B. COMMERCIAL REPORT

### I. Completed OMA Obligations

Section	Description	Responsible Party	Status
4.1(d)(i) and (ii)	The Parties shall establish a planning team composed of representatives of each of the Parties, and ManagementCo, with input from such team, shall (A) review the current state of the T&D System, including the control, monitoring and information equipment, systems, practices, services (including related hardware, Information Systems and Software) and general operating and administrative practices used in connection therewith, (B) develop a plan (taking into account the Capital Budgets and any Federally Funded Capital Improvements) to remediate, repair, replace and stabilize such equipment, systems, practices and services, as may be needed, to enable Operator to perform the O&M Services in compliance with the Contract Standards as soon as reasonably possible and at a reasonable cost to Owner (such plan, the "System Remediation Plan") and	LUMA, P3A, PREPA	Planning Team Leads identified July 15, 2020.
4.1 (e) (i)	The Parties shall establish a planning team composed of representatives of each of the Parties and COR3, and ManagementCo, with input from such team, shall prepare a manual that describes (i) the procurement guidelines to be applied to, and contractual provisions to be included in, any contract involving Federal Funding and (ii) procedures for contract administration and oversight, including standards and methods for (A) addressing employee and organization conflicts of interest, (B) avoiding acquisition of unnecessary or duplicative items, (C) granting awards to responsible contractors, (D) maintaining records of procurement history, (E) managing time-and-materials contracts, (F) resolving disputes, (G) selecting transactions for procurement, (H) conducting technical evaluations and (I) if an Emergency Event relates, or could potentially relate, to an event that may be or has been declared a Declared Emergency or Major Disaster, seeking to ensure that any response to such Emergency Event complies with the Federal Funding Requirements (such manual, the "Federal Funding Procurement Manual"). The Parties shall update the Federal Funding Procurement Manual in accordance with Section 5.9(d) (Procurement and Administration of Federal Funding – Federal Funding Procurement Manual) to reflect any changes in Applicable Law that affect Federal Funding.	LUMA, P3A, PREPA, COR3	Planning Team Leads identified July 15, 2020.
4.1 (f) (i)	The Parties shall establish a planning team composed of representatives of each of the Parties, and ManagementCo, with input from such team, shall prepare a manual that describes (i) the procurement guidelines to be applied to, and contractual provisions to be included in, any contract for a Non-Federally Funded Capital Improvement and (ii) procedures for contract administration and oversight, including standards and methods for (A) addressing employee and organization conflicts of interest, (B) avoiding acquisition of unnecessary or duplicative items, (C) granting awards to	LUMA, P3A, PREPA	Planning Team Leads identified July 15, 2020.

Section	Description	Responsible Party	Status
	responsible contractors, (D) maintaining records of procurement history, (E) managing time-and-materials contracts, (F) resolving disputes, (G) selecting transactions for procurement and (H) conducting technical evaluations (such manual, the “Non-Federal Funding Procurement Manual”). The Parties shall update the Non-Federal Funding Procurement Manual as necessary to reflect any changes in Applicable Law that affect Non-Federally Funded Capital Improvements.		
4.1 (h)	The Parties shall establish a planning team composed of representatives of each of the Parties, and ManagementCo, with input from such team, shall (i) prepare principles related to the dispatch of Power and Electricity (such principles, the “System Operation Principles”), which principles shall be generally consistent with those set forth in Schedule 1 (System Operation Principles) to Annex I (Scope of Services)	LUMA, P3A, PREPA	Planning Team Leads identified July 15, 2020.
4.2 (f)	The Parties shall establish a planning team composed of representatives of each of the Parties, and ManagementCo, with input from such team, shall prepare a revised Annex IX (Performance Metrics), including (i) proposed baseline, target and minimum performance levels for certain Performance Metrics, (ii) Key Performance Metrics and (iii) Major Outage Event Performance Metrics, together with an explanation of the basis for each of the foregoing.	LUMA, P3A, PREPA	Planning Team Leads identified July 15, 2020.
4.3(j)	The Parties shall establish a planning team composed of representatives of each of the Parties and COR3 to: (A) review the current status of the Federal Funding, including project worksheets related to the T&D System prepared by FEMA in connection with or pursuant to Section 428 of the Stafford Act and estimated timing and schedules of Federal Funding to implement the System Remediation Plan and develop a plan (taking into account the System Remediation Plan) to utilize Federal Funding in the most efficient and effective way to enable Operator to perform the O&M Services in compliance with this Agreement, and (B) review the current status of the Integrated Resource Plan and its impact on the T&D System and the O&M Services. ManagementCo, acting reasonably, may request, to the extent permitted under Applicable Law, changes or modifications to the Federal Funding (including modifications to, or reallocations between, the project worksheets related to the T&D System prepared by FEMA pursuant to Section 428 of the Stafford Act) or the Integrated Resource Plan.	LUMA, P3A, PREPA, COR3	LUMA has initiated the formation of the planning committee

