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Monthly Report

Report #: RPT-P3A-007

For the period ending December 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 December 31, 2020. A copy of the Handover Checklist and work performed 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

Overview

During the month of December, LUMA successfully submitted first drafts of the Initial Budgets, System Remediation Plan, Performance Metrics and System Operation Principles for review and comments. In addition, LUMA continued recruitment efforts and departments progressed on post-commencement operational and transition plans.

As captured in previous reports, there are on-going challenges that are impacting the effectiveness of the Front-End Transition as noted in Part B, III and Part C of this report. While some of these challenges are showing progress, most continue to persist with no clear resolution. Despite these challenges, LUMA remains focused on a June 1, 2021 commencement date for undertaking the O&M Services.

The following is a summary of the Key Achievements for the month of December and is presented based on critical areas to achieving commencement. Additional achievements and additional detail of LUMA's progress can be found in Appendix A – Handover Checklist.

Human Resources- creating a new organization

We continued our recruitment efforts of our new workforce which included the following:

- Posted approximately 675 positions with over 2,000 applications that have now moved past first round interviews. The effort includes our on-going effort to reach employees despite COVID-19 and general inaccessibility. In addition to web-based information, LUMA released a recruitment brochure to all PREPA employee's home addresses via US mail.
- To date, LUMA has received approximately 12,000 applications including external sources. Our focus at this time remains to process and interview PREPA applicants first. Our HR team and recruiters engaged with PREPA employees to guide them through hiring process and general questions including face-to-face meetings held with PREPA employees.
- LUMA's 401k pension plan was initiated and is now ready for operations.
- Continued end-to-end testing of the Human Capital Management system which will capture core HR information, Benefits Administration, Compensation Data and Learning Management.

Critical Regulatory Matters

LUMA has numerous operational deliverables that will be presented to the P3A and/or PREB for approval during the Front-End Transition period. Work on all these deliverables progressed well in December as noted in Appendix A. The more significant achievements are as follows:

- a. In mid-December, LUMA submitted the first drafts of the Initial Budgets, System Remediation Plan (SRP), Performance Metrics and System Operation Principles for review and comments. LUMA also submitted the Terms of Service (Liability Waiver) for review. These interrelated documents are submitted together given their interdependencies and once finalized will be submitted to PREB for its review and approval according to PREB's regulatory process.
- b. **FEMA Funded Projects**
With the details associated with the 10-year plan now available from PREPA, LUMA began its assessment and, while broadly in alignment, LUMA will be working closely with PREPA to address discrepancies and will adjust the Initial Budgets, System Remediation Plan and Performance Metrics as and if required prior to submitting to PREB in February.
- c. **PREPA Reorganization**
Work is progressing on PREPA reorganization including the Governance structure, GridCo-GenCo Operating agreement and the Shared Services Agreement. As previously noted, concern remains on the timeliness of concluding this work which includes obtaining the necessary Governmental approvals of the PREPA Reorganization as a condition precedent to Service Commencement.

Associated with the PREPA reorganization is the development of the GenCo's budgets by PREPA for incorporation into the Initial Budgets. LUMA has submitted the Initial Budgets without PREPA's GenCo budget figures. We have utilized estimated values consistent with past expenditures and were based on work LUMA progressed with PREPA.

Preparing LUMA for Operations

In addition to the efforts noted above, LUMA continues to work on key areas necessary to 'stand-up' LUMA from an operational perspective. These include the development of key plans as outlined in Appendix A. Some of the key highlights for December are as follows:

- a. **Health, Safety, Environment & Quality**
 - Continued vigilance on our COVID protocol.
 - Continued development of key HSE policies and procedures for commencement as part of the Safety Management Plan.
 - Completed our first draft of ERP with continuing in early 2021.
 - Work began on the pre-existing environmental baseline studies being undertaken by PREPA. LUMA is working to advance the schedule given the concerns with the current timetable.

- b. Internal & Stakeholder Communications:
 - Continued necessary internal & external communications including web-based and flyers focused on our recruitment efforts.
 - Celebrated the first five lineworkers that graduated from the Quanta Technical College and communicated on the progress of the development of the Technical Training for Puerto Rico.
 - Developed content for upcoming LUMAPR.com website launch.
- c. Operational
 - On-going preparation for commencement including
 - Continued the drafting process of the Standard Operating Procedures.
 - Continued development of the Restoration Annex that will support the Emergency Response Plan.
 - Continued the recruitment effort for key positions within Distribution Operations, Transmission Operations, Fleet, Materials Management and Vegetation Management.
 - Worked on the joint initiative with the Procurement team to identify, prioritize and compile supporting documentation for key contracts/contractors.
- d. Customer Experience - Voice of the Customer
 - Completed 30-day trial and obtained contract signatures on new Contact Center platform.
 - Sent out first round of JD Power Customer Satisfaction Surveys.
 - Posted Customer Experience positions.
- e. Finance and Accounting
 - Completed financial processes & procedures and overall Internal Controls required for post-commencement.
 - Completed all Oracle EBS conference room pilot testing. Development and unit testing in progress.
 - Progressed the draft of the Non-Federally Funded Procurement Manual.
- f. Information and Operational Technology
 - Workday HCM: Completed end-to-end testing and targeting mid-January as the go-live date.
 - Workday Payroll: Significant progress made on defining requirements and configuration. Unit testing is in progress.
 - Kronos: Finalized system requirements, completed integration functional specifications and testing strategy.
 - Cloud Based Call Center: Environment preparation is in progress. Conducted initial coordination meeting with PREPA / Accenture.
- g. Other Regulatory matters (in addition to those noted above)
 - Coordinated with technical teams regarding federal funding activities at PREPA to understand projects targeted for early implementation with work on engineering and design scheduled to begin early in 2021.
 - Monitored progress on government approvals required for LUMA operations.

- Continued monitoring PREPA activities for procurement of new renewable energy supply in compliance with the Integrated Resource Plan.

II. Key Focus Areas in upcoming month

The Front-End Transition is an on-going evolution of all efforts noted in Section I and outlined in Appendix A. In January, LUMA will continue to progress its efforts in all areas noted in Section I, so these are not repeated here. Rather, the following focuses on new noteworthy activities that LUMA will be undertaking and is presented in using the same outline as in Section I:

Human Resources- creating a new organization

- Continue LUMA's recruitment effort focused on existing PREPA employees including supporting employees with application forms and resumes, as well as systematically post jobs.
- Undertake on-site visits to regional locations to support engagement with PREPA employees and provide guidance on the hiring process and answer general questions.
- Begin conducting skilled labor assessments.
- Completion of the Occupational Health and Wellness Plan.

Significant Regulatory Matters

Initial Budgets, SRP, Performance Metrics and System Operation Principles

- Work towards finalizing the Initial Budgets, System Remediation Plan, Performance Metrics and System Operating Principles for submission to P3A and PREB.
- Participate in PREB initiated technical conferences/hearings as per the Resolutions and Orders received in December 2020 and incorporate into the Initial Budgets, System Remediation Plan, Performance Metrics and System Operating Principles, as necessary, expectations and directions received from PREB.

Preparing LUMA for Operations

a. Operational and Customer Experience

- Continue development of the Emergency Response, Materials Management, Warehouse and Vegetation Management Plans.
- Initiate vendor kick-off, discovery meetings and project management process with the selected vendor for Bill Print and Delivery function.
- Kick-off to implement project for Cloud-Based Contact Center Platform.
- Review LUMA Master Inventory and Policy, Procedure and Process library with PREPA to ensure the library is completed.
- Complete first draft of the Customer Experience Transition Plan.

b. Finance and Accounting

- Perform remaining facilities health assessments and begin developing a detailed improvement work and maintenance repair plan.
- Complete the draft of Non-Federal Funding Procurement Manual for LUMA's internal review.
- Start development of Oracle EBS Labor Distribution application and finalize the process for documenting labor costs incurred on federally funded projects.

- c. Information and Operational Technology
 - Continue all major IT projects required for LUMA to be fully operational (e.g. EBS, Workday HCM, Call Center Technology).
 - Progress the development of draft Cyber Security and Business Continuity Plan.

III. Handover Checklist

In accordance with Section 4.2(b) of the OMA, LUMA has provided an update to the Handover Checklist in Appendix A. Appendix A supplements the above report and captures additional detail of work performed by LUMA in December.

B. COMMERCIAL REPORT

I. Completed OMA Obligations

This section represents the completed OMA obligations from the past month only. All previous month completed OMA obligations are removed to minimize the length of the report.

Section	Description	Responsible Party	Status
4.1(d) (i) and (ii)	ManagementCo to - (C) submit such System Remediation Plan to Administrator for its review and approval, acting reasonably. The System Remediation Plan shall detail the scope, resources, timelines, milestones, costs estimates and achievement criteria for each activity or project required to enable Operator to perform the O&M Services in compliance with Contract Standards, including the deadlines by which each such activity or project shall be fully implemented. The Parties acknowledge and agree that any prior studies or reports of Owner relating to the remediation, repair, replacement and stabilization of the T&D System may be considered for purposes of preparing the System Remediation Plan, but the findings of such studies or reports shall not limit the Parties' discretion to develop the System Remediation Plan.	LUMA (Operator)	Draft Completed
4.2(e)	(a) ManagementCo shall prepare and submit to Administrator the proposed Initial Budgets; provided that for purposes of the Generation Budget, ManagementCo shall only be required to submit (if received by ManagementCo) the Generation Budget as prepared by Owner and delivered to ManagementCo by Owner. ManagementCo shall have a reasonable time to review such Generation Budget prior to completing and submitting the balance of the Initial Budgets to Administrator hereunder.	LUMA (Operator)	Draft Completed
4.2(f)	(b) ManagementCo shall submit to Administrator the proposed revised Performance Metrics	LUMA (Operator)	Draft Completed
4.1(g)	Parties to apply for Liability Waiver with Rate Order in connection with submission of Initial Budgets.	LUMA (Operator), PREPA (Owner), P3A (Administrator)	Draft Completed
4.1(h)	ManagementCo to - (ii) submit such proposed System Operation Principles to Administrator for its review and approval.	LUMA (Operator)	Draft Completed

