

## **Annex III**

### **Back-End Transition Plan**

The Back-End Transition Services shall include any of the following.

#### ***Owner Rights***

- Audit
- Engagement of Subcontractors

#### ***Operator Rights***

- Baseline Environmental Study
- Engagement of Subcontractors
- Use of Affiliate Personnel

#### ***Owner Responsibilities***

- Access to Office Space, Facilities
- Cooperation with Operator
- Establishment of New Bank Accounts
- Notification of Customers to New Payment Accounts
- Timely Payment of Back-End Transition Fees

#### ***Operator Responsibilities***

- Safety
  - Review of Overall Safety Program
- T&D Operations
  - Review of Current State of System
  - Review of System Operator Principles and Emergency Response Plans
  - Review of Vegetation Management Plan and Physical Security Plan
  - Review of Integrated Resource Plan
  - Delivery of List of Fleet Vehicles
  - Review of System Remediation Plan (if Applicable)
  - Sale of Materials and Supplies
  - Preservation of Materials, Tools and Equipment
  - Removal of Equipment and Tools from T&D System Sites
  - Maintenance of Consumable and Spare Part Inventory at Sites
  - Removal of Operator Employees from T&D Sites upon Exit
  - Condition of T&D Sites Upon Exit
  - Delivery of Current Maps of the T&D System
  - Provision of Technological and Design Support

- Regulatory
  - Review of any Regulatory Reporting and Compliance Requirements and Open Discussions with PREB
  - Review of Regulatory Filing Priorities and Timeline
- Customer Service
  - Review of Policies, Processes and Procedures Captured Under the Document and Record Control Register
- Human Resources
  - Delivery of Information Regarding Staffing, Benefits and Labor Contracts
  - Retention of Senior Management for Six Month Period
  - Stability of ServCo employees - fair and appropriate treatment of the ServCo employees, including possible sale of ServCo to facilitate stability
  - Evaluate circumstances and consider other appropriate options to facilitate employee stability in transition
- Capital Projects
  - Delivery of List of Materials and Equipment Delivered to Work Sites
  - Status of Federally Funded Projects
- Information Technology
  - Review of the Data Security Plan
  - Delivery of all Computer Programs used at T&D Sites
  - List of Files, Access and Security Codes
  - Delivery of System Information and Customer Databases
  - Delivery of a Document Management Program
- Finance
  - Estimate of Back-End Transition Service fee for 4.5 Months
  - Monthly Invoice for Back-End Transition Services
  - Review of Current Budgets
- Risk Management
  - Notice of Termination of Insurance Policies
- Environmental
  - Review of Status of Environmental Work
  - Review of Pending Permitting and Reporting
- Legal
  - List of Legal Proceedings Involving Contractors or Subcontractors
  - Provision of Work Product and Owner Intellectual Property
- Supply Chain
  - Review of Procurement Manuals
  - Delivery of Copies of All Contracts and Subcontracts
  - Termination or Assignment of Contracts and Subcontracts
  - Cessation of Entering into New Contracts
  - Transfer of Title to Special Order items
  - Transfer of Warranties

- Administrative
  - Removal of Branding
  - Termination of Shared Service Agreements (if Applicable)
  - Milestone Reporting
  - Delivery of all Books, Records, Customer Lists and Other Information
  - Delivery of List of all Facilities
  - Develop and Execute a Handover Checklist