## II. Ongoing OMA Obligations

Section	Description	Responsible Party	Status
4.2(b)	ManagementCo shall provide Administrator (with copy to PREB) written monthly reports with respect to ManagementCo’s performance of the Front-End Transition Services, including a copy of the Handover Checklist updated to reflect the progress of each item listed therein. From time to time	LUMA (Operator)	Submitted - July

Section	Description	Responsible Party	Status
	during the Front-End Transition Period, in light of experience developed up to such point in the Front-End Transition Period, the Handover Checklist shall be adjusted, updated or otherwise modified by ManagementCo and Administrator, each acting reasonably, as necessary to reflect such experience.		
4.6(c)(i)	(c) Operator shall deliver to Administrator an estimate of the anticipated Front-End Transition Service Fee for the following four and a half (4.5) months, subject to Section 7.8 (Owner Credit Rating).	LUMA (Operator)	Submitted - July
4.6(c)(i)	(d) Owner shall replenish the Front-End Transition Account so as to maintain a balance in the Front-End Transition Account at the end of each calendar month equal to the sum of the anticipated Front-End Transition Service Fee for the subsequent four and a half (4.5) months, subject to Section 7.8 (Owner Credit Rating), and so on subsequently until the Front-End Transition Services conclude.	PREPA (Owner)	Confirmed for June Submission
4.6(d)(i)	Operator shall provide Administrator with a monthly invoice describing in reasonable detail the prior calendar month's Front-End Transition Services and the corresponding Front-End Transition Service Fee for such prior calendar month. All invoices shall comply with the requirements set forth in Section 9.2(c) (Anti-Corruption and Sanctions Laws – Policies and Procedures).	LUMA (Operator)	Submitted - July

### III. Overdue OMA Obligations

Section	Description	Responsible Party	Status
	There are no overdue items		

### IV. OMA Obligations in Progress

Section	Description	Responsible Party	Status
4.5 (t)	This Ruling Request asks that the Department issue either a closing agreement or a private letter ruling incorporating all matters set forth in administrative determination No. 20-06 issued by the Secretary of the Puerto Rico Treasury Department (the "Administrative Determination") that are applicable to LUMA and its owners and providing that (i) the Front-End Transition Service Fixed Fee, the Service Fee and the Back-End Transition Service Fee are treated in the same manner as management fees are treated under Section III(A) of the Administrative Determination and (ii) the Operator Termination Fee is treated in the same manner as termination payments are treated under Section III(A) of the Administrative Determination, all as more specifically set forth in Section 4.5(t) of the OMA.	LUMA (Operator)	LUMA filed its Ruling Request under Act 29 with the Puerto Rico Department of Treasury on June 30, 2020.
4.9 (a)	ManagementCo shall have the right to engage Subcontractors to perform certain Front-End Transition Services (the "Front End Subcontractors"); provided that Subcontracts related to the provision of any	LUMA (Operator)	LUMA provided its initial list of Material

Section	Description	Responsible Party	Status
	Front-End Transition Services that are eligible for reimbursement with Federal Funding, if any, shall comply with the Federal Funding Requirements, including any competitive bidding processes required for the award of any such Subcontracts. Operator shall provide Administrator (with copy to PREB) with a list of Front-End Subcontractors that Operator has engaged or intends to engage for the performance of any of the Front-End Transition Services in excess of US\$250,000 (each, a "Material Front-End Subcontractor"). Administrator shall have the right to approve any Material Front-End Subcontractor engaged by ManagementCo, which approval shall not be unreasonably withheld, delayed or conditioned. If Administrator does not respond to Operator within ten (10) Business Days after being notified of Operator's engagement or intention to engage a Front-End Subcontractor, Administrator shall be deemed to have no objection to the engagement of such Front-End Subcontractor.		Front-End Subcontractors to the P3A, with a copy to the PREB, on July 3, 2020. Subcontractors have since been engaged.