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 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.	LUMA (Operator)	Submitted - November
4.3(e)	Notices with respect to System Contracts and Generation Supply Contracts. Owner shall (i) notify each counterparty to a System Contract and Generation Supply Contract in writing of Owner's delegation of authority to Operator with respect to such System Contract in the manner contemplated by Section 5.2(a) (System Contracts – Generally) and with respect to such Generation Supply Contract in the manner contemplated by Section 5.13(a) (Generation-Related Services – Power Supply Dispatch and Management) and (ii) have obtained all required consents from such counterparties as may be required thereby in connection with such delegation of authority and (iii) take all such other actions as may be necessary for Operator to be able to comply with its obligations under Section 5.2(a) (System Contracts – Generally) and Section 5.13 (Generation-Related Services).	PREPA (Owner)	Ongoing
4.4(a)	ManagementCo, Administrator and Owner shall coordinate identifying the Governmental Approvals required for the commencement on the Service Commencement Date. Once the Parties have identified the Commencement Date Governmental Approvals: (i)(A) ManagementCo shall coordinate with Owner and Administrator to prepare for and support Owner's efforts related to the transfer and assignment or the reissuance of the Commencement Date Governmental Approvals; (B) Owner, with Operator's assistance, shall submit complete applications and take all other steps necessary to obtain and maintain all required Commencement Date Governmental Approvals; and ...(ii) ManagementCo and Administrator shall cooperate with Owner in identifying, preparing, applying for, obtaining and maintaining the Commencement Date Governmental Approvals.	LUMA (Operator) P3A (Administrator) PREPA (Owner)	Ongoing
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 - November
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 – November

Section	Description	Responsible Party	Status
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 – November
4.2(j)	ManagementCo shall use commercially reasonable efforts to interview and evaluate as candidates for employment at ServCo, effective as of the Service Commencement Date, the regular employees of Owner and its Affiliates (other than Owner's generation employees, including certain administrative and plant operations personnel) who (i) are currently and remain employed by Owner and its Affiliates (other than Owner or its Affiliates generation station employees) as of the Interview Deadline or are hired by Owner or its Affiliates on or after the Effective Date in the ordinary course of business consistent with the past practices of Owner and its Affiliates to replace any existing employee of Owner, and (ii) apply to ServCo in a job category ServCo wishes to fill (collectively, the "Owner Employees"). For the avoidance of doubt, neither ManagementCo nor ServCo shall be liable for severance or other pay or benefits for Owner Employees who are not hired by ServCo, including those to whom an offer of employment is made but who do not accept such offer. Owner and its Affiliates shall waive any non-competition, confidentiality or other obligation arising under any employment contract between Owner or Affiliate and any Owner Employee that may otherwise restrict any of Owner Employee's rights to be employed by ServCo. Owner shall provide ManagementCo with the following information regarding Owner Employees promptly on request: (x) job description for current and any prior positions occupied by such Owner Employee, (y) date of employment and (z) current salary.	LUMA (Operator)	Ongoing

III. Overdue OMA Obligations

Section	Description	Responsible Party	Status
4.1(b)(i)	Each of Owner and Administrator shall take all such actions as may reasonably necessary to enable or assist ManagementCo in providing the Front-End Transition Services, including (i) providing ManagementCo's Representatives with a designated space and facilities at Owner's principal offices for their use throughout the Front-End Transition Period.	PREPA (Owner)	Substantially overdue
4.1(b)(iii)	Each of Owner and Administrator shall take all such actions as may be reasonably necessary to enable or assist ManagementCo in providing the Front-End Transition Services, including... (i) cooperating with and assisting, and causing its Representatives to cooperate with and assist, ManagementCo in its performance of the Front-End Transition Services and its efforts to timely satisfy the ManagementCo Service Commencement Date Conditions.	PREPA (Owner)	Several RFIs submitted by LUMA remain outstanding (88 of 328 with some up to 100+ days). RFI status

Section	Description	Responsible Party	Status
			provided to PREPA weekly.
4.3(c)	ManagementCo, Administrator and Owner shall together (i) identify all material existing System Contracts and all Generation Supply Contracts and provide ManagementCo and Administrator with copies thereof and (ii) identify which of the material existing System Contracts and Generation Supply Contracts do not comply with the Federal Funding Requirements and provide ManagementCo and Administrator with a list thereof.	LUMA (Operator), PREPA (Owner), P3A (Administrator)	Copies of System Contracts and Generation Supply Contracts have not been provided to date
4.3(d)(i)	Additional System Contracts and Generation Supply Contracts Between Effective Date and Service Commencement Date. During the Front-End Transition Period, the Parties agree that it is the intent that Owner and Administrator shall not amend or enter into any new System Contracts or Generation Supply Contracts; provided, however, that: prior to the date ManagementCo submits the Initial Budgets to PREB for its approval, if Owner and Administrator identify a need to do so, then Administrator shall notify ManagementCo of such need and work with ManagementCo to implement any such amendment or new System Contract or Generation Supply Contract. Following such consultation process, Administrator shall ultimately determine if such amendment or new System Contract or Generation Supply Contract is required.	P3A (Administrator) PREPA (Owner)	Currently the parties are generally aware of System Contracts work being undertaken; however, there is no systematic process ensuring that all parties are clear of all FET System Contracts activities.
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) PREPA (Owner)	Outstanding payment due to misalignment of PREPA

IV. OMA Obligations in Progress

Section	Description	Responsible Party	Status
4.3(k)	Owner shall prepare and provide Operator a description and demarcation of the T&D System. The Parties will jointly consider any amendments, adjustments and refinements to Annex XII (Insurance Specifications) in light of the description and demarcation of the T&D System.	PREPA (Owner)	In progress
4.4(b)	From and after the Effective Date, the Parties agree that: Operator shall seek a Tax Assurance and (ii) at Operator's expense, Owner and Administrator shall cooperate with Operator and use their commercially reasonable efforts to support and assist Operator in securing such Tax Assurance.	LUMA (Operator)	In progress
4.5 (t)(i)	Operator and the Secretary of the Puerto Rico Treasury Department shall have entered into a closing agreement in form and substance satisfactory to Operator, acting reasonably, executed pursuant to Section 6051.07 of the PRIRC among Operator, the Equity Participants and the Puerto Rico Treasury Department that (A) incorporates all matters set forth in administrative determination No. 20-06 issued by the Secretary of the Puerto Rico Treasury Department (the	LUMA (Operator)	In progress

Section	Description	Responsible Party	Status
	“ <u>Administrative Determination</u> ”) that are applicable to Operator and the Equity Participants and (B) provides that (x) 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 (y) the Operator Termination Fee is treated in the same manner as termination payments are treated under Section III(A) of the Administrative Determination;		
4.5 (s)	The Parties shall mutually develop and negotiate in good faith a shared services agreement consistent with the provisions set forth in Annex VI (GenCo Shared Services) (the “Shared Services Agreement”), which agreement shall provide the terms and conditions pursuant to which Operator, as agent of Owner, shall provide the GenCo Shared Services to GenCo until the Legacy Generation Assets are retired or until certain of GenCo’s operations, including the operating, administrative and/or maintenance functions related to the Legacy Generation Assets, are transferred to one or more private partners, the term of which agreement not to exceed three (3) years from its effective date (unless otherwise extended with the consent of Operator).	LUMA (Operator) P3A (Administrator) PREPA (Owner)	P3A delivered a first draft of SSA which is being reviewed and revised by LUMA

V. Upcoming OMA Obligations

Section	Description	Responsible Party	Status
	No Upcoming OMA obligations in the next month		

C. RISK AND ISSUE MANAGEMENT REPORT

I. Risks with Potential to Materially Impact Project Success

Risk	Description and Current Status (as of 12-31-20)
PREPA Reorganization (s. 4.5(q))	<p>LUMA notes that there remains a considerable effort necessary to complete the reorganization of PREPA. LUMA views the PREPA reorganization includes ensuring the Governance structure, GridCo-GenCo Operating agreement, System Operating Principles and the Shared Services Agreement all tie together.</p> <p>Work is progressing on all fronts; however, risk remains the timeliness of achieving the obligation which includes obtaining the necessary Governmental approvals as a condition precedent to commencement.</p>
FEMA Funding	<p>With the details associated with the 10-year plan now available from PREPA, LUMA began its assessment and, while broadly in alignment, LUMA will be working closely with PREPA to address discrepancies and will adjust the Initial Budgets, System Remediation Plan and Performance Metrics as and if required prior to submitting to PREB in February.</p> <p>As previously noted, it is imperative that significant focus by PREPA and LUMA be expended on ensuring complete transparency of all work activities to ensure a seamless transition to LUMA upon Commencement of all matters related to FEMA given the critical nature of this work to Puerto Rico. This includes all aspects of T&D planning, grant management, and implementation of work in 2021. As noted to PREB during the SRP technical conference, LUMA will be fully accountable for all related work upon commencement.</p>
COVID-19 Pandemic	<p>The COVID-19 pandemic continues to create challenges for LUMA.</p> <p>LUMA is following an appropriate COVID Protocol and using virtual tools including Microsoft Teams for meetings helps communications but consumes significantly more time and less productive.</p>
Field Access	<p>Limitations on being able to access field employees to create relationships, observe work, inquire about issues due to union actions has created a challenge for LUMA and PREPA Management. In many cases PREPA employees have been unwilling to cooperate with any requests from LUMA.</p> <p>LUMA continues to adapt to less efficient approaches (e.g. smaller groups/repeat visits), limiting LUMA's ability to formulate comprehensive budgets and workplan to cutover upon commencement.</p>

Risk	Description and Current Status (as of 12-31-20)
Designated Space & Facilities (s. 4.1 (b))	<p>Establishing furnished workspace continues to be a concern. LUMA staff continues to work away from the office leading to inefficiencies and increased cost.</p> <p>A revised plan for spacing is to be provided in January by PREPA.</p>
Response to RFIs	<p>LUMA has now issued 328 Requests for Information (RFIs) of PREPA since June 22nd. As of the reporting date, there is currently 88 RFIs outstanding in some cases up to 100+ days since being issued.</p> <p>This continues to be an issue that is impacting LUMA's ability to form a complete understanding of operations, formulate comprehensive budgets and establish seamless cutover workplans.</p>

II. Active Issues with Potential to Materially Impact Project Success

Issue	Description, Current Status and Mitigation (as of 12-31-20)
LUMA Recruitment Effort	<p>No change from our last report. The desire to provide PREPA employees a complete picture of employment options and pension information has not materialized. (Note these issues represent the majority of the questions that LUMA & PREPA are hearing from PREPA employees since Effective Date).</p> <p>While LUMA appreciates that this is a complicated involving multiple parties, LUMA remains concerned that the relevant information will not be available from PREPA and will impact employee's decision thereby limiting the recruitment effort.</p>
Pre-existing Environmental Conditions (s.4.5 (f))	<p>Field work has now started. The current schedule remains of concern with a target completion date of May 20th. This provides little time for review and to meet Condition Precedent timelines. Discussions have begun with PREPA and Stantec to explore alternatives.</p>

D. FINANCIAL PROGRESS REPORT

In accordance with s.4.6(d), LUMA has submitted the invoice for the FET Service Fee for the month of December 2020. A summary of the invoice amounts is included below.

