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Monthly Report

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For the period ending March 2021

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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 March 31, 2021. 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 March, LUMA continued to progress work focused on a June 1, 2021 commencement date. Our work focused on recruitment of future LUMA employees, advancing work plans in anticipation of taking over the operations of the T&D System, and on progressing the required Conditions Precedents obligations of all Parties. With less than 60 days to commencement, LUMA continues to urge all parties to remain focused on their respective contributions to achieve a positive outcome that will benefit of all Puerto Rico.

The following is a summary of the key achievements for the month of March 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.

PREPA Reorganization

The PREPA reorganization is a critical workload as it will create the GridCo and GenCo organizations and the related governance structure under which all of PREPA will operate in the future. During March, the P3A and PREPA agreed to the structure and work is underway to complete the plan for the reorganization.

Related to the reorganization is the establishment of the GenCo-GridCo PPOA (Operating Agreement) which has been drafted and soon to be provided to LUMA to our review and consideration.

LUMA continues to support the above deliverables as required, including developing Plant Level Agreements and Generator Interconnection Agreements to support System Operations upon Commencement.

Puerto Rico House of Representatives Inquiry

In response to House of Representatives Resolution 136-2021, LUMA submitted written testimony, participated in an all-day public hearing, and produced documentation in response two requests for information.

Preparing LUMA for Operations

LUMA continued 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 and an

assessment of preparedness for commencement. Some of the key highlights for March are as follows:

a. Human Resources

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

- Began issuing offer letters with high acceptance rates.
- Continued to improve clear and concise communication of Pension and redeployment information to PREPA employees.
- Continued PREPA and LUMA alignment on offboarding/onboarding activities.

b. Health, Safety, Environment & Quality

- Continued efforts towards supporting and implementing COVID-19 protocols and vaccination strategy.
- Advanced our Public Safety Plan and Emergency Action Plan and associated policies.
- Continued the development of the Emergency Response Plan.
- Continued monitoring of field execution of the Baseline Pre-Existing Environmental Conditions work.

c. Capital Program (incl. FEMA Funded and non-FEMA projects)

- Continue alignment work with PREPA and PREPA consultants to ensure strong understanding of current and planned project workload as well as overall project management structure.
- Advanced configuration work on project management information systems.

d. Internal & Stakeholder Communications:

- Increased campaigns for employment opportunities and public awareness of LUMA's values and objectives.
- Finalization of Communications and Community Investment Plans, to be provided to P3A in early April.

e. Operational and Customer Experience

- Conducted skills assessments of PREPA lineworkers, low-voltage workers, substation technicians, and telecom technicians.
- Kicked-off initiative with PREPA Fleet aimed to inspect and maintain the existing fleet to bring into compliance with regulatory requirements.
- Continue to work through System Contracts and submit Requests for Proposal where required to establish key contracts/contractors for Commencement.
- Finalized plan for Bill Redesign and/or Rebrand Implementation.
- Began build of cloud-based contact center with implementation partner.
- Continued development of Customer Experience and Operations Integration Plan.

f. Finance and Accounting

- Support PREPA's development of the 2021 Fiscal Plan and ensure Initial Budgets information is appropriately understood and being incorporated in the Fiscal Plan.
- Developed LUMA lease portfolio and lease termination strategy.
- Finalized Non-Federal Funding Procurement Manual and submitted to P3A.

- Began insurance applications with many complete for entry into the insurance marketplace. Major claim reviews were initiated.
- g. Information and Operational Technology
 - Held Employee Process workshops, All-Hands meetings and developed cutover plans for Commencement.
 - Progressed on CC&B and EBS integrations with final requirements confirmed.
 - Workday HCM system in production and operational. Preparing training content.
 - Continued testing of Workday Payroll, Kronos and Bill Redesign and Outsourced Printing.
 - Advanced LUMA Website and Customer Portal with Mobile Application functionality in preparation for Commencement.
- h. Regulatory
 - Progressed the commercial terms of the Shared Services Agreement with draft under review by all Parties.
 - Undertook preparatory work in preparation for PREB information requests on the Initial Budgets and Terms of Service, System Remediation Plan, Performance Metrics, and System Operation Principles.
 - Participated in PREB responses, workshops and technical conferences.
 - Met with key stakeholders to progress on finalization of the Federal Funding Procurement Manual.

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 April, 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:

- a. Key Regulatory Matters
 - A significant focus on key PREB dockets (including the Initial Budgets and Terms of Service, System Remediation Plan, Performance Metrics and System Operation Principles dockets). These are critical to advance in order to establish a solid basis of operations post commencement.
 - Provide feedback to P3A on the GenCo-GridCo PPOA (Operating Agreement) towards finalizing said agreement.
 - Finalize the commercial terms of the Shared Services Agreement. Reach agreement on the Annex to the agreement capturing the services to be rendered by LUMA.
- b. Human Resources
 - Continue hiring/onboarding efforts throughout April and May including providing information and guidance as required.
 - Continue to align with PREPA on employee redeployment activities (offboarding/onboarding).
- c. Operational and Customer Experience
 - Complete Customer Experience and Operations Integration Plan.

- Continue skills assessment for PREPA lineworkers, low-voltage workers, substation technicians, and telecom technicians.
 - Continue detailed transition planning work based on information gathered to date towards appropriate commencement cutover plans. This work will include finalizing and submitting workplans as outlined in the Handover Checklist.
 - Provide Emergency Operations Center (LEOC) Command Staff and General Staff with FEMA recognized Incident Command System Training (ICS) training, as required.
 - Prepare for the May exercise on LUMA Emergency Response Plan with LUMA leadership and key external stakeholders.
- d. Finance and Accounting
- Ensure that LUMA's Initial Budgets information is appropriately reflected in PREPA's 2021 Fiscal Plan development.
 - Response to Information Requests from the PREB in support of obtaining approval on LUMA's key regulatory submissions.
 - Advance LUMA/PREPA office space post commencement including office use and occupancy for all District Offices.
- e. Information and Operational Technology
- Finalize cutover plans with Table-Top Cutover Exercise. Secure approval with to configure LUMA's configuration package within PREPA's environment, as well as securing LUMA devices.
 - Continued testing of EBS, CC&B, Workday Payroll, Kronos, Bill Redesign and Outsourced Printing.
 - Prepare Workday HCM system for hiring program.
 - Finalize Cybersecurity 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 March.

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 (f) (ii)	(ii) Upon ManagementCo finalizing the Non-Federal Funding Procurement Manual, ManagementCo shall submit such Non-Federal Funding Procurement Manual to Administrator for its review and approval. Administrator, acting reasonably, shall provide ManagementCo comments on the appropriateness of the proposed Non-Federal Funding Procurement Manual and recommend any changes or modifications it believes are necessary or appropriate. Within thirty (30) days following receipt of Administrator's comments, if any, or the end of forty-five (45) days following Administrator's receipt of the proposed Non-Federal Funding Procurement Manual, if Administrator has no comments, ManagementCo shall submit to Administrator for its review and approval the revised Non-Federal Funding Procurement Manual, incorporating or rejecting any of the modifications or changes suggested by Administrator, together with an explanation of any of Administrator's comments, as ManagementCo shall reasonably deem appropriate in its sole discretion.	LUMA (Operator), P3A (Administrator)	Submitted March 19, 2021

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 - February
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 - February
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,	PREPA (Owner)	Confirmed - February

Section	Description	Responsible Party	Status
	subject to Section 7.8 (Owner Credit Rating), and so on subsequently until the Front-End Transition Services conclude.		
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 – February
4.3(d) (ii)	After the date ManagementCo submits the Initial Budgets to PREB for its approval, if Owner and Administrator determine that an amendment or new System Contract or Generation Supply Contract is necessary, the Parties shall follow the process in clause (i) above; provided that as part of such consultation process (A) the Parties shall review the impact of any such amendment or new System Contract and Generation Supply Contract on the Initial Budgets and (B) ManagementCo shall, as soon as practicable following receipt of Owner's notice of such requirement, prepare and submit to Administrator any proposed amendment to the Initial Budgets arising therefrom. Following delivery of such proposed amendment, the Parties shall follow the same process for such amendment to the Initial Budget that was followed for the Initial Budgets as set out in Section 4.2(e) (ManagementCo Responsibilities – Initial Budgets);	LUMA (Operator), PREPA (Owner), P3A (Administrator)	Ongoing (Refer to Part C.5)
STA s. 2.3(c)	Owner shall have provided communications to all Owner Employees regarding Owner's pension obligations going forward reasonably acceptable to Owner and Operator.	PREPA (Owner)	On-going (Refer to Part C.3)

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), P3A (Administrator)	Substantially overdue (Refer to Part C.6)
4.3(c)	From and after the Effective Date, but in any event by the date that is one hundred eighty (180) days following the Effective Date, 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)	Overdue (Refer to Part C.5)