#### V. Upcoming OMA Obligations

Section	Description	Responsible Party	Status
4.6(d)(iii)	Payments of undisputed amounts under any invoice shall be due within thirty (30) days of Administrator's receipt of such invoice.	P3A (Administrator)	Due 10-08-20 for June invoice

## C. RISK AND ISSUE MANAGEMENT REPORT

### I. Potential Risks with Potential to Materially Impact Project Success

Description of Risk	Current Status and Change Since Previous Month
PREPA Reorganization (s. 4.5(q))	07-31-20: Accountability for the development & approval of the final PREPA Reorganization (including the GenCo / GridCo split) is not clear. The structure has implications related to demarcation of physical assets, operational responsibilities, and the establishment of the Shared Services Agreement and PPOAs development.
Pre-existing Environmental Conditions (s.4.5 (f))	07-31-20: Concern with the timeliness of PREPA RFP process and execution of this work to the agreed upon scope.
Designated Space & Facilities (s. 4.1 (b))	07-31-20: Establishing furnished work space continues to be a concern. LUMA staff continues to work from hotel rooms & offsite conference rooms leading to inefficiencies and increased cost.
Administrative Expenses Motion (s. 4.1 (c)) (This motion requests administrative expense treatment for PREPA's payments to LUMA)	07-31-20: The Unsecured Creditors Committee, UTIER and the fuel line lenders were not agreeable to the timing of the administrative expense motion and requested that the hearing on same be delayed. The federal judge granted this request and extended the hearing until September 16-17, 2020.

### II. Active Issues with Potential to Materially Impact Project Success

Description of Issue	Current Status and Change Since Previous Month
COVID-19 Pandemic	07-31-20: The COVID-19 pandemic is creating challenges for LUMA from immigration, mobilization, office space and engagement perspectives. Using virtual tools including Microsoft Teams for meetings helps communications but consumes significantly more time and less productive.
Field Access	07-31-20: Limitations on being able to conduct field visits to assess facilities, work processes and employees due to Union concerns. Review measure in place to ensure security of personnel; however, access continues as an area of risk.

## D. FINANCIAL PROGRESS REPORT

In accordance with s.4.6(d), LUMA has submitted the invoice for the Front-End Transition Service Fee for the month of July 2020. A summary of the invoice amounts is included below.

### I. Monthly invoice summary

FET LABOR COSTS	
Department	Amount
Executives	\$ 157,187.50
Capital Programs	\$ 133,500.00
Communications	\$ 62,362.50
Customer Service	\$ 187,237.50
Financial Mgmt.	\$ 488,530.00
HSE & Quality	\$ 268,690.00
Human Resources	\$ 317,467.50
Integration Mgmt Office	\$ 264,160.00
IT / OT	\$ 237,930.00
Legal	\$ 112,137.50
Operations	\$ 736,522.50
Regulatory	\$ 316,495.00
Utility Transformation	\$ 710,970.00
<b>TOTAL</b>	<b>\$3,993,190.00</b>

	Front End Transition Hourly Costs	Additional Costs & Expenses	Sub-Total	Front End Transition Fixed Fee	Total
Previously invoiced	\$828,770.00	\$-	\$828,770.00	\$1,500,000.00	\$2,328,770.00
Current invoice	\$3,993,190.00	\$2,781,181.56	\$6,774,371.56	\$5,000,000.00	\$11,774,371.56
Total invoiced to date	\$4,821,960.00	\$2,781,181.56	\$7,603,141.56	\$6,500,000.00	\$14,103,141.56
Forecast to complete			\$68,748,789.40	\$53,500,000.00	\$134,023,160.96
Proposal			\$76,351,930.96	\$60,000,000.00	\$122,248,789.40
Variance			\$-	\$-	\$-