I. Monthly invoice summary

FET COSTS	
Department	Amount
Capital Programs	\$71,425
Communications	\$71,388
Corporate Services	\$61,075
Customer Service	\$105,275
Executives	\$65,525
Financial Mgmt.	\$294,340
HSE & Quality	\$275,865
Human Resources	\$308,528
Integration Mgmt. Office	\$175,143
IT / OT	\$214,595
Legal	\$56,763
Operations	\$298,030
Regulatory	\$381,658
Utility Transformation	\$715,340
TOTAL	\$3,094,948

	FET Hourly Costs	Additional Costs & Expenses	Sub-Total	FET Fixed Fee	Total
Previously invoiced	\$21,162,818	\$19,174,624	\$40,337,442	\$26,500,000	\$66,837,442
Current invoice	\$3,094,947	\$3,558,064	\$6,653,011	\$5,000,000	\$11,653,011
Total invoiced to date	\$24,257,765	\$22,732,688	\$46,990,453	\$31,500,000	\$78,490,453
Forecast to complete			\$29,361,478	\$28,500,000	\$57,861,478
Proposal			\$76,351,931	\$60,000,000	\$136,351,931
Variance			-	-	-

E. SUBMISSIONS

I. Transmittals–Current Month December 2020

Name	Description	Sending Organization	Receiving Organization	LUMA Department	Created
LUMA-P3A-TGC-00072	P3A / LUMA November 23, 2020 Meeting Notes	LUMA	P3A	IMO	1-Dec-20
LUMA-P3A-TGC-00073	P3A / LUMA December 7, 2020 Meeting Agenda	LUMA	P3A	IMO	1-Dec-20
LUMA-P3A-T-00074	November 2020 Monthly Invoice & Report	LUMA	P3A	IMO	7-Dec-20
LUMA-P3A-T-00075	November 2020 Monthly Status Report	LUMA	P3A	IMO	7-Dec-20
LUMA-P3A-T-00076	November 2020 Renewed Certificates	LUMA	P3A	IMO	7-Dec-20
LUMA-P3A-TGC-00077	P3A / LUMA Biweekly Meeting Notes 2020-12-07	LUMA	P3A	IMO	7-Dec-20
LUMA-P3A-TGC-00078	P3A / LUMA December 21, 2020 Meeting Agenda	LUMA	P3A	IMO	20-Dec-20
LUMA-P3A-T-00079	4.5 Month FETS Estimate November 2020 (wActuals)	LUMA	P3A	IMO	31-Dec-20
LUMA-P3A-T-00080	4.5 Month FETS Estimate December 2020	LUMA	P3A	IMO	31-Dec-20
LUMA-PREP-T-00021	November 2020 Monthly Status Report	LUMA	PREP	IMO	7-Dec-20
LUMA-PREP-T-00060	PREPA Certified Emergency Plan	LUMA	PREPA	IMO	2-Dec-20
LUMA-PREP-T-00061	Outstanding RFIs as of December 04, 2020	LUMA	PREPA	IMO	4-Dec-20
LUMA-PREP-TGC-00062	PREPA / LUMA Biweekly Meeting Notes 2020-11-30	LUMA	PREPA	IMO	4-Dec-20
LUMA-PREP-TGC-00063	PREPA / LUMA Biweekly Meeting Agenda 2020-12-14	LUMA	PREPA	IMO	4-Dec-20
LUMA-PREP-T-00064	PREPA - Standards for Review - Issue on 12.4.2020	LUMA	PREPA	Utility Transformation	7-Dec-20
LUMA-PREP-T-00065	November 2020 Monthly Status Report	LUMA	PREPA	IMO	7-Dec-20
LUMA-PREP-T-00066	San Juan 115 kV GIS Recommended PC Metering	LUMA	PREPA	Utility Transformation	9-Dec-20
LUMA-PREP-T-00067	San Juan 115 kV GIS Equipment P-6702-1	LUMA	PREPA	Utility Transformation	9-Dec-20
LUMA-PREP-T-00068	Outstanding RFIs as of December 11, 2020	LUMA	PREPA	IMO	11-Dec-20
LUMA-PREP-T-00069	Catano Grid Modernization Project Meeting Minutes 2020-10-28	LUMA	PREPA	Utility Transformation	14-Dec-20
LUMA-PREP-T-00070	Outstanding RFIs as of December 18, 2020	LUMA	PREPA	IMO	18-Dec-20
LUMA-PREP-T-00071	Comment Sheets for Telecomm DCD	LUMA	PREPA	Utility Transformation	21-Dec-20

II. Requests for Information (RFIs)–Current Month December 2020

Name	Description	Sending Organization	Receiving Organization	LUMA Department	Date Submitted	Requested Response Date	Actual Response Date	Status
LUMA-PREP-RFI-00304	David Beza Kronos Integration	LUMA	PREPA	IT/OT	1-Dec-20	2-Dec-20		Open
LUMA-PREP-RFI-00305	New Access Request - Ken Winkelaar	LUMA	PREPA	IT/OT	2-Dec-20	5-Dec-20		Open
LUMA-PREP-RFI-00306	Midge Corey Kronos Integration	LUMA	PREPA	IT/OT	3-Dec-20	4-Dec-20		Open
LUMA-PREP-RFI-00307	GTech & InService Upgrade SOW	LUMA	PREPA	IT/OT	4-Dec-20	8-Dec-20		Open
LUMA-PREP-RFI-00308	Understand all current and future PREPA projects	LUMA	PREPA	Utility Transformation	4-Dec-20	11-Dec-20	4-Dec-20	Closed
LUMA-PREP-RFI-00309	Initial 90-day plan for FEMA	LUMA	PREPA	Utility Transformation	7-Dec-20	7-Dec-20	8-Dec-20	Closed
LUMA-PREP-RFI-00310	Project Submissions to FEMA	LUMA	PREPA	Regulatory	7-Dec-20	7-Dec-20		Open
LUMA-PREP-RFI-00311	LUMA-PREP-RFI-00311	LUMA	PREPA	Capital Programs	8-Dec-20	11-Dec-20	8-Dec-20	Closed
LUMA-PREP-RFI-00312	OCPC Gap Closure Plan based on HORNE Risk Assessment	LUMA	PREPA	Regulatory	10-Dec-20	12-Dec-20		Open
LUMA-PREP-RFI-00313	COR3 Monitoring	LUMA	PREPA	Regulatory	10-Dec-20	12-Dec-20		Open
LUMA-PREP-RFI-00314	Customer Services Commercial offices cash handling	LUMA	PREPA	Customer Service	10-Dec-20	18-Dec-20	17-Dec-20	Closed
LUMA-PREP-RFI-00315	Missing Contracts & Purchasing Report	LUMA	PREPA	IT/OT	14-Dec-20	28-Dec-20		Open
LUMA-PREP-RFI-00316	New/Updated JD Power Data Extract	LUMA	PREPA	Customer Service	14-Dec-20	21-Dec-20		Open
LUMA-PREP-RFI-00317	WH meters	LUMA	PREPA	Customer Service	14-Dec-20	31-Dec-20	31-Dec-20	Closed
LUMA-PREP-RFI-00318	Updated CILT and subsidies forecast	LUMA	PREPA	Regulatory	15-Dec-20	18-Dec-20	16-Dec-20	Closed
LUMA-PREP-RFI-00319	Tool Inventory	LUMA	PREPA	Operations	15-Dec-20	15-Jan-21		Open
LUMA-PREP-RFI-00320	Latest version of the “S&L Grid Analysis: Transmission Constraints Report”	LUMA	PREPA	Utility Transformation	16-Dec-20	17-Dec-20		Open
LUMA-PREP-RFI-00321	Ankura Business Continuity Platform re: processes	LUMA	PREPA	HSE & Quality	18-Dec-20	4-Jan-21		Open

Name	Description	Sending Organization	Receiving Organization	LUMA Department	Date Submitted	Requested Response Date	Actual Response Date	Status
LUMA-PREP-RFI-00322	Ankura Business Continuity Platform - Scope of work	LUMA	PREPA	HSE & Quality	18-Dec-20	4-Jan-21		Open
LUMA-PREP-RFI-00323	Ankura Business Continuity Platform - Overview Session Request	LUMA	PREPA	HSE & Quality	18-Dec-20	4-Jan-21		Open
LUMA-PREP-RFI-00324	Ankura Business Continuity Platform - Copy of Contract	LUMA	PREPA	HSE & Quality	18-Dec-20	4-Jan-21		Open
LUMA-PREP-RFI-00325	Request for CC&B	LUMA	PREPA	IT/OT	18-Dec-20	18-Dec-20		Open
LUMA-PREP-RFI-00326	Request for Access	LUMA	PREPA	IT/OT	22-Dec-20	7-Jan-21		Open
LUMA-PREP-RFI-00327	Request for technical diagram - Net Metering flow	LUMA	PREPA	IT/OT	22-Dec-20	22-Dec-20	30-Dec-20	Closed
LUMA-PREP-RFI-00328	Mi Cuenta information	LUMA	PREPA	IT/OT	22-Dec-20	29-Dec-20		Open

