

T&D P3 Project – Request for Clarification ("RFC") Log

October 2020



**Puerto Rico Electric
Power Authority**

Strictly Private and Confidential



#	Topic	Dataroom Reference	Question	Response	Date Answered
1	Integrated Resource Plan	1.5.3	The Integrated Resource Plan includes T&D portions that are redacted due to it being CEII. Are we able to see the redacted T&D information?	Yes. The unredacted versions of the IRP are available in the Independent Engineer and Technical folder in the data room, under sub-folder 2018-19 IRP (Index 1.5.3). Also, please note that we have posted additional workpapers in Index 1.5.3.6.	4/12/2019
2	Finance		What is the 2018 deferred balance of the Contributions in Lieu of Taxes (CILT) account that is due to municipalities. Who bears this responsibility after the concession is complete?	The deferred balance of CILT payable to municipalities is offset by receivables from municipalities. The balances are recorded per requirement of the Trust Agreement, and any legacy payables or receivables will not be carried over to the concession except where agreed upon. The primary responsibility of the concessionaire / operator will be calculating and billing the CILT and Subsidy rate riders, and collecting billed sales from customers.	4/12/2019
3	Legal	1.12.2	What is the total employee count for the T&D concession? Please break down current employee count by office and also contract or full time employee.	All non-generation directorate employees would be considered for the T&D concession, approximately 4,500 regular employees. The active employee roster of positions by directorate and office can be found in the Human Resources folder, Staffing sub-folder (Index 1.12.2).	4/12/2019
4	Legal		Does the new cooperative law require the concessionaire to sell distribution systems in order to help locals form cooperatives?	SB1121 (signed into law on April 11th) provides that electric service companies and microgrids (which may include energy cooperatives) shall have the right to demand interconnection to the transmission and / or distribution network under conditions that are non-discriminatory, when it is technically feasible, consistent with the Integrated Resource Plan and the regulations of the Energy Bureau. PREPA or the T&D Concessionaire / Operator will also be required to develop a microgrid interconnection regulation. The T&D Concessionaire / Operator shall evaluate interconnection requests pursuant to the regulation. If the T&D Concessionaire / Operator denies the interconnection of a microgrid or determines that additional technical requirements or improvements to the distribution system are required, the party requesting interconnection may seek the review of the Energy Bureau.	4/12/2019
5	Federal Funding		It is our understanding that the FEMA 428 program requires an estimate to be delivered by October 2018. Can we have access to the preliminary 428 estimate?	The FEMA 428 program currently requires an estimate to be delivered by October 2019. Determining the preliminary estimate is an active and ongoing process in close coordination with FEMA, and the current discussion still focuses on cost-estimate procedures. However, the latest Grid Modernization Plan assess the cumulative cost estimate for Transmission and Distribution to be \$12.21 billion from 2019 through 2028.	4/12/2019
6	Legal		Have the four collective bargaining agreements been translated into English?	The CBA's have not been translated in English.	4/12/2019
7	Finance	1.5.4	Are there any more recent annual reports on electric property completed by Consulting Engineers/URS. The most recent available is 2013.	To date, there are no more recent reports on the T&D system. However, an Independent Engineer report is currently in progress. Please find select draft releases of this ongoing report in data room folder Index 1.5.4.	4/12/2019
8	Title III		In PREPA's Title III case, do you know if a Restructuring Support Agreement was reached on or before February 12, 2019? If not, has the date been extended, and if so, until when?	On April 9, AAFAF, the Oversight Board, Assured Guaranty and the Ad Hoc Group of PREPA bondholders (the "Moving Parties") announced they have reached an agreement in principal with regards to a Definitive Restructuring Support Agreement ("RSA") to restructure PREPA's existing debt obligations, which provides that certain PREPA debt must remain tax-exempt. Assured Guaranty and the Ad Hoc Group represent holders of approximately 50% of outstanding PREPA bonds. Despite negotiations with National and Syncora (the two other Monoline insurers of PREPA's bonds that collectively hold less than 15% of outstanding PREPA bonds), no agreement has been reached with these parties. The Moving Parties are currently in the final stages of documenting and executing the agreement and are seeking to extend various deadlines until April 26 in order to finalize and execute the Definitive RSA and prepare various motions for the courts approval for the debt restructuring.	4/12/2019

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9	Information Technology		Please provide maps overviewing the microwave network used by PREPA	Please find the maps of the microwave network posted to data room folder index 1.11.5	4/15/2019
10	Environmental		According to the Environmental Compliance whitepaper, PREPA has 250 transformers that are not in compliance with the Toxic Substances Control Act. How many of these 250 transformers have been replaced?	The statement in the Environmental Compliance Whitepaper regarding the 250 transformers that remain to be disposed of was intended to provide a rough estimate of the number of PCB Contaminated Transformers that PREPA estimated to still be in service at the time of drafting to the best of PREPA's knowledge; however, the number of such transformers that are still in service could be more or less. Note that for the PCB Contaminated Transformers that are still in service, the Toxic Substances Control Act does not require that they be removed from service provided that certain use conditions are met (e.g., the transformers cannot be leaking oil or in bad condition). Thus, these transformers are not necessarily in noncompliance.	4/23/2019
11	Customer Service		What percentage of the customer's bill is fixed?	This varies broadly by tariff and customer class. For general residential, there is a \$4 per month fixed charge, which comprises approximately 20% of basic residential revenue and 5% of total revenue.	5/9/2019
12	Customer Service		What percentage of revenues come from government entities?	Revenues from government entities that are considered "collectible" or "non-excluded" are approximately 12% of revenues. Municipal consumption called contributions in lieu of taxes ("CILT"), municipal public lighting, and government mandated subsidies (e.g. low income public housing) is not included in this amount.	5/9/2019
13	Customer Service		What percentage of revenues are subsidies?	Municipal contributions in lieu of taxes ("CILT") is estimated to be approximately 2.5% of total revenues, public lighting approximately 3% of total revenues, and subsidies for low income and other special customers is approximately 3.5% of total revenues, for a total of approximately 9% of total.	5/9/2019
14	Generation		Please provide generation dispatch information	For additional information on generation dispatch please refer to the Fuel and Purchase Power summary file in the data room at Index (1.3.6.7).	5/9/2019
15	Human Resources & Labor		What happens to PREPA employees that go to government and are licensed without pay - would the private partner be obligated to retain them? How many of such employees are there right now?	<p>There are twenty-three (23) cases, detailed below, of PREPA employees that are licensed without pay, and assigned to other government agencies / public corporations. These employees normally return to PREPA once their appointment to these governmental agencies ends. As the below data suggests, there are only 10 employees that are directly related to T&D functions (T&D and Customer Service). All PREPA employees are engaged either in operations or as a support to operations.</p> <p>License without Pay</p> <ul style="list-style-type: none"> - Customer Service – 6 employees - Generation – 7 employees - Finance – 2 employees - Transmission and Distribution – 4 employees - Legal Affairs – 1 employee - Executive – 1 - Human Resources – 1 - Planning – 1 	5/9/2019
16	Human Resources & Labor		Do unions comply with NLRB?	The unions are certified by state law and comply with the Puerto Rico Labor Relations Board. With regards to PREPA, they are not certified by the NLRB.	5/9/2019
17	Human Resources & Labor		What is a typical lineman's marginal tax bracket? What is their take-home pay?	Puerto Rico income tax brackets can be found in the PWC summary in folder 1.12 Human Resources. Average PREPA employee take home pay (salary) is approximately \$40k per year. Average tax rate on \$40k is approximately 8%, and marginal tax rate above \$41.5k is 25%, and 33% above \$61.5k.	5/9/2019

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18	Legal		How many arbitration / grievances are there on an annual basis? What is the nature of these cases?	<p>Arbitration Department (Natural Years):</p> <ul style="list-style-type: none"> - 714 claims in 2016 - 453 claims in 2017 - 526 claims in 2018 <p>Nature: Risk Bonus, Christmas Bonus, Job Postings, Traveling Time, Overtime, Reemployment, Health Care Plan</p> <p>Special Procedures Subdivision (Natural Years):</p> <p>Cases before the Puerto Rico Labor Relations Board:</p> <ul style="list-style-type: none"> - 20 cases in 2014 - 176 cases in 2015 - 1000 cases in 2016 - 165 cases in 2017 - 271 cases in 2018 - 385 cases in 2019 <p>Cases before the Conciliation and Arbitration Bureau:</p> <ul style="list-style-type: none"> - 321 Subcontracts – 11 Extraordinary Improvements in 2015 - 118 Subcontracts – 5 Extraordinary Improvements in 2016 - 591 Subcontracts – 2 Extraordinary Improvements in 2017 - 204 Subcontracts in 2018 - 40 Subcontracts in 2019 <p>*Subcontracts:</p> <ul style="list-style-type: none"> - Unions' claims under Article IV of the respective Collective Bargaining Agreements. This Article forbids PREPA from subcontracting any company to perform duties belonging to the unions except under specific circumstances delineated in each of the Collective Bargaining Agreements. <p>**Extraordinary improvements to property:</p> <ul style="list-style-type: none"> - The terms "operation" and "conservation" include all duties performed by UTIER's personnel. Extraordinary improvements to PREPA's property are excluded from this. These 	5/9/2019
19	Regulatory		Would document retention policy change if run by private operator? And broadly which rules that currently apply to PREPA as a government entity, would continue to apply to the private partner?	The Operator will only have such obligations with respect to document storage as are established under the O&M Agreement.	5/9/2019
20	Regulatory		How does Act 120 impact employee retention?	Act 120 does not require that Operator employ any PREPA employees. The O&M Agreement will require that the Operator interview PREPA employees. The requirements of Act 120 will only apply to PREPA employees that the Operator decides to hire.	5/9/2019
21	Title III		How do CBAs fit into the Title III discussion?	This is still subject to discussion and analysis. We are open to receiving suggestions.	5/9/2019

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22	Financial Model		Please provide status of process to file Form 428/PW documents. Include the elements on the forms which are being calculated and how PREPA is creating these estimates (e.g. how are escalation, risk factors and other parameters developed, what schedule assumptions are built into estimates). Please provide any draft forms that PREPA has completed if that is available.	The FEMA 428 program currently requires an estimate to be delivered by PREPA by October 2019. Determining the preliminary estimate is an active and ongoing process in close coordination with FEMA, and the current discussion focuses on cost-estimate procedures. PREPA, under the MOU with COR3, has secured additional resources from Navigant and other professionals that are helping to develop these estimates. Documentation to be submitted includes, but is not limited to: Scope of work, DDD, detailed cost estimate and architectural estimates. PREPA is generally approaching the process to prepare cost estimates on a district by district basis. The initial district for which a cost estimate is being prepared is Humacao. The cost estimate for the Humacao district is currently in progress. Draft forms will be provided available after completion.	5/9/2019
23	Generation		Why is production at the hydro facilities so low? Is it because of the actual generation units, or is it a problem with silt build-up in the reservoirs? What is the recorded generation they have operated at for the past 5-10 years?	aeo_meta file (folder 1.2.2.4) has historic hydro generation. Our general understanding is that the issue with hydro generation is related to silt build-up, and restoration would require significant dredging at high cost.	5/9/2019
24	Integrated Resource Plan		Please provide analysis and any internal studies used to estimate potential of rooftop and utility-scale solar generation (other than the IRP). This could include PREPA's existing load profile (8760 hour data if possible), assessment of installed rooftop capacity and future adoption rates by customer segment, any data on existing housing stock and available roof area inside Puerto Rico.	The IRP has adopted PREPA internal studies as the baseline estimate for existing and potential DG expansion. These forecasts are available in the IRP workpaper folder 1.5.3.6.7 titled CONFIDENTIAL-DG_Totals Forecast_V10	5/9/2019
25	Legal		What will happen with the existing pension liability? Does that stay with PREPA?	The PREPA Fiscal Plan contemplates keeping the existing pension liability at the successor entity and implementation of a transition charge as a dedicated funding source to resolve underfunding and fund the pension on a go-forward basis.	5/9/2019
26	Planning / Contracts		Please identify all self-generation that is known to exist. If available, break this out by class of customer (R,C, and I) or to any detail available (e.g. by technology, PURPA unit or not, Cogen, solar, storage)	The PREPA Planning IRP and Siemens team has prepared an estimate of this in the file called "DG Allocation by Customer Class_v1" available in the IRP workpaper folder 1.5.3.6.7	5/9/2019
27	Regulatory		Please provide any studies or analysis performed that provide an overview of the ROW acquisition process. This might include selected case studies from prior projects, process maps or flow charts describing existing process. What we are trying to do is develop a perspective on potential for land acquisitions to slow the transformation process.	The process for the acquisition by PREPA of properties and rights of way is established by PREPA regulation. The applicable regulations are Regulation No. 6955 of 2004, Regulation No. 7282 of 2005 and Regulation No. 7302 of 2006 (Data Room Index #1.4.7). We do not expect land acquisitions to delay the transaction or the transformation process. After the closing, we expect PREPA to retain responsibility in either proving, managing or acquiring rights of way or other real property rights, as necessary, with respect to the system. Furthermore, we have diligence PREPA's real property rights with respect to certain of the transmission lines and it appears that PREPA has documentation evidencing its title or other rights with respect to such lines. We have not been able to diligence any of the distribution lines because such documents have not been available for review.	5/9/2019
28	Regulatory		With respect to document storage, there were 35mm docs – does Act 5 define how PREPA must maintain documents?	Act 5 applies to PREPA, but the Operator will only have such obligations with respect to document storage as are established under the O&M Agreement.	5/9/2019

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29	Regulatory		Will the agreed-upon partnership contract take precedent over existing legislation and regulations after being reviewed and approved up to an including the Governor? This was stated to us in the regulatory workshop in San Juan on April 9th. On the past P3 projects (toll roads, airport), have there been any regulatory issues related to interpreting regulatory commitments or legislation that were resolved?	<p>Pursuant to Section 6 of Act No. 120-2018, as amended, the Partnership Contract may provide exemptions or alternate procedures with respect to the following statutory provisions (and any related regulatory provision or related action), subject to approval by PREB through the issuance of the Energy Compliance Certificate:</p> <ol style="list-style-type: none"> 1. any requirement of Act No. 109 of June 28, 1962, as amended, known as the Puerto Rico Public Service Act; 2. any requirement of the Integrated Resources Plan, as defined in Act No. 57-2014, as amended; and 3. any statutory provision applicable to PREPA, including, among others, those imposed by PREPA's enabling act. <p>Therefore, in such cases, the Partnership Contract may take precedent over such statutory provisions. However, it may not take precedent over any other statutory provisions.</p> <p>In the prior P3 projects, there have not been regulatory issues related to interpreting regulatory commitments or Iregulation.</p>	5/9/2019
30	Human Resources & Labor		Please provide a translated English version of the employee spreadsheet currently in the data room (FS-665 Active Employee Positions as of 17-Dec-2018.xls)	An English version of the referenced employee spreadsheet is not available. Please note that an updated version of the referenced file (now as of 5/2/19) has been uploaded to the data room at Index 1.12.2.3.	5/9/2019
31	Information Technology		Please provide a copy of the last cybersecurity audit report with the full audit findings.	Due to security concerns, PREPA will provide the cybersecurity reports as part of the transition process.	5/9/2019
32	Information Technology		Who is the 3rd party managed security contract provider (referenced on p. 128 of CIM)? Can we get a copy of contract?	PREPA contracted GM Security Technologies professional services with the PREPA Network and PREPA Master Service Agreement. The managed security service contract is still in the processes of being signed.	5/9/2019
33	Customer Service		Please provide the number of customers, revenue and energy sales for each tariff class. If the count of customers in each tariff changed between the "Electric Service Rates" document in the data room and the proposed new rate classes, please provide the customer count for each set of existing and proposed rates.	In folder 1.4.3.4 see Exhibit C for the current tariff book containing new PREB approved rates implemented by PREPA on May 1, 2019, and Exhibit D for tariff level detail on revenues and billing determinants from the 2016 rate case. Updated data will be provided if available.	5/21/2019
34	Customer Service		How much of total generation output is lost to theft? Please provide any overview or relevant data on non-technical loss trends for past 3-5 years if available plus any analysis on where the theft is occurring from (e.g. which customer segments, most common methods of theft).	According to analysis performed by PREPA Planning, in FY 2017 there were approximately 12% losses from Net Generation (after auxiliary power). Approximately 8% is attributed to technical losses (line and substation losses) and 4% attributable to non-technical losses, which includes theft and measurement or metering error. It is unclear what amount of non-technical losses is directly attributable to theft vs. metering error.	5/21/2019
35	Human Resources & Labor		Please provide data for employees by age for each directorate. What is going to happen over the next 10 years from a labor perspective?	Many key employees are nearing retirement eligibility, and will need to be replaced with new trained personnel. Headcount has declined nearly 40% from a decade ago, due to a combination of financial constraints, demographic trends, and competition. The fiscal plan envisions no further decline in headcount, and some level of new hiring to staff understaffed areas. The new system operator may propose increasing or decreasing staffing levels above the fiscal plan projection to meet financial or operational reliability targets.	5/21/2019

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36	Regulatory		Please describe existing and proposed framework of how storage projects will be executed. How will output of storage be priced? Which ancillary service products will have a dollar value itemized? Will customers with storage be eligible for a new tariff? Has that tariff been designed and approved yet? Is there any storage planned as part of the T&D system?	The least complicated conceivable route at present is to structure battery storage PPA's as fixed / ancillary service payments that would be included in the Purchased Power Adjustment Clause as a pass-through expense. Battery storage is a major component of the proposed IRP.	5/21/2019
37	Finance		Please provide a translated English version of a General Ledger spreadsheet currently in the data room (PREPA_GL_FY2018.xls)	A translated English version of the General Ledger is not available at this time.	5/21/2019
38	Generation		Please clarify how the New Fortress Energy project in San Juan will relate to PREPA? Who is the counterparty on the LNG supply? What is the plan for conversion of existing units to burn natural gas? What is the plan for the addition of new generation capacity (who are the counterparties, what is the technical configuration, what is the timeline)?	PREPA is contracting directly with NFE as an offtaker of LNG for the San Juan 5 & 6 combined cycle power plant. San Juan 5 & 6 are scheduled to be converted to burn natural gas between September 2019 and June 2020, the timing of which is largely dependent on environmental permitting. Additional gas-fired generation in the metro area, either at San Juan or Palo Seco, is included in the IRP and will use the NFE import facility in the San Juan harbor.	5/21/2019
39	Planning / Contracts		Please provide a complete list of contractors that currently provide services to PREPA as well as the value of the annual of their contracts as well as the nature of the work covered or performed under the contract.	File no. 1.8 in the data room includes the relevant commercial contracts entered into by PREPA. For ease of reference we further include a key vendors' list that was prepared by PREPA for due diligence efforts in January 2019 (index 1.2.6). For additional reference and informational purposes only, we performed a query in the Puerto Rico Comptroller's website for all contracts entered into by PREPA during the current fiscal year, and included it in the data room in file 1.8.7. Please note that PREPA is required under law to register every contract but we cannot guarantee that the query is accurate.	5/21/2019
40	Financial Model		Is there a cash forecast available covering the period 2019-2028 showing a detailed sources and uses of funds for each year?	The Financial Model released to Proponents is the most recent long-term forecast through 2028. As part of its PROMESA requirements, PREPA is developing an updated fiscal plan and short term cash flow projections based on the FY 2020 annual budget. These will be made available to proponents when finalized.	5/21/2019
41	Title III		Provide an update on the bankruptcy/debt restructuring.	Please see folder 10.1.3 for the PREPA RSA published May 3, 2019.	5/21/2019
42	Finance		What access does PREPA have to short term funding sources to meet working capital requirements? (DIP financing, other credit facilities)	Since the beginning of forbearance, PREPA has had to use various financing avenues to meet short term working capital needs. In general, PREPA relies on cash working capital, and has a stated requirement of one-sixth of budget operating expenses provided for in the Trust Agreement (governing document of legacy bonded debt). Since filing for Title 3 bankruptcy protection in July 2017, PREPA obtained access to short term working capital through a revolving loan from the Government of Puerto Rico.	5/21/2019
43	Generation		1. What is the status of your generation divestiture process: a. Current status / expected completion date b. Are you still expecting to divest all currently owned generation c. Who will be responsible for fuel supply with these divested assets d. What is the term of the contracts you may be contemplating for power for these assets e. Do you have a contemplated list of bidders and potential asset valuations	a. The RFP for generation divestiture is currently being drafted and will allow for either the purchased or operation of the generation facilities, in a similar arrangement to the T&D agreement. B. yes, divest ownership or operating responsibility c. possibly the T&D system operator or successor entity, to-be-determined d. TBD e. not yet, TBD	5/21/2019
44	Generation		What is the current status of renegotiating the two large PPOA's (AES and EcoElectrica) as well as the fifteen solar and WTE contracts.	One of the two large PPOA renegotiations is in advanced stages. The other PPOA's are still in negotiation and must be accepted, rejected or renegotiated before the Plan of Adjustment is finalized and submitted to the Title 3 Court	5/21/2019

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45	Generation		What is the current status of the natural gas conversion projects for San Juan as well as the incremental land / sea based LNG projects? Do you see these fuel supply responsibilities shifting to the new owners of the to-be divested assets?	PREPA is contracting with New Fortress Energy for LNG at the San Juan 5 & 6 combined cycle power plant. San Juan 5 & 6 are scheduled to be converted and back online burning natural gas between September 2019 and June 2020, the timing of which is largely dependent on environmental permitting. Additional gas-fired generation in the metro area, either at San Juan or Palo Seco, is included in the IRP and could use the NFE import facility in the San Juan harbor. Sea based LNG and other import projects around the island are subject to the findings of the IRP.	5/21/2019
46	Generation		Do you have an estimate of the current level of self-supply / customer owned generation in Puerto Rico?	The PREPA Planning IRP and Siemens team has prepared an estimate of this in the file called "DG Allocation by Customer Class_v1" available in the IRP workpaper folder 1.5.3.6.7	5/21/2019
47	Human Resources & Labor		The workforce (e.g., allocations to T&D, definition and role of "trust" positions, use of contractors, staffing shortfall, outside consultant assessment)	Please see the Confidential Information Memorandum in the data room, the Management Presentation from April, and folder 1.12 of the data room for an overview of PREPA's workforce	5/21/2019
48	Human Resources & Labor		Collective bargaining agreements, arbitration awards, bargaining history, bargaining obligations, and union activity	Please see folder 1.12.3 of the data room for PREPA's CBAs.	5/21/2019
49	Generation		What organization does the dispatch function currently reside in?	The energy control center was previously housed in the Generation directorate, but was separated as its own division at the beginning of FY19. The T&D service provider is intended to be responsible for system dispatch operations.	5/21/2019
50	Human Resources & Labor		Do you foresee any issue transferring employee records post transaction?	No issues are expected.	5/21/2019
51	Federal Funding		FEMA funding request: Provide full FEMA request and the list of projects and associated cost estimates Follow-up discussions on specific timeline (i.e., October complete and final approval)	Please find uploaded to the data room at index #1.1.2.3.3 an internal project management document, which contains the "priority section 428 (permanent work) projects". This list is broken down into Tier 1 and Tier 2 projects. Work associated with the Tier 1 projects is underway, but only the DFMO #001 Vieques & Culebra and #005 Humacao District have been officially submitted to FEMA. DFMO #001 has undergone significant revision and modification, and a cost estimate for this project is not available. DFMO #005 has a cost estimate of approximately \$0.3 billion (only repair damage) and \$1.3 billion (repair and upgrade damage to new codes and standards). In general, FEMA, COR3 and PREPA are engaged in a collaborative process and meetings, discussions and follow-up occurs daily. However, there is no specific timeline.	5/21/2019
52	Title III		Bankruptcy update – PREPA agreed on a call in the next month or so as they expect meaningful positive development on approving the settlement	Please see folder 10.1.3 for the PREPA RSA published May 3, 2019.	5/21/2019