## E. SUBMISSIONS

### I. Transmittals

Name	Description	Sending Organization	Receiving Organization	LUMA Department	Date Submitted
LUMA-CONS-T-00001	Submission of COVID-19 Exposure Control Plan and Self Certification Form to OSHA.	LUMA	Advisors/Technical Consultants	HSE & Quality	11-Jul-20
LUMA-FEMA-T-00001	OMA Planning Team Formation	LUMA	COR3/FEMA	IMO	15-Jul-20
LUMA-P3A-T-00001	Material Subcontractor Approval request - IEM	LUMA	P3A	IMO	2-Jul-20
LUMA-P3A-T-00002	Material Subcontractor Approval request - IBM	LUMA	P3A	IMO	2-Jul-20
LUMA-P3A-T-00003	Material Subcontractor Approval request - Alumbra	LUMA	P3A	IMO	2-Jul-20
LUMA-P3A-T-00004	Material Subcontractor Approval request - ERM	LUMA	P3A	IMO	2-Jul-20
LUMA-P3A-T-00005	Submission of invoice and monthly status report for the period ending June 2020 for Front-End Transition Services	LUMA	P3A	IMO	10-Jul-20
LUMA-P3A-T-00006	Submission of LUMA Anti-Corruption Certificate for the period ending June 2020 for Front-End Transition Services	LUMA	P3A	IMO	11-Jul-20
LUMA-P3A-T-00007	Discussion between the IMO and the P3A establishing rules of engagement.	LUMA	P3A	IMO	11-Jul-20
LUMA-P3A-T-00008	OMA Planning Team Formation to be provided to the P3A for their records.	LUMA	P3A	IMO	15-Jul-20
LUMA-P3A-T-00009	P3A / LUMA kick-off meeting notes and associated documents.	LUMA	P3A	IMO	17-Jul-20
LUMA-P3A-T-00010	Submission of FET next 4.5 month estimate	LUMA	P3A	IMO	31-Jul-20
LUMA-P3A-TGC-00010	Submission of the agenda and supporting documents for the LUMA/P3A August 03, 2020 meeting.	LUMA	P3A	IMO	31-Jul-20
LUMA-PREB-T-00001	Material Subcontractor Approval request - IEM	LUMA	PREB	IMO	2-Jul-20



Name	Description	Sending Organization	Receiving Organization	LUMA Department	Date Submitted
LUMA-PREB-T-00002	Material Subcontractor Approval request - IBM	LUMA	PREB	IMO	2-Jul-20
LUMA-PREB-T-00003	Material Subcontractor Approval request - Alumbra	LUMA	PREB	IMO	2-Jul-20
LUMA-PREB-T-00004	Material Subcontractor Approval request - ERM	LUMA	PREB	IMO	2-Jul-20
LUMA-PREB-T-00005	Submission of monthly status report for the period ending June 2020 for Front-End Transition Services	LUMA	PREB	IMO	11-Jul-20
LUMA-PREB-T-00006	Discussion between LUMA and PREB establishing rules of engagement as per the contract.	LUMA	PREB	Regulatory	11-Jul-20
LUMA-PREP-T-00001	Transmitting OMA Planning Team Formation for PREPA's records.	LUMA	PREPA	IMO	15-Jul-20
LUMA-PREP-T-00002	Submitting the LUMA Slide Decks from the working sessions held with PREPA in July 2020.	LUMA	PREPA	IMO	23-Jul-20
LUMA-PREP-T-00003	Submission of the HR slides from the LUMA/PREPA Working Sessions for PREPA's information.	LUMA	PREPA	IMO	31-Jul-20
PREP-LUMA-T-00001	NYPA Mutual Aid Agreement with PREPA	PREPA	LUMA	Utility Transformation	17-Jul-20