APPENDIX A – HANDOVER CHECKLIST

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed in December
1	General & Transition Management	The transition will be managed by the Chief Executive Officer (CEO) who will be accountable for the completion and execution of all workstream deliverables and key contract elements. The CEO will be supported by a Program / Integration Management office and several Department Heads accountable for specific functional work areas. This overall deliverable captures efforts that are not reasonably attributable to specific Handover Checklist items given the general management nature of the work.	51-60%	The work in December included the general management of the requirements of the OMA including the oversight and coordination of the Handover Checklist deliverables as part of the Front-End Transition Services. This resulted in effort from all departments that cannot be reasonably attributable to specific Handover Checklist items given the general management nature of the work. <ul style="list-style-type: none"> - In addition to the general management efforts noted above, there are more specific activities that were completed: <ul style="list-style-type: none"> - Supported in the development of the initial drafts of the Initial Budgets, System Remediation Plan (and Program Briefs) and Performance Metrics for submission. - Administrative and logistics work required to support the ongoing work of LUMA. - Overall project management including efforts such as document controls (RFI & transmittal) and the preparation of the required invoicing & reporting. - Worked with PREPA and the P3A to coordinate the Front End Transition Services including regular meetings with the PREPA leadership, the PREPA Governing Board and the Administrator leadership team. - On-going collaborated with PREPA to obtain and setup access to PREPA offices. - Continued efforts expended to manage areas related to the requirements of the COVID 19 pandemic.
1.01	Government Approvals	Governmental Approvals shall continue to name Owner as the permittee or applicant and Operator shall only be a co-permittee, co-applicant, co-permittee or co-applicant if and to the extent required by Applicable Law. Management Co and Administrator shall cooperate with Owner in good faith in identifying, preparing, applying, for obtaining and maintaining the Commencement Date Governmental Approvals.	41-50%	<ul style="list-style-type: none"> - Obtained signatures from the P3A and PREPA and submitted the document requested by the Department of Natural Resources with respect to permits under its authority. These include the majority of the permits required for Commencement. - A document has been prepared for the Oficina General de Permisos (OGPE) in order to make applications for required permits that are not under the jurisdiction of the Department of Natural Resources in January.
1.02	Plan to Address Gaps in Assets, Technology, Processes, etc. (plan to include cost estimates)	This deliverable captures the general oversight of the gap assessments to be conducted early during the Front-End Transition and captures efforts not specifically attributable to Handover Checklist deliverables including the overall development of methodology and management of progress.	91-99%	<ul style="list-style-type: none"> - Continued to manage the Request for Information requests & responses related to gap assessments. These will be utilized to further develop LUMA's cutover plans. <p>Note: refer to 3.02 & 3.04 which capture the evolution from gap assessments (1.02), to initiative development (3.02); and to System Remediation Plan development (3.04)</p>

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed in December
1.03	PREB Rate Order Filing (Initial Budgets and Liability Waiver approvals)	Activities to gain P3A and regulatory (PREB) approvals for Initial Budgets.	41-50%	<ul style="list-style-type: none"> - Finalized the initial draft of Initial Budgets for review and comment and finalized the initial draft of Terms of Service; activities included the finalization of operating and capital expenditures, review and finalization of program narrative sections. - Continued work on consistency of budget projections within existing tariff and fiscal plan requirements and detailed review of macro assumptions and various scenarios. Included detailed discussions with Ankura and PREPA. - Received Fuel and Purchased Power forecasts and CLT and Subsidies forecasts from PREPA, Ankura and Siemens and preliminary review completed. Additional review will continue through January.
2	T&D Services Milestones			
2.01	Development and Implementation of an Operations Takeover Plan for Transmission and Sub-Transmission Inside and Outside of the Plant	This deliverable includes developing an operation takeover plan for transmission and sub-transmission inside and outside of the plant. Activities include assessments of IRP Requirements, safety and reliability priorities, plans for outage and weather monitoring, and operational contingency plans.	61-70%	<ul style="list-style-type: none"> - Supported in the development of the initial drafts of the Initial Budgets and System Remediation Plan (and Program Briefs) from a Transmission perspective for submission. - Held internal reviews of project narratives related to Transmission Operations Takeover Plan initiatives
2.02	Development and Implementation of an Operational Takeover Plan for the Electric Distribution System	This deliverable involves developing and implementing an operational takeover plan for the Electric Distribution System consisting of an IRP review, distribution system reliability and safety priority assessments, critical asset life cycle plan and asset maintenance assessments, distribution automation and energy loss reduction plans, and streetlight operations and repair strategy.	61-70%	<ul style="list-style-type: none"> - Supported in the development of the initial drafts of the Initial Budgets and System Remediation Plan (and Program Briefs) from a Distribution perspective for submission. - Held internal reviews of project narratives related to the Distribution Operations Takeover Plan - Held initial discussions with Engineering to coordinate Streetlight program with distribution inspection program - Working to verify SCADA oversight of 38 kV system as part of Distribution Automation work.
2.03	Development and Implementation of Additional Takeover plans			
2.0301	Transition Plan for T&D Control Centers	This deliverable includes delivering an Operations Control Center Transition Plan that includes an evaluation of the control center physical condition, T&D outage planning and operation procedures, T&D restoration plan, and energy management system.	51-60%	<ul style="list-style-type: none"> - Supported in the development of the initial drafts of the Initial Budgets and System Remediation Plan (and Program Briefs) from a System Operations perspective for submission. - Continued to support the ongoing efforts on developing the System Operating Principles in collaboration with LUMA's Regulatory team. - Continued recruitment effort for Control Centers specifically focused on shift personnel positions which were posted and interviews well underway. Remaining positions for System Operations have been posted and interviews will start mid-January.

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed in December
2.0302	Transition Plan for Operations and Maintenance (O&M) Activities	This deliverable consists of developing and implementing an operation take-over plan for transmission and sub transmission assets outside and inside of legacy PREPA power plants and substations, and for the electric distribution system; developing a new structure for the commencement organization with new job descriptions; and the process of interviewing, assessing, and hiring employees.	41-50%	<ul style="list-style-type: none"> - Supported in the development of the initial drafts of the Initial Budgets and System Remediation Plan (and Program Briefs) from an Operations perspective for submission. - Provided support for the configuration, and planning, of Kronos timekeeping system. - Kicked-off a joint initiative with the Procurement team to identify, prioritize, and compile supporting documentation, for critical commencement and key post commencement contracts/contractors. - Continued work on development of Life Saving Rules in conjunction with LUMA Health, Safety, Environment and Quality. - Performed initial interviews for various functions within LUMA Operations. - Performed secondary interviews for Construction Lead, Supervisory, and Managerial positions within LUMA Operations. - Posted additional positions within the Operational Excellence function of LUMA Operations.
2.0303	Emergency Response/Disaster Recovery/Business Continuity Plans	This deliverable involves updating the emergency response/disaster recovery and business continuity plans. Activities include working with existing PREPA operational teams to review existing operations manual, comparing it against industry best practices, LUMA's existing operations manuals, and PREPA's current plan, to identify gaps and opportunities; developing an operating manual that meets high quality standards while incorporating Puerto Rico's unique operating needs. Fundamental principles include safety, customer centricity, affordability, reliability, resilience and sustainability.	21-30%	<ul style="list-style-type: none"> - Completed first draft of ERP Base plan and Restoration Annex; completed broader team review. Second draft is in-progress. - Multiple meetings were conducted during the period involving stakeholders (Government of Puerto Rico and Federal stakeholders to include FEMA), to identify previous and potential future power restoration issues and concerns. The discovery information is being used to develop the LUMA ERP restoration priorities. - Meetings were also conducted with the hospital association and locals regarding concerns from Hurricanes Irma and Maria. - RFIs submitted to PREPA requesting information as it relates to the BCP, DR and ERM services being stood up by Ankura in order to align efforts. - Developed the Event Classification Levels for outages to support the determination of the type of response needed, the amount of personnel and resources required to respond effectively. - Established EOC Activation Levels. The correlation to the Event Classification Levels noted above. - Completed the Program Briefs in support of the initial draft of the Initial Budgets and System Remediation Plan for submission. - Provided inputs which included the following: review and update of the Emergency Response Program Brief (OPSRV) and provided a summary of gaps related to emergency work evaluation and emergency planning / response. <p>(Work on this deliverable is conducted in conjunction with the Handover Checklist items 2.04 and 9.02).</p>
2.0304	Fleet Management Plan	This deliverable identifies gaps within the Fleet Management Information System (FMIS), Fleet Preventative Maintenance Program, Vehicle Insurance & Registration, Effectiveness of Shop Operations, Current Suppliers, GPS / Telematics, Fuel Procurement and Fuel tracking, and, develop a prioritized plan for closing identified gaps.	41-50%	<ul style="list-style-type: none"> - Continued revisions to the Fleet Management Plan. - Began work on the Fleet Standard Operating Procedures. - Supported in the development of the initial draft of the Initial Budgets and System Remediation Plan (and Program Briefs) from a Fleet perspective for submission.

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed in December
2.0305	Asset Management	This deliverable consists of developing an Engineering Asset Management Plan that includes assessments of geospatial asset tracking, power flow process, computerized maintenance management system (CMMS), and T&D system planning criteria, as well as developing plans for preventative maintenance, substation flooding resiliency, and microgrid engagement priorities and interconnection process plans.	41-50%	<ul style="list-style-type: none"> - Supported in the development of the initial drafts of the Initial Budgets and System Remediation Plan (and Program Briefs) from an Asset Management perspective for submission. - Reviewed planned contents of Asset Management Plan and review relevance of existing documents. - Prepared draft renewables interconnection plan for internal review. - Reviewed Draft interconnection process with Engineering.
2.0306	Workforce Management & Training Plan	This deliverable involves a comprehensive assessment of PREPA's safe work rules, technical training facilities, curriculum, and instructors allows LUMA to develop a holistic technical training program, increasing workplace safety and efficiency while defining a career path for all skilled labor employees.	61-70%	<ul style="list-style-type: none"> - Completed the Skilled Labor Assessment (SLA) schedule and tools (curriculum, glossary of terms, etc.). - All materials for site preparation are received (poles, crossarms, conductor, etc.). - SLA sites (2) lease signed, pending submission of application for temp use permitting. Once permits are granted sites will be ready within a week (clear/fence sites, put up poles, etc.). - First assessor training completed. <p>(Work on this deliverable is conducted in conjunction with the Handover Checklist item 8.07)</p>
2.0307	Safety Management Plan	This deliverable includes the development of the Public Safety Program Assessment, Written Safety & Health Program Assessment, and Physical Safety & Health Assessment that will allow for the creation of LUMA's Safety Management Plan.	51-60%	<ul style="list-style-type: none"> - Supported the development the initial drafts of the Initial Budgets and System Remediation Plan (and Program Briefs) from a Health & Safety perspective for submission. - All job descriptions have been posted to the LUMA website. The team continues to respond to current PREPA employees' inquiries regarding the department's job postings. Applications are under evaluation to coordinates interviews. - Advanced the initial framework for employee orientation and content in collaboration with the Operations department. - Advanced the prioritized Health and Safety Policies (Motor Vehicle Safety, Incident Classification, Incident Management, Incident Response and Reporting, and Incident Investigation). - Significant time spent on COVID 19 related matters: administering and responding to the COVID 19 protocol requirements, updating procedures (when someone is positive, the return-to-work requirements and the COVID protocol forms). - Submit letter to Department of Health for the workplace COVID vaccination plan (essential workers - Phase 1C).
2.0308	Engineering and Asset Management	This item includes delivering an Engineering Plan that includes standards for the distribution system, protection & controls, as well as transmission system and substation engineering standards, and generation and renewables interconnection standards.	41-50%	<ul style="list-style-type: none"> - Completed the development of the Design Standards for Protection/Control/Automation, Substations, Transmission Lines for internal review. - Continued to participate in the Design Documents PREPA-Sargent & Lundy Steering Committee. - PREPA-Specifications: Continue the review and provided comments to the S&L equipment standards and specifications. - PREPA 2021FY Project Oversight: Continued to provide guidance and input to the Cataño. (38/13.8 kV) Substation Pilot and the San Juan 115 kV GIS Substation projects. - Renewable Interconnection Process: Continue the review of the existing Processes and conducted a workshop with PREPA to review their latest proposal. - Street Light Program: Completed the review of the existing program and