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53	Financial Model		Rates – provide a forecast from current rates over the next ten years and the underlying assumptions (i.e., increases due to the Restructuring Support Agreements reached with bondholders, increases to address the underfunded budget, increases for mgmt. fee, increases for veg mgmt. and other operating costs, changes for new generation to replace existing generation (up for capacity cost, down for lower fuel and more efficient units), and changes due to higher or lower volume to customers, etc.)	Please see the Financial Model released to Proponents. Note that this model does not incorporate any compensation to T&D Operator; Proponent will have to add that information in the relevant field. Proponent should take their own views on operating costs, generation costs, vegetation management, etc.	5/21/2019
54	Federal Funding		Confirm whether the October 2019 deadline is for the submission of funding requests or the date that FEMA will confirm the funding awards.	The October deadline is for the submission of section 428 (permanent work) projects to FEMA with cost estimates, not the date that FEMA will confirm awards. FEMA has advised PREPA, in writing, that the deadline may be extended on a case by case basis at FEMA's discretion.	5/21/2019
55	Customer Service		What percentage of payments are received via mail?	According to analysis prepared by PREPA, mail/check transactions received by PREPA between January 2019 and March 2019 represent 1.07% of the total number of transactions and 4.42% of the total amounts received.	5/21/2019
56	Federal Funding		Please post the August 8, 2018 Economic Disaster and Recovery Plan to the data room	Economic disaster and recovery plan has been uploaded to the data room at index # 1.1.2.3.1	5/21/2019
57	Federal Funding		Please provide the CDBG Action Plan - September 2018	Approved CDBG action plan has been uploaded to the data room at index # 1.1.2.3.2	5/21/2019
58	Federal Funding		Has FEMA been receptive to the funding of smart meters? Are they supportive of the ability to use such meters for remote shutoff?	Smart Meters have been included in the Humacao District project formulation that has been submitted to FEMA. No feedback has been provided by FEMA at this time.	5/21/2019
59	Human Resources & Labor		Is employment in Puerto Rico "at will"?	Employment in Puerto Rico is NOT "at will" due to the provisions of Act No. 80 of May 30, 1976, as amended ("Act 80"). As a result, although an employer can dismiss an employee without just cause, Act 80 would require the employer to pay certain amounts to such employee. The payment due to an employee dismissed without just cause is based on a formula included in Act 80 and varies based on the amount of time the employee worked for the employer.	5/21/2019
60	Human Resources & Labor		Can the four existing unions represent private sector employees?	The four PREPA unions are not legally prohibited from representing private sector employees. Notwithstanding the foregoing, to the extent a PREPA union represents private sector employees, it would have to comply with certain federal law requirements, such as the provisions of the Landum Griffin Act.	5/21/2019

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61	Customer Service		Please provide number of meters by metering type and by vendor. How many are electromechanical, electronic and smart meters? How many are capable of meter J49diagnostics, interval, TOU and remote disconnects. How many are bi-directional and net metering?	<p>Details on (1) number of meters by type and (2) number by interval, TOU and remote disconnect capability are included in the data room at #1.3.7.10. Details by vendor are not available at this time.</p> <p>Bi-directional Meters</p> <ul style="list-style-type: none"> - 1,475,535 meaning they receive and send data - 623,835 meaning they have forward and reverse energy registers that can be read at once <p>Net Metering</p> <ul style="list-style-type: none"> - 623,835 are capable - approximately 6,500 by an CCB Report created by IT personnel I July 2017 - TWACS quantity it's not accurate because we are waiting IT updates in the TNS Data Base with CCB 	5/24/2019
62	Customer Service		Please describe the process of meter testing and meter asset management in your Meter Shop. What systems are used for meter life-cycle management, inventory, testing and quality assurance? What type of meter for wholesale measurement?	<p>Please clarify what is meant by J49 diagnostics</p> <p>i. - A sample of the new meters is determine to be tested by type and ANSI standards. After the testing findings are reported to the procurement dept</p> <ul style="list-style-type: none"> - Verify the sample for visual damages - Install the meter in the tester machine and do tests - AMR tested (read the meter by TWACS system if applicable) - Disconnect mechanism tested (if applicable) <p>ii. Meter life-cycle management: PREPA's economic condition and hurricane Maria doesn't allowed PREPA to replace meters to do meter life-cycle management. We received small quantities of meter to use with the districts operations. This question should be answered by Customer Service Regions (AOC). For inventory, PREPA uses the procurement division for inventory. Districts requests meter from the central warehouse and place them at their local inventory. The same with Metering offices</p> <p>iii. Types of meters for wholesale measurement are: 3S, 5s, 9s and 16s polyphase meters with auxiliary metering equipment's</p>	5/24/2019
63	Customer Service		Please describe the process for installation and field testing of metering equipment.	<p>This process it's done by Metering Testers I and II joined by a Metering Testers Specialist or lineman I, always in teams. They complete a visual inspection and then do a procedure to verify the metering efficiency ("cotejo"), billing constant "k", CTs and PTs. This procedure is verified by the Engineer and notified to wholesale department.</p>	5/24/2019
64	Customer Service		What is the pilot AMI's communication infrastructure? Is it mesh RF or PLC?	<p>This is non existent at the moment but there are plans to issue a pilot. RFP has been drafted and is currently under review.</p>	5/24/2019
65	Customer Service		How many meters are actively used for remote disconnect and revenue protection?	<p>In total the number of meters that can be disconnected remotely are approximately:</p> <p>Echelon: 18,221</p> <p>AMR: 313,320</p>	5/24/2019
66	Planning / Contracts		Please send a copy of the recently issued Vegetation Management RFP.	<p>Please clarify what is meant by revenue protection.</p> <p>For a copy of the vegetation management RFP please refer to folder #1.8.8 in the data room.</p>	5/24/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
67	Customer Service		What is the credit and collections process (30, 60, 90 days)?	Detailed procedures for processing overdue bills have been uploaded to the data room at #1.3.7.8. Generally, PREPA begins the internal process of shutting off service when bills are 55-60 days overdue and officially cuts off service after day 60.	5/24/2019
68	Customer Service		Does the call center respond to email inquiries?	Yes, the call center responds to email inquiries.	5/24/2019
69	Customer Service		Can customers be set up on pre-authorized credit card payment?	Not currently. However, customers can set up payments from preauthorized bank/debit accounts.	5/24/2019
70	Customer Service		When do the district offices log into the call center phone queues to begin taking calls? How is this accounted for in forecasting? How many calls do the district offices take?	Currently, district offices do not accept any calls and are only used for in-person visits and other administrative work.	5/24/2019
71	Customer Service		What social funding is available for low income customers that cannot afford their bill payments?	Social funding is not available to customers however, PREPA does receive subsidies that are applied to preselected customers bills once they provide the necessary documentation.	5/24/2019
72	Customer Service		Is the Customer Services Directorate report for July and December 2018 available? Are there any reports available for 2019?	Please clarify which Customer Services Directorate report this is in reference to. KPI reports for January - April 2019 have been uploaded to the data room at folder 1.3.7.12.	5/24/2019
73	Customer Service		Is there available data from the call center to show average call volumes by interval throughout the day?	Details on call volume in half hour increments during the first week of April 2019 has been uploaded to the data room at #1.3.7.11.	5/24/2019
74	Customer Service		How many seats are available in the call center?	Approximately 70 are available in the call center. Approximately 100 additional seats will be added pursuant to a currently ongoing RFP process.	5/24/2019
75	Customer Service		Is there an outbound call process for collections?	Not currently. An outbound call process would be put in place once the new call center is finalized.	5/24/2019
76	Customer Service		Who closes the service tickets completed by the field ops workers?	Customer Service related service tickets are closed by Customer Service Representatives. For emergency and outage related tickets, customer service may generate service tickets for the T&D directorate. Those tickets would be closed by T&D representatives.	5/24/2019
77	Customer Service		What shifts do the call center run?	The call center operates and is staffed 24/7. For a detailed current shift schedule please refer to data room index #1.3.7.6. District Offices, Theft Division and Metering Division Offices are typically open Monday thru Friday (7:30am - 5pm). First shift runs 7:30am - 4:00pm and second shift runs 8:00am - 5:00pm. Several district offices have extended hours and run a third shift from 10:00am - 6:30pm.	5/24/2019
78	Customer Service		What shifts are run in the district offices? For what positions? How many people per shift?	District Offices, Theft Division and Metering Division Offices are typically open Monday thru Friday (7:30am - 5pm). First shift runs 7:30am - 4:00pm and second shift runs 8:00am - 5:00pm. Several district offices have extended hours and run a third shift from 10:00am - 6:30pm.	5/24/2019
79	Customer Service		Are call center agents bilingual (Spanish/English)?	Yes, call center agents are required to take and pass an oral language exam to ensure they have bilingual capabilities.	5/24/2019
80	Customer Service		How is metering data entered into the billing system? What causes the discrepancy between meter read completion (97%) and monthly billing completion (sometimes as low as 37%)	AMR and manual reads were used and entered after the hurricane. Occasionally there is a disconnect between the AMR system and CC&B often caused by substation outages and communication breaks. These differences would be reconciled in the next month. Please clarify what the 97% and 37% figures are in reference to.	5/24/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
81	Customer Service		Are there any customer service staff assigned to back office billing functions like bill QA, hi/lo meter reads, other To Dos?	Yes, customer service staff rotate between customer facing "front office" positions and back office functions.	5/24/2019
82	Customer Service		Other than receiving an electronic bill, are there any other functions that customers can perform online?	A variety of functions are available to customers on the PREPA website. A recently distributed email to customers (included in the data room at #1.3.7.7) provides the following examples: <ul style="list-style-type: none"> - Access previous invoices - Make payments - Report areas without service throughout the Island - View consumption history - Request Certificates of Debt or Balance and Active Service - Service Transfers - Service Disconnection - Report Energy Theft 	5/24/2019
83	Customer Service		Does the call center have a training facility? How are customer service reps trained? Is there a training environment for Oracle CC&B? How long is customer service training? Do customer service reps receive ongoing training?	The center commercial operations training center ("CAOC") is now housed under the human resources directorate. This facility has areas specifically for customer service related training. A 6 month training course is provided at the onset of each employee's tenure within the customer service directorate. Ongoing training is provided periodically.	5/24/2019
84	Customer Service		Are call center scripts available for review?	Yes, a copy of the call center script has been uploaded to the data room at #1.3.7.9.	5/24/2019
85	Customer Service		What is the average call center labour shrinkage used for schedule forecasting?	PREPA does not change schedules depending on forecast calls.	5/24/2019
86	Customer Service	1.3.7.4	How many call is the call center receiving monthly? (an August status report showed 170K, is that a normal month?)	The 170K figure reflected in the August status report is a typo and is overstated. For updated data on monthly call figures please refer to the KPIs uploaded to the data room in folder 1.3.7.12.	5/24/2019
87	Customer Service	1.3.7.4	How many customer offices do they have? Why are some closed?	PREPA currently has 21 district commercial offices and 6 local offices which are operational. 7 of the customer service offices did not reopen after sustaining damage during Hurricane Maria.	5/24/2019
88	Customer Service	1.12.15	Is there employee training around customer satisfaction?	Customer service employees receive a 6 month training course at the onset of their tenure within the Customer Service directorate. There is not additional employee training related to customer satisfaction at this time.	5/24/2019
89	Customer Service		How are they currently marketing their products and services? i. Messaging around reliability, safety, customer service ii. Messaging around products (paperless billing, budget billing, customer portal, etc.) iii. What channels are they using to get their messages out? (TV? Radio? E-mail? Bill inserts? etc.)	Currently PREPA markets products and services through the use of TV interviews (unpaid), social media, and inserts included with Customer's bills.	5/24/2019
90	Safety		What specific actions have been taken to improve workplace safety since the Dupont study? Any outstanding recommendations?	PREPA has implemented all safety recommendations per the Dupont report including the establishment of an operational risk management system, near miss-tracking, monthly incident detailed reporting, union-leadership engagement, incident investigation and training. PREPA has yet to implement the disciplinary protocol recommendation for safety related incidents as recommended by the Dupont study.	5/24/2019
91	Safety		Provide by job classification the Total Recordable Incident Rate for 2017	Please refer to the 2017 Total Recordable Incident index, found in the data room as 1.12.4.10. Please note that due to the hurricane, these statistics are not representative of a typical year.	5/24/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
92	Customer Service		What IT funding has been provided to support Modernizing of Call Center? There will need to be funds for IVR overhaul, new agent desktop, real time recording of calls, QA capabilities, chat, call back functionality, new paper bill, new customer portal, theft detection analytics software, robust reporting package, etc.	None currently. IVR is subcontracted with oriental bank. The call center RFP which is in process will modernize the call center facilities.	5/24/2019
93	Customer Service		What O&M funding has been provided for employee training and development?	No O&M funding has been budgeted for any additional training or development.	5/24/2019
94	Federal Funding		Please upload one sample FEMA filing to data room	The Humacao District project formulation documentation has been uploaded to the data room at folder #1.4.11. This is the draft plan for 428 work in the Humacao District. Please let us know if there is a different type of filing you are looking for.	5/24/2019
95	Transmission		Provide a Ten year history of Transmission and Distribution CAIDI prior to Hurricane Maria.	Data is not reliable prior to FY2013. Please note that the T&D condition assessment prepared by S&L has relevant data in the appendix.	5/24/2019
96	Safety		Please provide the safety metrics by directorate / operational category. In particular, please provide a detailed breakdown for the T&D directorate	Please refer to safety metric dataset for the month of April, which provides directorate and job classification for incidents, as per event recording recommendations in the Dupont study. This can be found in the data room as 1.12.4.9	5/24/2019
97	Safety		What are the "other" OSHA recordable events? Why are there so many of them / why haven't they been classified into one of the other incident categories?	PREPA classifies OSHA recordable events per OSHA classification standards as either injuries, skin disorders, respiratory conditions, poisoning, hearing loss, or other. Recordable events that do not fall within the definition of the first five categories are categorized by default as "other".	5/24/2019
98	Transmission		Does PREPA have any joint pole agreements with other entities such as telephone? and if so, get a copy of any such agreements.	Yes, please refer to folder #1.1.2.3.4 in the data room. Please note that PREPA expects that new agreements will be executed based on a revised form that it is still in the process of preparing. Any such new agreements will be made available to the proponents through the data room.	5/29/2019
99	Human Resources & Labor		We understand that your HRIS system of record is Oracle. What other systems do you use for talent management, recruitment, and other HR functions?	Currently the only two systems used by the Human Resources Directorate are Oracle and Kronos.	5/29/2019
100	Transmission		What are the standard conductors deployed on the system? Are they common for all voltage classes considered transmission?	The below list is not exhaustive but includes general details on standard conductors: In 115kv lines: 3/0 AWG, 556 ACSR, 556 SAAC, 795 ACSR, 795 SAAC, 1192 ACSR, 2750 KCMIL(for underground) In 230kv lines: 1192 ACSR Additionally, please note that there are some lines that have dual conductors per phase.	5/29/2019
101	Transmission		Is LIDAR included in the inspection process? If so when was the last LidAR survey?	PREPA does not have a LIDAR inspection process at this time.	5/29/2019
102	Transmission		Is the workforce trained in live line capabilities? If so up to what voltage? Are they bare hand qualified?	Lineman are certified to work on live lines up to 13kv. Lineman that are bare hand qualified work on live lines from 38kv up to 230kv.	5/29/2019
103	Transmission		SAIDI – provide list of outages that comprise SAIDI #s for the past three years. Also provide list of outages that are excluded from SAIDI for each of those years.	For details on SAIDA figures for 2016 - 2019 please refer to folder #1.3.2.8 in the data room.	5/29/2019
104	Transmission		Storm – provide emergency response manual / storm process	Please refer to the emergency operations manual which has been uploaded to the data room at folder #1.3.2.7.	5/29/2019
105	Transmission		Provide the transmission and Distribution System One Line Diagrams along with the Transmission and Distribution station One Line Diagrams as well.	These documents have been uploaded to the data room at #1.3.2.5 and 1.3.2.6.	5/29/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
106	Transmission		Provide Land routes of the 230kv and the 115kv lines	For maps that include details on the 230kv and 115kv line routes please refer to #1.3.1.5 and #1.3.1.9 in the data room.	5/29/2019
107	Environmental		Transmission Easements vs. fee owned? Easement restrictions with landowners?	Please let us know if you are looking for a more detailed listing. In most cases, PREPA has easements over the real property where the T&D lines are located, rather than being the fee simple owner of the properties. The restrictions applicable to the areas subject to PREPA's easement are established in PREPA's Easement Regulation, Regulation No. 7282 of January 25, 2007. Such regulation is currently only available in Spanish, but we are preparing an unofficial translation of the regulation to upload to the data room.	5/29/2019
108	Legal		How restrictive transmissions easements are? It is unclear. (Note: PREPA representatives requested that we submit questions via the data room.)	The restrictions applicable to the areas subject to PREPA's easement are established in PREPA's Easement Regulation, Regulation No. 7282 of January 25, 2007.	5/29/2019
109	Transmission		Provide a copy of the Emergency/Storm Disaster Manual.	Please refer to the emergency operations manual which has been uploaded to the data room at folder #1.3.2.7.	5/29/2019
110	Transmission		Describe the process and documentation that is current being utilized in System Operations to dispatch generation.	PREPA does not have SOP's for generation dispatch. Load flow studies using Siemens Spectrum System are made for high risk outages or line clearances. Monthly/quarterly generation forecasts are made with local applications and are shared with Planning and Fuel Office areas for their respective operations.	5/29/2019
111	Environmental		Provide the easements and/or fee owned property records for the transmission ROW's crossing private land.	All easement records that have been digitized have been uploaded to the data room under the folder titled "Real Property Documents." Such records cover most of the properties for the 230kV lines and a significant portion of the properties for the 115kV lines. Additional documents will be uploaded to the data room as PREPA continues to digitize its real property records. In some instances, PREPA's easements may not be recorded in the Registry of the Property, but PREPA has sufficient evidence to prove that it has acquired an easement through adverse possession for 20 years pursuant to Act No. 143 of July 20, 1979.	5/29/2019
112	Legal		Please provide detail on restrictions on towers in terms of access, or total cost of rent for land agreements for access to the T&D system	Towers are located in land over which PREPA has easements. Refer to the regulation referenced below for the restrictions applicable to such easements. The restrictions applicable to the areas subject to PREPA's easement are established in PREPA's Easement Regulation, Regulation No. 7282 of January 25, 2007.	5/29/2019
113	Transmission		How many transmission lines share same poles / same right of ways?	An old report notes there are approximately 85.6 miles of lines with shared poles.	5/29/2019
114	Transmission		What percent of transmission centers / substations have SCADA?	PREPA has approximately 99.4% of transmission centers and 98.8% of distribution substations with SCAD RTU.	5/29/2019
115	Transmission		Is there a standard conductor used across the entire 230 kV system?	All PREPA 230 kV lines use 1192.5 kcmil ACSR, except lines from Costa Sur S.P. to EcoEléctrica P.P., which uses 795.0 kcmil ACSR.	5/29/2019
116	Transmission		Please provide additional detail on easements	Please provide additional detail as to the information being sought. For example, are you interested in the rights that easements provide under Puerto Rico law or how are they created and recorded?	5/29/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
117	Environmental		How many notices of environmental violations have you received?	<p>We received 5 NOVs within the last year. PREPA received 3 NOVs related to USTs within the last year or so, at the Utuado, Humacao and, Arecibo workshops. See above response.</p> <p>PREPA received a fourth NOV related to the Control of Erosion and Prevention of Sedimentation ("CES") Program at Bairoa Substation on May 9, 2019. See Folder 1.6.23. PREPA responded on May 15, 2019 and is waiting for PREQB's response.</p> <p>A fifth NOV was issued by PREQB on December 4, 2018, alleging that PREPA's underground injection control ("UIC") permit for the Monte del Estado facility had expired and requesting that PREPA submit a permit renewal application. On February 1, 2019, PREPA responded to the NOV, explaining that it had submitted a renewal application for the Monte del Estado UIC facility on June 22, 2018. Accordingly, PREPA requested that PREQB drop the case. No penalties were issued.</p>	5/31/2019
118	Environmental		In reviewing the e-room, there are a number of Notice of Violations and EPA consent decrees, what are the current environmental corrective actions and costs associated with the current agreements	Please clarify the specific NOVs/Consent Decrees to which this question is referring.	5/31/2019
119	Environmental		It appears there are US Forest service permits and requirements for vegetation management on federal lands that expired in 2009, what permits and conditions for maintenance are currently in place?;	PREPA submitted the renewal application on time. The permit was split in three (Telecommunications, Transmission lines, and Rio Blanco). PREPA previously had a single special use permit/ communications use lease from the U.S. Forest Service in the El Yunque Caribbean National Forest. The original U.S. Forest Service special use permit included the following three uses: a telecommunications site, power transmission lines, and a hydroelectric power project. However, going forward, the U.S. Forest Service has requested that PREPA obtain three separate individual permits/leases for this infrastructure located on federal lands. In March 2019, PREPA signed a 30-year lease issued by the U.S. Forest Service for PREPA's use of El Yunque for its telecommunications site, which is in the data room. See Folder 1.6.14.1. PREPA is still waiting for the U.S. Forest Service to sign and issue the fully executed lease document. Currently, PREPA is also working closely in conjunction with U.S. Forest Service to acquire the new permits/leases for its power transmission lines and the hydropower project. These two are in process. 2009 conditions remain in effect.	5/31/2019
120	Environmental		A number of no-action assurances from EPA existed through 6/2018; what current documents is PREPA operating under?	PREPA is operating under its regular Title V operation permits. PREPA is not currently operating under any no-action assurances from EPA. The last no-action assurance extension issued by EPA (dated June 29, 2018) for Clean Air Act requirements expired on July 31, 2018, subject to limited exceptions. Reports covered by the final no-action assurance extension were due 30 calendar days later. Certain narrow testing requirements were covered by the no-action assurance until August 31, 2018, and several reports were due by October 1, 2018, at the very latest. Private parties should look to the terms of each no-action assurance extension to identify the applicable expiration dates for specific Clean Air Act requirements. Note that, in general, each no-action assurance extension covers a narrower set of compliance issues than the prior no-action assurance. Thus, the no-action assurance expired for many requirements prior to the July 31, 2018 date.	5/31/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
121	Environmental		It appears that in the 1970's a number of resolutions were passed by the local governments and Department of Agriculture to expand the system out into the country side based upon an engineering and construction plan known as JPE-22. All future siting documents reference that as the basis point, could we get a copy of that document?	Yes, it is in the data room. See Doc. 1.6.1.4.	5/31/2019
122	Environmental		Under a number of these documents there are provisions for revising plans for improvements to the transmission or distribution system, what are the requirements from a federal and local siting/permitting standpoint to do minor improvements versus large scale improvements?	Each project should be evaluated individually to determine siting and permitting requirements.	5/31/2019
123	Environmental		Clarification of inconsistencies between local regulations (Junta de Calidad Ambiental) and EPA	Puerto Rico environmental regulations are not inconsistent with the EPA. Federal regulations are incorporated into Puerto Rico law. However, localities do occasionally have more stringent regulations than those required by the EPA.	5/31/2019
124	Regulatory		What are some of the key features of the net metering rules? (i.e., system size, carryover of production, pricing, % limits and/or targets, etc.)	For details on net metering regulations please refer files #1.4.13 and #1.4.14 in the data room.	5/31/2019
125	Planning / Contracts		Has PREPA had an Energy Efficiency market potential study done within the past 5 years? And does it have any EE programs?	An Energy Efficiency market potential study has not been completed within the past 5 years. 10 - 12 years ago there was an Energy Efficiency - Customer Awareness Program, mostly targeted towards residential customers.	5/31/2019
126	Transmission		What software does PREPA currently utilize to perform load flow analysis and calculate interconnection costs for new facilities?	Currently PREPA utilizes PSS/e by Siemens PTI.	5/31/2019
127	Transmission		What organization does the staff that performs this type of analysis reside in?	Analysis related to load flow and calculation of interconnection costs for new facilities is performed by the Transmission Planning Department.	5/31/2019
128	Human Resources & Labor		Provide a copy of complete organizational chart	For organizational charts please refer to folder #1.12.7 in the data room.	5/31/2019
129	Information Technology		Complete list of companies and entities they provide services to or receive services from and would require a transition services agreement in place	File no. 1.8 in the data room includes the relevant commercial contracts entered into by PREPA. For ease of reference we further include a key vendors' list that was prepared by PREPA for due diligence efforts in January 2019 (index 1.2.6). For additional reference and informational purposes only, we performed a query in the Puerto Rico Comptroller's website for all contracts entered into by PREPA during the current fiscal year, and included it in the data room in file 1.8.7. Please note that PREPA is required under law to register every contract but we cannot guarantee that the query is accurate.	5/31/2019
130	Environmental		Are there time restrictions for vegetation management	Please clarify.	5/31/2019
131	Transmission		Interconnection Costs / Load Flow Studies What software does PREPA currently utilize to perform load flow analysis and calculate interconnection costs for new facilities? What organization does the staff that performs this type of analysis reside in?	Load flow is done using PSS/e by Siemens. This task is performed by Transmission Planning Dept. Interconnection infrastructure requirements and cost estimation is done by Engineering & Design.	5/31/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
132	Regulatory		What is the process for increasing customer rates? What approvals are required? How much time is required?	PREPA must file a rate case with PREB in order to review and adjust customer rates (revenue requirement, rate structure and corresponding charges). PREB approved the current rate structure, which includes new and revised pass-through rate riders for fuel, purchased power, and subsidies charges. The first rate case took approximately 1 year from initial request to final resolution. In the interim, starting approximately two months after the initial request, PREB authorized a 1.3 cent per kWh provisional rate increase based on PREPA's initial request for a \$225 million rate increase. The final order authorized a 1 cent per kWh and \$170 million rate increase. This final order did not fully address PREPA's long term liabilities and pension underfunding, which are currently being dealt with through the Title III process.	5/31/2019
133	Regulatory		Does PREPA have any discretionary authority to increase rates without regulatory approval?	PREPA does not have discretionary authority to adjust rates on all rate components. It does have the ability to adjust pass-through rate riders on a quarterly or annual basis, subject to PREB evaluation and approval. Pass-through rate riders for fuel and purchased power are adjusted on a quarterly basis and can be adjusted more frequently if costs exceed a certain threshold.	5/31/2019
134	Environmental		Please post spill program procedures to the data room	Please see Docs. 1.6.25 and 1.6.26.	5/31/2019
135	Environmental		Please provide an updated log of all transformer spills	Please see Folder 1.6.8.2.5 for a log documenting spills from approximately 2012 to 2019.	5/31/2019
136	Environmental		Please post underground storage tank inspection plans to the data room	PREPA inspects USTs monthly in compliance with the Rule 819 of the of EQB UST regulation. Please see Folder 1.6.9.5 for Rule 819 and PREPA's UST inspection form.	5/31/2019
137	Environmental		How many community "right to know" programs filings are needed to be made?	PREPA files 33 SARA Tier II reports	5/31/2019
138	Environmental		Please provide budget for environmental compliance (including # of employee and related data)	The environmental division has 25 employees, with an administrative budget of \$2,420,362 dollars. The division has an additional \$10MM budget to address environmental issues, including but not limited to contracts, cleanup, removal, permit fees, penalties, and recycling, among others	5/31/2019
139	Environmental		Are there any remaining substation transformers with PCBs that are still in service?	The statement in the Environmental Compliance Whitepaper regarding the 250 transformers that remain to be disposed of was intended to provide a rough estimate of the number of PCB-contaminated transformers (50 ppm - 499 ppm) that PREPA estimated to still be in service at the time of drafting to the best of PREPA's knowledge; however, the number of such transformers that are still in service could be more or less. There are approximately 1,088 PCB-contaminated transformers (50 ppm - 499 ppm) for which PREPA does not have electronic database documentation of removal or disposal. PREPA's lists of the transformers that are in this category for the relevant regions are in the data room. See Folder 1.6.8.5. PREPA's understanding is that many of these transformers have been removed from service and disposed of properly. Note that for the PCB-contaminated transformers that are still in service, TSCA does not require that they be removed from service provided that certain use conditions are met (e.g., the transformers cannot be leaking oil or in bad condition). Thus, these transformers are not necessarily in noncompliance	5/31/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered																
140	Environmental		How many of the identified PCB transformers that have been removed from service are yet to have been properly disposed of per federal law?	The statement in the Environmental Compliance Whitepaper regarding the 250 transformers that remain to be disposed of was intended to provide a rough estimate of the number of PCB-contaminated transformers (50 ppm - 499 ppm) that PREPA estimated to still be in service at the time of drafting to the best of PREPA's knowledge; however, the number of such transformers that are still in service could be more or less. There are approximately 1,088 PCB-contaminated transformers (50 ppm - 499 ppm) for which PREPA does not have electronic database documentation of removal or disposal. PREPA's lists of the transformers that are in this category for the relevant regions are in the data room. See Folder 1.6.8.5. PREPA's understanding is that many of these transformers have been removed from service and disposed of properly. Note that for the PCB-contaminated transformers that are still in service, TSCA does not require that they be removed from service provided that certain use conditions are met (e.g., the transformers cannot be leaking oil or in bad condition). Thus, these transformers are not necessarily in noncompliance.	5/31/2019																
141	Environmental		Please provide the number of SPCC program plans that need to be updated for the technical district offices	22	5/31/2019																
142	Environmental		Does PREPA require biannual certifications for emergency generators? How many such generators are on the system?	PREPA is not required to obtain biannual certifications for emergency generators. Instead, permits are issued for five years, and PREPA is required to maintain records of their operation. PREPA currently has 149 emergency generators across all facilities.	5/31/2019																
143	Environmental		How large is the environmental division? What kind of budget does the division have?	The environmental division has 25 employees, with an administrative budget of \$2,420,362 dollars. The division has an additional \$10MM budget for FY 2018-2019 to address environmental issues, including but not limited to contracts, cleanup, removal, permit fees, penalties, and recycling, among others	5/31/2019																
144	Financial Model		The documents presented in San Juan entitled "Puerto Rico Energy Transformation" contained several org charts for various groups and sub-groups reporting to each Directorate, but not for all. Please provide all available org charts (including headcounts) for the entire PREPA organization to the level of detail that is available.	For organizational charts please refer to folder #1.12.7 in the data room.	5/31/2019																
145	Transmission		When was the San Juan Central Loop (underground) put in service (constructed initially)? We are looking for average age of line and major equipment.	Most of the San Juan Central loop was placed in service in between 2007 - 2009. For additional details on age by line please see below: <table border="0"> <tr> <td>Línea 40500 Monacillo T.C. – Hato Rey T.C.</td> <td>November 2007</td> </tr> <tr> <td>Línea 39300 Hato Rey T.C. – Martín Peña T.C.</td> <td>October 2008</td> </tr> <tr> <td>Línea 40000 Martín Peña T.C. – Viaducto T.C.</td> <td>October 2008</td> </tr> <tr> <td>Línea 39200 Viaducto T.C. – Isla Grande T.C.</td> <td>October 2008</td> </tr> <tr> <td>Línea 38000 Isla Grande T.C. – San Juan S.P.</td> <td>December 2009</td> </tr> <tr> <td>Línea 41600 San Juan S.P. – Palo Seco S.P.</td> <td>December 2009</td> </tr> <tr> <td>Línea 40700 Palo Seco S.P. – Bayamón T.C.</td> <td>September 2008</td> </tr> <tr> <td>Línea 40600 Bayamón T.C. – Monacillo T.C.</td> <td>September 2008</td> </tr> </table>	Línea 40500 Monacillo T.C. – Hato Rey T.C.	November 2007	Línea 39300 Hato Rey T.C. – Martín Peña T.C.	October 2008	Línea 40000 Martín Peña T.C. – Viaducto T.C.	October 2008	Línea 39200 Viaducto T.C. – Isla Grande T.C.	October 2008	Línea 38000 Isla Grande T.C. – San Juan S.P.	December 2009	Línea 41600 San Juan S.P. – Palo Seco S.P.	December 2009	Línea 40700 Palo Seco S.P. – Bayamón T.C.	September 2008	Línea 40600 Bayamón T.C. – Monacillo T.C.	September 2008	5/31/2019
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146	Regulatory		Can you provide a historical (10 year history) for all billing rate riders?	Please refer to file #1.4.12 in the data room.	5/31/2019																
147	Environmental		What is the current annual spend on environmental compliance initiatives (excluding salaries)?	Current FY 2018-19 PREPA has spent an approximate \$5MM.	5/31/2019																