## II. Requests for Information (RFIs)

Name	Description	Sending Organization	Receiving Organization	LUMA Department	Date Submitted	Requested Response Date	Actual Response Date
LUMA-CONS-RFI-00001	Legal to Cleary requesting status update on Return of Bid Security.	LUMA	Advisors/Technical Consultants	Legal	2020-07-31	2020-08-03	
LUMA-P3A-RFI-00001	Request for a designated P3A liaison to represent for Section 4.4 of the OMA: Government Approvals.	LUMA	P3A	Regulatory	2020-07-13	2020-07-17	

Name	Description	Sending Organization	Receiving Organization	LUMA Department	Date Submitted	Requested Response Date	Actual Response Date
LUMA-PREP-RFI-00005	IT/OT Requests for Information prior to the PREPA Working Sessions.	LUMA	PREPA	IT/OT	2020-07-08	2020-07-15	2020-07-23
LUMA-PREP-RFI-00003	Human Resources Request for Information to be sent to PREPA as part of Gap Analysis. Due to the confidential nature of this records we will not be uploading the information within this RFI to SharePoint.	LUMA	PREPA	Human Resources	2020-07-08	2020-07-08	2020-07-08
LUMA-PREP-RFI-00002	HSEQT RFIs to be sent to PREPA after the working sessions.	LUMA	PREPA	HSE & Quality	2020-07-10	2020-07-24	2020-07-23
LUMA-PREP-RFI-00007	IT OT RFI requesting for the Accenture Strategy document.	LUMA	PREPA	IT/OT	2020-07-10	2020-07-14	
LUMA-PREP-RFI-00009	Integration Resource Plan requests for information for PREPA's action.	LUMA	PREPA	Regulatory	2020-07-10	2020-07-17	2020-07-30
LUMA-PREP-RFI-00011	Request for a PREPA liaison to be designated as required by Section 4.4 OMA Government Approvals.	LUMA	PREPA	Regulatory	2020-07-13	2020-07-17	2020-07-13
LUMA-PREP-RFI-00012	Request for the RFI and RFP documents related to PREPA's AMI project.	LUMA	PREPA	IT/OT	2020-07-14	2020-07-14	2020-08-05
LUMA-PREP-RFI-00013	Request for current project timelines and vendors.	LUMA	PREPA	IT/OT	2020-07-14	2020-07-17	2020-08-05
LUMA-PREP-RFI-00010	Capital Programs requests for information for PREPA.	LUMA	PREPA	Capital Programs	2020-07-14	2020-07-24	2020-07-24
LUMA-PREP-RFI-00015	T&D Operations General requests for information for PREPA.	LUMA	PREPA	Operations	2020-07-15	2020-07-15	2020-07-22
LUMA-PREP-RFI-00016	T&D Operations organization chart request for PREPA	LUMA	PREPA	Operations	2020-07-15	2020-07-15	2020-07-16

Name	Description	Sending Organization	Receiving Organization	LUMA Department	Date Submitted	Requested Response Date	Actual Response Date
LUMA-PREP-RFI-00017	T&D Operations operational focused requests for information to PREPA.	LUMA	PREPA	Operations	2020-07-15	2020-07-15	2020-07-22
LUMA-PREP-RFI-00024	IT OT RFI for IT Vendor Contracts	LUMA	PREPA	IT/OT	2020-07-20	2020-07-24	2020-08-05
LUMA-PREP-RFI-00025	Request for Information -PREB regulatory filings	LUMA	PREPA	Regulatory	2020-07-21	2020-07-31	2020-08-04
LUMA-PREP-RFI-00032	IT OT RFI - Current Year Budgets	LUMA	PREPA	IT/OT	2020-07-22	2020-07-31	
LUMA-PREP-RFI-00033	IT OT RFI - Managed CC&B Ops & Data Lake expansion	LUMA	PREPA	IT/OT	2020-07-22	2020-07-21	2020-07-21
LUMA-PREP-RFI-00038	Payroll RFI - meeting request to discuss payroll processes	LUMA	PREPA	Financial Management	2020-07-24	2020-07-30	2020-07-27
LUMA-PREP-RFI-00040	IT OT RFI - Network Architecture	LUMA	PREPA	IT/OT	2020-07-27	2020-07-29	
LUMA-PREP-RFI-00041	IT OT RFI - Cyber Breach Briefing Document	LUMA	PREPA	IT/OT	2020-07-27	2020-07-29	
LUMA-PREP-RFI-00042	Finance RFI - Next Steps Funding Meeting	LUMA	PREPA	Financial Management	2020-07-28	2020-07-28	
LUMA-PREP-RFI-00006	Requests for information from PREPA's Customer Service team.	LUMA	PREPA	Customer Service	2020-07-07	2020-07-17	
LUMA-PREP-RFI-00001	Regulatory Coordination RFIs for PREPA's review and comments.	LUMA	PREPA	Regulatory	2020-07-10	2020-07-17	
LUMA-PREP-RFI-00008	Permits & Land requests for information for PREPA.	LUMA	PREPA	Regulatory	2020-07-10	2020-07-17	
LUMA-PREP-RFI-00004	Financial Management requests for information to PREPA	LUMA	PREPA	Financial Management	2020-07-11	2020-07-24	