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed in December
				<p>modernization completion to date. Preparing the new Implementation Plan Recommendations</p> <ul style="list-style-type: none"> - New Customer Services: Continue to review the existing PREPA processes and identifying improvements for an updated process.
2.0309	Identification of Real Estate	This deliverable includes evaluating the current portfolio management and facility management processes including a health assessment of all facilities; creating a PREPA property summary sheet for each property and selection of facilities LUMA intends to use; reviewing the real estate portfolio; reviewing vendor and maintenance services for properties; creating space delineation and property disposition plans; and performing other real estate activities as required..	81-90%	<ul style="list-style-type: none"> - Completed Pre-Health assessments. - Began deep dive Health assessments on High and Medium priority facilities. <p>(Work on this deliverable is conducted in conjunction with the Handover Checklist items 10.02).</p>
2.031	Materials Management & Warehouse Plan	This deliverable identifies gaps within Materials Management & Warehousing resourcing, facilities, equipment, functions, processes and procedures, and develop a prioritized plan for closing identified gaps.	51-60%	<ul style="list-style-type: none"> - Supported in the development of the initial drafts of the Initial Budgets and System Remediation Plan (and Program Briefs) from a Materials Management perspective for submission. - First Draft of Materials Management & Warehouse Plan initial review and edited. Now in review/circulation for the operations department. - Continued Interviews for Management & Supervisor layer from valid PREPA applicants. - Reviewed draft Non-Federal Funding Procurement Manual with Procurement. - Began Materials Management Action Plan for Year 1. - Initiated Critical Contract List for Operations, Contract Request Form generation for prioritized requirements.
2.0311	System Operations Plan	This deliverable consists of developing a plan to ensure LUMA is positioned to operate the T&D system upon Commencement. This will include the review of equipment to ensure safe operations and assess the resources responsible.	31-40%	<ul style="list-style-type: none"> - Developed the first draft of Key Performance Indicators, and other metrics, for use by the Operations department. - Continued development of the Standard Operating Procedure document for LUMA Operations. - Continue to map out IT program workflows and processes for execution of field work. - Kicked-off an initiative to ensure coordination and alignment of commissioning, quality control, and work methods, between the Operations, Capital Projects, and Asset Management departments.

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed in December
2.0312	Vegetation Management Plan	This deliverable assesses the existing vegetation management practices to identify needs and develop prioritized plans within the areas of vegetation condition on critical sites and assets, widening or reclaiming existing rights-of-way, planning for steady-state vegetation maintenance, vegetation management support for capital expenditure projects, and contracting for specialized integrated vegetation management services.	51-60%	<ul style="list-style-type: none"> - Supported in the development of the initial drafts of the Initial Budgets and System Remediation Plan (and Program Briefs) from a Vegetation Management perspective for submission. - Submitted draft Vegetation Management Plan for editing & formatting and circulation within Operations (for those groups dependent on the plan, to review and comment). - Continued development of contract technical specifications for vegetation maintenance services. - Identified three viable options for a vegetation management IT tool and worked with LUMA IT/OT on strategy to formally evaluate and procure. - Continued to work on outsourcing strategy for specialized vegetation maintenances services. - A draft of the procedure for right-of-way access during vegetation management was developed and is under review. - A review of special circumstances is underway to assess non-standard or difficult circumstances for vegetation management, such as trees from outside the right of way growing into the right of way and affecting the line.
2.04	Update Emergency Operations Manual and Business Continuity/Disaster Recovery Plan	This deliverable is the same as Handover Checklist item 2.0303	Refer to 2.0303	<ul style="list-style-type: none"> - Work on this deliverable is conducted in conjunction with the Handover Checklist items 2.0303 and 9.02.
2.05	Environmental Exposure Management Plan	This deliverable involves the development and compilation of Environmental Policies, Processes, and Procedures Assessments, Environmental Permit Compliance Review, and Waste Contractor Review to enable for the creation of LUMA's Environmental Exposure Management Plan.	51-60%	<ul style="list-style-type: none"> - Supported the development the initial drafts of the Initial Budgets and System Remediation Plan (and Program Briefs) from an Environmental perspective for submission. - Reviewed draft FEMA Programmatic Environmental Assessment to determine potential Environmental requirements and schedule impacts on SRP projects. - Finalized and published Environmental job descriptions for commencement and completed Initial screenings for key positions. - Work continued the PREPA-led Baseline Environmental Study via desktop assessments and planning for field assessments. LUMA is working with PREPA and the service provider to expedite work given proposed timeline.
3	System Remediation Plan Milestones			
3.01	Remediation Plan Proposal	This deliverable consists of developing a remediation plan outline and methodology.	100%	<ul style="list-style-type: none"> - No Activity to report.
3.02	Development of Improvement Initiatives	This deliverable includes the development of Improvement Initiatives with remediation plans that includes performance metric targets and order of magnitude cost estimate, improvement initiative plans, and improvement initiative risk assessments.	100%	<ul style="list-style-type: none"> - Supported in the development of the initial drafts of the Initial Budgets and System Remediation Plan (and Program Briefs) for submission. <p>Note: refer to 1.02 & 3.04 which capture the evolution from gap assessments (1.02), to initiative development (3.02); and to System Remediation Plan development (3.04)</p>
3.03	Consolidate Plans from All Areas	This deliverable includes the development of a consolidation plan including a multi-year utility capital expenditure plan for each function department.	100%	<ul style="list-style-type: none"> - Supported in the development of the initial drafts of the Initial Budgets and System Remediation Plan (and Program Briefs) for submission.

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed in December
3.04	Development of System Remediation Plan	This deliverable includes the development the System Remediation Plan comprising of the consolidated of a T&D current state gap analysis & improvement initiatives	91-99%	<p>- Primary focus was on supporting in the development of the initial draft of the System Remediation Plan (and Program Briefs) for submission with consideration of implications with the Initials Budgets.</p> <p>Note: refer to 1.02 & 3.02 which capture the evolution from gap assessments (1.02), to initiative development (3.02); and to System Remediation Plan development (3.04)</p>
3.05	Approval of System Remediation Plan	Activities to gain P3A and regulatory (PREB) approvals for System Remediation Plan	41-50%	<p>- Primary focus was on supporting in the development of the initial draft of the System Remediation Plan (and Program Briefs) for submission with consideration of implications with the Initials Budgets.</p>
4	Customer Services			
4.01	Evaluating Customer Service Facilities and Assets	This deliverable consists of evaluating customer service facilities and assets through establishing joint teams between PREPA and LUMA liaisons to review all current locations and their functions. Activities include evaluating facilities and identifying locations that meet business requirements; developing a transition plan to operate customer facilities and identify requirements for additional facilities and/or consolidate existing facilities.	71-80%	<ul style="list-style-type: none"> - Selected CIM Building as an optimal central Contact Center location. - Submitted Business Case for CIM Building to LUMA Executives for review and approval. - Continued evaluation of options for Regional Contact Center facilities.
4.02	Evaluating and Updating Customer Service Policies and Procedures	This deliverable involves a review and evaluation of PREPA customer service policies, processes, and procedures to confirm they meet regulatory compliance to Laws, Acts and Policy. Activities include a review of policies against ServCo. policies, processes, procedures; developing updated policy and procedure documentation in coordination with transition operating requirements including quality control measures; and developing Customer Service training program to instruct policies and procedures and maintain a high level of service.	41-50%	<ul style="list-style-type: none"> - Identified LUMA Learner Management System will host all Customer Experience policies, processes, procedures and reference material. - Created a standardized Process Map Template, using IT OT Visio Tools and BPMN 2.0 Standardizations (Business Process Model and Notation). - Received from LUMA through RFI Process: <ul style="list-style-type: none"> • 96 Policies, Procedures, Processes (All translations are completed) • 16 Frequent Forms (All translations are completed) • 15 Oracle CC&B Quick Guides (Quick reference guides that will not require translation) - Received user access for PREPA Intranet and found this additional information: <ul style="list-style-type: none"> • 155 Procedures • 57 Frequent Forms - Conducted a comparison of RFI documents vs the Intranet documents for updating into LUMA's future Master Inventory of Procedure documents to ensure all critical processes and procedures are identified and accounted. - Commenced conversion of some existing Contact Center Process Maps to BPMN 2.0 standard. - Initiated an approval and governance process for all policy, procedure and process changes in LUMA. - Completed an initial review of current payment and cash handling procedures in Commercial Offices with Security team to understand what safety measures will be required.