#	Topic	Dataroom Reference	Question	Response	Date Answered
148	Environmental		What is the current annual spend on NOVs, fines, penalties, Consent Decrees, Consent agreements, etc. and which of these are recurring required payments?	During Current FY 2018-19 PREPA has spent an approximate \$2.5MM, which includes 1999 Consent Decree Stipulated Penalties, annual Title V emissions fees, and payments under the Palo Seco Depot Superfund Settlement Agreement and Vega Baja Superfund Site Consent Decree.	5/31/2019
149	Environmental		What is the potential for involvement in the Vega Baja Superfund site?	PREPA expects there to be no potential for involvement.	5/31/2019
150	Environmental		Is there a current map of the system that shows environmental features (rivers, wetlands, bird nests, etc) either in GIS or paper format?	PREPA has available GIS layers of information from the Planning Board to make environmental assessments.	5/31/2019
151	Environmental		How will regulations that PREPA is exempt from impact the 3rd party operator?	Please identify specific regulations to which this question is referring.	5/31/2019
152	Environmental		Is there an environmental org chart that shows responsibilities?	PREPA will upload an environmental organization chart to the data room. See Folder 1.6.31.	5/31/2019
153	Environmental		Please confirm that there are no remaining elements of the 1999 Consent Decree from the EPA that impact the T&D Operations (Reference VDR 1.6.21). If available, please provide the documentation that demonstrates the release from the Consent Decree for the elements that impacted the T&D Operations.	The Consent Decree programs primarily apply to PREPA's four baseload generating plants; however, certain programs also apply to the Monacillos Transmission Center, a non-generation facility. Under the Consent Decree, PREPA was required to submit a Spill Prevention, Control, and Countermeasure ("SPCC") plan for the Monacillos Transmission Center. PREPA submitted an SPCC plan for the Monacillos Transmission Center, which was approved by EPA in 2003. The Monacillos Transmission Center was also subject to the Consent Decree's Underground Storage Tank Compliance Program. In compliance with the Consent Decree, PREPA certified to EPA that all underground storage tanks ("USTs") at the Monacillos Transmission Center had been permanently closed on site or removed, thus completing the Consent Decree's requirements for that program for the facility. The EPCRA and CERCLA programs also generally applied to the Monacillos Transmission Center. PREPA also considers these programs to have been completed. Folder 1.6.21.3 contains a request for partial termination of the Consent Decree, which provides documents regarding PREPA's completion of various Consent Decree programs. There is no "release" from the Consent Decree for elements that impact T&D operations. PREPA remains in the process of renegotiating the 1999 Consent Decree with the United States to terminate programs that have been completed.	5/31/2019
154	Environmental		What will be the responsibility and obligation of the new T&D operator with respect to the management of the Vega Baja site and superfund (Reference VDR 1.6.28)?	PREPA expects there to be no management obligations.	5/31/2019
155	Environmental		On what basis is PREPA currently exempted from the Section 47.1 of the Construction and Land Use Permit that regulates the cutting of trees? Will that exemption be applicable to the new T&D Operator, and by what mechanism will that occur?	The Puerto Rico Planning Board's Joint Regulation of Permits for Construction Works and Land Use contains an exemption for tree cutting within PREPA rights of ways ("ROWS"). The Joint Regulation went into effect in 2010, but an amended version of the regulation is set to take effect on June 7, 2019. Volume III (permits for development and business); Section 3.4.1.2 (applicability); Subsection C.2.c (authorization of cutting, pruning, transplantation and planting of trees); indicates the following: dispersions of this chapter do not apply: to cutting and pruning performed by any agencies that are empowered by law to do so, as is PREPA. The June 7, 2019 version of the regulation is available at http://jp.gobierno.pr/Portals/0/Borradores%20VP/Reglamento%20Conjunto%202019/REGLAMENTO%20CONJUNTO%202019%20[RP-38]%20Final%20Aprobado%20vig%207junio2019.pdf?ver=2019-05-09-223107-527 .	5/31/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
156	Environmental		Please provide of summary of all current matters with the environmental agency pertaining to management of PCB's (Reference VDR 1.6.8).	PREPA has transformers that contain PCBs that are still in service. For PCB Contaminated Transformers (50-499 ppm) that are still in service, the Toxic Substances Control Act does not require that they be removed from service provided that certain use conditions are met (e.g., the transformers cannot be leaking oil or in bad condition). Thus, these transformers are not necessarily in noncompliance.	5/31/2019
157	Environmental		Has PREPA resolved all of the Notice of Violations with respect to the underground storage tanks for gasoline and diesel (Reference VDR 1.6.9)? Has PREPA put in place suitable procedures to properly post documentation and do integrity tests on the tanks? If so, please provide the documentation. Are any directives related to the 1999 Consent Decree still in place?	<p>PREPA received 3 NOV's related to USTs within the last year or so, at the Utuado, Humacao and Arecibo workshops. For Humacao, EQB agreed not to proceed with enforcement of the NOV. For Utuado, PREPA is awaiting EQB acceptance of a stipulation that will resolve this matter, under which PREPA would pay a penalty of \$1000. To become final, the Secretary of the Puerto Rico Department of Natural and Environmental Resources must approve the stipulation. For Arecibo, PREPA responded to the NOV, providing documentation related to compliance, but has not yet received a response from PREQB regarding the NOV.</p> <p>PREPA follows the EQB regulation for integrity testing. PREPA inspects USTs in compliance with the Rule 819 of the of EQB UST regulation. Please see Folder 1.6.9.5 for Rule 819 and PREPA's UST inspection form.</p> <p>The 1999 Consent Decree contains an Underground Storage Tank Compliance Program that applied to PREPA's power plants and the Monacillos Transmission Center. In compliance with the Consent Decree, PREPA certified to EPA that all USTs at the Monacillos Transmission Center had been permanently closed on site or removed, thus completing the Consent Decree's requirements for that program for the facility. Folder 1.6.21.3 contains a request for partial termination of the Consent Decree, which contains documents related to PREPA's completion of various Consent Decree programs, including the UST Compliance Program. Note that PREPA remains in the process of renegotiating the Consent Decree with the United States to terminate programs that have been completed.</p>	5/31/2019
158	Environmental		Does PREPA have information or records to demonstrate compliance for the underground injection of sanitary water for each site (Reference VDR 1.6.13)? If so, please provide. For those locations where an authorization has not been obtained, does PREPA have a plan to obtain the authorization and to demonstrate compliance? Would this be an obligation of the new T&D operator to fix?	<p>The only sites with authorization are the Utuado Technical District and Monte del Estado Telecommunication Station. Please see Data Room Folder 1.6.13. Given the large number of PREPA UIC facilities, PREPA has been developing compliance plans in a step-by-step fashion. For UIC facilities for which PREPA wishes to cease underground injection activities instead of continuing to operate (and attaining the requisite permit), the regulation allows PREPA to develop an alternate compliance plan for closing the UIC facility. Due to the large number of PREPA UIC facilities, PREPA presented a two-phase compliance plan to PREQB. The first phase includes the preparation and implementation of compliance plans for PREPA's power plants. Once this first phase is completed, PREPA expects to move to the second phase which would cover other PREPA facilities, including T&D facilities. PREPA is still working on compliance activities at its power plant facilities. Whether compliance is going to be an obligation of the operator should be discussed as part of the legal agreement negotiations.</p>	5/31/2019
159	Environmental		Does PREPA have any reports to the agency or internally that would describe compliance with the light pollution law (Reference VDR 1.6.15)?	Not at this time.	5/31/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
160	Environmental		Does PREPA have any reports to the agency or internally that would describe compliance with the emergency generator permits (Reference VDR 1.6.15)? Are records maintained with respect to hours of operations of each generator?	We do not have reporting requirements. Each generator operator is responsible for the recordkeeping required.	5/31/2019
161	Information Technology		In addition of current vendor expenses, please indicate if the software vendors identified have an active software maintenance contract	For a list of active IT related contracts please refer to document #1.11.11 in the data room.	6/6/2019
162	Information Technology	1.12.15	Describe your DSCADA, EMS, and other OT systems utilized to manage the grid. Describe age of systems, extent of automated devices (reclosers, etc.) and the infrastructure/networking supporting field telemetry, monitoring, control, etc.	PREPA does not have a DSCADA system at this time. The EMS and DA are classified as shadow IT.	6/6/2019
163	Information Technology		Provide breakdown of total number of desktops/laptops/mobile terminal units and the quantity of those over 4 years old. Please provide also the Operating System	For details please refer to document #1.11.12 in the data room.	6/6/2019
164	Information Technology		Description of private and public carrier networks and connectivity plans for data centers, field offices/locations, telemetered devices, etc.	PREPANET is used for broadband. ATT is used for APN (Access Point Name). Worldnet redundant phone line for call center and HUGHES Satellite Dish (7 ants).	6/6/2019
165	Information Technology		Review key current and future funded projects	Key IT related projects include: 1 - Smart Metering 2 - Mobile Workforce Management 3 - Technology Upgrade CC&B 2.34-2.7 4 - Upgrade EAM Asset Suite 5 - IT/OT Backbone	6/6/2019
166	Information Technology		Any recent and major control issues	No, not at this time.	6/6/2019
167	Safety		Health & safety (e.g., federal regulatory compliance, safety sensitive positions, Dupont study)	Please refer to section 1.12.4 Worker Health and Safety in the data room.	6/6/2019
168	Information Technology	1.1.1.8.1	What is the annual licensing fee for ABB Asset Suite Purchasing?	Annual licensing fee for ABB Asset Suite Purchasing is approximately \$1.0M.	6/6/2019
169	Information Technology		What tools / software is currently used to determine an hourly dispatch schedule for the next day? For the current day? For the next two hours?	Currently PREPA uses OMS from Intergraph for client outages, STORMS Work Management from CGI for Design T&D works.	6/6/2019
170	Human Resources & Labor		Description of any recent, current, or anticipated organizing activity	Over the last several months a new union has been formed consisting of approximately 10-12 electrical system operators.	6/6/2019
171	Human Resources & Labor		Description of any recent or current union elections	PREPA does not track or follow the union elections at this time.	6/6/2019
172	Human Resources & Labor		Is any strike or work stoppage anticipated?	None expected. Typical strikes or work stoppages last 1 day or less. Last "major" strike was in 2012.	6/6/2019
173	Human Resources & Labor		Confirmation that no severance plan exists	Currently, no severance plan exists.	6/6/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
174	Human Resources & Labor		What is the employer contribution?	Please clarify what employer contribution this question is in relation to.	6/6/2019
175	Human Resources & Labor		How many in-scope employees are subject to federal regulations around safety (e.g., DOT)?	All PREPA employees are subject to OSHA regulations, and Estate Act 16 PROSHA 1975.	6/6/2019
176	Safety		Are you the subject of any material OSHA citations?	Yes, PREPA is the subject of OSHA citations. On average, PREPA incurs 10 OSHA citations per year. To date, 05/31/2019, PREPA has received 4 OSHA citations. PREPA received 12 OSHA violations in the 2018 calendar year. Due to disruptions caused by hurricane Maria, PREPA received 4 citations in 2017, though this is atypical.	6/6/2019
177	Information Technology		Status of all applications and infrastructure; e.g. current version and latest versions available	Please refer to document #1.11.6 in the data room.	6/6/2019
178	Federal Funding		Is there a 6 month update of the Recovery Plan available? If so, please post to the data room	For a status report on the recover plan, please refer to 1.1.2.3.6 in the data room.	6/6/2019
179	Human Resources & Labor		Does PREPA's retiree medical insurance benefit cover children and spouses?	PREPA's retiree medical insurance does cover spouses however, the PREPA contribution only applies to the retiree employees and surviving spouses.	6/6/2019
180	Human Resources & Labor		What is the current status of all ongoing union litigation?	For details on current ongoing union litigation please refer to document #1.10.4 in the data room.	6/6/2019
181	Information Technology		What are IT / OT projects are currently active? Which are funded?	Current projects include: Pilot AMI 45K total Smart Meters, Data Center Migration, Network Hardening, Cybersecurity Best Practices, Azure implementation, Disaster Recovery Improvements, and Headquarters WIFI networks.	6/6/2019
182	Federal Funding		Please provide a map of flooding that took place during the hurricanes. In particular, please highlight the substations that experience flooding during Maria. How many substations were lost due to flooding?	There are 17 substations that were heavily damaged by the hurricanes. Most, if not all were flooded. These 17 substations are included in one "Tier 1" project that PREPA is currently preparing for submission to FEMA. The list of the 17 substations can be found in the data room at 1.1.2.3.5	6/6/2019
183	Information Technology		What is the current Automation level of the Distribution and Transmission Grid? Please, could you provide details associated to that automation (SA and DA) infrastructure such as RTU information, level of remote supervision and control (percentage), etc.?	Currently, PREPA uses EMS SCADA. At the distribution level PREPA does not use DMS. Previously, PREPA had DA tools in OnRamp Application, but the sensors were damaged by Hurricane Maria.	6/6/2019
184	Information Technology		Please provide a copy of the full results of the last penetration test.	PREPA will provide penetration test results following the selection of a proponent.	6/6/2019
185	Information Technology		PREPA notes that they are actively performing vulnerability management. Please provide an updated report of network wide vulnerabilities.	PREPA will provide penetration test results following the selection of a proponent.	6/6/2019
186	Information Technology		The organization chart shows one employee in cybersecurity. Are there any other employees or contractors focused on cybersecurity functions?	Yes, a contract is in place with GM Securities Technologies.	6/6/2019
187	Information Technology		What tool(s) does PREPA use for Endpoint Protection?	Palo Alto Traps	6/6/2019
188	Information Technology		Is the intent to achieve NERC SIP compliance from a cybersecurity perspective?	Yes, the intent is for PREPA to be NERC-CIP V5 Compliance.	6/6/2019