Name	Description	Sending Organization	Receiving Organization	LUMA Department	Date Submitted	Requested Response Date	Actual Response Date
LUMA-PREP-RFI-00014	Request to review EBS and CC&B applications.	LUMA	PREPA	IT/OT	2020-07-14	2020-07-17	
LUMA-PREP-RFI-00018	T&D Operations materials management requests for information for PREPA.	LUMA	PREPA	Operations	2020-07-15	2020-07-15	
LUMA-PREP-RFI-00019	T&D Operations fleet requests for information for PREPA.	LUMA	PREPA	Operations	2020-07-15	2020-07-15	
LUMA-PREP-RFI-00020	T&D Operations ERP and Safety Plan requests for information from PREPA	LUMA	PREPA	Operations	2020-07-15	2020-07-15	
LUMA-PREP-RFI-00021	T&D Operations asset management requests for information for PREPA.	LUMA	PREPA	Operations	2020-07-15	2020-07-15	
LUMA-PREP-RFI-00022	Requesting a demo of Avaya and a request for supporting information regarding it from PREPA.	LUMA	PREPA	IT/OT	2020-07-15	2020-07-17	
LUMA-PREP-RFI-00023	Customer Services requested some of their RFIs to go directly to IT.	LUMA	PREPA	Customer Service	2020-07-20	2020-07-24	
LUMA-PREP-RFI-00026	T&D Operations RFI - Ops & Veg Mgmt	LUMA	PREPA	Operations	2020-07-21	2020-07-24	
LUMA-PREP-RFI-00027	T&D Operations RFI - Materials Mgmt & Fleet	LUMA	PREPA	Operations	2020-07-21	2020-07-24	
LUMA-PREP-RFI-00028	T&D Operations RFI - Asset Mgmt. for Critical T&D assets	LUMA	PREPA	Operations	2020-07-21	2020-07-24	
LUMA-PREP-RFI-00029	T&D Operations RFI - Current Contracts & Contractors	LUMA	PREPA	Operations	2020-07-21	2020-07-24	
LUMA-PREP-RFI-00030	T&D Operations RFI - Asset Mgmt. Processes & Procedures	LUMA	PREPA	Operations	2020-07-21	2020-07-21	
LUMA-PREP-RFI-00031	T&D Operations RFI – Fleet	LUMA	PREPA	Operations	2020-07-21	2020-07-24	