IV. OMA Obligations in Progress

Section	Description	Responsible Party	Status
4.3(e) STA s. 2.3(d)	<p>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).</p> <p>Owner shall have provided Operator with written notice of the System Contracts and Generation Supply Contracts that have been assumed and those that have been rejected as at the Interim Period Service Commencement Date;</p>	PREPA (Owner)	In progress (Refer to Part C.5)
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 (Refer to Part C.7)
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)	In progress
4.4(b)	From and after the Effective Date, the Parties agree that (i) 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. (refer to 4.5 (t) below)	LUMA (Operator) P3A (Administrator) PREPA (Owner)	In progress
4.5 (t)	The Puerto Rico Treasury Department shall have either (i) entered into a closing agreement with the Operator, or (ii) shall have issued a private letter ruling to Operator, in each case that (A) incorporates all matters set forth in administrative determination No. 20-06 issued by the Secretary of the Puerto Rico Treasury Department (the "Administrative Determination") that are applicable to Operator and the Equity Participants and (B) provides that (x) the Front-End	LUMA (Operator) P3A (Administrator) PREPA (Owner)	In progress

Section	Description	Responsible Party	Status
	Transition Service Fixed Fee, the Service Fee and 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, (each a "Tax Assurance").		
4.5(f))	Owner shall have engaged a qualified environmental consultant, and such consultant shall have prepared and issued a final baseline environmental study reasonably identifying Pre-Existing Environmental Conditions that present a risk of material liability (the "Baseline Environmental Study")	PREPA (Owner)	In progress (Refer to Part C.8)
4.5 (q)	PREPA Reorganization. A final plan for the reorganization of PREPA into GenCo and GridCo shall have been approved by the applicable Governmental Bodies, and the GridCo-GenCo PPOA shall have become effective.	PREPA (Owner) P3A (Administrator)	In progress (Refer to Part C.1)
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)	In progress (Refer to Part C.1)
4.5 (u)	Each of Operator, Owner, Administrator and the FOMB shall have duly executed a FOMB Protocol Agreement in form and substance satisfactory to the Parties.	LUMA (Operator) P3A (Administrator) PREPA (Owner)	In progress
STA s. 2.3(b)	The Title III Court shall have entered, on a final and non-appealable basis, an order or orders (i) to the extent required by Applicable Law, authorizing Owner's entry into and performance of this Supplemental Agreement, and (ii) granting administrative expense treatment for any amounts required to be paid by Owner under this Supplemental Agreement and the O&M Agreement during the Interim Period, and in the case of each of (i) and (ii), such approvals and orders shall be reasonably acceptable to Operator;	P3A (Administrator) PREPA (Owner)	In progress (Refer to Part C.4)
STA s. 2.3(c)	A number of Owner Employees and Other Employees necessary for Operator to perform the Interim Period Services shall have accepted offers to commence employment as ServCo Employees beginning on the Interim Period Service Commencement Date;	LUMA (Operator)	In progress (Refer to Part C.3)
STA s. 2.3(f)	Owner shall have received a Supplemental Agreement Tax Opinion and ManagementCo shall have received a Supplemental Agreement Reliance Letter, at the expense of Owner or Administrator;	PREPA (Owner)	In progress (Refer to Part C.9)

V. Upcoming OMA Obligations

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

VI. OMA Regulatory Approvals in Progress

Section	Description	Responsible Party	Status
4.2(e)	<u>Initial Budgets</u>PREB shall review, and approve, deny or propose modifications to, such proposed Initial Budgets in accordance with Applicable Law. ManagementCo shall be required to respond promptly to any changes or modifications from PREB to the proposed Initial Budgets and submit any updates to the proposed Initial Budgets to PREB for its approval. If PREB does not respond within ninety (90) days after receipt of the proposed Initial Budgets or any update thereto, ManagementCo may proceed for purposes of this Agreement as if PREB had approved such proposed Initial Budgets.	PREB	In progress (Refer to Part C.2)
4.1(g)	<u>Liability Waiver (“Terms of Service”)</u> . In connection with the submission of the Initial Budgets to PREB, the Parties agree to apply for inclusion in the Rate Order that the associated tariff or terms of service include: (i) a waiver of Owner’s, ManagementCo’s and ServCo’s liability to customers or any Person receiving Power and Electricity for any Losses arising in any way out of or in connection with the operation of the T&D System and the provision of Power and Electricity including any events of interrupted, irregular or defective electric service due to Force Majeure Events, other causes beyond Owner’s, ManagementCo’s or ServCo’s control or ordinary negligence, gross negligence or willful misconduct of Owner, ManagementCo or ServCo, or their respective employees, agents or contractors; and (ii) a waiver in all cases of responsibility for any loss of profits or revenues, special, exemplary, punitive, indirect, incidental or consequential damages, including loss of revenue, loss of use of equipment, cost of capital, cost of temporary equipment, overtime, business interruption, spoilage of goods, claims of customers of electric customers or other economic harms, in each case howsoever and whensoever arising, including where caused by any of Owner’s, ManagementCo’s or ServCo’s ordinary negligence, gross negligence or willful misconduct (collectively the “Liability Waiver”).	PREB	In progress (Refer to Part C.2)
4.1(d) (iii)	<u>System Remediation Plan</u> ...PREB shall review and approve, deny or propose modifications to the proposed System Remediation Plan. Operator shall be required to respond promptly to any changes or modifications from PREB to the System Remediation Plan and submit any updates to the proposed System Remediation Plan to PREB for its approval. If PREB does not respond within ninety (90) days after receipt of the proposed System Remediation Plan or any update thereto, ManagementCo may proceed for purposes of this Agreement as if PREB had approved such System Remediation Plan.	PREB	In progress (Refer to Part C.2)
4.1(h)	<u>System Operation Principles</u> ...PREB shall review and approve, deny or propose modifications to the proposed System Operation Principles. ManagementCo shall be required to respond promptly to any	PREB	In progress (Refer to Part C.2)

Section	Description	Responsible Party	Status
	changes or modifications from PREB to the proposed System Operation Principles and submit any updates to the proposed System Operation Principles to PREB for its approval. If PREB does not respond within ninety (90) days after receipt of the proposed System Operation Principles or any update thereto, ManagementCo may proceed for purposes of this Agreement as if PREB had approved such proposed System Operation Principles. The System Operation Principles shall be subject to further review and update pursuant to Section 5.13(c) (Generation- Related Services – Review of System Operation Principles).		
4.2(f)	<u>Performance Metrics</u> ...PREB shall review, and approve, deny or propose modifications to, such proposed revised Annex IX (Performance Metrics) in accordance with Applicable Law. ManagementCo shall be required to respond promptly to any changes or modifications from PREB to the proposed revised Annex IX (Performance Metrics) and submit any updates to the proposed revised Annex IX (Performance Metrics) to PREB for its approval. If PREB does not respond within ninety (90) days after receipt of the proposed revised Annex IX (Performance Metrics) or any update thereto, ManagementCo may proceed for purposes of this Agreement as if PREB had approved such proposed revised Annex IX (Performance Metrics). The illustrative Performance Metrics, as identified in Annex IX (Performance Metrics) shall be revised and replaced accordingly on, or prior to, the Service Commencement Date.	PREB	In progress (Refer to Part C.2)

C. RISK AND ISSUE MANAGEMENT REPORT

Risks/Issues with Potential to Materially Impact Project Success

	Risk	Description and Current Status (as of 03-31-21)
1	<p>PREPA Reorganization (s. 4.5(q), s. 4.5(s))</p> <p><i>Lead Party: P3A (Administrator)</i></p>	<p>The OMA states as a Condition Precedent to Commencement that <i>“A final plan for the reorganization of PREPA into GenCo and GridCo shall have been approved by the applicable Governmental Bodies, and the GridCo-GenCo PPOA shall have become effective.”</i></p> <p>Work progressed in March and a structure has been agreed to by PREPA and P3A. P3A is undertaking the development of the final plan for the reorganization.</p> <p>The PREPA Reorganization is related to the associated conditions precedent for the GenCo-GridCo PPOA (Operating Agreement) and Shared Services Agreement to be executed.</p>
2	<p>PREB Approval to key regulatory filings (s.4.2(e), s.4.1(g), s.4.1(d)(iii), s.4.1(h), and s.4.2(f))</p> <p><i>Lead Party: PREB</i></p>	<p>LUMA submitted key regulatory filings in February for PREB approval subject to PREB regulatory process. These key filings included LUMA’s Initial Budgets and Terms of Service, System Remediation Plan, Performance Metrics and System Operations Principles. The OMA contemplates as Condition Precedent the approval of said filings within 90 days of the date when LUMA submitted to PREB; which is consistent with LUMA target Commencement Date of June 1st.</p> <p>To date, PREB has opened dockets to address all filings and has issued information requests. LUMA is concerned that significant work remains prior to June 1st to achieve the necessary approvals but remains committed to work with PREB towards achieving June 1st Commencement.</p>
3	<p>Communication of Pension Obligations (STA s. 2.3 (c))</p> <p><i>Lead Party: PREPA (Owner)</i></p>	<p>The Supplemental Terms Agreement to the OMA states as a condition to the Interim Service Period Commencement Date <i>“Owner shall have provided communications to all Owner Employees regarding Owner’s pension obligations going forward reasonably acceptable to Owner and Operator”.</i></p> <p>As reported last month, PREPA has released informational videos and distributed a letter to its employees in early March related to the existing Pension.</p>