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#	Topic	Dataroom Reference	Question	Response	Date Answered
189	Grid Modernization Plan		Please provide a summary of PREPA's disaster recovery plan.	Economic disaster and recovery plan has been uploaded to the data room at index # 1.1.2.3.1 Also, please refer to 1.3.2.7 in the data room for a copy of PREPA's emergency operations manual. Please clarify if this question is requesting something different.	6/6/2019
190	Information Technology		Does PREPA have a method for software distribution to all endpoints (e.g., SCCM)?	Yes, SCCM.	6/6/2019
191	Information Technology		Please provide overall network diagrams for the PREPA network.	Please refer to document 1.11.8 in the data room.	6/6/2019
192	Information Technology		What is the total number of databases by database type (e.g., SQL Server, Oracle DB, PostregSQL)?	Oracle Database - 47 SQL Server - 34 PostregSQL - 2	6/6/2019
193	Information Technology		Please provide the total number of physical and virtual servers at PREPA.	VMs: 600 Physical: 125	6/6/2019
194	Information Technology		Please provide the software version numbers for all applications shown on page 129 of the CIM	For details please refer to document #1.11.6 in the data room.	6/6/2019
195	Information Technology		Please expand on the Operations overall systems diagram of PREPA's OT systems simliar to page 129 of the CIM (including software version numbers) for items such as a Front End Processors, Historians (all systems within the secure OT zone)	For details please refer to document #1.11.2 in the data room.	6/6/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
196	Information Technology		Can you provide information about the Fibre network assets used by and operated by the distribution part of PREPA?	<p>PREPA's Fiber Optic Network (FON) is made of a backbone network and a distribution network. The backbone's network topology forms several fiber optic rings throughout the Island using OPGW (Optic Ground Wire) (96 single mode fibers) in some 115KV and 230KV transmission lines and has 56 segments, is present in 49 PREPA locations and has 512 miles of OPGW cable. Hurricane Maria caused damage to 19 OPGW segments, 15 are pending repair.</p> <p>The distribution network connects to other PREPA locations that don't have backbone network presence. It uses Armored Black Jacket fiber optic cables (96 and 48 fibers) installed in distribution poles.</p> <p>The FON provides fiber optic connection to the following locations:</p> <ul style="list-style-type: none"> · 100% - Technical Regional Offices (7 out of 7) · 100% - Technical District Offices (23 out of 23) · 100% - Commercial Regional Offices (7 out of 7) · 86% - Commercial Offices (24 out of 28) · 100% - Power Plants (6 out of 6) · 82% - Substations (242 out of 294) <p>The distribution part of PREPA does not operate the fiber optic assets, this is the responsibility of PREPA's Telecommunications Subdivision. The same fiber optic cable used for the electric system operations and the distribution part, is used by other offices in PREPA.</p> <p>Most of the damage done by hurricane Maria to the fiber optic distribution network has been repaired (approximately 95%).</p>	6/6/2019
197	Information Technology		Please provide information about protocols (61850, DNP, MODBUS, ICCP) used throughout the OT network and include any network diagrams available.	PREPA is not using 61850 yet. It is proposed for the new OT Backbone. DNP, MODBUS, and ICCP are used by SCADA EMS.	6/6/2019
198	Information Technology		Can you provide a breakdown for the island wide number and indicative model numbers for mechanical, electromechanical and digital revenue meters currently deployed.	<p>For a details on meters by mechanical, electromechanical, and digital type please refer to document #1.11.13 in the data room.</p> <p>For additional details please refer to document #1.3.7.10 in the data room.</p>	6/6/2019
199	Information Technology		Please provide the number of AMR modules (on meters) within the fleet that have UMT modules installed. Also how many substation CRUs have MIRA boards installed	<p>1) 653,703 (UMTRF120,UMTRF12S,UMTRF240,UMTRF240D,UMTRF25S)</p> <p>2) CPU with MIRA boards: 60</p>	6/6/2019
200	Information Technology		Please provide information about any Multi-Factor authentication systems used within the IT or OT networks, including password management systems, logging, provisioning/deprovisioning, privileged access management, VPN systems.	<p>1) MFA is only available (but not enforced) for Office 365 administrator.</p> <p>2) PREPA currently uses Manage Engine for password management and recovery.</p>	6/6/2019
201	Information Technology		Are there any other data center facilities, if so how many and where are they located?	Yes, currently there are four: Monacillos, PREPAnet, Azure, and Aguirre DRC.	6/6/2019
202	Information Technology		What types and level of certification do the data center providers adhere to? E.g. SOC, ISO, SSAE etc.	Currently just Production Datacenters adhere to SOC3 certification.	6/6/2019
203	Information Technology		Please provide a network asset list with a description of what each component is used for	Please refer to document 1.11.7 in the data room.	6/6/2019