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed in December
4.03	Development of a Meter Reading Plan	This deliverable includes developing a Meter Reading Plan that includes assessments of automated meter data collection and management process, meter read quality controls, processes for meter shop and field meter data collection, and an evaluation of meter data and meter asset management automated systems.	61-70%	<ul style="list-style-type: none"> - Supported in the development of the initial drafts of the Initial Budgets and System Remediation Plan (and Program Briefs) from a Metering perspective for submission. - Began preparing a meter organization responsibilities write up for commencement - Continue to analyze PREPA meter data in an attempt to determine meter age to use in initial planning. Recently received data contradicting other PREPA data sources on meters types at various locations. Photos confirm contradictions. Working to resolve these discrepancies with other data sources. - Generated detailed maps of likely older slow meters. - Worked with HR to advance the hiring for the Metering Director. - Gathered previous work on AMI business cases to assist with developing an AMI business case for an initial minimal AMI implementation
4.04	Development of a Customer Service Transition Plan	This deliverable consists of undertaking a gap analysis of current state Customer Service organization, roles, responsibilities and operations; establishing the future state organization including ensuring alignment with the field execution teams; and developing and implementing (where appropriate) a transition plan including People, Facilities, Equipment, Training and Technology to ensure smooth transition into commencement.	41-50%	<ul style="list-style-type: none"> - Successfully tested and launched JD Power Residential and Business Survey for PREPA customers. - Commenced development of survey for PREPA Customer Service Directorate employees to provide input into the current customer experience and customer pain points. Targeting early January to send the survey. - Developed first draft of Voice of the Customer (VoC) program document. - All Customer Experience groups submitted content for the first draft of the Transition Plan document. - Published new LUMA job postings for Customer Experience positions. - Worked with Operations on the Emergency Response Plan and Business Continuity Plans. Operations is building a Major Outage Annex, and Customer Experience will be engaged in the planning section.
4.05	Development and Implementation of a Service Start and Shut-Off Plan	This deliverable involves a review of field credit and collection functions and front-line account set up to assess processes and associated timelines, and evaluating performance based on benchmarks, regulations, and targets as well as the technology, applications, and external vendors involved in the process; developing a Credit and Collections contact center and Dunning Policy including process, call out, timelines and standard communications; and create a training plan and ongoing performance goals for employees that ensures efficiency and accuracy within the Service Start and Shut-off Plan.	41-50%	<ul style="list-style-type: none"> - Analyzed collections performance trends by customer segment. - Initiated additional discovery on current PREPA Service Start Shut Off Plan policies and procedures for government and wholesale accounts. - Reviewed existing internal Service Start Shut Off plan processes and documentation to potentially leverage for LUMA Service Start Shut Off Plan. - Researched federal support programs for customers struggling to make payments. - The initial high level dunning process was drafted.
4.06	Development of a Meter Asset Management (MAM) Plan	This deliverable includes developing a Meter Asset Management Plan that includes the assessment of the meter shop facility, and meter asset management quality controls, as well as develop a meter asset management remediation plan, and meter asset tracking and sampling procedures.	51-60%	<ul style="list-style-type: none"> - Exploring meter asset management system options. Major flaws in existing meter asset data from CC&B will require a Major effort to resolve to allow data in a new system to be valuable.

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed in December
4.07	Development and Implementation of a Customer Service Technology	This deliverable involves assessing the integrations of all Customer Service and T&D Ops technology. Activities include developing a project plan to execute Oracle CC&B transition from PREPA to LUMA; developing a modernization plan to include cloud-based contact center technology; assessing bill presentment technology to produce redesigned LUMA bill; assessing current contract for regional office customer queuing/appointment technology; and developing training and instructional materials to ensure the efficient usage of the technology to achieve targeted performance goals.	31-40%	<ul style="list-style-type: none"> - Executed 30-day trial for new Cloud-Based Contact Center Platform, Genesys. - Successfully configured new phone queues, made test calls to live agents, and setup basic Interactive Voice Response and call routing in new Cloud-Based Contact Center Platform - Executed contract for new Cloud-Based Contact Center Platform. - Developed statement of work for implementation of Cloud-Based Contact Center Platform via a new partner. - Bill Print and Delivery RFP evaluations were completed and vendor recommendation was provided to LUMA Senior Leadership for approval. - Identified LUMA Learner Management System will host current reference versions of Customer Experience policies, processes, and procedures. (See also 4.02) - Customer Experience attends weekly meeting with PREPA to address and understand current Oracle CC&B configurations for maintaining and tracking customer, metering, field activities and billing information.
4.08	Develop and Implement a Non-Technical Energy Loss Reduction Plan	This deliverable includes developing a Non-Technical Loss (NTL) Plan comprising of a high-level NTL recovery strategy, NTL system architecture, and detailed NTL recovery plan.	11-20%	<ul style="list-style-type: none"> - Reviewed and updated budget figures for inclusion in the draft Initial Budgets.
4.09	Establish Integration Between Customer Services & T&D Ops	This deliverable includes identifying integrated and dependent work processes between Customer Service and T&D Operations and move work processes, where appropriate, to Operations. Develop, document and train to new work processes; develop standard communication, meetings and timelines for regular feedback between teams; and assess the training needs and develop instructional materials to ensure alignment with processes between the two organizations to achieve targeted performance goals.	31-40%	<ul style="list-style-type: none"> - Met with PREPA's contractor multiple times to review contract requirements and data dashboards and the monthly KPI reports currently created. - Completed analysis with PREPA Commercial Office Director of current state Service Orders, Field Activities and Dispatch. Reviewed the Service Order completion form and Meter test form requirements. - Completed comparison and analysis of PREPA vs. the above noted contractor's data set for all Customer Service/T&D field activities for improvements in the LUMA Customer Experience/Operations Integration Plan. - Analyzed the current PREPA Meter read and billing calendar creation. - Investigated how both the monthly and annual calendars are being produced and distributed and started analyzing how LUMA can improve the calendar that will already be distributed at Service Commencement. - Provided input to Utility Transformation as part of the establishing documentation of the New Connection process for future state LUMA responsibility for projects >50kVa.
5	IT			
5.01	Development of IT/OT Communication Plan and Acceptance Criteria	This deliverable includes the identification of Key Stakeholders, Setting up governance and resourcing for communications team.	91-99%	<ul style="list-style-type: none"> - Finalized HOC documentation, this HOC item is complete.
5.02	Identification and Gap Analysis	This deliverable includes the identification of gaps between the organization's current state and expected end state; and the development of plans to remediate or close the identified gaps.	91-99%	<ul style="list-style-type: none"> - Supported in the development of the Initial Budgets and System Remediation Plan (and Program Briefs) from an IT/OT perspective for submission.

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed in December
5.03	Evaluating IT/OT Applications and Infrastructure	This deliverable includes gathering information and evaluating PREPA's IT/OT applications and infrastructure.	100%	- No activity to report.
5.04	Development of Cyber Security and Business Continuity Plan	This deliverable includes the development of a Cyber Security and Business Continuity Plans; and establishing a Cybersecurity Information Security Office (ISO)	91-99%	- Finalize draft Cybersecurity standards and project governance artifacts for internal approval and contributing to the Cybersecurity Plan.
5.05	Development of an IT Asset Management Program	This deliverable includes creating inventory of PREPA's Physical and Logical assets; and developing a process for ongoing management of assets.	71-80%	<ul style="list-style-type: none"> - Completed 1st Draft of the IT OT asset management principles and scope. - Developed Data Collection Forms for our each IT OT Asset Classification, i.e. Software, Infrastructure, etc. - Completed the initial inventory of the IT OT assets and confirmed resources and process to review data collected during January. - Completed initial inventory of Information and operational software assets, Servers, Storage devices and End user devices. - Worked on finalizing the definition of asset management principles and scope.
5.06	Development of an IT/OT Transition Plan and Schedule	This deliverable includes the identification of a Stand-up transition team and develop the Front-End Transition Mobilization plan.	100%	- Workstream and HOC deliverable documentation complete.
5.07	Commencement Cutover Planning	This deliverable includes activities to prepare for Commencement Cutover during Transition.	21-30%	<ul style="list-style-type: none"> - Developed high-level IT IOT Commencement Cutover Plan and Timeline - Held Internal IT OT Commencement Cutover Kickoff Meeting - Scheduled PREPA/LUMA combined Commencement Planning Kickoff Meeting
5.08	Training and Communication Plan	This deliverable includes activities to plan and communicate IT/OT Training opportunities to current and future LUMA employees.	11-20%	- Identified resources and scheduled meeting to draft plan and approach
6	Financial Management			
6.01	Detailed Description of Approach to Budgeting and Reporting	This deliverable involves a review of current budgeting and forecasting processes; identify PREPA's business activities, including prior year actual and original budget, and ensure they are contemplated in the information shared for the draft initial budget; and ensure the anticipated spend from the various LUMA plans prepared during the transition period are included into the initial budgets.	51-60%	<ul style="list-style-type: none"> - Major focus on the finalization of the initial draft of the Initial Budgets and coordination with the System Remediation Plan (including Program Brief) for submission. - Began coordination with Financial Accounting Systems Setup - EBS & Job Costs (HOC item: 6.04) around budget level of detail and account structure requirements by departments to support operational reporting. <p>(Work on this deliverable was conducted in conjunction with the Handover Checklist items 6.02 and 6.05) and time allocated accordingly).</p>
6.02	Description of Approach to Complying with Initial Budget Obligations	As part of the budgeting process, LUMA will develop a template, based on current templates used by PREPA, to be provided to each department to implement their budgets (breakdown/prior year actuals and existing budget), including guidance on the bottom-up approach based on key operational expenses (KOE).	91-99%	<ul style="list-style-type: none"> - Major focus on the finalization of the initial draft Initial Budgets and coordination with the System Remediation Plan (including Program Brief) for submission. <p>(Work on this deliverable was conducted in conjunction with the Handover Checklist items 6.01 and 6.05 and time allocated accordingly).</p>
6.03	Formalizing/Approach	This deliverable includes the reporting any significant deficiency, material weakness, improvement opportunities and any other matter considered relevant for the FET	91-99%	- Drafting and submission of document brief to Regulatory department with a description of key deficiencies, and plan and timing to mitigate Identified risks and deficiencies.