	Risk	Description and Current Status (as of 03-31-21)
		As previously noted, an understanding of the existing pension remains the most significant issue raised by current PREPA employees as a reason for not applying for LUMA positions. LUMA continues to urge on-going communication in this area from PREPA leadership to continually respond to concerns and questions from employees.
4	<p>Title III Court Order (STA s. 2.3 (b))</p> <p><i>Lead Parties: PREPA (Owner); P3A (Administrator)</i></p>	<p>The Supplemental Terms Agreement to the OMA states as a Condition Precedent to Commencement <i>“the Title III Court shall have entered, on a final and non-appealable basis, an order or orders (i) to the extent required by Applicable Law, authorizing Owner’s entry into and performance of this Supplemental Agreement, and (ii) granting administrative expense treatment for any amounts required to be paid by Owner under this Supplemental Agreement and the O&M Agreement during the Interim Period, and in the case of each of (i) and (ii), such approvals and orders shall be reasonably acceptable to Operator”.</i></p> <p>On March 26, 2021 PREPA, by and through the FOMB as PREPA’s Title III representative, and AAFAF jointly filed a motion requesting that the court allow an administrative expense claim for amounts to be paid to LUMA by PREPA during the interim period under the Supplemental Agreement and the OMA as well as an emergency scheduling motion. The Title III Court subsequently granted the scheduling motion which sets forth a timeline for the administrative expense motion including that the hearing for same will be held on April 28.</p>
5	<p>Systems Contracts (s. 4.3 (c); s. 4.3 (d)(ii); s. 4.3 (e); STA s. 2.3(d))</p> <p><i>Lead Party: PREPA (Owner)</i></p>	<p>The OMA and STA states as a Condition Precedents to Commencement that:</p> <ul style="list-style-type: none"> - <i>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. S. 4.3 (c)</i> <p>Work has progressed in this area with the exception of the work necessary to ensure compliance with Federal Funding Requirements. LUMA will be working with PREPA to support the completion of this obligation.</p>

	Risk	Description and Current Status (as of 03-31-21)
		<ul style="list-style-type: none"> - <i>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; ... (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. (s. 4.3 (e))</i> - <i>Owner shall have provided Operator with written notice of the System Contracts and Generation Supply Contracts that have been assumed and those that have been rejected as at the Interim Period Service Commencement Date. (STA s. 2.3(d))</i> <p>LUMA has worked with PREPA and has developed an acceptable Notice form to be sent to contractors, vendors and suppliers. LUMA is anticipating these to be issued over the next month.</p> <p>LUMA notes that while this area appears on track, the delay in the receipt of System Contracts created real impacts on time available to conduct operational and commercial assessments prior to commencement.</p>
6	<p>Owner Cooperation (s. 4.1 (b))</p> <p><i>Lead Party: PREPA (Owner)</i></p>	<p>LUMA has experienced progress overall from an engagement and cooperation perspective over the past month and will continue to work with PREPA to work through specific issues to minimize impacts. Key areas of note include:</p> <ul style="list-style-type: none"> - <u>Designated Space & Facilities</u>: As reported last month, PREPA had developed and communicated a plan for implementation to address LUMA's needs. This work was not implemented. Work in this area has begun to include the transition planning as we approach commencement. - <u>Response to RFIs</u>: Communication continued to improve over the past month; including closing out older RFIs. While there are still a substantive number of outstanding, LUMA is confident these will be addressed in a timely manner – a critical outcome to support LUMA's ability to form a complete understanding of operations and establish seamless cutover workplans.

	Risk	Description and Current Status (as of 03-31-21)
7	<p>Demarcation of T&D System (s. 4.3(k))</p> <p><i>Lead Party: PREPA (Owner)</i></p>	<p>Description and demarcation of the T&D System effects LUMA's ability to properly ensure the system and is critical to the satisfaction of conditions precedent relating to the PREPA Reorganization and Shared Services Agreement.</p> <p>LUMA has been monitoring this work very closely including working directly with PREPA's engineering consultant to ensure the execution of the work. The current schedule provides little time for LUMA to finalize its review and establish detailed operational responsibilities.</p> <p>The issuance of the Demarcation Study is a Condition Precedent to Commencement</p>
8	<p>Pre-Existing Environmental Conditions. (s. 4.5(f))</p> <p><i>Lead Party: PREPA (Owner)</i></p>	<p>LUMA has been monitoring this work very closely including working directly with PREPA's engineering consultant to ensure the execution of the work. The current schedule provides little time for LUMA to complete its due diligence on the reports generated from the field assessments.</p> <p>The issuance of the Pre-Existing Environmental Conditions Study is a Condition Precedent to Commencement</p>
9	<p>Supplemental Agreement Tax Opinion STA (s. 2.3(f))</p> <p><i>Lead Party: PREPA (Owner)</i></p>	<p>PREPA engineering consultant has recently began the update work on the reasonably expected weighted average economic life of the T&D System and is working closely with Nixon-Peabody towards the issuance of the Tax Opinion.</p> <p>LUMA continues to remind PREPA of this obligation and has enlisted the assistance of P3A to ensure an expedited completion of said work.</p>
10	<p>COVID-19 Pandemic</p>	<p>LUMA continues to follow an appropriate COVID Protocol and is undertaking a vaccination strategy.</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 March 2021. A summary of the invoice amounts is included below.

I. Monthly invoice summary

FET COSTS	
Department	Amount
Capital Programs	\$111,025
Communications	\$115,413
Corporate Services	\$211,350
Customer Service	\$185,218
Executives	\$124,725
Financial Mgmt.	\$592,293
HSE & Quality	\$317,675
Human Resources	\$138,538
Integration Mgmt. Office	\$326,683
IT / OT	\$400,910
Legal	\$46,173
Operations	\$614,375
Regulatory	\$146,870
Utility Transformation	\$1,430,193
TOTAL	\$4,761,438

	FET Hourly Costs	Additional Costs & Expenses	Sub-Total	FET Fixed Fee	Total
Previously invoiced	\$31,142,345	\$29,071,194	\$60,213,539	\$41,500,000	\$101,713,539
Current invoice	\$4,761,438	\$5,064,442	\$9,825,880	\$5,000,000	\$14,825,880
Total invoiced to date	\$35,903,783	\$34,135,636	\$70,039,418	\$46,500,000	\$116,539,418
Forecast to complete			\$21,960,582	\$13,500,000	\$35,460,582
Proposal			\$76,351,931	\$60,000,000	\$136,351,931
Variance					\$15,648,069
					11.5%