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#	Topic	Dataroom Reference	Question	Response	Date Answered
204	Information Technology		Please list the Cisco / other equipment used to provide network connectivity	Please refer to document 1.11.7 in the data room.	6/6/2019
205	Information Technology		What level of availability is currently provided for each application?	Approximately 98.3% to 100% uptime. Please refer to document #1.11.9 in the data room.	6/6/2019
206	Information Technology		Do you have a business continuity plan? If so what are the RTO's and RPO's?	Please refer to document #1.11.10 in the data room.	6/6/2019
207	Human Resources & Labor		Please provide a copy of the complete PREPA organizational chart along with position descriptions to assist with our due diligence process.	For organizational charts please refer to folder #1.12.7 in the data room.	6/6/2019
208	Safety		Does PREPA have a crisis communications plan and firm under contract to help in the event of a crisis. If so, can you identify which company and the annual cost?	PREPA currently has a emergency response plan, but does not have a crisis communications plan, and does not retain such a firm under contract.	6/6/2019
209	Federal Funding		Are PREPA/COR3 and their consultants and FEMA identifying what Permanent Work projects are subject to NEPA reviews, when they are to begin and finish NEPA requirements and what the estimated cost is of each NEPA review? If so, can you tell us how many projects require EA's and EIS' or have exclusions	PREPA is actively working, with its advisors and COR3, on the development of submissions packages for the Tier 1 projects (List of Tier 1 and Tier 2 projects separately provided). The process by which environmental issues are articulated, documented and resolved is collaborative between FEMA and the Applicant/Sub-Applicant. To that end, no such list exists at this time. PREPA believes that as projects are submitted to FEMA for review, a collaborative approach of reviewing, vetting and approving projects will ensue and plans to resolve all issues or concerns will be developed with FEMA.	6/6/2019
210	Federal Funding		Has the Humacao district plan received final approval for FEMA funding? If it has not, when do you anticipate receiving this approval and/or an update on that application?	No. The official transmittal of the Humacao District plan and supporting documentation to FEMA was on 5/15/19. PREPA has not received feedback from FEMA on Scope of Work (SOW) or Fixed Cost Estimate (FCE) as of 5/31/19.	6/6/2019
211	Federal Funding		Please provide the T&D design criteria document as approved on February 2019 (referenced in the Humacao District EHP Executive Summary)	PREPA Planning Department maintains this document, and it is referred to as a DCD. The T&D DCD was not final, as of 5/31/19.	6/6/2019
212	Customer Service	1.3.7.4	Are past due accounts growing or in line with historical rates?	For details please refer to the monthly board reports which have been uploaded to the data room at #1.2.10.	6/18/2019
213	Federal Funding		Overview of existing PREPA (Autoridad de Energía Eléctrica/ AEE) FEMA Compliance Program and draft action plans for FEMA and HUD funds	Not sure what FEMA Compliance Program refers to. Is this the COR3 program designed by Deloitte? Please advise and we can research.	6/18/2019
214	Integrated Resource Plan		What was the criteria to build / retire generation assets that was used in the Siemens IRP study (reserve margin, loss of load, etc.) Why are current and future reserve levels apparently "high"?	The Long Term Capacity Expansion plan is to minimize the present value of the total costs of supply. The reserve is a constraint (30% selected initially = twice largest unit), but it was seldom binding. That is the generation additions and retirements were those that minimized the costs.	6/18/2019
215	Human Resources & Labor		Provide a copy of job descriptions for each in-scope position identified in the spreadsheet	Detailed job descriptions have been uploaded to the data room at folder #1.12.9.	6/18/2019
216	Human Resources & Labor		List of any strike or work stoppage for the period between 2014 and 2019	Details on strikes or work stoppages should be included in the governing board reports which have been included in the data room for FY18 at folder #1.2.10.	6/18/2019
217	Safety		Safety – Provide list of OSHA incidents that are underlying the incidence rate for the past three years.	Board reports for additional periods will be requested. Please refer to section 1.12.4.11 in the data room.	6/18/2019
218	Customer Service		What O&M funding has been provided to support overhaul of district offices?	\$950,000 has been proposed for repairs to commercial offices in FY 2020. Summary document included in the data room at #1.3.7.15.	6/18/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
219	Transmission		<p>Visibility into the way that the two islands Culebra and Vieques are fed:</p> <p>Of what importance are these 2 islands and do they have back up generation?</p>	<p>Vieques is fed from a submarine cable that enters in Punta Lima, Naguabo and rises in Punta Arenas , Vieques this feeds a 38/4.16kv 10.5MVA transformer. From Vieques in Batimento is the take Off towards Culebra which feeds a 38/4.16kv 4MVA transformer.</p> <p>Both submarine cable are 4/0 Cu</p> <p>Vieques has only one backup 3MW generator to supply 75% of the load. Culebra still has three 2.1MW generators provided by FEMA. PREPA has three 2.1MW generators in testing phase.</p>	6/18/2019
220	Information Technology		Describe key Cyber Security practices, tools, reference models (e.g. C2M2, NIST) and recent 3rd party assessments (e.g. PenTest, NERC CIP)	Key Cyber Security practices are regularly worked with security frameworks. More specific in best practice (COBIT) and ITIL. More complex and more detailed frameworks NIST, ISO, NERC. The Cybersecurity Capability Maturity Model (C2M2) is a public-private program that was established to improve cybersecurity capabilities in the utility sector (AEE). It helps organizations evaluate, prioritize and improve their own cybersecurity capabilities. The model focuses on the implementation and cybersecurity practices associated with the operation and use of information technology (IT) and operating technology (OT) assets and the environments in which they operate. Integrating with the NIST Framework. PREPA understands that the 3rd party assessments, the ones that have been done are the vulnerability that the American company and other workers made. PREPA must focus on the NIST in the IT part and NERC OT and integrate them.	6/18/2019
221	Planning / Contracts		PREPA are assuming very high levels of customer engagement in EE efforts. How will they entice customers to engage?	Main concerted efforts are targeted towards Government Customers and Municipalities, as it is required by law.	6/18/2019
222	Regulatory		Are there rate increases that have been approved that are not yet in effect? What is the timing on the implementation of these rate increases?	At present and as of May 1, 2019, all PREB authorized and required rate increases have been put into effect. Rate increases related to the 2019 Restructuring Support Agreement are yet to be put into effect.	6/18/2019
223	Regulatory		Is there a rate cap – either official or unofficial?	There is no official or unofficial rate cap at this time.	6/18/2019
224	Planning / Contracts		Are there contracts or commitments to supply certain water volumes to PRASA from hydro unit reservoirs? Do these affected generation availability at any times or seasons?	PREPA and PRASA have an informal verbal communication protocol and understanding on water supply commitments at the Caonillas/Dos Bocas, and Yauco System reservoirs. The PREPA ECC considers daily water levels (based on data from USGS) and current control curves for all reservoirs related to generation units to determine their generation capacity.	6/18/2019
225	Human Resources & Labor		Please send a copy of the complete PREPA organizational chart along with position descriptions to assist with our due diligence process.	For directorate level org charts please refer to folder #1.12.7 in the data room.	6/18/2019
226	Customer Service		Are the accounts with the 40,000 broken meters being billed?	Detailed position descriptions have been uploaded to folder 1.12.9. To clarify, the number of malfunctioning meters after the storm was approximately 120,000. Currently there are approximately 80,000 meters that need to be replaced. Broken meters are billed based on estimated consumption.	6/18/2019
227	Customer Service		How does payment processing work? The district offices collect payments, but where are they processed? And how?	Customer Service Representatives in the commercial offices receive payments and enter into CC&B. PREPA currently has contracts in place for payment processing with Oriental bank and Banco Popular. Payments received by customer service reps, through the online web page, phone call, mail or IVR (interactive voice response) are processed by Banco Popular or Oriental bank.	6/18/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
228	Customer Service		In the Customer Service Preliminary Summary under the preliminary flash report section, is the average waiting time in Commercial offices by Region for phones or walk ins?	The average waiting time presented on the flash report refers to walk ins / "in person" waiting time. Commercial offices do not handle calls.	6/18/2019
229	Customer Service		How is key account or commercial customer care performed? How is B2B different from B2C, are there assigned account reps, are the accounts billed out of the same billing system, are the collections processes different? Same questions for government accounts.	PREPA has separate departments for each type of Customer (Government accounts and Whole Sale accounts). The same billing system (CCMB) is used for both and collections are received the same way. Government accounts receive a statement instead of a full bill based on their particular service agreement.	6/18/2019
230	Information Technology		Please provide a summary of major cybersecurity incidents over the last three years.	Two major cybersecurity incidents have occurred. Please let us know if you would like additional detail. 1) 3/14/17 - KB4012212 (Security-only Update) 2) March 2018 - Ransomware	6/18/2019
231	Information Technology		Can you please outline telephony information including office lines, mobile phones, and campus phone systems including contracts with third party providers and clarification on which parts of the system are maintained and owned by PREPA.	PREPA has an Integrated Telephone Network (ITN) that has 13 main PBX switches (Santurce, Monacillo, 7 regional offices and 4 power plants) and 35 secondary telephone systems that allow 4-digit dialing to extensions throughout PREPA locations (each employee has a unique extension number). Although most employees have a unique extension number, some locations have a key system. The key system allows employees to share ITN extensions and numbers from the public telephone company. All ITN extensions use the DID (Direct Inward Dialing) feature, which allows outside the network incoming calls to all extensions. PREPA uses 10,000 DID numbers with the prefix (787) 521-XXXX (XXXX=extension number) for all extensions. In order to avoid long distance charges to customers by the local public telephone company, the ITN has other DID lines and prefixes installed locally at the following locations: <ul style="list-style-type: none"> · 787-816-XXXX (Arecibo) · 787-812-XXXX (Ponce) · 787-805-XXXX (Mayaguez) · 787-836-XXXX (SOUCO Steam Plant) · 787-853-XXXX (Aguirre Steal Plant) <p>The ITN and the key systems are owned by PREPA and maintained by PREPA's Telecommunication subdivision.</p> <p>The ITN and the key systems use 15 PRI ISDN lines & 443 DID blocks (25 numbers per block) from AT&T and 5 PRI ISDN lines & 198 POTS (Plain Old Telephone Service) lines from WorldNet. There are no current contracts on telephone lines or circuits provided by these telephone companies (month-to-month use).</p> <p>PREPA has 34 AT&T cellular telephones assigned to key personnel, mostly T&D employees. There are no current contracts on any of the cellular telephones.</p> <p>The telephone switch used by the Customer Service Center (787-521-3434) uses 4 PRI lines & 250 DID trunks from WorldNet and 500 DID Trunks from CopeTel and is managed</p>	6/18/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
232	Information Technology		Can you please provide information, network diagrams and equipment model numbers and firmware versions (including equipment counts) for the Push to Talk mobile radio system used by PREPA	Please refer to document 1.11.15 in the data room.	6/18/2019
233	Customer Service		Are there existing surveys or reports on customer views of PREPA?	Yes, several customer satisfaction reports have been uploaded to the data room in folder #1.3.7.13.	6/18/2019
234	Environmental		Please confirm if the approval received from the Puerto Rico Planning Board under Resolution JPE-22 is still in force (Reference VDR 1.6.1). If so, please clarify the operational obligations under this resolution.	JPE-22, as amended, is still in place and applies to PREPA, but it is unclear to what extent it applies to the private contractor. As discussed with PREPA, it seems that current practice is that when PREPA undertakes a project, JPE-22 exempts them from the applicable permits, but that it does not exempt from the applicable permitting requirements any private party contracted by PREPA in connection with a PREPA project.	6/18/2019
235	Customer Service		Can we have access to the Call Centre contract that was in place prior to 2017?	Yes, please refer to folder #1.3.7.14 in the data room.	6/18/2019
236	Customer Service		Can we please have a copy of the previous call center contract (breached in 2017)	Yes, please refer to folder #1.3.7.14 in the data room.	6/18/2019
237	Human Resources & Labor		Please upload the employee census (salary, DOB, hire date, position)	Please see 1.12.2.3 in the dataroom.	6/18/2019
238	Operations / Dispatch		Please upload the medical plan documents	Please see 1.12.8 in the dataroom.	6/18/2019
239	Human Resources & Labor		Please provide the ID codes used by maintenance dispatch to identify interruption in service	Please 1.3.2.9 see in the dataroom.	6/18/2019
240	Human Resources & Labor		How quickly do linemen progress through the levels typically?	<p>CELADOR DE LÍNEAS I Requirements to become a Lineman I include: high school diploma, completed training course for Linemen (training typically lasts 6 months), be physically active, pass the general skills and lineman exams, pass required medical exam and have a license to drive heavy motor vehicles.</p> <p>CELADOR DE LÍNEAS II Progression to Lineman II, requires two years of experience as Lineman I.</p> <p>CELADOR DE LÍNEAS III Progression to Lineman III requires four years of lineman experience. The four years of experience can be can be obtained in two ways: (1) two years as Lineman I and two years as Lineman II or; (2) three years as a Lineman I, one year as Lineman II and successful completion of the Lineman III exam.</p> <p>CELADOR DE LÍNEAS IV Requirements to progress to Lineman IV, include a total of five years of lineman experience or four years' experience and successful completion of the Lineman IV exam. Additionally, the lineman must have held the position of Lineman III for a minimum of 12 months in the last two years.</p>	6/21/2019
241	Legal		Overview of relevant sections of recently approved law (e.g., SB 1121) that will impact Operator/proposed structure (Note: SB 1121 was approved on 03/25 and is still pending to be signed by the governor of PR.)	Please see the updated regulatory white paper, 1.1.1.9.7	6/21/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
242	Federal Funding		Provide an update on the FEMA/ Federal funding requests. What is total amount of funding expected? Over what time period?	Please see the updated federal funding white paper, 1.1.1.9.8	6/21/2019
243	Other	2.8.1	Are the negotiations and management of the power purchase and operating agreements (PPOA) part of this RFP?	No, they are being handled as part of the Title III proceeding. Future renegotiations of PPOAs will be under this RFP, but not current negotiations.	6/21/2019
244	Human Resources & Labor		What is the current accrued unfunded liability? Are all adequately reported on company financial statements? What is the status of the assets in the plan? (It is not clear how the status impacts the successful bidder.)	Please see folder 1.12.10 of the dataroom	6/21/2019
245	Human Resources & Labor		What is the current status of all ongoing union litigation?	For details on current ongoing union litigation please refer to document #1.10.4 in the data room.	6/21/2019
246	Human Resources & Labor		Does PREPA's retiree medical insurance benefit cover children and spouses?	PREPA's retiree medical insurance does cover spouses however, the PREPA contribution only applies to the retiree employees and surviving spouses.	6/21/2019
247	Regulatory		What is the latest on the rate change that was to be implemented (past year, delayed until April 2019)?	The rate change was implemented on May 1, 2019.	6/21/2019
248	Generation		Are modification or refurbishment projects for the hydro units on the island regulated by FERC? Is PREPA required to obtain or modify any FERC permits to perform construction on hydro units?	The only hydroelectric project currently regulated by FERC is the Rio Blanco Hydroelectric Power Project because is located on Federal lands in the Caribbean National Forest "El Yunque". The Project is licensed by the FERC under Permit Project No. 663. The Rio Blanco Hydroelectric Power Project operating license granted by FERC expires on August 2021. PREPA is trying to obtain an extension of 8 years to the current operating permit to be able to carry out the Hurricane Rehabilitation Works, comply with license renewal requirements and put the installation into service. The passage of Hurricane Maria caused significant damage to Rio Blanco associated infrastructure. Documents will be submitted for consultation and approval from the U.S. Forest Services and stakeholders.	6/21/2019
249	Other		Number of streetlight broke down by wattage, O/H verse U/G	Please refer to 1.2.3.9 in the data room which includes a detailed estimate of damage to streetlights.	6/21/2019
250	Other		How many lights are currently not working	Please refer to 1.2.3.9 in the data room. Currently, there is no real time information for broken luminaries as PREPA needs to wait for customers calls to register them.	6/21/2019
251	Other		How many lights have faulted underground cables?	No information is currently available on faulted underground cables. The largest incidence rate of UG faults is regarding theft, upon which PREPA installs overhead cables as temporary solution.	6/21/2019
252	Other		How many streetlight outage complaints have occurred over time?	Please refer to 1.2.3.10 in the data room.	6/21/2019
253	Other		Number of streetlight crews and who currently fixes the lights (lineman) and which department Operations or Customer service	PREPA currently does not have streetlight crews, instead using linemen for streetlight maintenance.	6/21/2019
254	Other		How many lights as part of the RFP to convert streetlights to LED	PREPA estimates at least 100K luminaries will be replaced with LEDs in the RFP. Please refer to 1.2.3.9 in the data room.	6/21/2019
255	Finance		Have PREPA engaged BDO to the auditors for the year ended 2018?	Yes, BDO has been engaged.	6/21/2019
256	Finance		Please provide a reconciliation of federal funding through PREPA's accounts	PREPA is currently preparing this reconciliation with the assistance of outside consultants in order to issue audited financial statements and single audit report required for federal assistance.	6/21/2019
257	Finance		Please provide the FY 2019 budget (not the 9 months actual plus 3 months budget)	Yes, please refer to folder 1.2.3 in the data room.	6/21/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
258	Legal		Please provide the Pension Plan documents, and any summaries	For information on PREPA's pension plan please refer to folder #1.12.10 in the data room.	6/21/2019
259	Other		Will the selected O&M Operator have access to all PREPA buildings, computers, equipment, etc.? Will they be expected to pay rent for any of the space used?	The O&M operator will have access to all non-generation directorate buildings and facilities.	6/21/2019
260	Planning / Contracts		Please upload the renegotiated fuel contracts into the dataroom (if / when available)	Renegotiated fuel contracts are not available at this time. Will be provided after contracts are finalized.	6/21/2019
261	Procurement		How many gallons of diesel and bunker fuel do you keep on hand in storage?	Inventory as of the end of May 2019 was approximately: Diesel: 658,195 barrels Bunker: 1,396,548 barrels	6/21/2019
262	Procurement		Is there a strategy for managing fuel prices via hedges / futures / forwards? If not, why do you not do any fuel hedging?	Not at this time. This is a pass through cost to customers. Prior to PREPA's forbearance there was a small hedge in place.	6/21/2019
263	Human Resources & Labor		Please provide job descriptions of all positions.	Job descriptions have been uploaded to the data room in folder #1.12.9.	6/21/2019
264	Legal		Please describe the basic job functions of: a.Senior Lawyers b.Income Lawyers c.Investigators d.Legal Advisors e.Executive Advisors f.Director g.Division Chief h.Principal Supervisor i.Secretary of the Secretariat Adjudicative Procedures	For position descriptions please refer to folder #1.12.9 in the data room.	6/21/2019
265	Legal		Please provide an organization chart of the legal department.	For organizational charts please refer to folder #1.12.7 in the data room.	6/21/2019
266	Legal		Please provide a description of the main legal matters handled in-house (e.g., contracts, financing, tort claims, employment/labor law, regulatory, etc.)	For an overview of the legal division and tasks performed please refer to document #1.10.5 in the data room.	6/21/2019
267	Finance	1.1.1.10.3	Generation unbundling – development and planning for boundary metering – process, who will be heard, and when will this occur?	Sargent & Lundy has been tasked with identifying the demarcation points.	6/21/2019
268	Finance		When do we expect to have a fulsome model incorporating the different capital programs (IRP, PREPA 2020 Capex plan, FEMA, additional capital unbundling, IT, customer service)?	An updated model will be released in the very near term.	6/21/2019
269	Finance		Please provide timing around generation – how unbundling will occur, cost, timing	The P3 Authority will provide a response on next steps once available.	6/21/2019
270	Operations/Dispatch		Request for number of customers by region.	Please refer to pg. 97 of the CIM.	6/21/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
271	Information Technology		Have you spoken with software vendors about your future generation scheduling / dispatch software needs given your requirements to be able to handle multiple minigrids, load flows, and potentially large percentages of solar and batteries?	<p>PREPA has not spoken with any vendor. The actual Siemens Spectrum 3.10 has the software capabilities to manage:</p> <ul style="list-style-type: none"> - Up to 20 companies - Up to 60 zones - Up to 20 control areas - Up to 20 interchange areas - Generation Control System <ul style="list-style-type: none"> - Multiple minigrids – multiple companies - Solar and Batteries <ul style="list-style-type: none"> - Solar total aggregated - Wind total aggregated - Load Flow <ul style="list-style-type: none"> - Up to 20 companies <p>It will require Siemens and PREPA effort to implement these parameterization, tests and in service</p>	6/25/2019
272	Human Resources & Labor		Existing individual employment contracts or agreements	PREPA Human Resources Directorate is not aware of any individual employee contracts or agreements at this time.	6/25/2019
273	Information Technology		Does the current tool / software suite used include a solution based upon security constrained dispatch; aka taking the current transmission topology and outage schedule into account?	No, the current system does not include security constrained economic dispatch.	6/25/2019
274	Human Resources & Labor		Any charts describing salary structure of career employees and those in "trust" positions	For details on salary structure for both career and trust employees please refer to #1.12.2.4 and #1.12.2.5 in the data room.	6/25/2019
275	Finance		<p>A. Does PREPA have a systematic and documented process for assessing risks to the following;</p> <ol style="list-style-type: none"> a. People b. Property c. Operations including supply chain d. Environment <p>B. Does the risk assessment include;</p> <ol style="list-style-type: none"> a. Vulnerability assessment b. Impact analysis (people, property, operations, environment, and entity) <p>C. When was the last time the assessment was updated or reviewed</p>	For details on position descriptions please refer to folder #1.12.9 in the data room. PREPA is in the process of approving an Enterprise Risk Management Charter. A copy that has been reviewed with and to be signed soon by the CEO has been uploaded to the data room at #1.2.11.	6/25/2019
276	Information Technology		PREPA documents reference "the implementation of DWDM and MPLS systems". Please provide the build-up estimates that comprise the \$36M implementation plan.	Please refer to document #1.11.14 in the data room.	6/25/2019
277	Planning / Contracts		Please provide copies of the contracts for vendors shown on page 131 of the CIM	Please see commercial contracts folder (1.8) for all vendor contracts	6/25/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
278	Finance		General Finance Questions: 1. Can we get a better understanding on headcounts/roles & responsibilities under the current Finance & Accounting headcount? 2. Can we have a copy of their org chart? 3. As well as a summary of Finance & Accounting work done by third party.	Please refer to the detailed org chart document included in the data room at #1.2.14.	6/25/2019
279	Finance		Quality Related - Is PREPA's Auditing team related to Business Auditing for compliance? Or accounting?	Audit Charter has been uploaded to the data room at #1.2.12. Its scope primarily includes financial, operations and administrative audits related to the entity.	6/25/2019
280	Integrated Resource Plan		Request to begin considering how the training will be funded. Does the student pay for it? Is it subsidized somehow?	Not clear what this question is in reference to. If related to lineman training, the training would be part of the cost of labor and would be rate-payer funded.	6/25/2019
281	Regulatory		Under 1.4.3.1_May 27 2016 Full Filing > 1.4.3.1.5 Filing Letter, Petition, Index > 1.4.3.1.2.9 I Schedules > P I-4 Business Plan has a note referencing to contact Tom O'Neil at Navigant as it was too large to upload. Can we please have access to this full file?	This file is the 40th Annual URS Report for 2013 available in folder 1.5.2.5	6/25/2019
282	Finance		Can we have access to an internal controls letter for the June 2016 year end?	Draft of the Internal Control Memorandum prepared by the auditors pursuant to GAS has been uploaded to the data room at #1.2.13.	6/25/2019
283	Transmission		Could PREPA please provide electronic shape files (not PDFs) for direct import to our GIS system for analysis. If possible, the shape files should include: •Centreline for all Transmission and Distribution lines •Voltage, wire type for all lines •Substation locations, facility locations (including office buildings) •Structure locations (towers, telecom, poles, padmount transformers, street lights, pedestals, switches) •Structure equipment details. •All items from the dataroom section 1.3.4 should be in the shape files	Please refer to 1.3.4.3 in the data room.	6/25/2019
284	Information Technology		1.4.3.1.2.10 – Document indicates file was not uploaded, could we please get all four schedules?	All available regulatory submissions and schedules from the 2016 rate case have been uploaded to the data room. Please submit requests if you are unable to locate a specific schedule (e.g. Schedule J)	6/25/2019
285	Finance		Please provide a list of all required tax filings (income, excise, payroll, property, etc.) and their due dates	As a government agency, PREPA is not subject to taxes. However, PREPA is required to file the following returns and to send the corresponding payments related to payroll: a) labor department quarterly returns, b) 941 PR ss quarterly returns. In addition, a yearly return and payment to the State Insurance Fund for workmen's compensation is required. Lastly, as a withholding agent, PREPA pays on a monthly basis the payroll and professional service income tax withholdings and files quarterly returns.	6/25/2019
286	Regulatory	1.4.3.2.18.1.27	Please provide a copy of the unredacted version of the Siemens PTI Report Number: R087-14, PREPA's Electric Power System Reliability Study	Provided and uploaded to the data room.	6/25/2019
287	Planning / Contracts		Can we please have a copy of all RFPs recently submitted for 2019? For example, the RFP for Brushing has been provided, would it be possible to see the RFPs for the Customer Call Centre, Cyber Security and any other recent RFP submittal?	Vegetation management and call center RFP's have been uploaded to the data room under folder 1.8 Commercial Contracts.	6/25/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
288	Customer Service		How often do people apply the net metering credits from one account to a different account that they hold?	Not often. Not all net metering customers have more than one account to credit. The current balance will reflect the applied credit when the customer has multiple service agreements under the same account.	6/25/2019
289	Customer Service		Please confirm the dataroom location for the Banco Popular lockbox service contract (details the check outsourcing process)	Please refer to document #1.3.7.20 in the data room.	6/25/2019
290	Customer Service		How many bankruptcy files do you process in a month?	PREPA manages approximately 678 accounts to bankruptcy process every month.	6/25/2019
291	Customer Service		Please provide the signed copies of the outsourced call center contracts	Please refer to document #1.3.7.14.3 in the data room. The second contract is still in the process of being finalized.	6/25/2019
292	Customer Service		Please provide a report with additional information on the post-hurricane payment plan collections rate	Please refer to document #1.3.7.20 in the data room.	6/25/2019
293	Customer Service		Please provide additional information on peak hours at the district offices	For data on peak hours please refer to document #1.3.7.24 in the data room. For data on customer wait times in District Offices for 2018 and 2019 please refer to document #1.3.7.22 and #1.3.7.23.	6/25/2019
294	Human Resources & Labor		Please upload the incident report data (internal and separate excel document for external contractors)	PREPA does not track or follow incident reports of external contractors. You may find the latest incident excel tracker for PREPA in the data room as 1.12.4.9	6/25/2019
295	Planning / Contracts		Please provide the solar PV curve for historical customer uptake	See file called "CONFIDENTIAL-DG_Totals Forecast_V10" in folder 1.5.3 2019 IRP.	6/25/2019
296	Distribution		Please provide information including: -Distribution Engineering split -Different processes and procedures utilized to execute projects and programs -Rights of Way -Street lighting	Please refer to document #1.3.9.2 in the data room.	6/25/2019
297	Operations/Dispatch		Please provide information including: -How work is dispatched from the office to the field -Location, size and configuration of key customer loads in the area - High level overview of the capital plans for Las Piedras, Humacao, Naguabo, and Yabucoa	Please refer to document #1.3.9.1 in the data room.	6/25/2019
298	Finance		Latest finance org chart, including headcount and overall roles and responsibilities for the 4 different departments (controller, treasury, general accounting and risk).	For detailed Finance org charts please refer to document #1.2.14 in the data room.	6/25/2019
299	Finance	1.1.1.10.1	Confirm that all multi-year contracts out for RFP or that will be signed shortly (vegetation, call centers (and equipment) and public lighting repairs) will have a clause to allow for termination upon new operator	Confirmed	6/25/2019
300	Human Resources & Labor		Please confirm that the monthly HR reports to the PREPA Board are available in the dataroom	Yes, HR board reports for calendar year 2019 are included in folder 1.12.11 in the data room.	6/25/2019
301	Safety		Please provide OSHA recordables, rates, etc.	Please refer to section 1.12.4 in the data room, which includes incident rate tracking and recordables from 2015 to April 2019.	6/25/2019
302	Human Resources & Labor		Litigation and claims	Please refer to the HR related board reports which have been uploaded to the data room at #1.12.11.	6/28/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
303	Human Resources & Labor	1.1.1.8.1	Which procurement employees, if any, are members of unions?	There are seven (7) UTIER employees. Of these, five (5) carry out procurement functions.	6/28/2019
304	Human Resources & Labor		Are all amendments reduced to writing?	Please clarify what this question is related to.	6/28/2019
305	Human Resources & Labor		Has the plan been audited recently? If so, what were the results?	If this is in reference to the pension plan please refer to the documents included at folder #1.12.10 in the data room. If something else please clarify.	6/28/2019
306	Planning / Contracts		Does PREPA follow International Organization for Standardization (ISO) Business Continuity Management Systems – Requirements ISO 22301?	Development of a formalized comprehensive Business Continuity Program is slated to being in July 2019. The program is scheduled to be implemented by December 2019 will comply with ISO 22301 as well as DRI standards. In addition, the new plans will meet FEMA/DHS continuity of operation/business continuity federal circulars for resiliency.	6/28/2019
307	Planning / Contracts		Does the Utility have a business continuity program?	Development of a formalized Comprehensive Business Continuity program is slated to being in July 2019.	6/28/2019
308	Regulatory		Is there a governance program with business continuity oversight, e.g. business continuity committee etc.?	An Enterprise Risk Management Committee ("ERMC") has been approved as part of the beginning stages of the implementation of the Business Continuity Program. The governance and management oversight of the program will be tied into the program implementation.	6/28/2019
309	Planning / Contracts		Is there a business continuity manager or coordinator?	Currently, there is not a formal business continuity manager but these responsibilities fall under the PREPA Risk Management Office as part of the development of the BCM program.	6/28/2019
310	Planning / Contracts		Does the Utility have separate business continuity plans for individual facilities or lines of business?	Yes, business continuity plans are in the process of being developed by line of business and mapped to what facility that business function takes place.	6/28/2019
311	Planning / Contracts		How often are plans reviewed? How often are plans exercised?	PREPA is in the process of implementing a formalized program. Plans will, at a minimum, be updated, exercised and tested annually which complies with standard DRII, ISO and FEMA/DHS protocols.	6/28/2019
312	Planning / Contracts		Do business continuity plans include a "Business Impact Analysis"	Yes, the plan being implemented will include a Business Impact Analysis ("BIA"). Implementation team will meet with leads and PREPA personnel from each Directorate. As part of the BIA process, enterprise impact parameters will be developed across PREPA's business.	6/28/2019
313	Planning / Contracts		Do business continuity plans address the loss of critical operations, applications, facilities, and personnel,	Yes, in addition to internal and external dependencies. A gap analysis will be developed along with recommended mitigation steps.	6/28/2019
314	Planning / Contracts		Does PREPA have a Crisis Management plan for executives to address critical or catastrophic incidents?	PREPA is in the process of implementing a Crisis Management Program Framework. An illustrative overview of the proposed Framework has been uploaded to the data room at #1.9.10.1.	6/28/2019
315	Planning / Contracts		Is there an identified list of executives that are called to address critical incidents?	This will be developed as part of the crisis management implementation framework. Additionally this will be detailed in each of the Directorate's specific business continuity plans which roll up into the broader PREPA Crisis Management Plan.	6/28/2019
316	Planning / Contracts		If a plan exists how often is the plan or executive team trained or asked to participate in exercises.	Plans are being developed now and will be maintained and exercised, at a minimum, once per year.	6/28/2019
317	Planning / Contracts		Does the utility have an alert warning communications system to notify executive members of a significant incident?	Not at this time. Communication escalation and notification will be included as part of the implementation of the crisis management framework.	6/28/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
318	Planning / Contracts		Has PREPA identified critical applications that require a certain level of disaster recovery equipment to ensure critical information and processes can quickly be restored during in the aftermath of an unplanned incident resulting in their failure?	Not at this time, however critical applications will be identified as part of the business impact analysis process. Once the BIA is completed the list of critical prioritized applications will be cross walked with the broader PREPA Crisis Management Plan and the IT Disaster Recovery Plan.	6/28/2019
319	Planning / Contracts		Are tests conducted to ensure critical applications can be restored as indicated in business continuity/disaster recovery plans?	Maintenance and testing procedures will be included in the implementation of the business continuity program. It is recommended that PREPA perform an annual test of the Disaster Recovery and Business Continuity Plans.	6/28/2019
320	Environmental		Are there Union rules around moving or disposing of pole type transformers?	<p>There is an agreement with UTIER union for them to install, and uninstall, any electrical equipment, including pole transformers, on the electrical system (Article III, Section 3: Appropriate Unit). For any change on this, such as external contracting, PREPA has to notify the union about the plan, why the decision was made and the benefits (including cost savings) on it. Then PREPA has to receive an evaluation from the union and compare with the one on hand, and decide whether it is more favorable, in all terms, to be implemented.</p> <p>With the current PREPA economical status and the current approved laws, the process has been reduced to a notification to proceed from PREPA to the union with external resources.</p> <p>As for transformer disposal, it is made through contracts when it is already uninstalled.</p>	6/28/2019
321	Other		Relationships with Law Enforcement- A. Describe how the Security Dept. interacts and shares information with local, state or federal law enforcement officials, including DHS.	<p>PREPA's Corporate Security Office manager, corporate security supervisor and corporate security officers work closely with local, regional and federal law enforcement and government agencies including, but not limited to, the Puerto Rico Police Department, Municipality Police Commissioners, US Coast Guard, Puerto Rico's Department of Justice, FBI and Department of Homeland Security.</p> <ul style="list-style-type: none"> o Police Department – We have weekly meetings (various levels) that vary from labor management situations, employee investigations, criminal investigations, metals collection centers, among others. o US Coast Guard – We have weekly meetings (various levels) regarding our Corporate Facility Plans in each of our plants (CFR 033). o Municipality Police – Our corporate security officers have meetings with municipal police commissioners regarding issues pertaining to their regions. o FBI – We have weekly meetings and frequent communications on a weekly basis, discussing critical infrastructure policies, training programs, confidences, among others. o Homeland Security – We have meetings and visits from Homeland Security to discuss critical infrastructure policies, possible security breaches situations, among others. 	6/28/2019
322	Other		Physical Security – A. If the security dept. has a “Security Command Center” please describe the number of people used to maintain daily operations as well as a list of the [incomplete question]	PREPA has a Security Command Center at Monacillo Complex. This facility operates 24/7 with a supervisor and two (2) operators.	6/28/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
323	Other		A. Please describe what protective measures PREPA has put in place to secure its T&D infrastructure, to include office space, etc. (Protective Measures include; fencing, cameras, barricades, alarm systems, lighting, access control, etc., or other security measures. Also include the type and to what extent or standard those measures have been installed.	<p>o Physical security features such as cameras, fencing and card access readers are included by every directorate in capital projects or imbedded in other expenses categories under operations and maintenance budgets.</p> <p>o Access Controls are run on the Honeywell Prowatch platform, Electronic Surveillance Operations are run in Onsy and Occularis platform. All of our surveillance and access control systems are installed in accordance with the standards of the National Electrical Code (NEC) and although we have various types of cameras, our security standard is moving toward IP cameras or network camera technology with megapixel resolutions (ranging from 2 to 4 megapixels). The security surveillance storage system uses Razberi Technologies which work through the PREPA security network.</p> <p>o Security protections in place at substations are primarily deployed to mitigate against burglary/theft (often copper ground wire) and vandalism. Substations are typically unmanned and thus somewhat more susceptible to unauthorized access. Risk and vulnerability assessments performed on substations are primarily done in response to perceived potential weakness. It is very important to acknowledge that physical security in all substations is a high priority for PREPA, the company must always answer the question of what are the most important assets to protect, and the answer is that we will have physical security on those that are more critical, such as critical substations, plants and control centers (see attached list of substations with security points titled "Surveillance Map").</p>	6/28/2019
324	Information Technology	1.3.4.1 1.3.4.2	Dataroom documents 1.3.4.1 Informes de inventarios de la AAE a noviembre 2017 por municipio, an excel file; and 1.3.4.2 INFRASTRUCTURE@NOV2017, a powerpoint file, state that all of the assets listed were digitized by the contractor G/Technology. Please provide the GIS files that were created with this data (ARC GIS or Google Earth format).	Please refer to the shape files uploaded to the data room at #1.3.4.3.	6/28/2019
325	Customer Service		How many UMT meter modules and CRU's MIRA boards are installed? What is the TNS and head-end (iiDeas or AclaraOne) versions?	<p>Including data on both MTU & UMT:</p> <p>The quantity of MTU (Modulation Transformer Units) installed is approximately 337.</p> <p>The quantity of UMT meter modules is approximately 653,703. 60 MIRA are installed in our 295 CRUs, TNS 2.11.</p> <p>iiDeas/AclaraOne are not yet in production. Version 1.4 is installed but PREPA is preparing to install version 1.7.</p>	6/28/2019
326	Customer Service		Is the plan to upgrade the online portal with the upgrading of the Oracle CC&B version (Oracle CC&B has an online portal depending on licensing and version purchase)?	The online portal will be updated with iiDeas/AclaraOne after it is implemented, which will capture the AMI data. CC&B is a more general technological upgrade.	6/28/2019
327	Customer Service		What is the timeline for upgrading the Oracle CC&B to version 2.6?	Oracle CC&B will be upgraded after the signing of the contract with Accenture, currently under discussion.	6/28/2019
328	Information Technology		Could you provide a complete listing by application, employee and workstation of software deployment and licenses, including server licences?	A complete list is not available at this time. To be provided after the close of the transaction.	6/28/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
329	Information Technology		Can you confirm what equipment exactly is located in the 5 racks hosted at PREPA Net? What applications run from this location?	A diagram of these racks has been uploaded to the data room at #1.11.16. The application run is Production environment.	6/28/2019