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed in December
	to Changes Control Processes	identified as a result of the review of PREPA's Internal Controls Framework.		
6.04	Establishing a Financial Accounting System and Account Structure	This deliverable establishes a financial accounting system and account structure. Activities include a review of PREPA's current Chart of Accounts for alignment with FERC requirements, and determine what changes, if any, are required; review PREPA's current financial and work management systems, and determine if any additional packages should be considered; determine the organizational structure required for LUMA ServCo; design, configure and test LUMA ServCo's financial systems; gain approval of LUMA ServCo's Chart of Accounts; and design and implement processes for finance actuals and reporting.	51-60%	<ul style="list-style-type: none"> - Successfully completed all Oracle EBS conference room pilot testing. - The project will proceed with finalizing design and move into the testing phase in 2021.
6.05	Preparing Initial Budgets and Other Financial Forecasts	This deliverable consists of preparing initial budgets and financial forecasts. Finance will discuss any potential changes on assumptions and priorities, agree to the overall approved budget and consolidate all departmental budgets to be reviewed and included in a Master Budget Template. From the Master template, actuals and forecast/revisions will be updated on a monthly basis in order to compare Monthly, YTD and FYF balances.	91-99%	<ul style="list-style-type: none"> - Major focus on the finalization of the draft Initial Budgets and coordination with the System Remediation Plan (including Program Brief) for submission. <p>(Work on this deliverable was conducted in conjunction with the Handover Checklist items 6.01 and 6.02 and time allocated accordingly).</p>
6.06	Establishing Bank Accounts	This deliverable includes establishing all necessary bank accounts for LUMA ServCo and work with PREPA to set up the service bank accounts required for Commencement, as described in the OMA agreement.	21-30%	<ul style="list-style-type: none"> - Weekly recurring meetings established with PREPA treasury to monitor progress. - Provided paperwork identifying individuals to represent LUMA as signatories. - Waiting for PREPA board in January to approve resolutions to set-up accounts. The next board meeting is the final week of January.
6.07	Evaluating and Updating Payroll and Labor Cost Reporting systems	This deliverable involves Workday stand-up including activities associated with processes and interfaces involving Kronos, EBS and ADP including evaluating labor cost reporting.	21-30%	Workday Payroll (captured in HOC 6.07): - Significant progress was made in defining Pay requirements and configuration; Remaining will be adjusted during testing- Unit test is 78% complete- Integrations are in various stages of getting the design approved and builtKronos:- Approved RACI Spreadsheet- Finalize System Requirements- Completed Test Strategy- Completed integration functional specs
6.08	Establishing a Delegation of Authority Matrix and Process	This deliverable establishes a Delegation of Authority Matrix and Process for LUMA ServCo. Delegation of Authority to set Requisition (financial approval) and Purchase Order approval limits in the ERP System.	61-70%	<ul style="list-style-type: none"> - Validated draft Limits of Authority against past 12 months PREPA procurement activities.
6.09	Processes & Procedures and	This deliverable includes activities related to the understanding and assessment of PREPA's Internal Control Framework, including Entity Level Controls, management	91-99%	<ul style="list-style-type: none"> - Completed final follow ups and edits in the narratives and flows.

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed in December
	Overall Internal Controls	directives pertaining to the entire entity are carried out, and Transaction Level Controls (i.e. walkthroughs on key business processes).		
7	FEMA Funds and Federal Funding Procurement Manual			
7.01	Set Up Governance Framework	This deliverable includes the assessment and identification of gaps in the PREPA grant governance structure. Design a governance framework consistent with the Disaster Recovery Federal Funding Management Guide.	21-30%	- Meetings held to discuss GrantWise and its interface with Oracle.
7.02	Policies and Procedures	This deliverable includes the development of policies and procedures in line with governance framework.	31-40%	- Continued drafting of the LUMA federal funds policies and procedures ensuring to address identified gaps, shortfalls, and risks noted in the PREPA existing policies and procedures. - Continued work on FEMA summary forms and underlying supporting documentation for the FEMA cost categories (e.g., Force Account Labor, Force Account Materials, Contract Work, Equipment, Rental Equipment, etc.)
7.03	Staffing Plan	This deliverable includes developing the staffing plan for federal funding group consistent with DRFFMG.	91-99%	- No activity to report.
7.04	Surge Staffing	This deliverable includes establishing options for surge staffing to be implemented as part of emergency response and recovery.	Refer to 9.02	- Work associated with 7.04 is included in HOC 9.02
7.05	Project Worksheet Assessment (also covered under Section 4.3)	This deliverable includes the assessment of the current progress of project level details and the status of FEMA Project Worksheets (PW) and all of PREPA's federal funding activities, including all federal grants and other monies for disaster recovery.	61-70%	- Supported in the development of the initial drafts of the Initial Budgets and System Remediation Plan (and Program Briefs) from a FEMA funded projects perspective for submission. - Prepared summary of codes and standards by asset and the draft PW Assessment report. - Continued PW Assessment on Emergency and Permanent work primarily focused on understanding the underlying internal control framework.
7.06	Handoff of Project Worksheet Activity from COR3 and Vendors	This deliverable involves the transition of federal funding activities from PREPA and consultants to LUMA team, including cooperation with COR3 and all relevant agencies.	Refer to 7.05	- Work associated with 7.06 is included in HOC 7.05
7.07	Project Procurement Planning	Assess and identify gaps in the PREPA procurement process for federally funded activities.	Refer to 7.05	- Work associated with 7.06 is included in HOC 7.05
7.08	Drafting, Revising and Finalizing Federal Funding Procurement Manual	This deliverable involves completing Federally Funded Procurement Manual consistent with DRFFMG and as specified in OMA 4.1 e.	51-60%	- Continued drafting the LUMA federal fund Procurement policy and Procedure including aligning polices with Non-Federally Funded Procurement Manual in progress.
8	Staffing for Front-End Transition Period			
8.01	Draft, Revise and Finalize Operator Employment Requirements	This deliverable consists of determining the minimum employment requirements for LUMA employees by position.	100%	- The effort for this activity is captured under item 8.02 Recruitment and Staffing. This specific deliverable has been completed.

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed in December
8.02	Recruiting and Staffing	This deliverable involves recruitment and staffing. Activities include the HR transition team coordinating with each department and completing interviews of all PREPA employees and external candidates; tracking of applicants; assisting with PREPA employee applications, coordinating interviews, and communicating status of applications; and Identifying staffing vacancies due to gaps and search for resources externally to fill out the proposed LUMA Organization including pre-employment screening.	51-60%	<ul style="list-style-type: none"> - Recruiters continued working with Hiring Managers to post jobs and determine hiring strategies. - Completed approximately 675 positions to date. Approximately 2,050 applications moved past first round interviews. - Continued 'Connects' software implementation for increased job application resources for PREPA employees. - HR Team and recruiters engaged with PREPA employees to guide them through hiring process and general questions including face-to-face meetings held with PREPA employees.
8.03	Redesign and Staff New Organization	The core HR transition team will coordinate with each department to develop a comprehensive department specific People Strategy/Staffing plan that compliments overall business strategy. It will include getting a finalized number of roles needed in each department, finalizing job descriptions, selecting and implementing pre-hiring recruitment, assessment and evaluation criteria tools, as well as standing up these tools.	91-99%	<ul style="list-style-type: none"> - Continued review of LUMA's Organizational Structure with Senior Leadership; refinements are ongoing. - Continued to refine, translate into Spanish, and load Job Descriptions into iCIMS recruiting software. - Continued working with departments on budgets as it relates to employee salaries and benefits. - Continued working to create terms and conditions for each employee job profile.
8.04	Proposed Recruitment and Staffing Plan	This deliverable consists of the core HR transition team coordinating with each department to develop a comprehensive department specific People Strategy/Staffing plan that compliments overall business strategy. This includes a list of positions needed by department, finalizing job descriptions, selecting and implementing pre-hiring recruitment, assessment and evaluation criteria tools, as well as standing up these tools.	Refer to 8.02	<ul style="list-style-type: none"> - Reporting has been consolidated under 8.02 Recruiting and Staffing
8.05	Stand Up Human Capital Management (HCM) System	This deliverable consists of the Integration of a Human Capital Management (HCM) system will significantly impact business operations by Improving HR Processes, Employee Engagement, Reporting and Security.	61-70%	<ul style="list-style-type: none"> - Completed Phase 1a End-to-End Testing (HCM/Benefits/LMS). - Phase 1a configuration freeze for production build. Go-live expected in January. - Continued Phase 1b integrations: Documented test scenarios for Absence Management and commenced unit testing. - Continued partnership with Payroll for payroll workstream, EBS and Kronos integrations. Initiated the creation of 400+ Test Profiles for Phase 1b End-to-End testing. - Reviewed process for uploading data translations (Spanish translations for job titles, location names, misc. instructional text in Employee Self-Service, etc.) - Provided worker data to be used in production build - Cutover/Go-Live planning – tasks to complete as part gold (i.e. final)/production build, immediately after go-live, and during time between Phase 1a and 1b go-live - Began Workday Operational Readiness Planning

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed in December
8.06	Communication Plan	This deliverable consists of establishing and implementing internal and external communications plans. On the internal side, the focus will be on continuously informing PREPA and LUMA employees through multiple avenues (e.g., one-on-one meetings, group sessions, town halls, newsletters, intranet updates, etc.) to answer employee questions and keep them updated on progress. On the external side, LUMA will strategically use media coverage, social media and advertising including digital, billboards, print and radio to introduce LUMA to the people of Puerto Rico.	51-60%	<ul style="list-style-type: none"> - Concluded research and development of Communications and Community Investment Plans, produced first drafts for executive review. - Further developed LUMA website to include a comprehensive customer account portal to go live prior to commencement. - Developed content for upcoming LUMAPR.com website launch - Conducted initial meetings of the LUMA Brand Committee to help plan and execute the LUMA re-branding effort across Puerto Rico. - Continued to develop and publish key messages for traditional and social media channels, with daily media updates distributed to key LUMA employees - Developed and coordinated materials and communications planning for the LUMA College graduation and the new class - Finalized development of a framework for employee communications, including evaluation of software vendors for employee newsletter. - Created a monthly newsletter and job application support flyer to keep PREPA employees engaged in LUMA's recruiting efforts and invested in the company culture. - Created and distributed a variety of employee communications related to the holidays and COVID-19 - Planned and executed strategic appearances of the LUMA CEO at media events.
8.07	Training (Workforce Development) Plan	This deliverable involves creating a training development program for employees which involves establishing LUMA training policies, standards, practices, curriculum and facilities; onboarding and providing foundational awareness and training to all new and existing employees; and developing a defined career path with continuity of quality education and training.	41-50%	<ul style="list-style-type: none"> - Continued coordination with LUMA department subject matter experts regarding their learning and training requirements to understand their expectations at Commencement for using Workday. - Translating Training materials such as Job Aids and videos specific to Workday into Spanish. - Developed Draft Training Plan documentation; under review by department. <p>(Work on this deliverable is conducted in conjunction with the Handover Checklist item 2.0306)</p>
8.08	Develop Employee Retirement Plan	This deliverable consists of the core HR Transition team, working collaboratively with the current HR key personnel at PREPA, to develop a comprehensive Total Rewards strategy. This includes the development of action plans and programs regarding the LUMA's new proposed Retirement Plan, Health & Welfare Benefits Plan, and Compensation approach.	91-99%	<ul style="list-style-type: none"> - Approval of the 401K Plan and Benefits Oversight Committee. 401k Plan live December 14, 2020. - Employees able to make elections through Fidelity and first funding occurred last week of December. - Went through 2021 Annual Enrollment process occurred allowing employees to make changes and elect new voluntary program changes. - Continued work on communication materials for Total Rewards for Onboarding of new employees.