Name	Description	Sending Organization	Receiving Organization	LUMA Department	Date Submitted	Requested Response Date	Actual Response Date
LUMA-PREP-RFI-00034	IT OT RFI - Grid Modernization expansion	LUMA	PREPA	IT/OT	2020-07-21	2020-07-21	2020-07-21
LUMA-PREP-RFI-00035	Customer Services RFI - Permits & lands	LUMA	PREPA	Regulatory	2020-07-23	2020-08-05	
LUMA-PREP-RFI-00036	Customer Service RFI to PREPA Planning Department	LUMA	PREPA	Customer Service	2020-07-23	2020-07-31	
LUMA-PREP-RFI-00037	Customer Service RFI to PREPA Training department	LUMA	PREPA	Customer Service	2020-07-24	2020-07-31	
LUMA-PREP-RFI-00039	IT OT RFI - SIEM Project	LUMA	PREPA	IT/OT	2020-07-27	2020-07-29	
LUMA-PREP-RFI-00043	Regulatory RFI – FFM	LUMA	PREPA	Regulatory	2020-07-28	2020-08-10	
LUMA-PREP-RFI-00044	Capital Programs RFI - Capital Programs, Back-end Transition, & Project Controls	LUMA	PREPA	Capital Programs	2020-07-30	2020-07-10	
LUMA-PREP-RFI-00045	Capital Programs RFI - Risk Management Office questions	LUMA	PREPA	Capital Programs	2020-07-30	2020-08-10	
LUMA-PREP-RFI-00046	T&D Quarterly / Monthly Management Report	LUMA	PREPA	Operations	2020-07-31	2020-07-07	
LUMA-PREP-RFI-00047	Operations RFI - Regular vs Overtime Labor	LUMA	PREPA	Operations	2020-07-31	2020-08-07	

## APPENDIX A – HANDOVER CHECKLIST

Department	Handover Checklist Reference	Deliverable Description	Status
Capital Programs & Back End Transition	11-1	Develop Back-End Transition Plan	Not started
	12-4	Back-End Transition Plan	Refer to 11-1
Communications	8-12	Develop a Community Investment Plan	In development.
Customer Service	4-1	Evaluating customer service facilities and assets	Progress hindered by inability to perform site visits – please see risks section for details and mitigation efforts
	4-2	Evaluating and updating customer service policies and procedures	In progress
	4-4	Development of a customer service transition plan	In progress
	4-5	Development and implementation of a service start and shut-off plan	In progress
	4-7	Development and implementation of customer service technology	In progress
	4-9	Establish Integration Between Customer Services & T&D Ops	In progress
External	12-7	Section 4.3: Owner and Administrator Responsibilities	In development
	12-8	Owner Representations and Warranties	In development
Financial Management	2-3-9	Identification of real estate	In progress
	6-1	Detailed description of approach to budgeting and reporting over the transition period and samples of proposed budget and milestone reporting.	In progress
	6-2	Description of approach to complying with initial budget delivery obligations under the O&M Agreement.	In progress
	6-3	Approach to formalizing changes to control processes.	Not started
	6-4	Establishing a financial accounting system and account structure.	In progress

Department	Handover Checklist Reference	Deliverable Description	Status
	6-5	Preparing Initial Budgets and other financial forecasts.	Initiating
	6-6	Establishing bank accounts.	Accounts for ManageCo complete. Accounts for ServeCo targeted for January 2021
	6-7	Evaluating and updating the payroll and labor cost reporting systems.	Payroll is in planning stages; Labor reporting initiated.
	6-8	Establishing a delegation of authority matrix and process.	Initiating
	6-9	Processes & Procedures and Overall Internal Controls	In progress
	9-3	Non-Federal Funding Procurement Manual 4.1 g	Initiating with workshop on August 10, 2020.
	10-1	Evaluate existing procurement and subcontracting policies, procedures and systems and revise as required.	In progress
	10-2	Plans and Procedures for assuming responsibility for securing use of assets, facilities, IT / OT, etc.	Not started
	10-3	Process and Procedure for assuming existing subcontracts.	In progress
	12-1	Confirmation of Acceptable Operator Security	Not started
12-2	Required Insurance (Delivery of insurance certificates)	Targeted for end of FET period	
Integration Management Office	1-2	Plan to Address Gaps in Assets, Technology, Processes, etc. (plan to include cost estimates).	In progress
	12-12	Service Commencement Begins	On Track
HSE & Quality	2-3-7	Safety management plan	Evaluating Safety Performance Metrics and Safety Programs underway
	2-5	Conducting environmental exposure assessment and establishing an environmental exposure management plan.	In development.  PREPA has communicated that they will be unable to execute the Baseline Environmental Exposure Assessment without an RFP process which may delay the FET period - please see risks section for details and mitigation efforts.
Human Resources	2-3-6	Workforce management and training plan	Not started
	8-1	Draft, Revise and Finalize Operator Employment Requirements	In progress
	8-2	Recruiting and Staffing	Started preparatory work