330	Information Technology		Are IT and OT networks physically or logically seperated from each other? Please provide details in a diagram if possible	For a diagram please refer to document #1.11.8 in the data room.	6/28/2019
331	Other		Provide a fleet health assessment (per unit)	<p>The Fleet Management system does not collect information about the physical condition of the unit. The units belong to the end user directorates (for example, T&D, Generation, Customer Service, etc.). The fleet does not belong to the Land Transportation Division. The end-users are the owners and custodians of the units.</p> <p>It is important to note that the fleet, in general, is in less than favorable conditions and mostly obsolete.</p>	6/28/2019
332	Other		What is the planned Fleet CAPEX budget/asset plan for the next 2 years (adds and replacements)	There is a projected annual investment of \$10M to \$12M for the purchase of fleet. This investment includes replacement units and additional units.	6/28/2019
333	Information Technology		Please provide a copy of the Accenture "IT Digital Transformation Strategy" deliverable.	PREPA is currently not in contract with Accenture at this time, as such there is no deliverable to provide.	6/28/2019
334	Information Technology		Do you have a defined list of business processes that are supported by technology and applications? Are the dependencies understood and documented? If so please provide a copy of this.	Please refer to document #1.11.17 in the data room.	6/28/2019
335	Information Technology		What is the total number of IT users (as measured by active Active Directory accounts or O365 mailboxes)?	There are approximately 2,971 users per the active directory.	6/28/2019
336	Information Technology		Is the intent to achieve NERC CIP compliance from a cybersecurity perspective?	Yes, this is part of the specification in the new IT OT backbone plan.	6/28/2019
337	Information Technology		PREPA documents reference "the implementation of DWDM and MPLS systems". Please provide the build-up estimates that comprise the \$36M implementation plan.	Please refer to the last page of the IT/OT backbone for the estimate breakdown as submitted to FEMA as document #1.11.14 in the data room.	6/28/2019
338	Information Technology		Can you please provide copies of the contracts for vendors shown on page 131 of the CIM	For contracts please refer to folder #1.8 in the data room.	6/28/2019
339	Information Technology		Please provide information about any Multi-Factor authentication systems used within the IT or OT networks, including password management systems, logging, provisioning/deprovisioning, privileged access management, or VPN systems.	<p>1- MFA is only available (but not enforced) for Office 365 administrator.</p> <p>2- We use Manage engine for password management and recovery, not for siloed applications.</p> <p>3- Palo Alto Network Global Protect VPN.</p>	6/28/2019
340	Human Resources & Labor		For clarification, the CAOC and CDCA are housed under the HR Directorate, where will CEI and CASE training centers report to?	CEI reports to the HR Directorate. CASE reports to the Generation Directorate.	6/28/2019
341	Environmental		Please confirm the dataroom reference for the rules / permits for pesticide use at the irrigation channels	Please see Folder 1.6.19. The irrigation districts are eligible for permit coverage and authorized to discharge to waters of the United States in accordance with the requirements of the 2016 Pesticide General Permit ("PGP") for Discharges from the Application of Pesticides. The 2016 PGP is issued under the CWA's National Pollutant Discharge Elimination System program, and expires on October 31, 2021. PREPA's Notices of Intent to be covered under the PGP, PREPA's Pesticide Discharge Management Plans, and PREPA's annual reports for the last few years are located in Folder 1.6.19 in the data room. More information about the 2016 PGP is available on EPA's website: https://www.epa.gov/npdes/pesticide-permitting-2016-pgp	6/28/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
342	Environmental		How many miles / km of open irrigation channels are there on the island?	PREPA's three irrigation channels are 280 miles in total.	6/28/2019
343	Information Technology		Please provide a copy of the IT / OT backbone transformation plan that was submitted to FEMA	Please refer to document #1.11.14 in the data room.	6/28/2019
344	Information Technology		Please confirm who is performing the CC&B update (Oracle, Accenture, etc.?)	The CC&B update will be completed by Accenture, pending completion of the contract.	6/28/2019
345	Information Technology		What is the plan, if any, to move the Aguirre data center once T&D and generation are split?	The physical demarcation between generation and T&D is currently under discussion to be included in the O&M agreement. There is currently is no plan to move the data center.	6/28/2019
346	Information Technology		How many users have remote access to the system network?	There are approximately 512 active users with VPN access.	6/28/2019
347	Planning / Contracts		Please provide a copy of all the studies you need to do annually as part of T&D planning	Presently, PREPA's main planning document is the Integrated Resource Plan (IRP). This document shows the desired roadmap of improvements necessary in a 20-year timeline at both transmission and distribution level, taking into consideration the scenarios studied within the Long Term Capacity Expansion plan. It also takes into consideration reliability and resiliency principles, as strategic pillars set forth by the Governing Board. In the past, PREPA also had a yearly process of Capital Improvement Program. This program considered a 5-year timeline and considered the needs and recommendations from Planning, T&D and Operations divisions.	6/28/2019
348	Safety		Please upload the public safety program to the dataroom	PREPA does not have a public safety program or operating procedure relating to the general public. In case of emergency or disasters the following agencies: Public Security Department (state and municipality police), Fire Department, State Agency for Emergency and Disaster Management or any Public Agency depending the emergency are responsible for the public safety orientation.	6/28/2019
349	Safety		Please upload the work stoppage report to the dataroom	Details on work stoppages should be included in the HR board reports which have been uploaded for calendar year 2019 to the data room at folder #1.12.11.	6/28/2019
350	Finance	1.1.1.10.3	Please describe the process for the creation of codes and standards applicable to the T&D system including how the codes / standards are created, and by whom and the ability to negotiate / challenge these codes. [There is a worry that codes will be so cumbersome that it will cause significantly higher rates to end customers]. Additionally, of these codes, need to understand what portion of them will be covered by FEMA funds.	Before Hurricane María, PREPA had both design & construction standards for T&D infrastructure, as well as specs standards for parts & materials. Now, some of these standards were last updated during the 80's or 90's and were outdated. Some of them were in fact, updated — to some extent, taking into consideration recent updates in international, recognized standards such as IBC. After Hurricane María, FEMA asked for the update of all standards that were outdated and were related to infrastructure that could be eligible for FEMA funding. An internal committee at PREPA from Planning, T&D, IT/Telecom, Engineering and Protection convened and with the help from external consultants started working on the update of six (6) standards: Transmission, Distribution, Civil, Substation, Protection and Telecom. The updates for these codes & standards take into consideration: (1) new updates in international codes or standards such as IBC, IEEE, etc. (2) specific features or provisions for improving resiliency in Puerto Rico due to Hurricane Maria and (3) need for modernization of infrastructure. The expectation is that these updated codes and standards will be vetted by FEMA, so all infrastructure projects submitted for federal funding can comply with acceptable codes from FEMA's perspective.	6/28/2019
351	Environmental		Please provide the total number of waste water systems which are required to meet EPA UIC standards? PREPA has previously stated 'many' but a quantative number would be benficial.	PREPA has identified 367 total systems, approximately 242 of which are associated with non-generation facilities. The remaining systems are associated with PREPA's generation and hydroelectric facilities. Note that these are approximate estimates of the systems that PREPA has identified. Additional systems may exist that have not been identified. Please see also Doc. 1.6.13.4 for a UIC inventory, which provides additional information regarding PREPA's UIC systems	6/28/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
352	Environmental		Please provide a copy of the plan for compliance with UIC standards that PREPA previously generated.	PREPA has included the alternate compliance plan for Martin Pena Substation in the data room in Folder 1.6.13.3. Most T&D facilities do not currently have an alternate compliance plan. If there is a specific UIC facility that is of interest, please clarify the question.	6/28/2019
353	Environmental		Can you please provide a copy of the Corporate Recycling Program in English?	The Corporate Recycling Program is not available in English.	6/28/2019
354	Environmental		Can you please provide copies of paperwork to confirm that the USTs at Monacillos were closed in complinace with EPA standards?	Please see Doc. 1.6.9.6.1 for a certification regarding the USTs at Monacillos. Please see also Doc. 1.6.21.3.2. Appendix K of this document (PREPA's request for partial termination of the Consent Decree) contains PREPA's certifications to EPA regarding USTs at Monacillos.	6/28/2019
355	Environmental		What permits are currently in place for transmission line and facility maintenance with federal agencies (ex. DOD, US Forest Services, etc)? Can copies of permits be provided?	Please see Folder 1.6.14.1 for PREPA's permits/leases with the U.S. Forest Service for facilities in El Yunque. PREPA previously had a single special use permit/ communications use lease from the U.S. Forest Service in the El Yunque Caribbean National Forest. The original U.S. Forest Service special use permit included the following three uses: a telecommunications site, power transmission lines, and a hydroelectric power project. However, going forward, the U.S. Forest Service has requested that PREPA obtain three separate individual permits/leases for this infrastructure located on federal lands. In March 2019, PREPA signed a 30-year lease issued by the U.S. Forest Service for PREPA's use of El Yunque for its telecommunications site, which is in the data room. See Folder 1.6.14.1. PREPA is still waiting for the U.S. Forest Service to sign and issue the fully executed lease document. Currently, PREPA is also working closely in conjunction with U.S. Forest Service to acquire the new permits/leases for its power transmission lines and the hydropower project. These two are in process. 2009 conditions remain in effect.	6/28/2019
356	Environmental		The PREPA envrionmental department is currently working on required reporting for FEMA funding. Can copies of compliance reports for 2019 YTD be provided?	This is very large volume of information, because each piece of work for each line/feeder segment has its own report that must be submitted to FEMA. Please narrow request to ask for specific documents for specific project works if desired.	6/28/2019
357	Environmental		Can you please provide the most recent version (no later than 12/2005) of the Right-of-Way Regualtions in english?	These regulations are not available in English.	6/28/2019
358	Human Resources & Labor		Does PREPA do any EEO reporting on race?	PREPA does not submit any EEO reporting on race at this time.	6/28/2019
359	Human Resources & Labor		Please provide a summary on the new (5th) union / CBA establishment process	<p>The Union of Electric System Operators (UOSE) filed a petition with the Puerto Rico Labor Relations Board for representation for the classes of Electrical System Operations Supervisors pursuant to Decision and Order D-90-1170 in the PC- Case. 86-11.</p> <p>The union it is composed of ten (10) Supervisors of Operations of the Electrical System that are distributed in Monacillos and Ponce.</p> <p>Some of the topics that the union is interested in negotiating include the following:</p> <ol style="list-style-type: none"> 1. Extra time to what the law stipulates. 2. The time for taking lunch. 3. Change of classification from exempt to non-exempt, etc. <p>For additional details please refer to document #1.12.12.1 in the data room.</p>	6/28/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
360	Human Resources & Labor		Can you please provide the dental and medical health plan documents in English, if available?	The dental and medical health plan documents are not available in English at this time.	6/28/2019
361	Finance		What have been the historical experience with bad debt expense (both as a percent of revenue and total dollars)?	After excluding municipal and other subsidized customers, PREPA's bad debt expense for general and government clients in the recently certified FY20 fiscal plan was approximately 2% of revenues.	7/3/2019
362	Regulatory		What is the ability to raise rates if needed, both from a regulatory standpoint and from the standpoint of political ability?	PREPA has pass through cost adjustment rate riders for approximately two-thirds of the costs in its revenue requirement: Fuel, Purchased Power, CILT, and Subsidies & Public Lighting. Under the new rate structure implemented by PREPA May 2019, Fuel and Purchased Power rate riders will be reconciled and adjusted on a quarterly basis, with the possibility for an emergency interim adjustment if fuel prices swing widely. CILT and Subsidies & Public Lighting rate riders are reconciled and adjusted annually. Any future adjustments to the base rate, which is intended to cover all non-fuel / purchased power O&M. will need to be requested and justified to PREB.	7/3/2019
363	Human Resources & Labor		Employee rewards (including compensation, health, welfare, recognition)	1. For details on employee compensation please refer to the CBAs (1.12.3), trust and career progression documents (1.12.9), as well as the employee census file (1.12.2.3) which are included in the data room. 2. Outside of regular compensation the only additional employee reward is the Christmas bonus which is currently mandated by law at \$600 per employee.	7/3/2019
364	Human Resources & Labor		Personnel policies, procedures, handbooks, manuals, directives and practices	Please refer to the CBAs (1.12.3). Anything not covered in the CBA's should be covered in Ch. 100 and Ch. 200 of PREPA's administrative manual uploaded to the data room at 1.12.13.1 and 1.12.13.3.	7/3/2019
365	Planning / Contracts	1.1.1.8.1	Referring to the organizational summary, which Directorate(s) oversee the Procurement function? Please provide an organizational chart for Procurement.	The procurement functions do belong to the Executive directorate with the exception of professional services contracts (Legal Affairs Directorate). Please refer to document #1.3.10.3 and 1.3.10.7 in the data room for a Procurement Org Chart.	7/3/2019
366	Planning / Contracts	1.1.1.8.1	Is Procurement centralized for both T&D electric and power generation, or are they separate organizations?	Procurement is centralized for all PREPA directorates.	7/3/2019
367	Planning / Contracts	1.1.1.8.1	Who handles materials management (inventory management, logistics and warehousing), the procurement group or others?	PREPA Procurement has a Warehouse Division that handles materials management.	7/3/2019
368	Planning / Contracts	1.1.1.8.1	Provide a current open PO commitment report	Please refer to document #1.3.10.8 in the data room.	7/3/2019
369	Human Resources & Labor		Update active employee position spreadsheet to indicate whether in-scope, exempt/nonexempt status, base wage rate/salary, overtime compensation, any additional compensation, age, gender, race, and years of service	Please refer to document #1.12.2.6 in the data room. Overtime Comp is for the period 1/1/19 - 5/31/19). Please note that data on race is not available.	7/3/2019
370	Human Resources & Labor		List and description of any pending or threatened grievances and arbitrations	Please refer to section B of the latest Human Resources related board reports in the data room at folder #1.12.11.	7/3/2019
371	Human Resources & Labor		Copy of any personnel policies, procedures, handbooks, manuals, directives and practices	Please refer to the PREPA Administrative Manual in the data room at folder #1.12.13.	7/3/2019
372	Customer Service		What O&M funding has been provided to support customer engagement and outreach, to support organizational change management efforts, to support EE efforts?	The current O&M budget does not provide for customer engagement or outreach, to support organizational change in management efforts, or to support EE efforts. Community outreach is sponsored by the governor of Puerto Rico and PREPA employees may participate in charitable acts of philanthropy as organized by this office, including school supplies drives and toy drives for children on Three Kings' Day.	7/3/2019
373	Planning / Contracts	1.1.1.8.1	Provide a copy of any procurement practices or procedures.	Please refer to the procurement overview in the data room at 1.1.2.3.7 and supplemental documents in section 1.4.1.2.2.	7/3/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
374	Information Technology		Detailed list of all HW/SW licensing agreements and status; e.g. are they current and actively on maintenance?	Please view a detailed list in the data room at 1.11.27.	7/3/2019
375	Other		Personnel – A. How many full time personnel work in PREPAs Security Dept. B. Please provide a table of organization describing the various level of management, business units, and personnel assigned to those areas. C. Describe the physical assets associated with the Security Dept., e.g. vehicles, offices, radios, etc. D. Describe the selection process for hiring security personnel. E. Describe the minimum qualification and training for security personnel. F. Please describe the roles and responsibilities of PREPA's Security personnel both as an operator in a security center and while in the field. G. Are any or all security personnel armed	For detailed responses to each of these questions please refer to document #1.3.9.4 in the data room.	7/3/2019
376	Safety		Please send detailed information on what method PREPA uses to manage vehicle activity, maintenance schedules and repair histories. We would also like to understand if PREPA utilizes any automated systems for vehicle telematics and if so, what system, provided by which, what features are available and how long has the system/process has been in operation. Additionally, please provide the complete list of fleet vehicles by type, make/model and year.	PREPA uses Maximus FleetFocus as its Fleet Management System to document repairs and maintenance. PREPA has the performance of its units documented from the time it is put into service until it is no longer in use. The referrals of the units to the workshop are per occurrence, whether it be scheduled maintenance or repair or for emergencies. The Land Transportation Division does not manage or have access to the monitoring / tracking system of the fleet. Please see the documents #1.3.9.6 and #1.3.9.7 in the data room for information regarding PREPA's current active fleet.	7/3/2019
377	Other		Provide physical location of fleet shops	Please refer to document #1.3.9.5 in the data room for a map of our workshop locations.	7/3/2019
378	Information Technology		Do you have a defined list of business information and data that underpins the business processes? If so please provide a copy of this	Please refer to 1.11.25 in the data room.	7/3/2019
379	Information Technology		Do any employees have access to a smaller subset of applications e.g. mobile workers or similar, if so how many?	Generally all employees have a standard level of access. Approximately 177 employees have iPad or mobile (remote) access.	7/3/2019
380	Information Technology		Can you provide information about the Fibre network assets used by and operated by the distribution part of PREPA	PREPA cannot provide this information at this time, due to a lack of resources. PREPA does not have visibility into the fiber network in the grid.	7/3/2019
381	Human Resources & Labor		Please provide any past and/or previous data on employee training profiles as well as any records of employee training sessions	PREPA has five (5) training centers, as follows: CDCA (Center for the Development of Administrative Competencies), CECI (Educational Center for Computer Training), CASE (Educational Center for Electrical System), CADE (Educational Center of Electrical Distribution), and CAOC (Commercial Operations Training Center). Only four of them (CDCA, CECI, CADE, and CAOC) respond to the Human Resources and Labor Affairs Directorate. CASE responds to the Generation Directorate. The following is the quantity of employees trained per training center on 2018: CDCA – 1,806 employees CECI – 29 employees CADE – 2,369 employees CAOC – 1,038 employees	7/3/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
382	Planning / Contracts		What is the purchasing structure (FTE) supporting Fuel purchasing, delivery and logistics	There are approximately 6 PREPA personnel involved with each fuel purchasing process (3 at the plants and 3 at the corporate Santurce office). For an overview of the fuel purchasing process please refer to document #1.3.10.4 in the data room. Additionally, fuel and purchased power contracts are included in the data room at #1.8.1 and 1.8.2.	7/3/2019
383	Other		Can we please be provided the split of which warehouse are Generation? Transmission? Distribution?	Warehouses are not specifically split by directorate but operated by PREPA overall. However, large generation assets have their own warehouses on site and seldomly use T&D warehouses. Smaller generation assets, such as Cambalache use local warehouses shared by both T&D and generation. T&D warehouses are not split. The use of warehouses is currently flexible between directorates.	7/3/2019
384	Information Technology		Please provide diagrams, photos, and lists of equipment for the PREPA Net and Monacillos data sites	Please refer to #1.11.21 and #1.11.22 in the data room.	7/3/2019
385	Information Technology		Please provide the 216 SOA services, summary of connections to the SOA platform, and general overview of any program connections, as well as the document that shows outbound / inbound connections for all interfaces	Please refer to document #1.11.19 in the data room.	7/3/2019
386	Information Technology		Please provide any 3rd party assessments / recommendations on the IR environment (e.g. those completed by Alex Partners)	Please refer to document #1.11.26 in the data room.	7/3/2019
387	Information Technology		Please provide the videos and presentations on OMS, etc. that were previously prepared	Please refer to document #1.11.24 in the data room.	7/3/2019
388	Planning / Contracts		Please provide the latest detail on the RFP for 15 MW mobile generators	The project is to install three 27MW mobile turbines in the Palo Seco Power Plant which started on June 2nd, 2019. The units arrived to the San Juan Port on June 20, 2019. Project is anticipated to be completed during the 3rd Quarter of 2019.	7/3/2019
389	Procurement		Please provide the following documentation: 1. Material & Services Vendor Contracts 2. Approved Vendor List & Performance Reports (Both Materials & Services) 3. Critical Spares List	Please refer to document #1.3.10.2 in the data room for a list of all current purchase orders (contracts) for T&D stock items. This report includes the vendor and a brief description of the material, and additional information regarding the P.O. All of the items in the report are for T&D replenishment and their availability is critical. For contracts please refer to the contracts folder in the data room at #1.8.	7/3/2019
390	Distribution		Please provide the trip statistics associated to the Distribution grid per circuits and causes.	Please clarify what type of statistics are being requested.	7/3/2019
391	Finance	1.1.1.10.3	Is PREPA collecting any revenue from 3rd party use of the distribution poles? Can you please provide the 3rd party contracts currently in place?	Up to 2017, PREPA had an agreement in place with one of its subsidiaries (PREPA Networks) who was in charge of processing the requests for the joint use of PREPA's poles and collecting the revenue for this use. The amount collected per pole varied between a range of \$8.65 up to \$12.10 per pole, per attachment. For example, in fiscal year 16-17, PREPA Networks billed \$3,340,376 for the joint use of 331,223 poles for an average revenue of \$10.08 per pole, per attachment. In 2017, PREPA Networks concluded its agreement with PREPA regarding the processing of the joint use requests. PREPA then started preparing the new agreements with the private Telecommunications companies for the joint use of its poles. The draft of this agreement is currently under review with PREPA's Legal Division and will soon be distributed for comments to the PR Telecommunications Board and the respective private telecommunications companies.	7/3/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
392	Information Technology		Description of current data center infrastructure and usage of public cloud if any	The current data center infrastructure is run by Azure as a new service. The migration to the cloud is a proof of concept project. The majority of information is held on PREPA net or onsite. PREPA uses a private cloud as a business and financial suite.	7/13/2019
393	Planning / Contracts	1.8	Provide a listing of all PO's cut between September 2014-December 2018	PO's and Contracts cut since September 2014 have been included in the data room at #1.3.10.5 and 1.3.10.6 respectively.	7/13/2019
394	Human Resources & Labor		Provide a list of all contractors (including Medical Consultant) including scope of work, terms, and duration of assignment	Medical Consultant Services are provided by Universal Medical Option, Inc (UNIMED). The term of the contract is September 18, 2018 through June 30, 2019. The grant date is September 18, 2019.	7/13/2019
395	Human Resources & Labor		Copy of any pre-employment screening procedures (including I-9 verification, drug testing, background checks, etc.)	The only other individual contractor would be the administrative law judge. (5) Under contract to resolve complaints under the CBAs or procedures of PREPA relating to Human Resources (disciplinary etc.), Duration of assignment is indefinite. General terms on recruitment are included in Ch. 100 - Section 111 (1.12.13.1) in the data room Please see a copy of the I9, employee questionnaire, applicant evaluation, and drug testing procedures in the data room in section 1.12.2. Background checks are not conducted at this time, however as part of PREPA's prospective applicant screening, individuals must present copies of Criminal records obtained at the local police station, which verifies criminal history or child support delinquency.	7/13/2019
396	Human Resources & Labor		Copy of any internal complaint process	Please refer to the CBAs, personnel regulation document for Career employees and copies of the board reports in the data room at #1.12.11.	7/13/2019
397	Human Resources & Labor		Copy of any affirmative action programs	As a state entity, PREPA's affirmative action policy is the PR law 212- 1999 on Guaranteeing Equal Opportunity in the Workplace, which can be found in the data room as 1.12.2.7.	7/13/2019
398	Human Resources & Labor		Is PREPA in compliance with reporting and disclosure obligations?	PREPA is up to date and in compliance with their reporting and disclosure obligations. The list of HR reporting and disclosure cadence may be found in the data room as 1.12.11.6	7/13/2019
399	Transmission		What is the process, procedure and cycle for inspection of Guyed transmission structures. Do you perform any non destructive testing of this structure/guy?	PREPA doesn't have a cycle for inspection of guyed transmission structures at this time.	7/13/2019
400	Transmission		What is the current vegetation maintenance cycle for the system? What restrictions with respect to environmental and T&E is there? What methods are utilized for clearing?	3 years inspection cycle for backbone and 6 years for laterals. Please refer to document #1.3.9.8 in the data room.	7/13/2019
401	Transmission		What is the structure inspection and maintenance cycle? Is it aligned with the vegetation maintenance process?	3 years inspection cycle for backbone and principals laterals. Please refer to document #1.3.9.9 in the data room.	7/13/2019
402	Transmission		Provide a description and documentation of the ICS (Incident Command System) currently being utilized by PREPA. If not, what model or structure do you use?	A description of the Incident Command System should be included in the Emergency Operations Manual which is included in the data room at folder #1.3.2.7.	7/13/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
403	Transmission		Describe the process and documentation for establishing your transmission and distribution maintenance programs.	<p>PREPA's T&D maintenance office is responsible for the maintenance of equipment inside the substations and switchyards, such as transformers, transmission and distribution breakers, substation batteries and chargers and relays. Each equipment has a defined time for scheduled maintenance. Information identifying the equipment is kept in an Access Database that is regularly updated (monthly). In the case of transformers and breakers the program is run yearly from July 1st through June 30 of the next year. Records are kept for each equipment using a unique code that was assigned when the equipment was installed.</p> <p>Defined scheduled maintenance periods, which are established mostly following the manufacturers recommendations:</p> <p>Transmission transformers – 2 years Distribution Transformers – 4 years Battery Banks – 5 months Oil Transmission breakers – 4 years SF6 Transmission breakers – 6 years Distribution breakers – 4 years</p> <p>Each maintenance is done following defined steps, established in a document (1.3.2.11), which include inspection, testing and replacement of components if necessary, and any other requirement by the specific manufacturer of the equipment. A report is generated with the details of the work done, under the code assigned to the equipment.</p> <p>The relay maintenance program runs on a three year schedule, in which period all the relays that are in service are worked on. It involves calibrating equipment, inspection and testing.</p>	7/13/2019
404	Information Technology		Are there any service level agreements in place with either internal or external entities regarding availability and/or performance of the IT systems and infrastructure?	Yes, HP and eBusiness suite from Oracle have service level agreements affecting performance and system availability	7/13/2019
405	Customer Service		Are there IT issues at the call center impacting performance?	Yes, the call center uses PREPA IT applications for daily customer contact. PREPA IT does not ensure quality of service at the call center. IT has neither provided a modern call center application. IT lacks integration or visibility with Customer Services and requires an upgrade.	7/13/2019
406	Transmission		How many repair permits are issued daily? Yearly? If possible, provide a spreadsheet showing all permits issued for past few years or describe. Is there a flow chart which would help describe how the permitting process for vegetation management works, who approves, sequencing, timing, etc. We also understand that new regulations / processes have been implemented to improve the ease of doing business - can you please outline the changes and how the new permits are intended to be processed?	PREPA is not currently required to obtain permits for repairs and/or vegetation management.	7/13/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
407	Transmission		Underlying data of transmission failure / outage by causes / error code for past 5 years or as long as available? (i.e. numbers caused by vegetation management, storm, etc.) Provide as much detail on the outage cause codes as available and do not roll up to higher categories	<p>The Energy Control Center records transmission breaker trip operations in a Microsoft Access database. Due to lack of personnel, ECC is not able to maintain comprehensive records, so the data is incomplete.</p> <p>For details on outages over the period March 2018 through February 2019 please refer to document #1.3.6.7 in the data room.</p>	7/13/2019
408	Grid Modernization Plan		Please provide a detailed breakdown (to as granular a level as available) of the Energy System Modernization plan T&D Priority Project List (p. 39-40 of the CIM). We would like information on specific lines, substations, etc. and major activities with timelines.	The Grid Modernization Plan (EGM) (formerly called the Energy System Modernization plan) is a top-down estimated capex plan that does not currently have specific asset replacement and investment detail to support the entire projection. Sargent & Lundy is working with PREPA on the necessary maintenance expenses (NME) and with EGM to develop an asset-by-asset prioritized capex plan for discussions with proponents. A revision to the capex plan discussed during the June meetings is expected in July to include detail from the NME and correlation to the IRP & EGM. Sargent & Lundy is working with PREPA in FY20 to develop a T&D roadmap which will provide a detailed project-by-project plan on implementing the capex investment going forward.	7/13/2019
409	Customer Service		What is the new customer connection process (i.e. if a customer needs a new distribution line run to a new building)?	Please see a presentation on the customer connection process in the data room as 1.1.2.3.10. Requests for the evaluation and endorsement of the plans for connections for new customers are received by PREPA from OGPe (PR's central permits management agency). Requests for the inspection, approval and connection of these same projects (customers) are handled directly between PREPA and the developers. With regards to the statistics included, please note that the amount of projects evaluated or endorsed by year does not directly reflect the amount of new customers. For example, in the case of a new apartment building, it is only one project for purpose of the engineering process but it may represent tens or hundreds of new customers.	7/13/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
410	Information Technology		Can you provide a summary of the SCADA points that are currently being monitored. Number of analogue, number of digital, number of calculated points.	<p>The Supervisory Control and Data Acquisition (SCADA) system consist of the following:</p> <ol style="list-style-type: none"> 352 Stations; which contains the descriptions of all digital and analog points. They also contain the description of points for connectivity purposes. They are also distributed at different voltage levels: <ol style="list-style-type: none"> Transmission 230, 115,38 KV Distribution 3,8,7 4,2 KV Generation 2.3, 4.16, 13.2, 13.8, 20, 21, 24, 33, 34.5 KV There are: <ol style="list-style-type: none"> 41,495 digital points <ol style="list-style-type: none"> Telemeter points <ol style="list-style-type: none"> Distribution 9189 Transmission 13476 Generation 24 <ol style="list-style-type: none"> Non-telemeter points <ol style="list-style-type: none"> Distribution 7082 Transmission 7737 Generation 88 <ol style="list-style-type: none"> 3892 SOE points 14223 analog points Telemeter points <ol style="list-style-type: none"> Distribution 3280 Transmission 3406 Generation 241 Others 1826 Non-telemeter points <ol style="list-style-type: none"> Distribution 1956 Transmission 1828 Others 1650 844 Accumulators 4400 Load Shedding points 	7/13/2019
411	Integrated Resource Plan		Are the As Built Documentation reviewed by QC inspectors prior to customer review and payment to the contractor? Please share if there is a process on what triggers payment after the work is completed.	PREPA deploys internal or contracted inspectors during project construction. These inspectors prepare an inspection report that is included as required documentation for invoices. Accountants then review this invoice and verify contract terms and rates are fulfilled. PREPA does not have a formal QC inspection procedure at this moment, however a QC program is currently being developed to be deployed in the next six months.	7/13/2019
412	Transmission		Please provide the volume of planned and unplanned outages per week/month/year that are processed by the T&D control centers	Please refer to document #1.3.2.10 in the data room.	7/13/2019
413	Customer Service		Please provide information on approximately how many new customer interconnection requests PREPA receives per year	Please refer to document #1.3.7.25 in the data room.	7/13/2019
414	Customer Service		Please provide information on approximately how many residential meters, on average, are replaced each year	Please refer to document #1.3.7.26 in the data room. This report reflects the approximate number of meters changed over the period September 2017 to December 2018. Please consider that 2018 was an atypical year in terms of meter change orders due to the emergency that affected more than 60,000 meters throughout the Island.	7/13/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
415	Information Technology		Please provide a detailed inventory for each of the server racks in the Aguirre data center	Please refer to #1.11.21 and #1.11.22 in the data room.	7/13/2019
416	Information Technology		Please provide all of the joint-use agreements for telecoms / cable / etc.	<p>Up to 2017, PREPA had an agreement in place with one of its subsidiaries (PREPA Networks) who was in charge of processing the requests for the joint use of our poles and collecting the revenue for this use. The amount collected per pole varied between a range of \$8.65 up to \$12.10 per pole, per attachment. For example, in fiscal year 16-17, PREPA Networks billed \$3,340,376 for the joint use of 331,223 poles for an average revenue of \$10.08 per pole, per attachment.</p> <p>In 2017, PREPA Networks concluded its agreement with PREPA regarding the processing of the joint use requests. PREPA then started preparing the new agreements with the private Telecommunications companies for the joint use of its poles. The draft of this agreements is currently under review from our Legal Division and will be soon distributed for comments to the PR Telecommunications Board and the respective private telecommunications companies. Mrs. Astrid Rodríguez, Head of the Legal Division, is directing these efforts.</p>	7/13/2019
417	Operations / Dispatch		Please identify the MW load of water plants considered to be critical loads	This information is not readily available at this time. PREPA does have information regarding the circuits that supply critical loads and the peak demand of those circuits which can be provided if necessary.	7/13/2019
418	Operations / Dispatch		Please provide the procedures book containing efficiency standard for Dispatch operations	This document does not exist at this time.	7/13/2019
419	Planning / Contracts		Please provide the distribution study document. This document describes the general philosophy that PREPA applies to distribution	Please refer to the Integrated Resource Plan (IRP). This document shows the desired roadmap of improvements necessary in a 20-year timeline at both transmission and distribution level, taking into consideration the scenarios studied within the Long Term Capacity Expansion plan. It also takes into consideration reliability and resiliency principles, as strategic pillars set forth by the Governing Board.	7/13/2019
420	Planning / Contracts		Please provide the contract / additional information on the LED public lighting RFP	There are 9 contracts associated with the LED public lighting RFP, which may be found in the data room in the folder 1.8.10.	7/13/2019
421	Real Estate		Please provide a matrix of the line voltage vs. size of the ROW around the line	Please refer to page 10 for overhead and page 12 for underground in document #1.3.2.12 in the data room.	7/13/2019
422	Lands/Permits		<p>Please provide copies of the following :</p> <ul style="list-style-type: none"> -List of permits for construction not environmental -List of permits for operation -Flow chart of land acquisition inside PREPA for the different process -Flow chart for the construction (meaning how do they get permits for other government agencies to complete work) -Identification of exemptions of permits, land of way acquisition and work during Hurricane Maria 	PREPA does not require any permits for land or easement acquisition. Nevertheless, in the aftermath of Hurricane María, the Governor of Puerto Rico, Ricardo Rosselló Nevárez, issued Executive Order No. OE2017-071, authorizing PREPA, USACE, and their contractors (most of them Mutual Assistance Crews working on the Island's electric and telecommunications systems restoration at the time) to access PREPA's easement the fastest way possible, even through private property. This order provided a waiver for any damages caused by PREPA, USACE or their contractors to third parties. These Executive Order is no longer in effect.	7/13/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
423	Finance	1.1.1.10.1	Summary or scope of work and work performed to date for the following items: Vegetation Management Plan, Improved Economic Dispatch Capacity and Transmission Constraints Study (as shown on page 13 of document)	<p>Vegetation management- To date, there are two contractors in place in the form of a pilot project. However their workforce is small, at approximately 30 individuals each. Their scope of work is to clear vegetation in critical areas identified as high risk for disruption during the hurricane season. There is currently a second RFP under development, to be delivered July 18th seeking larger companies to participate in island-wide vegetation management. PREPA is simultaneously developing a comprehensive vegetation management plan as required by law, to be operated under a single office, which will be delivered on August 9th.</p> <p>Economic Dispatch Capacity and Transmission Constraints - The Economic Dispatch and Transmission Constraints initiative is supplemented by the Vegetations management plan. Currently, Sargent and Lundy is examine a technical revision of the current T&D model, to identify constraints and limitations with current transmission infrastructure. This is accomplished by running a PSSE software simulation, and running virtual contingency tests on the system. When constraints are identified, recommendations will be made targeting upgrades to transmission lines and equipment. The Preliminary grid analysis of this task is targeted to be completed by mid-August.</p>	7/13/2019
424	Finance	1.1.1.10.1	Additional detail around regulatory construct of PREB and mechanism to develop rates. What is the regulatory compact? (Agreement between the utility operator and the regulator?)	Please refer to document #1.4.9 in the data room.	7/13/2019
425	Environmental		Please provide commentary on the environmental permitting process being utilized for the Humaco District project, including who is obtaining permits, what level of involvement does the PREPA environmental team have, and if the assumption moving forward is that all FEMA funded projects will be handled similarly?	<p>The ESO Program Organization has 2 (two) critical steps where the Environmental Permitting aspects are managed:</p> <p>1 - During the Project Formulation and Funding phase of each and every project an Environmental and Hazard Mitigation (EHP) Consideration is performed. This is a specific requirement of FEMA for Project Worksheet approval. The ESO Program Organization has an EHP team performing these tasks for PREPA. Two engineering companies are hired to perform these tasks and this team will perform the necessary work for all the future projects presented to FEMA during the Project Formulation and Funding phase.</p> <p>2 - After a PW approval and funds are obligated by FEMA; the plan is to award Design-Build Contracts by means of a competitive procurement process following PREPA's procedures. The responsibility to submit Environmental and Construction Permits resides on the construction firm selected. The ESO Program has an Environmental Permit review and audit team composed by: Licensed Engineers, Archeologist, and Scientists specialized on this subject. The ESO Environmental Team will provide PREPA all the technical review needed to allow PREPA to award a notice to proceed for the contractors. All the Permitting Information is captured and stored in the ESO Program database and delivered to PREPA's Environmental team for future reference and audit trail.</p>	7/13/2019