E. SUBMISSIONS

I. Transmittals–Current Month March 2021

Name	Description	Sending Organization	Receiving Organization	LUMA Department	Created
LUMA-FOMB-T-00001	February 2021 Monthly Status Report	LUMA	FOMB	IMO	9-Mar-21
LUMA-P3A-T-00105	February 2021 Monthly Invoice & Report	LUMA	P3A	IMO	9-Mar-21
LUMA-P3A-T-00106	February 2021 Monthly Status Report	LUMA	P3A	IMO	9-Mar-21
LUMA-P3A-T-00107	February 2021 Renewed Certificates	LUMA	P3A	IMO	9-Mar-21
LUMA-P3A-TGC-00108	P3A / LUMA March 1, 2021 Meeting Notes	LUMA	P3A	IMO	11-Mar-21
LUMA-P3A-TGC-00109	P3A / LUMA March 17, 2021 Meeting Agenda	LUMA	P3A	IMO	11-Mar-21
LUMA-P3A-T-00110	Forecast Cost Increase	LUMA	P3A	IMO	17-Mar-21
LUMA-P3A-T-00111	Non-Federal Funding Procurement Manual	LUMA	P3A	IMO	19-Mar-21
LUMA-P3A-T-00112	4.5 Month FETS Estimate February 2021 (wActuals)	LUMA	P3A	IMO	22-Mar-21
LUMA-P3A-TGC-00113	P3A / LUMA March 17, 2021 Meeting Notes	LUMA	P3A	IMO	24-Mar-21
LUMA-P3A-TGC-00114	P3A / LUMA March 29, 2021 Meeting Agenda	LUMA	P3A	IMO	24-Mar-21
LUMA-P3A-T-00115	Notice of Agency	LUMA	P3A	IMO	30-Mar-21
LUMA-P3A-T-00116	4.5 Month FETS Estimate March 2021	LUMA	P3A	IMO	30-Mar-21
LUMA-PREB-T-00024	February 2021 Monthly Status Report	LUMA	PREB	IMO	9-Mar-21
LUMA-PREP-T-00101	January 22, 2021 S&L Codes and Standards - LUMA Comments	LUMA	PREPA	Utility Transformation	3-Mar-21
LUMA-PREP-T-00102	Outstanding RFIs as of 2021-03-04	LUMA	PREPA	IMO	4-Mar-21
LUMA-PREP-TGC-00103	PREPA / LUMA Biweekly Meeting Notes 2021-02-23	LUMA	PREPA	IMO	5-Mar-21
LUMA-PREP-TGC-00104	PREPA / LUMA Biweekly Meeting Agenda 2021-03-08	LUMA	PREPA	IMO	5-Mar-21
LUMA-PREP-T-00105	February 2021 Monthly Status Report	LUMA	PREPA	IMO	9-Mar-21
LUMA-PREP-T-00106	Outstanding RFIs as of 2021-03-11	LUMA	PREPA	IMO	11-Mar-21
LUMA-PREP-T-00107	PREPA FY2020 DCD Action Items 13 January 2020	LUMA	PREPA	Utility Transformation	12-Mar-21
LUMA-PREP-T-00108	January 29, 2021 S&L Codes and Standards - LUMA Comments	LUMA	PREPA	Utility Transformation	16-Mar-21
LUMA-PREP-T-00109	February 05, 2021 S&L Codes and Standards - LUMA Comments	LUMA	PREPA	Utility Transformation	16-Mar-21
LUMA-PREP-TGC-00110	PREPA / LUMA Biweekly Meeting Notes 2021-03-08	LUMA	PREPA	IMO	18-Mar-21

Name	Description	Sending Organization	Receiving Organization	LUMA Department	Created
LUMA-PREP-TGC-00111	PREPA / LUMA Biweekly Meeting Agenda 2021-04-05	LUMA	PREPA	IMO	18-Mar-21
LUMA-PREP-T-00112	Outstanding RFIs as of 2021-03-18	LUMA	PREPA	IMO	18-Mar-21
LUMA-PREP-T-00113	Non-Federal Funding Procurement Manual	LUMA	PREPA	IMO	19-Mar-21
LUMA-PREP-T-00114	January 15, 2021 S&L Codes and Standards – LUMA Comments	LUMA	PREPA	Utility Transformation	23-Mar-21
LUMA-PREP-T-00115	February 12, 2021 S&L Codes and Standards - LUMA Comments	LUMA	PREPA	Utility Transformation	24-Mar-21
LUMA-PREP-T-00116	Outstanding RFIs as of 2021-03-25	LUMA	PREPA	IMO	25-Mar-21
LUMA-PREP-T-00117	Notice of Agency	LUMA	PREPA	IMO	30-Mar-21
P3A-LUMA-T-00019	Key Regulatory Submissions Initial Budgets	P3A	LUMA	IMO	17-Mar-21
P3A-LUMA-T-00020	Supplemental Terms Agreement Section 2.3 c	P3A	LUMA	IMO	19-Mar-21
P3A-LUMA-T-00021	Shared Services Agreement Draft	P3A	LUMA	IMO	22-Mar-21
P3A-LUMA-T-00022	System Contracts - Worldwide Services Inc.	P3A	LUMA	IMO	30-Mar-21

II. Requests for Information (RFIs)–Current Month March 2021

Name	Description	Sending Organization	Receiving Organization	LUMA Department	Date Submitted	Requested Response Date	Actual Response Date	Status
LUMA-PREP-RFI-00434	STORMS system access	LUMA	PREPA	IT/OT	2-Mar-21	4-Mar-21	8-Mar-21	Closed
LUMA-PREP-RFI-00435	Luma PO Branded Template in Asset Suite	LUMA	PREPA	IT/OT	3-Mar-21	12-Mar-21		Open
LUMA-PREP-RFI-00436	Asset Suite - EBS Testing	LUMA	PREPA	IT/OT	4-Mar-21	5-Mar-21	24-Mar-21	Closed
LUMA-PREP-RFI-00437	Per Diems	LUMA	PREPA	Financial Management	4-Mar-21	5-Mar-21	11-Mar-21	Closed
LUMA-PREP-RFI-00438	JD Power Data Extract for RES and PH (March 2021)	LUMA	PREPA	Customer Service	5-Mar-21	18-Mar-21	10-Mar-21	Closed
LUMA-PREP-RFI-00439	GTViewer Access and testing	LUMA	PREPA	IT/OT	5-Mar-21	12-Mar-21	17-Mar-21	Closed
LUMA-PREP-RFI-00440	The Back up of the Kronos Dev environment	LUMA	PREPA	IT/OT	5-Mar-21	9-Mar-21	24-Mar-21	Closed
LUMA-PREP-RFI-00441	Risk & Insurance	LUMA	PREPA	Financial Management	8-Mar-21	22-Mar-21	19-Mar-21	Closed

Name	Description	Sending Organization	Receiving Organization	LUMA Department	Date Submitted	Requested Response Date	Actual Response Date	Status
LUMA-PREP-RFI-00442	Claims	LUMA	PREPA	Financial Management	8-Mar-21	22-Mar-21		Open
LUMA-PREP-RFI-00443	VPN & Kronos Access - Coady Antonello & Caro Kronlachner	LUMA	PREPA	IT/OT	8-Mar-21	11-Mar-21	24-Mar-21	Closed
LUMA-PREP-RFI-00444	Kronos Support Request	LUMA	PREPA	IT/OT	8-Mar-21	9-Mar-21	24-Mar-21	Closed
LUMA-PREP-RFI-00445	LUMA Kronos to Workday sFTP/Control M Solution	LUMA	PREPA	IT/OT	9-Mar-21	10-Mar-21		Closed
LUMA-PREP-RFI-00446	Distribution Generation Portal	LUMA	PREPA	Customer Service	9-Mar-21	31-Mar-21	26-Mar-21	Closed
LUMA-PREP-RFI-00447	STORMS/PD Storms Equipment	LUMA	PREPA	Financial Management	9-Mar-21	12-Mar-21	15-Mar-21	Closed
LUMA-PREP-RFI-00448	Access to Data Lake	LUMA	PREPA	IT/OT	9-Mar-21	14-Mar-21		Open
LUMA-PREP-RFI-00449	PD Storms - Social Security Number	LUMA	PREPA	IT/OT	9-Mar-21	10-Mar-21		Open
LUMA-PREP-RFI-00450	T&D Drawings and Engineering Records	LUMA	PREPA	Utility Transformation	10-Mar-21	19-Mar-21	5-Apr-21	Closed
LUMA-PREP-RFI-00451	Satellite Phones	LUMA	PREPA	Operations	11-Mar-21	19-Mar-21		Open
LUMA-PREP-RFI-00452	Access to JIRA site for Carimus team	LUMA	PREPA	IT/OT	11-Mar-21	15-Mar-21	15-Mar-21	Open
LUMA-PREP-RFI-00453	Unlicensed Microwave	LUMA	PREPA	Operations	11-Mar-21	19-Mar-21		Open
LUMA-PREP-RFI-00454	MiCuenta site on Azure	LUMA	PREPA	IT/OT	12-Mar-21	15-Mar-21	29-Mar-21	Closed
LUMA-PREP-RFI-00455	March IT Contracts Report	LUMA	PREPA	IT/OT	15-Mar-21	20-Mar-21	24-Mar-21	Closed
LUMA-PREP-RFI-00456	Refresh Kronos Environment from Production	LUMA	PREPA	IT/OT	15-Mar-21	18-Mar-21	24-Mar-21	Closed
LUMA-PREP-RFI-00457	Hourly Demand for Each Substation	LUMA	PREPA	Utility Transformation	16-Mar-21	26-Mar-21	16-Mar-21	Closed
LUMA-PREP-RFI-00458	Remaining Missing Meters Geospatial Data	LUMA	PREPA	Customer Service	16-Mar-21	23-Mar-21	29-Mar-21	Closed
LUMA-PREP-RFI-00459	System Protection Relaying Data and Information	LUMA	PREPA	Utility Transformation	16-Mar-21	23-Mar-21		Open
LUMA-PREP-RFI-00460	Customer count per service transformer	LUMA	PREPA	Regulatory	17-Mar-21	30-Mar-21		Open
LUMA-PREP-RFI-00461	Kyle Stinchcombe full Kronos & PREPA VPN access	LUMA	PREPA	IT/OT	18-Mar-21	19-Mar-21	25-Mar-21	Closed