Department	Handover Checklist Reference	Deliverable Description	Status
	8-3	Redesign and Staff New Organization	LUMA organization structure compiled and under review. Working to standardize job titling and categories.
	8-4	Proposed Recruitment and Staffing Plan	In progress
	8-5	Stand Up Human Capital Management (HCM) System	Initiated
	8-6	Communication Plan	Messaging to employees (recruiting, interviewing, hiring timelines and assistance) being developed for LUMA web site careers section.
	8-7	Training (Workforce Development) Plan	Commenced assessment of employee training policies, standards and practices.
	8-8	Develop Employee Retirement Plan	In progress
	8-9	Occupational Health and Wellness Plan	Not started
	8-1	Compliance Plan	Not started
	8-11	Engagement Plan	Not started
IT / OT	5-1	Development of an IT / OT communication plan and acceptance criteria	Not started
	5-2	Identification and analysis of gaps	In progress
	5-3	Evaluating IT / OT applications and infrastructure	In progress
	5-4	Development of a cyber security and business continuity plan	In progress
	5-5	Development of an IT asset management program	In progress
	5-6	Development of an IT / OT transition plan and schedule	Nearing completion
	5-7	Commencement Cutover Planning	Not started
	5-8	Training and Communication Plan	Not started
	9-5	Data Security Plan (especially meter read data)	Initiated
Legal	12-5	Representations	Not started
	12-6	Operator Representations and Warranties	Not started
	12-1	Section 4.5: Conditions Precedent to Service Commencement Date	On Track
	12-11	Section 4.7: Closing the Front-End Transition Period	Not started
Operations	2-3-2	Transition plan for operations and maintenance activities	In progress
	2-3-3	Emergency response / disaster recovery / business continuity plans	In progress

Department	Handover Checklist Reference	Deliverable Description	Status
	2-3-4	Fleet management plan	In progress
	2-3-10	Materials management and warehouse plan	In progress
	2-3-11	System operations plan	In progress
	2-3-12	Vegetation management plan	In progress
	2-4	Updating operations manual and business continuity / disaster recovery plan	Not started
	9-6	Vegetation Management Plan.	In progress
Regulatory	1-1	Government Approvals	In progress
	1-3	PREB Rate Order Filing	In development
	2-6	PREB Rate Order Filing	Refer to 1-3
	7-1	Set Up Governance Framework	In progress
	7-2	Policies and Procedures	In progress
	7-3	Staffing Plan	Not started
	7-4	Surge Staffing	Not started
	7-5	Project Worksheet Assessment (also covered under S.4.3)	In progress
	7-6	Handoff of Project Worksheet Activity from COR3 and Vendors	Not started
	7-7	Project Procurement Planning	In progress
	7-8	Drafting, Revising and Finalizing Federal Funding Procurement Manual	Not started
	9-1	Establishment of GenCo Shared Services function / Shared Services Agreement.	In progress
	9-2	Emergency Response Plan.	In progress
	9-7	System Operation Principles.	In progress
12-9	Section 4.4 Governmental Approvals	Refer to 1-1	
Utility Transformation	2-1	Development and implementation of an operation take-over plan for transmission and sub transmission assets outside and inside of legacy PREPA power plants and substations.	In progress
	2-2	Development and implementation of an operation take-over plan for the electric distribution system	In progress
	2-3-1	Transition plan for respective control center(s)	In progress
	2-3-5	Asset management plan	Not started

Department	Handover Checklist Reference	Deliverable Description	Status
	2-3-8	Engineering and asset management plan	In progress
	3-1	Remediation Plan Proposal	In progress
	3-2	Development of Improvement Initiatives	Initiating
	3-3	Consolidate Plans from All Areas	In progress
	3-4	Development of System Remediation Plan	In progress
	3-5	Approval of System Remediation Plan	On Track
	4-3	Development of a meter reading plan	In progress
	4-6	Development of a meter asset management plan	Not started
	4-8	Develop a Non-Technical Energy Loss Reduction Plan	In progress
	9-4	Assistance with review of physical security of real estate	In progress
	12-3	Baseline Performance Levels	In progress