426	Other	2.8.2	Which of the fuel supply agreements will be managed as part of this RFP?	None. Current expectation is that the selected proponent will not be handling the fuel supply.	7/19/2019
427	Human Resources & Labor		Confirmation that all material litigation (threatened, pending, concluded) is reflected in Summary of Material Litigation 10.3.18	Yes, the total amount of cases is 409.	7/19/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
428	Human Resources & Labor		Are you aware of any threatened material litigation or claims?	Yes, PREPA is aware of 50 cases.	7/19/2019
429	Human Resources & Labor		Have there been any recent closed material litigation or claims?	Yes, there are 66 claims and 128 litigation cases that have been closed.	7/19/2019
430	Human Resources & Labor		Tell us about any internal complaint process, how frequently it is utilized, and outcome	<p>Please refer to the CBAs, personnel regulation document for Career employees and copies of the board reports in the data room at #1.12.11. For a review of complaints issued in 2018, please refer to 1.12.2.13 in the data room.</p> <p>The following procedure is the stages/levels to contest administrative decisions according to the Non-Union Employees Grievance Procedure: Whenever a non-union employee has a grievance he must present it, in writing, to the Division Chief, Regional Administrator or Plant Chief within ten days of the issue or decision that led to the grievance. The Division Chief, Regional Administrator or Plant Chief has ten working days to reply. This is the First Level.</p> <p>If the grievance isn't resolved to the employee's satisfaction or if the First Level does not answer the grievance within the established time frame, the employee must write to the Director of the concerned Directorate within the next ten working days of receipt of the reply or the date on which the reply should have been received. The Director has 15 working days to reply. This is the Second Level.</p> <p>If the grievance isn't resolved to the employee's satisfaction or if the Second Level does not answer the grievance within the established time frame, the employee must write to the Labor Relations Division Chief within the next ten working days of receipt of the reply or the date on which the reply should have been received. Within the next 30 working days, the Labor Relations Division Chief may assume jurisdiction of the grievance to resolve it or assign it to an Independent Reviewing Officer. The Independent Reviewing Officer will then set a date to hear the case and emit their decision. The Independent Reviewing Officer's decision may be appealed before the Appellate Court.</p>	7/19/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
431	Planning / Contracts		<p>A. Does PREPA have Life Safety plans for all facilities that address the actions to be taken to address the impact of manmade or natural hazards?</p> <p>B. Do life safety plans include;</p> <p>a. Building evacuation plans</p> <p>b. Shelter in place plans</p> <p>c. Active shooter</p> <p>d. Bomb threat/Suspicious package plans</p> <p>C. How often are life safety plans reviewed, updated and exercised?</p>	<p>A. Yes, PREPA's Life Safety plans address the actions to be taken in case of manmade or natural hazards. You may find them in the data room as 1.12.4.13</p> <p>B. Life Safety Plans include the following:</p> <p>a. For building evacuation, please refer to the Plan de Desalojo in the data room at 1.12.4.13.2.</p> <p>b. For the shelter in place plan, please refer to document 1.12.4.13. The current plan includes placement of essential personnel onsite during times of atmospheric disturbances.</p> <p>c. PREPA does not maintain an active shooter emergency plan. However, management is currently incorporating security protocols developed by the FBI, and drafted by the Puerto Rico State Agency for Emergency Management and Disaster Management. This document should be completed by the end of August. Currently, PREPA on site security trains for active shooter scenarios and exit controls. These actions are implemented alongside standard evacuation procedures, which rely on floor and department coordinators to lead evacuations.</p> <p>d. Please refer to the evacuation plan, annex H, in the data room as. 1.12.4.13.2.</p> <p>C. Safety plans are currently under review in the Procedures Office. Exercises have been carried out at the office coordinator level, and PREPA is planning an exercise to include all employees.</p>	7/19/2019
432	Human Resources & Labor		Was the change in pensions (for pre-1993 and post-1993 employees) required by law, or the PREPA retirement Board? Are there any conflicts between the current pension program and what was negotiated in the CBAs?	The change in pensions was required by the Retirement System Plan Document, approved by the Board of the PREPA Employees' Retirement System as described in section 17 of document 1.12.10.9 in the data room.	7/19/2019
433	Customer Service		Please provide breakdown of payment mechanisms by type (e.g. cash, e-pay, mail-in, walk up), by number of customers, revenue and energy sales, if available.	Please refer to folder #1.3.7.27 in the data room for data on customer payments by type.	7/19/2019
434	Generation		Please provide any studies or analysis performed to assess the costs of the disposal / decommissioning of generation plants (i.e. environmental costs)? Please provide any assumptions or risk factors regarding the potential timeline to decommission a plant in Puerto Rico and whether PREPA has fully decommissioned any units to date.	No studies or analysis has been performed to assess the costs of disposal / decommissioning of generation plants and associated environmental costs. However, such costs would not be the responsibility of the T&D operator. According to the PREPA Generation Director, no PREPA plants or plant sites have been fully decommission or retired. Several plants are long-term out of service or mothballed, and the IRP calls for retirement of decommissioning of a significant portion of PREPA generation capacity.	7/19/2019
435	Customer Service		What is the employee churn rate in the call center? What is the employee churn rate for customer services employees in the district offices?	The attrition rate is currently low across all positions. Please refer to the turnover rate documentation for 2016, 2017, 2018, and 2019 located in the data room as 1.12.2.12.	7/19/2019
436	Information Technology		Can you provide asset records for computer hardware and IT systems	Please refer to 1.11.23 in the data room: "43-PREPA 2019 Data Center Care (inventario-SMC-EOSL) Cust Review".	7/19/2019
437	Legal		How long does an employee have to repay any pension loans?	The employee has a maximum term of eight (8) years for the payment of a personal loan made to the Retirement System.	7/19/2019
438	Legal		What law / executive order gave PREPA the right to expropriate land without the need to go through the PR Department of Justice	The law which gave PREPA the right to expropriate land, without the need to do it through the Puerto Rico Department of Justice, is Act 297 of December 25, 2002 (Act 25-2002). It is stated in said Act 25-2002, that the expropriation process carried out by PREPA requires the approval of PREPA's Governing Board.	7/19/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
439	Legal		What is the average timeline in which land rights can be applied to expropriated territory?	Once the expropriation petition is filed (including depositing with the Clerk of the Court the fair market value of the property to be expropriated), PREPA immediately becomes the new owner of the land or the easement, as the case may be, and may utilize it right away. The only controversy that may arise, is one regarding what the "fair market value" is. This issue is litigated in the same case in which the petition is filed, but does not stay the proceedings nor the occupation or use of the expropriated property by PREPA.	7/19/2019
440	Planning / Contracts		Please provide an example performance report on correct and incorrect operations on the system	Currently there is no procedure or instructive documentation on system operations and dispatch.	7/19/2019
441	Procurement		How do you validate that someone else isn't fraudulently using another person's vehicle fuel card?	There is currently no PIN number or other security metric on vehicle fuel cards, and there is no way to know if a vehicle fuel card is being used fraudulently.	7/19/2019
442	Procurement		Please provide information on the technology of the LED street light replacements	Please refer to the LED street light technology specifications documentation in the data room in folder #1.8.10.10.	7/19/2019
443	Real Estate		Do you have written procedures for acceptable levels of lead, asbestos, etc.?	Please refer to Section II of PREPA's General Manual the data room as 1.12.4.12.	7/19/2019
444	Legal		Are any of the attorneys unionized? If so, which?	All PREPA attorneys in the Legal Affairs Directorate are management employees. The Labor Affairs Division, which falls under the Human Resources Directorate, also has attorneys which are also management employees.	7/19/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
445	Legal		What legal functions and services are provided by PREPA attorneys and what legal functions and services are typically handled by outside private counsel? For example, claims and litigation? Ordinary course contracts?	<p>All attorneys in the Legal Affairs Directorate may perform all legal functions carried out by the Directorate, although through time, they gain specific expertise depending on the Division they belong to. For example, the Legal Affairs Directorate is divided into three (3) Divisions:</p> <ul style="list-style-type: none"> a. Opinions, Legislation and Contract's Division b. Real Estate and Notarial Services c. Litigation Division <p>Also, we have the Office of the General Council, which oversees the performance of all of the above.</p> <p>a. The Opinions, Legislation and Contract Division, as its name suggests, prepares legal opinions at the request of PREPA's Management, Governing Board, and different end users from all areas of the corporation. Also, legislative bills related to or affecting PREPA are evaluated (or prepared, if PREPA requires to enact new laws by means of the Governor's Office) and official comments to them are prepared for the CEO or the person designated by him to present at the Legislative hearing. This Division also prepares and/or evaluates all PREPA contracts (construction, mou's, professional services, procurement of goods and services, fuel supply, governmental agreements, among others).</p> <p>b. The Real Estate and Notarial Services Division (now merged with the Opinions, Legislation and Contract Division) evaluates petitions to constitute easements in favor of PREPA (filed by private third parties as required by law) to ensure compliance with legal requirements in order for said easements to gain access to the Puerto Rico Property Registry. They also evaluate electrical system assignments (that is, when private third parties or other government agencies or municipalities, transfer electrical systems/equipment to PREPA, but no constitution of easement is necessary because the electrical facilities run through public domain areas). As part of the Notarial services offered by this Division, attorneys prepare public deeds, affidavits, etc., all for official matters. Attorneys from this Division represent PREPA in all court cases involving land rights issues. They also serve as administrative judges in all bid/RFP process challenges, among others.</p>	7/19/2019
446	Legal		Are land rights issues handled by PREPA lawyers, another working group within PREPA or are they handled by outside private counsel? If handled by another PREPA working group, which group and is such group staffed by lawyers?	Assuming the land or easement has already been acquired by filing an expropriation petition or by any other means, PREPA's land rights issues are handled by PREPA's attorneys.	7/19/2019
447	Legal		How many active cases do you have right now? How many are being handled in-house versus by outside counsel?	As of 7/15/19, there are 584 active cases, 138 handled by outside counsel and 446 by in-house attorneys. This information does not include cases under Title III and cases of irregularities in the consumption of energy (ICE). As of today, ICE cases are stayed, but existing cases and cases identified by PREPA but not yet filed, add up to over 5,000 cases.	7/19/2019
448	Legal		What is the average number of cases you handle in a fiscal year?	PREPA handles an average of 400 cases in a fiscal year.	7/19/2019
449	Legal		What type of cases do you mostly handle?	Most often Tort cases are handled, such as: bodily injuries, property damage, electrical contacts, electrical fires, car accidents, and breach of contract, eminent domain, debt collections and Puerto Rico Energy Bureau cases.	7/19/2019
450	Legal		How many active claims do you have right now?	PREPA currently has 291 active claims.	7/19/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
451	Legal		What is the average number of claims you receive in a fiscal year?	PREPA receives an average of 81 claims in a fiscal year.	7/19/2019
452	Legal		What is the average yearly pay for cases settled or ordered by a judge?	We assume that "order by a judge" refers to judgements. There is not a statistic dividing payments between and settlements and judgements. Nevertheless, for both, settlements and judgements, the average yearly paid is from \$1.5 to \$2.0 million dollars.	7/19/2019
453	Legal		Please describe any continuing legal education or other trainings or seminars (mandatory or voluntary) in which the Legal Department participates on a regular basis.	All attorneys are required by law to complete 24 hours of legal education every two years. Also, the legal Affairs Directorate offers all PREPA's attorneys seminars on different legal topics related to our functions, several times a year.	7/19/2019
454	Finance		Policy around allowance for doubtful accounts.	Please refer to document #1.2.2.12 in the data room.	7/19/2019
455	Finance	1.1.1.10.3	When do we expect the generation report from Sargent? Can we see the scope / outline of this report?	See 1.3.6 Gen Specs & Performance > S&L Generation Assessments	7/19/2019
456	Environmental		Is PREPA currently operating under any biological opinion letters from USFWS or Puerto Rico wildlife agencies that allow for incidental take of rare, threatened or endangered species?	<p>PREPA is not currently operating under federal Biological Opinion letters. A Biological Opinion had been issued for the Aguirre Offshore Gas Port project and the Via Verde gas pipeline project, but those projects did not move forward.</p> <p>However, following the hurricanes, Emergency Section 7 Consultation with Fish and Wildlife Service ("FWS") did take place in March 2018 for transmission/distribution restoration in the Río Abajo Forest, and in Nov. 2017 for transmission restoration projects more broadly. FWS issued Best Management Practices ("BMPs") to minimize adverse effects to listed species, including the Puerto Rican boa and parrot, Coquí guajón, Elfin-woods warbler, among others. See Folder 1.6.32.</p> <p>When FERC licensed the Rio Blanco hydro plant, it informally consulted with FWS and the Puerto Rican parrot and boa were identified as being present, but FWS found that the project would not jeopardize the species, and no formal consultation was conducted. However, the license contains requirements to consult with FWS, Forest Service ("USFS"), and DNER, regarding land disturbance and vegetative clearing, among other things. Various measures also protect aquatic species, including a 4 cf/s minimum water flow downstream of the Icacos Dam. See Folder 1.6.14.1. PREPA/FERC will need to consult with various agencies regarding species as part of the Rio Blanco re-licensing process.</p> <p>PREPA's lease/Site Management Plan with USFS for the El Yunque Telecommunication Site contain measures to protect species, including consultation with USFS regarding vegetation clearing and endangered plants, avoiding work during Elfin-Woods Warbler breeding season, mitigation regarding protected species, prohibitions on chemicals, cutoff illumination fixtures, measures to prevent entrapment of animals, among other things. See Folder 1.6.14.1.</p> <p>For construction activities on USFS land, PREPA must also submit an application to and consult with USFS (and potentially FWS). See Folder 1.6.14.1. Helicopter use is also restricted, and PREPA must coordinate/informally consult with USFS and FWS to get approval to ensure that helicopter use does not disturb listed bird species during nesting. Herbicide use is also prohibited in El Yunque and consultation with USFS is required.</p>	7/19/2019
457	Finance		Please provide the Organization chart for the department, with indicated of current headcount by subgroup and a description of functional roles & responsibilities by subgroup.	Please refer to the Org chart included in the data room at #1.2.14. Position descriptions for all PREPA positions are included in folder #1.12.9.	7/19/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
458	Finance		Please provide the Accounting policy for determining allowance for doubtful. Any difference on how that is applied for government and non-government customers?	Please refer to document #1.2.2.12 in the data room.	7/19/2019
459	Finance		Updated Statement of Values for all operating assets, including locations and values	Please refer to 1.9.1.6, 1.9.1.8, and 1.9.1.9 in the data room for values and locations of operating assets.	7/19/2019
460	Finance		Are surety bonds needed and are they managed by the Risk and Insurance team, or some other team? Is there a list of any bonds in force where PREPA is the Principal in a surety contract?	Yes, surety bonds are needed and they are managed by the Risk and Insurance team. Currently the only surety bond in force is the SINOT bond. PREPA is obligated by the Department of Labor, to issue this bond to comply with self-insurance requirements.	7/19/2019
461	Finance		Is cyber insurance purchased and does it include cyber risk for the grid?	PREPA has not purchased or includes cyber insurance.	7/19/2019
462	Finance		What is the current Fiduciary policy limit?	The current EPL/ Fiduciary insurance policy has a combined limit of \$5 million in the primary layer, and an excess layer of an additional \$5 million.	7/19/2019
463	Finance		Can you provide details as to any insurance requirements in place as a result of a credit facility, banking, leases, collateral requirements and/or any other third-party outlining insurance requirements?	There are no insurance requirements as described.	7/19/2019
464	Finance		Does PREPA carry coverage for terrorism or civil commotion in any of their lines of coverage?	PREPA does not carry coverage for terrorism, but does carry coverage for civil commotion.	7/19/2019
465	Finance		Vehicle Schedule showing vehicles insured currently	PREPA's policy is currently blanketed over all vehicles, which includes coverage up to \$10,000 per claim in vehicle to vehicle property damage incurred by a third party. PREPA policy does not cover damage incurred by the PREPA vehicle. There is an additional employee auto policy for personal vehicles of PREPA employees in use for business purposes, covering property damage and bodily harm incurred by a third party, or for business purposes are insured in a employee auto policy, only for third party damages including bodily injury and property. This policy has a combined single limit of \$400,000 per claim.	7/19/2019
466	Finance		What is the incident reporting process for reporting insured claims?	Claims are handled in the risk and insurance office. An incident report with photographs and damage estimates is drafted by the concerned PREPA party in compliance with applicable laws. This report is mailed to PREPA HQ alongside an electronic submission by email. The office then hands the report to the insurance broker so that he may make a claim to the insurers. The insurers will draft a check delivered to the risk office. The risk office then refers the check to PREPA's treasurer. For third-party claims, the claimant needs to fill out a claim request application and submit to PREPA. The claimant will submit the document with evidence of damages and estimates, and send the packet to a commercial office. This office will transfer the documents to a technical office to be validated, or for a major incident, the documents will be sent directly to the risk office. In most cases, the local technical office will validate or deny the claim. If it is validated, the case will be escalated to the risk office and the adjustment is made. If not validated, PREPA informs the claimant with an explanation.	7/19/2019
467	Finance		List of contractual obligations to provide insurance, including limits and deductibles.	There are no contractual obligations to have particular policies.	7/19/2019
468	Finance		Please confirm if there are any DBA - Defense Base Act requirements (is there any funding that can be confirmed back to the US Government?)	There are no DBA requirements.	7/19/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
469	Transmission		Do the SAIDI and SAIFI numbers provided in folder #1.3.2.8 in the data room include all outages (Averias Primarias Sin Releva de Carga) in their calculation or have outages related to major events been removed? If outages related to major events have been removed, what method was used to determine which outages to remove from the calculations?	The number of interruptions considered for the index calculations includes all distribution events that exceed 5 minutes and does not include major events, transmission events, or generation events. PREPA utilizes the IEEE Guide for Electric Power Distribution Reliability Indices, IEEE P1366-2012 to define these major events. PREPA considers a day a major event day when SAIDI exceeds a specific threshold value of TMED as calculated by the industry-wide IEEE 2.5 Beta method. PREPA defines the specific threshold value as eight hours.	7/19/2019
470	Regulatory		What will be the responsibilities of the legacy PREPA entity not transitioned to the Operator (e.g., GenCo, other)? Who will be in charge? How will they interface with Operator, PREB, others?	Generally speaking, the intention of the Government is to transfer all responsibilities of legacy PREPA to private operators. As in other jurisdictions with regulated electric utilities, there will be contractual arrangements between parties providing T&D and Generation services, with all parties subject to regulatory oversight by PREB.	7/19/2019
471	Human Resources & Labor		Are you the subject of any material workers' compensation claims?	Yes, please refer to the latest graphic of total employee compensation claims in the data room as 1.12.11.17.	7/26/2019
472	Human Resources & Labor		Please confirm that Sections 10.3.18 and 1.10.4 provide a complete summary of all material litigation, and that there is not anything missing	Please refer to the latest complete summary of material litigation as of July 2019, in the data room as 1.10.6.	7/26/2019
473	Human Resources & Labor		Supplemental Data Request: 1. What are the different 'status' codes in the Prepa roster May, 2019? Please provide key/legend to all codes utilized in roster. 2. Please provide compensation for 2018, including all bonuses (Christmas). 3. Please provide copies of all the insurance plans (pension and/or retirement, benefits (nonunion/union benefits), employment insurance, wcb, disability, etc...) 4. Does the company have a internal complaint history and issues, greivances outstanding, any arbitration? 5. Please send history of government audits, investigations, etc. 6. Please send a copy of employment application, offer letter (sample) 7. Please send a copy of employment agreements, executive employment agreements (actual agreements) 8. Documentation of any compensation plans (non-union), performance bonuses, safety bonuses, Christmas bonuses, etc. 9. Add FLSA Status to the Employee Roster. 10. Please send employee work schedules. 11. Please send job descriptions for non union roles. 12. Please send any policies/handbook for non union employees. 13. Please send org chart for HR with responsibilities/locations covered/supported.	1. Provided below: E – Emergency Employees O - Occupied VT - Vacant – occupied by Temporary Employees 2. Compensation details are included in the employee census uploaded in the data room at #1.12.2.3. In 2018 the only bonus provided to Employees was the \$600 Christmas bonus. 3. Pension plans uploaded to 1.12.10 4. Please refer to the HR Board reports included in the data room at folder #1.12.10. 5. There is no history of audits related to the HR Directorate known to PREPA management. 6. Please refer to 1.12.2.8 and the offer letter included in 1.12.2.9 7. For general employee agreements, please refer to the collective bargaining agreements in the data room as 1.12.3. Executive employee agreements constitute an offer letter with a possible addendum limiting participate in political activities. These documents can be found the data room as 1.12.2.14 and 1.12.2.15. 8. Please refer to the benefits outlined in 1.12.10.10 9. FLSA does not apply to PREPA, because salaries at PREPA are higher than minimum wage. 10. Most employees (in the corporate office) work Monday thru Friday 7:30am to 4:00pm. More broadly PREPA as a whole operates 24/7 and there are work schedules to support that operation which vary significantly across different position types. 11. see folder 1.12.9 12. Please refer to Ch. 11 of the Administrative Manual of PREPA in 1.12.13.1. 13. see folder 1.12.7	7/26/2019
474	Information Technology		Do you have a list of all software licenses purchased including the number of each?	Please refer to document #1.11.32 in the data room.	7/26/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
475	Environmental		How many other Vega Baja sites are we expecting to find and will PREPA retain liability for those even if we discover them?	EPA recently identified PREPA as a potentially responsible party (PRP) at the PROTECTO Superfund site. To its knowledge, PREPA has not been identified as a PRP at any other site by any governmental entity or private party.	7/26/2019
476	Customer Service		Please provide information on the breakdown of district office visits between bill payment and general customer service requests	PREPA tracks customer service requests with a program called Q-matic, and uses CCMB for customer payments. These programs can view transactions but not determine how many customers were serviced per bill payment. This is visible in the documentation referenced below. Please refer to the June District Transaction Manifest and the Service Request Record in the data room as 1.3.7.29. and 1.3.7.30. These documents provide a payment breakdown and type of transaction, quantity and account for June. Combined, these reports do not provide the visibility necessary for real time analysis of customer service operations. As a remedial action, PREPA has requested from procurement to publish an RFP to replace and optimize Q-matic to improve visibility into daily operations, including waiting times and customer individuals tied to transactions in real time. The RFP is expected to be published in less than six months.	7/26/2019
477	Customer Service		With generation being split from T&D operations, is there the necessary metering at the boundary points of interconnection between the T&D system and the existing PREPA facilities?	Yes, confirmed with PREPA IT Director.	7/26/2019
478	Information Technology		Please provide a copy of the ABB / Asset Suite workflow process	Please refer to folder #1.11.31 in the data room.	7/26/2019
479	Information Technology		How many laptops are there that are connected to the system (or any other mobile data endpoints)?	MDM is currently deployed only for iPads. PREPA will deploy it for notebooks for a new Windows 10.	7/26/2019
480	Legal		Please provide a list of permitting authorities (not only environmental, but potentially PRASA, the Highway Authority, etc.) with which PREPA must engage for construction and ROW management. Please also provide a description of the mechanism to be used by the O&M Operator to coordinate with PREPA regarding the permitting requirements.	Please refer to document #1.6.33 in the data room.	7/26/2019
481	Customer Services		Please provide copies of the RFP and associated contract for the CC&B version upgrade	Please refer to document #1.11.30 in the data room.	7/26/2019
482	Operations/Dispatch		Request for Customer Minutes Interrupted (CMI) by Region	Please refer to document #1.3.7.28 in the data room.	7/26/2019
483	Customer Service		Two call center contracts have been uploaded to the data room that are pre-hurricane. It was our understanding that new contracts have just been signed. Can we please be provided the current contracts.	The latest two call center contracts can be found in the data room at 1.3.7.14.3 and 1.3.7.14.4.	7/26/2019
484	Customer Service		Please provide the monthly quality summary reports from the Atento contract when it was in place.	Due to staffing constraints negatively impacting quality assurance, PREPA was unable to execute monthly quality summary reports from the Atento contract. Instead, PREPA certified the hours and services provided but did not provide monthly quality summaries.	7/26/2019
485	Information Technology		Can we have a detailed design presentation on the proposed network design	Please refer to document #1.11.28 in the data room.	7/26/2019
486	Information Technology		Please provide a network map / diagram for the 787 server room (both physical mapping and logical mapping of the servers).	Please refer to document #1.11.29 in the data room.	7/26/2019
487	Information Technology		Please provide a detailed hardware listing (server, storage, network, security hardware), including serial numbers, date of purchase and current installed location.	Please refer to document #1.11.33 in the data room.	7/26/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
488	Information Technology		Please provide detailed information on the Windows XP Embedded VDI solution used at the contact center and field offices.	This VDI solution is used to present a Windows 7 Virtual desktop to the users. The thin client model is HSTNC-006-TC.	7/26/2019
489	Finance		Current claims handling procedures; is there a bank trust account used for coordination of claims payments? Are claims handled in-house or are tasks pushed to the insurance carriers? Do you have a Return-To-Work program? Are there any issues with CFSE (Corporacion del Fondo del Seguro del Estado) declining to cover compensable injuries?	There is currently one bank account for all the proceeds received in insurance claims with regard to Hurricane Maria. Claims are handled in-house in the risk management office for property damage claims that are up to \$10,000. A claim over \$10,000 in property damage, or any or any claim in bodily injury, is attended by litigation division. Claims over \$1 million are attended directly by the insurance carrier. PREPA does have a return to work program and are enclosed in Section 112 and 146.7.3 of Chapter 100 of PREPA's Administrative manual found in the data room as 1.12.13.1. PREPA HR Directorate is not aware of issues in declining to cover of compensable injuries to date, or is aware of other PREPA personnel or directorates who perceive this issue. The CFSE is regulated by the Puerto Rico Industrial Commission.	7/26/2019
490	Customer Service		It is mentioned in PREPA FY2020 Target report that the Smart Meter project is in procurement stage. Who is the vendor supplying the meters and communication module? How many smart meters are already bought? How many meters are planned to be purchased in the next five years?	Customer Service has been approved for \$20 million to implement smart meters. Of this sum, PREPA intends to purchase, but has not yet ordered, 77,000 meters for \$10 million. This future order will supplement two orders from the last fiscal year for 10,000 and 14,000 smart meters, respectively, which will be delivered in October of 2019. These combined 101,000 meters will address an immediate need of 80,000 damaged meters requiring replacement. This does not take into account future need for new metering accounting and meter of end of life. Acclara and Landys are the only vendors compatible with PREPA in terms of technology and modules. For expediency, PREPA may authorize contracts under \$10 million without FOMB approval.	7/26/2019
491	Customer Service		Will the union objections to outsourcing efforts impact timelines and cost? A proposal is currently on the table to have an overflow call center which is being met with resistance from the unions Additional outsourcing opportunities exist for the bill printing functions and IT support	To date unions objections have not negatively impacted the timeline and costs of implementing the overflow call center. The unions requested the documentation of savings and cost effectiveness. The unions have not responded to the provided documentation, have not performed any strikes, nor have made any threats. Training of employees to work on the call center has commenced on July 26th with no issue. However, PREPA has emergency procedures to continue operations in the call center in the event of union disruptions. PREPA unions have additionally not historically objected to any IT outsourcing. PREPA management in Customer Service and IT do not foresee additional significant resistance to outsourcing.	7/31/2019
492	Procurement		Do you capitalize vehicle repairs and mechanical labor?	Vehicle repairs and mechanical labor are not capitalized.	7/31/2019
493	Finance		Summary of the key third party accounting services providers and the respective budget/actual/forecast amounts.	Please refer to document #1.2.15 in the data room.	7/31/2019
494	Finance		Overall policies and procedures for the finance team.	Please refer to folder #1.2.16 in the data room.	7/31/2019
495	Finance	1.1.1.10.3	Do you anticipate any of these activities / capital costs to be covered by FEMA?	Yes. Pursuant to Fiscal Plan, all permanent work covered by Section 428 is planned to be covered by FEMA. The Energy Grid Modernization Plan will serve as a basis for funding requests.	7/31/2019
496	Finance		Please provide a recent example of weekly and monthly reporting package, including the source (Oracle vs Manual).	Please refer to documents #1.2.2.4.2 and 1.2.2.4.3 in the data room.	7/31/2019
497	Finance		Please provide the FSG and the 725 OpEx vs Actual and the 760 reports for each month and year to date 2019.	Please refer to folder #1.2.2.13 in the data room.	7/31/2019
498	Finance		Please provide a schedule or listing of professional service/advisors/contractor list by type of service and actual amounts paid YTD in 2019.	Please refer to document /#1.2.17 in the data room.	7/31/2019
499	Finance		Please provide a copy of the close checklist.	Please refer to document #1.2.16.4 in the data room.	7/31/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
500	Finance		Please provide process narratives for AP (new vendor setup, procure to pay, invoice coding and approval), AR and Cash Management, Payroll (employee setup, timekeeping, payroll processing, reporting and reviews), Regulatory Reporting, CILT and Municipal and Local taxes.	Please refer to document #1.2.16.5 in the data room.	7/31/2019
501	Finance		Please provide a listing of all Necessary Maintenance Expenditures ("NME") projects and related budget vs actual cost reports for 2019 YTD.	Please refer to document #1.2.18 in the data room.	7/31/2019
502	Finance		Please provide a description of cost allocation rules and rates that are used to allocate direct and indirect employees to Emergency Storm and Capital Plant/NME accounts.	Please refer to document #1.2.16.6 in the data room.	7/31/2019
503	Finance		Please describe the nature and status of all outstanding inquiries from the US SEC and the IRS.	Refer to notes in the financial statements and document #1.2.19 in the data room.	7/31/2019
504	Finance		Please provide a discussion of PREPAs asset retirement obligation considerations under SFAS 143 USGAAP or GASB 83.	Asset retirement obligations per GASB 83 are not reflected in the FY 2019 trial balance. Prepay will work on the implementation of the standard prior to the issuance of FY 2019 financial statements.	7/31/2019
505	Finance		Please provide forecast BDO audit fees for the 2017 audit.	The estimated audit fees for the 2017 audit are approximately \$636,182.	7/31/2019
506	Finance		How is compliance with the tax-exempt status of the bonds currently administered? Does PREPA maintain a function for this, or is it handled by a trustee for the bonds?	This is a joint effort coordinated by AAFAF, Bond Counsel, Underwriter's Counsel, PREPA and the trustee. Please refer to document #1.2.16.7 in the data room.	7/31/2019
507	Finance		Does PREPA use 3rd party contractors for tax related matters. Would that expense be included in budget information that has been provided to date?	Since PREPA is exempt from taxes, it has no tax attorney on retainer for these matters. PREPA typically seeks consultation on these matters on an as needed basis.	7/31/2019
508	Finance		2020 Capital Plan –please explain the key allocations assumptions for O&M cost percentages allocated to (i) Emergency/Storm response (ii) Capital/NME projects and (iii) Generation – for 2017 actual, 2018 actual, 2019 budget, 2019 actual and 2020 budget.	Please refer to folder #1.2.16.8 in the data room.	7/31/2019
509	Finance		Clarification for closed question #80 - Please provide the related details on the the work provided by the third party to the Finance Directorate - by department.	Please refer to document #1.2.15 in the data room.	7/31/2019
510	Legal		List of Governemntal authorities for the Required Permits	Please refer to document #1.6.33 in the data room.	7/31/2019
511	Transmission		In the Intralinks data room, document 1.3.9.2 (page 5/28) there is a "time line" specified on the lower half of Page 5. What is meant when it references both a 3 and 6 year "pro-active cycle"?	This graph attempts to articulate that the PREPA Vegetation Management procedure establishes the following working cycles: •3 Years for Backbone (Breaker) •6 Years for Laterals (Fuse)	7/31/2019
512	Other		Please provided an organization chart for Procurement organization	Please refer to documents #1.3.10.3 and 1.3.10.7 in the data room.	7/31/2019
513	Other		Please provide an organization chart for warehouse management function	Please refer to folder #1.12.7.15 in the data room.	7/31/2019
514	Other		Please provide a current open PO commitment report .	Please refer to document #1.3.10.8 in the data room.	7/31/2019
515	Other		Please provide a listing of all PO's cut between September 2014-December 2018	PO's and Contracts cut since September 2014 have been included in the data room at #1.3.10.5 and 1.3.10.6 respectively.	7/31/2019
516	Human Resources & Labor		Litigation: Are you the subject of any material workers' compensation claims?	Yes, please refer to the latest graphic of total employee compensation claims in the data room as 1.12.11.17.	7/31/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
517	Human Resources & Labor		Litigation: Is a summary of the threatened material litigation or claims (50 cases) included in the Summary of Material Litigation 10.3.18?	Please refer to summary of the threatened material litigation or claims (50 case document) in the data room at #1.10.7.	8/7/2019
518	Human Resources & Labor		Litigation: Please provide a summary of the recent closed material litigation or claims (128 litigation and 66 claims).	Please refer to the summary of recently closed material litigation in the data room at #1.10.9., and the summary of recently closed cases at #1.10.8.	8/7/2019
519	Human Resources & Labor		Litigation: Are you the subject of any current audit?	No, PREPA litigation is not subject of any current audit.	8/7/2019
520	Human Resources & Labor		Litigation: Are you the subject of any consent decree or order?	Yes, there are currently various consent decrees regarding environmental regulations with the federal government. Please refer to the overview of consent decree and orders in the data room at #1.10.10.	8/7/2019
521	Human Resources & Labor		Litigation: Are you the subject of any conciliation agreement?	No, PREPA litigation is not the subject of any conciliation agreement.	8/7/2019
522	Human Resources & Labor		Other: OSHA data for last 3 years	Please refer to the latest OSHA recordables spreadsheet in the data room at #1.12.14.14.	8/7/2019
523	Procurement		How frequently do you receive requests for vehicles? Does the employee procure their own fuel for the vehicle?	Fleet management does not receive specific requests for vehicles, but faces a persistent need for fleet replacement. Approximately 80% of the PREPA fleet has reached the end of its lifespan. Please refer to the overviews of vehicle maintenance requests by shop location, and fleet management plans in the data room at #1.3.9.10-14. Employees procure their own fuel through the use of a fuel card at 21 PREPA sites, or externally at Total fuel stations. These cards require the entry of a pin known only to the sanctioned operator, a vehicle code and model, the entry of the vehicle's mileage. Per procedure, ID should be verified each time the card is used. However, there is currently low visibility into accountability in the use of these cards in the off-site Total stations.	8/7/2019
524	Customer Services		Please provide the Customer Service internal audit reports.	Due to personnel constraints, PREPA has been unable to produce Customer Service Internal audit report, however, is generating a report on PREPA Customer Service Cashiers, expected to be delivered by the end of September.	8/7/2019
525	Finance		Please provide a fixed asset listing from Oracle E-suite module breaking down assets by type/category to individual asset listing with details such as date acquired, serial number, value, etc.	Please refer to document #1.2.2.14 in the data room.	8/7/2019
526	Finance		Please provide further clarification on the workload requirements for 30+ employees in payroll departments (description of key responsibilities and majority of time spent on which tasks).	Please refer to document #1.12.7.16 in the data room for a copy of the Payroll Department org chart and to document #1.12.9.3 for a description of responsibilities by position within Payroll. Please note that due to the complex nature of the Collective Bargaining Agreements (CBAs) for the four unions, the payroll function requires a significant investment in Human Capital.	8/7/2019
527	Finance		Please provide a copy of CILT reconciliation for March, April, May 2019.	Please refer to document #1.2.2.17 in the data room.	8/7/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
528	Finance		There appear to be 9 employees responsible for Immovable Goods Transaction Taxes. What specifically are the job duties of these nine employees?	<p>Currently PREPA has three employees in this area (Contadores). Their tasks consist of the following:</p> <ul style="list-style-type: none"> • Receive external documentation related both to the closing of estimates, as well as to the Property Inventory. • Record in the system the external and estimated day laborers that arrive at the office. • Orient users of over preparation of day trips and closing of estimates. • Closure of construction and retirement estimates: <ul style="list-style-type: none"> Verify charges at Oracle to determine the capitalizable material that will be carried to the books, mainly materials, contracts and purchase of new equipment. They evaluate whether material purchase invoices match System charges. Prepare adjustment of such estimates if necessary. For example, salvage jobs in the case of withdrawals. Or adjust charges that correspond to other estimates. Create assets in the Projects module and then transfer them to the subsidiary (Fixed Assets). In the case of retirement estimates, the estimate is also audited to determine the capitalizable material to be decommissioned from the books. Proceed to retirement. It should be noted that we do not have a clerk so his tasks include clerical work. <p>Please refer to document #1.2.20 in the data room.</p>	8/7/2019
529	Finance		Please provide any current review done by PREPA to ensure compliance with existing PREB approved tariff/rate case.	Please refer to the PREPA rate book and corresponding PREB order and resolution in the data room at #1.2.2.15-16.	8/7/2019
530	Internal Audit		Please provide the detail of Internal audit 2019 Departmental Budget / Actual Costs YTD.	Please refer to document #1.2.21 in the data room.	8/7/2019
531	Internal Audit		Please provide a description of Internal Audit reporting cycle.	Please refer to the Internal Audit Engagement Cycle graphic in the data room at 1.1.2.3.13	8/7/2019
532	Internal Audit		Please provide the Internal Audit 2019 annual scoping/risk assessment and workplan.	Please refer to #1.1.2.3.14 in the data room.	8/7/2019
533	Internal Audit		Please provide reports issued by internal audit in 2017, 2018 and YTD in 2019	Please refer to 1.1.2.3.13 in the data room.	8/7/2019
534	Internal Audit		Please provide a description of all outside resources by Internal Audit.	PREPA internal audit does not have external resources.	8/7/2019