Name	Description	Sending Organization	Receiving Organization	LUMA Department	Date Submitted	Requested Response Date	Actual Response Date	Status
LUMA-PREP-RFI-00462	Remaining Missing Meters Geospatial Data (#2)	LUMA	PREPA	Utility Transformation	17-Mar-21	23-Mar-21		Open
LUMA-PREP-RFI-00463	Privilege Access	LUMA	PREPA	IT/OT	17-Mar-21	21-Mar-21		Open
LUMA-PREP-RFI-00464	Email Distribution List(s) for Employee Survey	LUMA	PREPA	IT/OT	18-Mar-21	19-Mar-21		Open
LUMA-PREP-RFI-00465	SharePoint Inventory	LUMA	PREPA	IT/OT	18-Mar-21	22-Mar-21		Open
LUMA-PREP-RFI-00466	PREPA VPN access for Luis Astacio	LUMA	PREPA	IT/OT	19-Mar-21	24-Mar-21	19-Mar-21	Closed
LUMA-PREP-RFI-00467	Fleet Purchases, Leases, Rentals, and Repairs	LUMA	PREPA	Operations	19-Mar-21	2-Apr-21		Open
LUMA-PREP-RFI-00468	Fleet Maintenance Records	LUMA	PREPA	Operations	19-Mar-21	2-Apr-21		Open
LUMA-PREP-RFI-00469	Fleet Asset Suite and Oracle	LUMA	PREPA	Operations	19-Mar-21	2-Apr-21		Open
LUMA-PREP-RFI-00470	Fleet Ownership Costs	LUMA	PREPA	Operations	19-Mar-21	2-Apr-21		Open
LUMA-PREP-RFI-00471	Fleet Telematics Service Provider	LUMA	PREPA	Operations	19-Mar-21	2-Apr-21		Open
LUMA-PREP-RFI-00472	Transmission and Substation Engineering and Planning	LUMA	PREPA	Utility Transformation	19-Mar-21	2-Apr-21		Open
LUMA-PREP-RFI-00473	Transmission and Substation Outage Information	LUMA	PREPA	Utility Transformation	19-Mar-21	2-Apr-21		Open
LUMA-PREP-RFI-00474	Distribution Engineering	LUMA	PREPA	Utility Transformation	19-Mar-21	26-Mar-21		Open
LUMA-PREP-RFI-00475	Distribution Operations	LUMA	PREPA	Utility Transformation	19-Mar-21	2-Apr-21		Open
LUMA-PREP-RFI-00476	REPA VPN access for Luis Astacio	LUMA	PREPA	IT/OT	22-Mar-21	22-Mar-21		Open
LUMA-PREP-RFI-00477	Printers RFP Status	LUMA	PREPA	IT/OT	22-Mar-21	26-Mar-21		Open
LUMA-PREP-RFI-00478	Oracle CC&B Bill Cycle #10	LUMA	PREPA	IT/OT	23-Mar-21	24-Apr-21	25-Mar-21	Closed
LUMA-PREP-RFI-00479	STORMS OMS Integration	LUMA	PREPA	IT/OT	23-Mar-21	26-Mar-21		Open
LUMA-PREP-RFI-00480	40 test employees in the Kronos PREPA DEV environment	LUMA	PREPA	IT/OT	24-Mar-21	26-Mar-21	29-Mar-21	Closed
LUMA-PREP-RFI-00481	Infrastructure Access	LUMA	PREPA	IT/OT	24-Mar-21	24-Mar-21		Open
LUMA-PREP-RFI-00482	OCR code found in the PREPA bill payment stub	LUMA	PREPA	Customer Service	25-Mar-21	25-Mar-21	31-Mar-21	Closed
LUMA-PREP-RFI-00483	KnowBe4 access via Workday	LUMA	PREPA	IT/OT	25-Mar-21	26-Mar-21		Open

Name	Description	Sending Organization	Receiving Organization	LUMA Department	Date Submitted	Requested Response Date	Actual Response Date	Status
LUMA-PREP-RFI-00484	LUMAPR Email Address Process	LUMA	PREPA	IT/OT	25-Mar-21	26-Mar-21		Open
LUMA-PREP-RFI-00485	Custom domain (LumaPR.com) on PREPA's O365 tenant	LUMA	PREPA	IT/OT	25-Mar-21	9-Mar-21		Closed
LUMA-PREP-RFI-00486	Puerto Rico Website to PREPA Tenant	LUMA	PREPA	IT/OT	25-Mar-21	29-Mar-21		Open
LUMA-PREP-RFI-00487	Active Directory (AD) Organizational Units (OUs)	LUMA	PREPA	IT/OT	25-Mar-21	29-Mar-21	29-Mar-21	Closed
LUMA-PREP-RFI-00488	Emails from and to external recipients	LUMA	PREPA	IT/OT	25-Mar-21	30-Mar-21		Open
LUMA-PREP-RFI-00489	Pi Datalink Access for Christopher Loo	LUMA	PREPA	IT/OT	26-Mar-21	2-Apr-21		Open
LUMA-PREP-RFI-00490	InTune O365	LUMA	PREPA	IT/OT	30-Mar-21	26-Mar-21		Open
LUMA-PREP-RFI-00491	Workday Access to Active Directory	LUMA	PREPA	IT/OT	26-Mar-21	30-Mar-21		Open
LUMA-PREP-RFI-00492	AWS VPN Connection	LUMA	PREPA	IT/OT	26-Mar-21	30-Mar-21		Open
LUMA-PREP-RFI-00493	Hexagon OMS InService manuals	LUMA	PREPA	Utility Transformation	26-Mar-21	9-Apr-21	29-Mar-21	Closed
LUMA-PREP-RFI-00494	Customer Service Field Orders	LUMA	PREPA	IT/OT	26-Mar-21	30-Mar-21		Open
LUMA-PREP-RFI-00495	GIS System Data	LUMA	PREPA	Utility Transformation	26-Mar-21	2-Apr-21		Open
LUMA-PREP-RFI-00496	LUMA CC&B Development Environment	LUMA	PREPA	Customer Service	29-Mar-21	31-Mar-21		Open
LUMA-PREP-RFI-00497	Admin Access - JIRA	LUMA	PREPA	IT/OT	29-Mar-21	30-Mar-21		Open
LUMA-PREP-RFI-00498	Full Kronos Production access	LUMA	PREPA	IT/OT	29-Mar-21	9-Apr-21		Open
LUMA-PREP-RFI-00499	Remote Equipment	LUMA	PREPA	IT/OT	30-Mar-21	9-Apr-21		Open
LUMA-PREP-RFI-00500	Privileged Users within the PREPA domain	LUMA	PREPA	IT/OT	30-Mar-21	5-Apr-21		Open
LUMA-PREP-RFI-00501	PREPA Approved Kronos sFTP/Control M	LUMA	PREPA	IT/OT	30-Mar-21	5-Apr-21		Open
LUMA-PREP-RFI-00502	AD User Info	LUMA	PREPA	IT/OT	30-Mar-21	5-Apr-21		Open
LUMA-PREP-RFI-00503	CC&B Data Reports Request	LUMA	PREPA	Customer Service	30-Mar-21	30-Mar-21		Open

Name	Description	Sending Organization	Receiving Organization	LUMA Department	Date Submitted	Requested Response Date	Actual Response Date	Status
LUMA-PREP-RFI-00504	Available Inventory of IT Devices	LUMA	PREPA	IT/OT	31-Mar-21	6-Apr-21		Open
LUMA-PREP-RFI-00505	Cellular Modems for Meter Value Reporting	LUMA	PREPA	IT/OT	31-Mar-21	9-Apr-21		Open
LUMA-PREP-RFI-00506	Deployed Satellite Phones	LUMA	PREPA	IT/OT	31-Mar-21	9-Apr-21		Open
LUMA-PREP-RFI-00507	PBX and Landline information	LUMA	PREPA	IT/OT	31-Mar-21	9-Apr-21		Open
LUMA-PREP-RFI-00508	Cellular Modems for Meter Value Reporting	LUMA	PREPA	IT/OT	31-Mar-21	9-Apr-21		Closed
LUMA-PREP-RFI-00509	Deployed Satellite Phones	LUMA	PREPA	IT/OT	31-Mar-21	9-Apr-21		Closed
LUMA-PREP-RFI-00510	Kronos TEST server to apply Control M Agent	LUMA	PREPA	IT/OT	31-Mar-21	2-Apr-21		Open
LUMA-PREP-RFI-00511	OSISoft PI Asset Framework, Archive, and PI Tags	LUMA	PREPA	IT/OT	31-Mar-21	7-Apr-21		Open
LUMA-PREP-RFI-00512	PREPA Power Outage Data	LUMA	PREPA	Utility Transformation	31-Mar-21	13-Apr-21	1-Apr-21	Open
LUMA-PREP-RFI-00513	PREPA Weather Data	LUMA	PREPA	Utility Transformation	31-Mar-21	13-Apr-21		Open