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed in December
8.09	Occupational Health and Wellness	This deliverable involves implementing a confidential Employee Assistance Program through our medical provider.	81-90%	- Development of the Occupational Health and Wellness Plan document. - Continued development of roadmap for Occupation side of health clinic.
8.10	Compliance Plan	This deliverable consists of the Core HR transition team to review and evaluate current employee policies, procedures and any applicable handbooks.	51-60%	- Continued compliance review of new job descriptions for new Organization. - Continued development and review of core LUMA Policies.
8.11	Engagement Plan	Implement an overall Employee Engagement Plan so employees can adjust to the new leadership and direction. We will define the company's culture, mission and core values, and ensure that employees understand they will have opportunities at LUMA. We will provide opportunities for employee engagement with employee events such as family picnics and volunteer opportunities in the community.	31-40%	- Continued development of employee communication materials for current and future LUMA hires. - Continued refinement of LUMA Employee messaging based on feedback from PREPA employees. - LUMA Recruitment brochure released to all PREPA employees' home addresses via US mail. (Work on this deliverable is conducted in conjunction with the Handover Checklist item 8.02)
8.12	Develop a Community Investment Plan	This deliverable consists of the development of a multi-year community investment program enabling LUMA to be a valued part of the Puerto Rican community. This activity includes LUMA partnering with select programs and organizations to contribute to the community in Puerto Rico and will involve engaging employees in the program(s) through donations and volunteer opportunities.	51-60%	- Continued the development of Community Investment framework and guidelines. - Advanced LUMA's community investment strategy including meeting with several NPO. - Identified organizations and specific programs of interest and requested proposals from the organizations
9	Additional Front-End Transition Period Activities			
9.01	Genco Shared Services Agreement Approval	This deliverable consists developing a plan for delivery of shared services as well as negotiating and executing a Shared Services Agreement.	91-99%	- Completed all required input for the Initial Budgets from a Shared Services perspective. - Completed a draft Shared Services report which is ready for internal review and approval.
9.02	Emergency Response Plan Approval	This deliverable consists of obtaining internal approval of the Emergency Response Plan (ERP) prior to providing the plan to Administrator and PREB.	Refer to 2.0303	- Work on this deliverable is conducted in conjunction with the Handover Checklist items 2.0303 and 2.04.
9.03	Non-Federal Funding Procurement Manual Approval	This deliverable assesses existing reference materials from PREPA and additional requirements from LUMA to create the Non-Federal Funding Procurement Manual and submit to PREPA/P3 for review/approval.	61-70%	- Began to receive contract templates for use post commencement, completed majority of last outstanding section of manual (Contract Management).
9.04	Physical Security Plan Approval	This deliverable consists of developing a Physical Security Plan that includes a list of assets that require physical security, a substation security assessment for each substation, a security gap assessment with an outline of remediation initiatives and solutions, and a comprehensive physical security plan.	71-80%	- Supported in the development of the initial drafts of the Initial Budgets and System Remediation Plan (and Program Briefs) from a Physical Security perspective for submission. - Continued the consolidation and organization of the information collected to be utilized in Physical Security Plan. - Continued work on defining minimum standards based on findings.

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed in December
9.05	Data Security Plan Approval	This deliverable consists of developing a Data Security Plan to ensure confidentiality and integrity of organizational data and obtaining the necessary approval prior to Commencement.	91-99%	- Finalized draft version and distribute for internal approval - Presented Standards and project control documents to project teams (Work on this deliverable is conducted in conjunction with the Handover Checklist items 5.04)
9.06	Vegetation Management Plan Approval	This deliverable includes the approval of the Vegetation Management Plan through the appropriate LUMA and PREB review and approval requirements.	Refer to 2.0312	- Reporting has been consolidated under VM plan 2.0312
9.07	System Operation Principles Regulatory Approval	This deliverable consists of activities to gain P3A and regulatory (PREB) approvals for System Operation Principles	41-50%	- Supported the finalization of the initial draft of the System Operations Principles document including providing comments, detailed review discussions and suggested changes.
10	Asset Acquisition (Supply Chain)			
10.01	Evaluating Existing Procurement and Subcontracting Policies, Procedures and Systems	This deliverable includes evaluating existing procurement and subcontracting policies, procedures and systems; identify system contracts and generation supply contracts; review vendor services to facilities; sourcing and procurement work for LUMA ManagementCo contracts.	51-60%	- Refining process and procedure documentation in preparation for second Internal review and approval of Non-federal Funding Procurement Manual.
10.02	Assuming Responsibility for Securing Use of Assets, Facilities, IT / OT, etc.	This deliverable involves performing facility assessments on PREPA's leased and owned properties and determine continued use and occupancy of current facilities. Activities include reviewing occupancy information, reviewing the assets collected, determination of asset management system moving forward, performing asset studies, and the development of processes and procedures related to asset management moving into commencement.	41-50%	- Commenced with space planning and occupancy strategy for all facilities. - Continued compilation of building assets, components, and life cycle information collected and captured in a master tracker. - Complete Business case for third party lease for Customer Experience. (Work on this deliverable is conducted in conjunction with the Handover Checklist items 2.0309)
10.03	Assuming Existing Subcontracts	This deliverable includes compiling a listing of all existing subcontracts, including executed copies of subcontract, and complete a gap analysis (expired, missing etc.) of subcontracts being assumed against the immediate needs of O&M of the T&D System, and develop processes and procedures for assuming the existing subcontracts.	41-50%	- Completed consolidation from various sources to finalize listing of known PREPA System Contracts. - Continue to work toward collecting all System Contracts for assessment by various LUMA departments.
11	Back-End Transition Plan			
11.01	Develop Back-End Transition Plan	This deliverable includes developing a plan that will guide the process for LUMA transferring operations back to PREPA at the end of the contract term. This includes the development of departmental scopes, timelines and documentation to provide T&D System status and plans to support operational and commercial transfer. (Refer also to Handover Checklist item 12.04)	Refer to 12.04	- Reporting has been consolidate under 12.04 Back End Transition Plan
12	Front-End Transition Plan (Additional Requirements)			

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed in December
12.01	Confirmation of Acceptable Operator Security	This deliverable ensures confirmation of the requirement to confirm Operator Security prior to Commencement.	0-10%	- This will occur just prior to commencement.
12.02	Required Insurance	This deliverable ensures placement of insurance program and business process reviews as required in the O&M agreement for ServCo, including claims reviews; prepare insurance package for LUMA Energy and deliver certificates, as required, i.e. workers' compensation (local content if applicable), employers' liability, fiduciary liability, and professional liability, according to the deliverable schedule.	0-10%	- Planned meetings with local and international broker in January to establish plan to accomplish this HOC item by deadline. International broker had a change in personnel, and we will be working with a new contact in 2021.
12.03	Baseline Performance Levels	This deliverable involves the development of a methodology for accessing the quality of existing measurement data, a gap analysis of the assessment results against industry best practices with a plan to fill the identified gaps, as well as a plan for an interim performance metrics process to utilize at commencement, and a proposed annual target metric and improvement trajectory.	91-99%	- Finalized the development of the initial draft of the Performance Metrics for submission. - Prepared for & presented at LUMA/PREPA/P3 Performance Metrics Planning Team meeting
12.04	Back-End Transition Plan	This deliverable captures the internal review and approval of the Back-End Transition Plan subsequent to the completion of Handover Checklist item 11.01 prior to submission to the Administrator for its information and approval.	91-99%	- Completed Back End Transition Plan; submitted for Senior Leadership review.
12.05	Representations	Section Heading for Owner and Operator Representations set forth in Sections 12.06 and 12.08 of Handover Checklist	-	- Heading only. No activity required.
12.06	Operator Representations and Warranties	All representations of (i) Operator in Section 19.2 of the OMA, and (ii) Guarantors in the Guarantees will be brought forward and certified as true and correct as of the Service Commencement Date.	0%	- No action required at this time
12.07	Section 4.3: Owner and Administrator Responsibilities	PREPA's and P3A's conditions precedent to Service Commencement	-	- No activity to report. (This is work performed by Administrator and/or Owner).
12.08	Owner Representations and Warranties	All representations of Owner in Section 19.1 of the OMA will be brought forward and certified as true and correct as of the Service Commencement Date. NOTE: Responsibility of Owner and Administrator under Section 4.3 of OMA.	-	- No activity to report. (This is work performed by the Owner).
12.09	Section 4.4 Governmental Approvals	This deliverable involves legal and regulatory work to (i) identify and transfer, assign or otherwise obtain all Governmental Approvals required to commence operations, and (ii) obtain a Tax Assurance from Puerto Rico Treasury Department	Refer to 1.01	- Reporting has been consolidate to 1.01 Government Approvals

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed in December
12.10	Section 4.5: Conditions Precedent to Service Commencement Date	Legal work to fulfill and satisfy all conditions precedent to Service Commencement Date outlined in Section 4.5 of the OMA.	41-50%	Continued to work on and provide legal support for numerous condition precedent activities within LUMA including: <ul style="list-style-type: none"> - Worked with the P3A and its Counsel / advisors (Cleary, PMA, and FTI), and the LUMA Regulatory team on approaches to the PREPA Re-organization required under the OMA and the effect on and key services provided under the GenCo-GridCo PPOA. - Worked with Regulatory Counsel and LUMA Regulatory Team to finalize and submit to P3A's Counsel advisors the Initial Budgets, System Remediation Plan (including all Program Briefs), Performance Metrics, and System Operation Principles. - Finalized the Terms of Service and submitted to P3A's Counsel.
12.11	Section 4.7: Closing the Front-End Transition Period	Work with Counsel for P3A to satisfy and confirm that all conditions precedent to Service Commencement Date and deliver appropriate documentation evidencing same	0%	- No action required at this time.
12.12	Service Commencement Begins	Satisfaction of all Service Commencement Date Conditions under Section 4.5 of the OMA	0%	- No action required at this time.