#	Topic	Dataroom Reference	Question	Response	Date Answered
535	Internal Audit		Please provide a description of systems used by Internal Audit to document and maintain their work product.	Internal Audit Office has no automated system to document and maintain work done. PREPA audit manually files working papers by internal audit number. An audit case is initiated by a risk assessment launched in conjunction with PREPA managers. PREPA directorate managers will highlight an issue, or an issue is identified by the risk assessment carried out by internal audit. PREPA internal audit then determines an internal audit plan, taking into consideration personnel constraints. The PREPA board of directors then approves or amends the plan. The plan is executed over the course of a year as a standard operating period. Each month the internal audit team meets with the board to review the case, and holds a second meeting with finance management and IT. Draft reports are generated at the conclusion of the study, with recommendations implemented. At the conclusion, the results and agreed upon remedial actions are sent to the board. Internal audit then continues to monitor the case to verify that recommendations implemented are responsive to the findings. Please refer to the illustrative cycle in the data room at #1.1.2.3.12 in the data room. Additional information can be found in the data room at #1.1.2.3.13	8/7/2019
536	Finance		Are there any unique sites with unique risks? Any remote locations or substations that have regular breach or security issues?	<p>The Corporate Security Office is divided in three major areas; Security Operations, Security Contracts Administration and Technical Services Area.</p> <p>Corporate Security Operations Office is responsible for the physical security operations for each of its regions. We have a corporate security officer in each region that reports directly to our office through the security operations supervisor. We also have a corporate security officer in power plants which is the facility security officer. Those officers have to comply with everything stipulated in CFR 033, Part 105. Corporate Security Officers responsibilities include, but are not limited to:</p> <ul style="list-style-type: none"> -Inspection and evaluation of private Security Services in all PREPA facilities -Investigations regarding loss or damage to public property -Assessments and studies of physical security -Corporate investigations -ESO's -Executive protection -Local, State and Federal Law Enforcement Liaison <p>Security Contracts Administration Office is responsible for maintaining control of the private security contracts of PREPA. Through this process our Contract Administration Supervisor and Analysts are in charge of supervising private security invoice process. They also verify, process and refer invoices to users and make payment referrals, adjustments and verifications. The main objective of this area is to have control of all points of private security, assuring that every private security point complies with PREPA's internal procedures and that every invoice that is paid complies with contract stipulations.</p> <p>Technical Services Area is responsible for access control systems and electronic surveillance facilities of PREPA, technical support services regarding security operations, direct supervision of our Surveillance Operations Center located in Monacillos and employee identification system and electronic accesses through PREPA facilities (Honeywell Prowatch platform). All of our surveillance and access control systems are installed in accordance with the standards of the National Electrical Code (NEC) and</p>	8/7/2019

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#	Topic	Dataroom Reference	Question	Response	Date Answered
537	Customer Service		Please provide any asesement of the AMI Pilot project. If there is an RFP to scale up the AMI to replace all meters and infrastructure, please provide a copy.	PREPA is still in the early processes for issuing the RFP for the AMI pilot project and is expected to be published by the end of August. There is no assessment of the RFP available at this time. However, please refer to the RFQI for the AMI pilot project in the data room at #1.1.2.3.12.	8/7/2019