APPENDIX A – HANDOVER CHECKLIST

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed
1	General & Transition Management	<p>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.</p> <p>This overall deliverable captures efforts that are not reasonably attributable to specific Handover Checklist items given the general management nature of the work.</p>	81-90%	<p>The work in March 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.</p> <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"> - Continued LUMA wide commencement readiness assessments. This work is an iterative process undertaken until commencement that will focus on mitigation of key risk areas including interdependencies between departments. - 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	<p>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.</p>	81-90%	<ul style="list-style-type: none"> - Department of Natural Resources confirmed that all PREPA non-Federal environmental authorizations recognize LUMA as Operator. With this confirmation, LUMA has the necessary authorization for all environmental permits to commence operations of all the T&D facilities in Puerto Rico. The environmental permits cover water usage, air emissions, oil use and storage, biomedical waste, soil erosion control, recycling, among others. - OGPE confirmed that all PREPA authorizations recognize LUMA as Operator. With this confirmation, LUMA has the

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed
				<p>necessary non environmental authorizations to commence operations for all the T&D facilities in Puerto Rico.</p> <ul style="list-style-type: none"> - PREPA and LUMA are working together in order that PREPA FCC license recognize LUMA as operator for utilization of the radio licenses for telecommunications. - LUMA is working to acquire the hangar certification for use of helicopters as the PREPA license cannot be transferred or shared.
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%	- Continued to manage the Requests for Information & responses related to gap assessments. These are being used to further develop LUMA's cutover plans.
1.03	PREB Rate Order Filing (Initial Budgets and Liability Waiver approvals)	Activities to gain P3A and regulatory (PREB) approvals for Initial Budgets.	71-80%	- Prepared for next steps in proceedings and awaited PREB regulatory schedule.
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.	91-99%	<ul style="list-style-type: none"> - Completed takeover plan and submitted for final internal review. - Began planning for implementation of preventative maintenance program.
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.	91-99%	- Completed takeover plan and submitted for final internal review.
2.03	<i>Development and Implementation of Additional Takeover plans</i>			
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.	91-99%	<ul style="list-style-type: none"> - Continued recruitment effort for Control Centers. Interviews completed at 98% for the shift personnel positions. Offer extended to all shift personnel. All positions are posted and interviews for Managers and Supervisors completed and offers extended. Interviews for staff position (engineers, analysts, planner, etc.) ongoing. - Continued to support the ongoing efforts in developing the System Operating Principles and procedures in collaboration with LUMA's Regulatory team.

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed
				<ul style="list-style-type: none"> - Completed the takeover plan for control centers and submitted for final internal review.
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.	71-80%	<ul style="list-style-type: none"> - Continued recruitment of all open positions within Operations, including external candidate interviews. - Secondary interviews for internal hires in remaining supervisory and managerial positions. - Coordinated additional support through PREPA early hires. - Continued technical assessments of PREPA lineworkers, low voltage workers, substation technicians, and telecom technicians. - Field checking PREPA existing tools list, substation spare equipment, and existing fleet. - Kicked-off an initiative to coordinate licensing, hardware requirements, and day 1 software solutions with IT/OT. - Submitted Requests for Proposals for provision of O&M services. - Further refinement of documentation for the Major Outage Restoration Annex and Emergency Response Plan (ERP). - Submitted mutual aid applications to EEI, APPA, and CARELIC.
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.	71-80%	<ul style="list-style-type: none"> - Final version of ERP (Base Plan and Restoration Annex) under review. - Submitted applications for EEI, APPA, and CARILEC. Mutual Aid agreements in progress. - PREPA master service agreements with six local companies ready to be transferred to LUMA upon commencement. - Established Crisis Management Framework. All plans in progress (Business Continuity, Risk Management, Communications, Health & Safety, and Security). - Held LUMA ERP Technical Workshop in early March with leadership team. Excellent feedback provided; all recommendations implemented into the final version. - LUMA personnel are undergoing training to adhere to the ERP. - LUMA exercise with FEMA and PREMB being scheduled for May 2021. <p>(Work on this deliverable is conducted in conjunction with the Handover Checklist items 2.04 and 9.02).</p>

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed
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.	71-80%	<ul style="list-style-type: none"> - Continued work with Procurement to review existing contracts and work toward additional supplier/vendor contracts needed. - Continued interviews with the fleet Department (PREPA Applicants). - Work with PREPA fleet to inspect and maintain the existing fleet to bring into compliance with regulatory requirements.
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.	91-99%	<ul style="list-style-type: none"> - Completed Asset Management plan and submitted for internal review. - Work with PREPA, Burns & McDonnell and Sargant & Lundy to prepare for implementation of flood-prone substation plan. - Draft preventative maintenance plan developed and incorporated into Asset Management plan.
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.	81-90%	<ul style="list-style-type: none"> - Assessed several Low Voltage Technicians using both knowledge (written) and skills (hands-on) with the TransBanker. - Assessed several Telecom, Substation, Relay, etc. technicians. - Continued logistic meetings with Human Resources and Operations as needed to evaluate in real time the number of applicants, resource needs for conducting the assessments, etc. - Based of the results of the initial Skilled Labor Assessments, an initial training needs analysis is being completed and discussed in conjunction with Operations and Human Resources. - Submitted the permit for the Aguadilla assessment site and awaiting approval so that site construction can begin. <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.	71-80%	<ul style="list-style-type: none"> - Safety Management Plan under final review. - Completed Public Safety Plan. - Executed the HSEQ IT software contract with selected provider. - Completed initial draft of HSE onboarding material. - Completed internal candidates' interviews; and offer letters issued. Continued interviews with external candidates. - Advanced the COVID vaccination strategy for LUMA employees. - Participated in the Tsunami preparation exercise with PREPA. - Advanced discussions with third party supplier for PPE requirements.

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed
				<ul style="list-style-type: none"> - Advanced discussions with DOT third party provider. - Working with HR on Drug and Alcohol Policy and pre-employment assessment.
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.	71-80%	<ul style="list-style-type: none"> - Continued with the review of PREPA standards being developed by S&L in order to have alignment. - Continue to work with PREPA and their consultants on alignment of 10 yr. projects - Continue to work with PREPA and their consultants on alignment with SOWs being developed for PREPA to submit to FEMA. - Reviewed the A/E contract firms and their associated contracts approved by PREPA. - Continued the development of the streetlight program. - Continue the development of the maintenance practices standards. - New Customer Services: Continued 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..	91-99%	<ul style="list-style-type: none"> - Completed Health Assessments on low-priority facilities. - Development of Property Summary Sheets are underway for High and Medium-priority summary sheets. - Final dashboard being developed reflecting total property health results. <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.	71-80%	<ul style="list-style-type: none"> - Begin interviewing external candidates. - Continued development of operational forms, templates, processes. - Initiated procurement process for further key commencement contracts. - Continued detailed review of day 1 requirements and further work on cutover plan. - Began site visits to key vendor facilities to evaluate capabilities. - Issued offer letters to internal candidates.

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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.	61-70%	<ul style="list-style-type: none"> - Continued further refinement of Standard Operating Procedure document in preparation for translation to Spanish. - Coordination of system requirements and workflows for key work activities, especially around department interfaces. - Investigating existing PREPA commissioning process and understanding applicability to LUMA's operations. - Development of workflows and document control solutions for customer service work within operations. - Further development of the draft Quality Management System for Operations, including a policy, master list of inspection and test plans, and quality control form templates. - Engaged vendors to assess provision of Personal Protection Equipment (PPE) and Clothing.
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.	81-90%	<ul style="list-style-type: none"> - Issued Request for Proposal for contracted vegetation management services and started reviewing proposals. - Finalizing LUMA Vegetation Management operational Plan. - Continued review of Day 1 requirements and cutover plans; including resource allocation and cross-operational vegetation management support. - Procedures for LUMA land management have been initiated.
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	
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.	71-80%	<ul style="list-style-type: none"> - Collaborated with PREPA, PREPA's consultant, and federal agencies on long-term planning for federal funding, including reviewing and updating processes for Environmental and Historical Preservation Review for federally funded projects. - Submitted initial offers to PREPA employees for environmental positions post commencement, interviewed external applicants and created a resourcing plan based on skills and experience of applicants. - Work continued on PREPA Baseline Environmental Study. Approximately 25% of the sites have draft reports completed. LUMA is working with PREPA and Stantec to accelerate this work. - Reviewed environmental reports and catalogued data provided by Stantec and PREPA.
3	System Remediation Plan Milestones			
3.01	Remediation Plan Proposal	This deliverable consists of developing a remediation plan outline and methodology.	100%	- This HOC item has been completed.

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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%	- This HOC item has been completed.
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%	- This HOC item has been completed.
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	100%	- This HOC item has been completed.
3.05	Approval of System Remediation Plan	Activities to gain P3A and regulatory (PREB) approvals for System Remediation Plan	71-80%	- Prepared for next steps in proceedings and awaited PREB regulatory schedule.
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.	81-90%	<ul style="list-style-type: none"> - Signed lease for Call Center Building (CIM Building). - Working with Real Estate and IT on the move in and space preparation and occupancy permits to be in place for CIM Building. - Finalized location of Regional Contact Centers and began space planning. - Finalizing seating charts for Customer Experience facilities. - Continued reviewing facilities for possible consolidation and reviewed regional facilities budget with Facilities and Operations teams.
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.	71-80%	<ul style="list-style-type: none"> - Developed 35+ high priority Customer Experience process maps and procedure documents to support employee training and commencement efforts. - Identified and onboarded new resource to perform approvals of completed Process/Procedure/Policy documents. - 25% of 200 documents have been sent for final review before translation. - Completed additional reviews with Training Team to share key information and insights on the process and procedure documentation. - Started developing a Quality Assurance and Control process for Bill Printing by third party vendor.
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.	81-90%	<ul style="list-style-type: none"> - Completed draft meter reading plan. - Continue to work with vendor to develop a small AMI pilot plan. - Still waiting on RFI data for certain meter locations on the feeder being targeted.

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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.	71-80%	<ul style="list-style-type: none"> - Completed final edits to the Voice of Customer Program deliverables, including development of a detailed work plan. - Awaiting the publication of J.D. Power peer group results to enable the development of presentation on Q1 Residential results. - PREPA Employee Customer Experience Survey was sent to all PREPA employees in March. Awaiting responses to identify additional opportunities to improve the LUMA customer experience. - Continued interviewing PREPA employees and external candidates; including conducting "Hiring Blitz" 3-day job fair interviewing 200+ external candidates. - Developed drafts of 40% of the procedural lessons, including training modules on 17 of the highest priority procedures on Billing Exceptions, Emergencies and Outages, and Managing Payments. - Drafted a Quick Reference Guide template to be populated with summary content that helps Customer Experience employees quickly locate and review critical and/or less common procedures. - Development completed on 40% Oracle CC&B Navigation lesson. - Worked with IT/OT to confirm readiness and prepare for use of the LUMA Oracle CC&B Development environment for training purposes.
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.	71-80%	<ul style="list-style-type: none"> - Confirmed combined CC&B, Genesys and other system capabilities to support future state customer dunning communications. - Coordinated with corporate communications documentation requirements for customers to initiate service. - Documented processes maps and procedure documents associated with starting and/or terminating service.
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.	81-90%	<ul style="list-style-type: none"> - Completed draft meter asset management updates to overall asset management plan (refer to 2.0305) . - To be reviewed and finalized for inclusion in the overall plan.

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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.	61-70%	<ul style="list-style-type: none"> - Finalized the business requirements and solution design for the cloud-based contact center platform. - Requested a new integration with Oracle Customer Care & Billing for Genesys call center technology. All other integrations have been verified for the contact center platform. - Finalized requirements and integration steps between MI LUMA and the cloud-based contact center platform for support of email, chat, and co-browse capabilities. - Began IT/network configuration and move in processes for new Contact Center facility (CIM building). - Requested required computer equipment and provisioning plans for first new LUMA employees. - Confirmed minimum requirements of customer self-serve tools at commencement. <p>Bill Print</p> <ul style="list-style-type: none"> - For commencement, LUMA will use the current PREPA Bill until new LUMA bill receives PREB approval and bill configuration are programed. The printing will be conducted at the 3rd party vendor. - Confirmed integration testing required for printing bills and customer letters. - Created technical process diagrams for Bill Print and Delivery file transfers between vendor and LUMA. - Developed contingency cutover plan and project plan for Bill Print and Delivery. - Mapped comparison of current PREPA vs. LUMA proposed bill for PREB submission. - Began bill print and delivery testing strategy and approach.
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.	51-60%	<ul style="list-style-type: none"> - Worked on a draft of the Non-technical Loss Reduction Plan
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.	81-90%	<ul style="list-style-type: none"> - Continued weekly Operations/Customer Experience meetings to finalized field activity service orders processes created from Storms, Oracle and CUCOH software. - First draft of the Customer Experience and Operations Integration plan has been completed. - Created the first draft of Service Metrics by work type and documented what information is required from Operations for each Order type. - Investigated and documented current PREPA timelines for the top twelve Customer Service Orders types. - Worked with PREPA Customer Service Supervisor to develop

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed
				draft process for completing Service Orders in Oracle CC&B. - Conducted bi-weekly meetings with Operations/Customer Experience/Utility Transformation to discuss all the teams' integrated processes, focused largely on Meter Testing, Meter Reading and Meter Inventory/Ordering.
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.	100%	- This HOC item has been completed.
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.	100%	- This HOC item has been completed.
5.03	Evaluating IT/OT Applications and Infrastructure	This deliverable includes gathering information and evaluating PREPA's IT/OT applications and infrastructure.	100%	- This HOC item has been completed.
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 BCP and release Cybersecurity and Business Continuity Plan for internal review. - Collected business metrics and priorities for technology to contribute to the BCP. - Completed LUMA BCP/Crisis Management Workshop. (Work on this deliverable is conducted in conjunction with the Handover Checklist items 9.05)
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.	100%	- This HOC item has been completed.
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%	- This HOC item has been completed.
5.07	Commencement Cutover Planning	This deliverable includes activities to prepare for Commencement Cutover during Transition.	71-80%	- Held Process Workshops to confirm Employee Maintenance, Time Collection and Payroll Processes. - Communicated process and began development of project Cutover Plan and rollup/milestone reporting. - Reviewed and confirmed process with PREPA IT to obtain approval to begin system configuration within PREPA's production systems. - Finalized mobile and end user hardware requirements and associated contracts are being executed. - Developed and began implementing LUMA End User identity access management process. - Continued LUMA and PREPA weekly alignment meetings. - Developed, sent and compiled IT OT All-Hands Meeting

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				Survey to PREPA and LUMA IT employees. - Developed and emailed IT OT Newsletter to PREPA and LUMA IT employees communicating upcoming Milestones and Key dates and activities. - Held PREPA/LUMA Monthly IT OT All-Hands 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.	100%	- Finalized Hand Over Checklist documentation. - This HOC item has been completed.
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.	100%	- Please refer to comments within HOC 6.05. This HOC item is deemed completed with the filing of the Regulatory submission to the PREB. (Work on this deliverable was conducted in conjunction with the Handover Checklist items 6.02 and 6.05)
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).	100%	- Please refer to comments within HOC 6.05. This HOC item is deemed completed with the filing of the Regulatory submission to the PREB. (Work on this deliverable was conducted in conjunction with the Handover Checklist items 6.01 and 6.05)
6.03	Formalizing/Approach to Changes Control Processes	This deliverable includes the reporting any significant deficiency, material weakness, improvement opportunities and any other matter considered relevant for the FET identified as a result of the review of PREPA's Internal Controls Framework.	100%	- Finalized list of gaps and opportunities noted in previous month. This HOC item has been completed.
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.	71-80%	- Continued progress on finalizing Oracle EBS configuration and process flows. - System integration and end-to-end testing of Oracle EBS is expected in early April. Delays resulted from issues with previously unknown custom configurations at PREPA having to be made to Oracle EBS.

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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.	81-90%	<ul style="list-style-type: none"> - Ensure LUMA's Initial Budget data, as filed with the PREB, is understood by PREPA and incorporated appropriately into the 2021 Fiscal Plan. - Supported LUMA's Initial Budgets and SRP submittals currently before the PREB which included preparatory work in anticipation of information requests from the PREB. <p>(Work on this deliverable was conducted in conjunction with the Handover Checklist items 6.01 and 6.02).</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.	81-90%	<ul style="list-style-type: none"> - On going discussions with PREPA treasury to monitor account set-up status. - LUMA signers to be set-up prior to commencement. PREPA informed LUMA that LUMA signatories do not need to be added until within 30 days of commencement.
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.	71-80%	<p>Workday Payroll</p> <ul style="list-style-type: none"> - Payroll and Absence testing end to end testing 98% completed. - Integrations testing is 90% completed; Resolving issues identified during testing. - Pay parallel testing in progress. - Planning for Compare testing in progress. - Started design work on newly added integration to Azure AD. - SOP development, translation of tenanted data in progress. Kronos - Completed System Integration Test 2. - Completed Employee Demographics Integration CRP. - Preparing for User Acceptance Test.
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.	91-99%	<ul style="list-style-type: none"> - Completed internal alignment within LUMA on proposed approval limits.
6.09	Processes & Procedures and Overall Internal Controls	This deliverable includes activities related to the understanding and assessment of PREPA's Internal Control Framework, including Entity Level Controls, management directives pertaining to the entire entity are carried out, and Transaction Level Controls (i.e. walkthroughs on key business processes).	100%	<ul style="list-style-type: none"> - This HOC item has been completed.
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.	61-70%	<ul style="list-style-type: none"> - Ongoing discussions with Capital Programs regarding FEMA PA policies and procedures and integration of Federal Funds within the Capital Programs activities - Continued discussions regarding understanding of planned system integration, chart of accounts, and procurement.

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				- Continued discussions regarding integration and implementation of GrantWise.
7.02	Policies and Procedures	This deliverable includes the development of policies and procedures in line with governance framework.	71-80%	<ul style="list-style-type: none"> - Continued to support Capital Programs related to program and grants management. - Continued to provide technical assistance on Federal funding regulations related to chart of accounts, internal labor and other finance related federal fund topics. - Continued GrantWise for integration with LUMA financial system and ultimate deployment. - Continued draft of LUMA's comprehensive Federal Fund Manual. Policies and procedures currently in process relate to costs, property, monitoring, audits, performance and financial reporting, record retention, insurance and duplication of benefits, and appeals.
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	
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.	71-80%	<ul style="list-style-type: none"> - Commenced preparation of the final draft of the Project Worksheet (PW) Assessment including creating a printed view of the PW story board. - Continued support to Capital Programs by providing basic FEMA PA end to end process overviews focused on: <ol style="list-style-type: none"> 1) Procurement processes, FF Procurement Manual, IEM's involvement in procurement with federal funding; 2) Reporting requirements (cost, project/program guidelines, schedule and variances); 3) Rules, Regulations and Procedures and related compliance issues 4) timelines and the steps that need to be taken from scope creation to start of contract; 5) FEMA Funding Processes – including all funding types; 6) FEMA Conflict of Interest Guidelines for Project work, Procurement and Design; and 7) FEMA Audit Requirements. Ongoing discussion of activities to complete prior to commencement.
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	
7.07	Project Procurement Planning	Assess and identify gaps in the PREPA procurement process for federally funded activities.	Refer to 7.05	

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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.	81-90%	<ul style="list-style-type: none"> - Completed the third draft of Federal Fund Procurement Manual which is currently under review. - Continued ongoing technical assistance and related to the integration of the Federal Funding Procurement and the Non-Federal Funding Procurement Manual processes.
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.	Refer to 8.02	<ul style="list-style-type: none"> - Reporting has been consolidated under 8.02 Recruiting and Staffing. - This specific deliverable has been completed.
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.	81-90%	<ul style="list-style-type: none"> - Undertook significant recruitment efforts including ~2,400 interviews. Began sending offer letters. Undertook candidate discussions to provide clarity as required. - Executed contract with vendor for background checks and drug testing. Continued assessments of vendors for physicals. - Continued onboarding planning concerning safety, compliance, and operational trainings needed, and policies and benefits scope for onboarding.
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.	100%	<ul style="list-style-type: none"> - Finalized preparatory work with each department to coordinate and schedule interview meetings. - Handover checklist item has been completed.
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. - This specific deliverable has been completed.
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.	81-90%	<ul style="list-style-type: none"> - Completed baseline Payroll and Absence end-to-end testing. - Started work to define requirements, prototype and configure Workday to support the recent payroll and retirement changes. - Working on master data sync between Workday and iCIMS. - Continued tenanted data translation process and SOP documentation creation. - Initiated the process of hiring all LUMA Contingent Workers (secondes and contractors) into Workday.

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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.	91-99%	<ul style="list-style-type: none"> - Continued monitoring media messages and delivering summaries to key LUMA employees. - Continued developing materials for press. - Continued developing customer multimedia communications campaign for LUMA commencement. - Engaged project manager for brand roll out. - Continued developing functionality of web portal and mobile app. - Delivered final Communications Plan.
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.	81-90%	<ul style="list-style-type: none"> - Continued review of the Training Plan. Engaged and selected vendors to deliver content for training. - Continued development of LMS with Workday to content delivery. <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.	100%	<ul style="list-style-type: none"> - Retirement Plan has been designed and completed. - This specific deliverable has been completed.
8.09	Occupational Health and Wellness	This deliverable involves implementing a confidential Employee Assistance Program through our medical provider.	91-99%	- No updates to report
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.	91-99%	<ul style="list-style-type: none"> - Continued refinement of core policies and worked towards final signoff. - Continued planning for onboarding policy rollout. - Working with Fidelity on non-discrimination testing of the 401K.
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.	71-80%	<ul style="list-style-type: none"> - Completed development of employee communication materials, including Total Rewards for onboarding, for current and future LUMA hires. - Continued refinement of LUMA Employee messaging based on feedback from PREPA employees. - Finalized the compensation scales with hiring managers and leadership team. <p>(Work on this deliverable is conducted in conjunction with the Handover Checklist item 8.02)</p>
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	91-99%	<ul style="list-style-type: none"> - Finalized and signed contracts with Community Investment partners. - Continued to develop plans for Community Investment roll

ID	Full description	Deliverable Description	Status % Complete	Summary of key work performed
		contribute to the community in Puerto Rico and will involve engaging employees in the program(s) through donations and volunteer opportunities.		out and announcement. - Delivered final Community Investment Plan.
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%	- Conducted additional implementation planning steps consistent with draft design of Shared Services model submitted to P3A and PREPA.
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.	91-99%	- Completed draft and submitted NFF Procurement Manual to P3A for review and approval.
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.	91-99%	- Completed Physical security plan and submitted for final internal review. - Work completed on final site report assessments. - Transition of work to Corporate Services Department security team ongoing.
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.	100%	- This HOC item has been completed. (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	
9.07	System Operation Principles Regulatory Approval	This deliverable consists of activities to gain P3A and regulatory (PREB) approvals for System Operation Principles	71-80%	- Prepared for next steps in proceedings and awaited PREB regulatory schedule.
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.	91-99%	- Completed and incorporated processes as part of the NFF Procurement Manual. - Working with Federal Funding team to confirm process impacts related to federally funded projects, and how these will be operationalized.

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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.	81-90%	<ul style="list-style-type: none"> - Provided recommendation for lease contracts that can be terminated. - Develop LUMA lease portfolio and lease termination strategy. - Engaged PREPA to provide notice to landlords that LUMA will be acting as an agent on behalf of PREPA. - Determined office use and occupancy for all Regional Offices, and assignment of positions per locations has commenced. <p>(Work on this deliverable is conducted in conjunction with the Handover Checklist items 2.0309)</p>
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.	71-80%	<ul style="list-style-type: none"> - Sent letter to PREPA requesting that they issue notice of impending agency relationship to all vendors (not just counterparties of contracts - also vendors with whom PREPA does business by purchase order only). - Prepared draft Notice letter for PREPA's use. - Sent direction on first batch of System Contracts for extension / renewal to PREPA (61 total).
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	
12	Front-End Transition Plan (Additional Requirements)			
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.	41-50%	<ul style="list-style-type: none"> - All insurance applications begun, and many are readying completion for entry into the insurance marketplace. - El Fondo coverage for post-commencement is almost quantified and job classifications are being finalized by HR.
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	91-99%	<ul style="list-style-type: none"> - Completed drafts of revised Performance Metrics Baselines and Targets filings to include results of the J.D. Power surveys. - Investigated availability of PREPA Outage Management System functional documentation for existing version and the ongoing upgrade. Issued an RFI.

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		commencement, and a proposed annual target metric and improvement trajectory.		- Preparatory work in support of discovery phase of regulatory filings and Information Request from PREB.
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%	- Back End Transition Plan under review by Senior Leadership.
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.		- 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	
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.	71-80%	Continued to work on and provide legal support for various condition precedent activities to Interim Period Service Commencement under the OMA and the Supplemental Terms Agreement including the following: - Work on Shared Services Agreement (SSA) including consideration for the shared services and how accounting is handled under OMA and the various budgets, investigate applicable taxes, if any and prepare comments to P3A's revised draft of the SSA. - Follow-up and work with counsel for FOMB on term sheet for FOMB Protocol Agreement. - Review and work on initial draft of Gridco-Genco Operating Agreement received from P3A. - Continue to work on execution and delivery of Tax Assurance. - Work with counsel for the FOMB and AAFAP on Motion for Administrative Expense Treatment during Interim Period, review and comment on draft of Motion.

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				<ul style="list-style-type: none"> - Work on Federally Funded Procurement Manual and Non-Federally Funded Procurement Manual. - Provide legal support to LUMA regulatory group in obtaining Governmental Approvals (permits and licenses) required for Interim Period Service Commencement. - Work to facilitate and expedite preparation of Supplemental Agreement Tax Opinion and associated Reliance Letter including the useful life report bring-down. - Continue to work on and push for information on PREPA Re-organization plan including the independent engineer report needed for the demarcation of the generation and T&D assets.
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		- 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		- No action required at this time.