



CONSOLIDATED COMMISSION ON UTILITIES

Guam Power Authority | Guam Waterworks Authority
P.O. Box 2977 Hagatna, Guam 96932 | (671) 648-3002 | guamccu.org

Regular Board Meeting
CCU Conference Room, Gloria B. Nelson Public Service Building
5:30 p.m., February 23, 2021

AGENDA

1. CALL TO ORDER
2. APPROVAL OF MINUTES
3. PUBLIC COMMENTS [*Limit to 2 minutes*]
4. GWA
 - 4.1 GM Report
 - 4.2 Financials
 - 4.3 Resolution 09-FY2021 Approval ChangeOrder#1 Pressure Zone Realignment Tank Repair Replacement Project
 - 4.4 Resolution 10-FY2021 Approval Add'l Funding ConstrContr for Tank Repair & Bypass Project
 - 4.5 Resolution 11-FY2021 Relative to Creation of GWA Rate Stabilization Fund
 - 4.6 Resolution 12-FY2021 Approval of Add'l Funding ConstrContr for Northern Guam Lens Aquifer [NGLA] Monitoring System Expansion Project
5. GPA
 - 5.1 GM Report
 - 5.1.1 Integrated Resource Plan
 - 5.1.2 New Power Plant Update
 - 5.2 Financials
6. OTHER DISCUSSION
 - 6.1 CCU Rules Update
7. ANNOUNCEMENTS
 - 7.1 Next CCU Meetings: GWA 3/16; GPA 3/18; CCU 3/23
8. ADJOURNMENT



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Regular Board Meeting
CCU Conference Room, Gloria B. Nelson Public Service Building
5:30 p.m., January 26, 2021

MINUTES

1. CALL TO ORDER

The CCU Chairman called the January 26, 2021 CCU Regular Meeting to order at 5:38 p.m. He said four [4] Commissioners were present for a quorum and that Comm. Santos was excused. Others in attendance include:

Commissioners:

Joseph T. Duenas	CCU Chairman
Michael T. Limtiaco	CCU Secretary
Judith P. Guthertz	Commissioner
Simon A. Sanchez	Commissioner

Executive Mgmt.:

John Benavente	GM / GPA
Miguel Bordallo	GM / GWA
Melinda Mafnas	AGMO / GPA
Tom Cruz	AGMO / GWA
Tricee Limtiaco	AGMA / GPA
Chris Budasi	AGMA / GWA
John J. Cruz	AGMET / GPA – Online
John Kim	CFO / GPA
Taling Taitano	CFO / GWA
Graham Botha	Legal Counsel / GPA
Kelly Clark	Legal Counsel / GWA

Management & Staff:

Vien Wong	IT Support / GPA
Roque Rosario	IT Support / GWA
Chris Portin	IT Support / GPA
Vangie Lujan	Safety & Compliance / GWA
Paul Kemp	Compliance & Safety / GWA - Online
Patti Diego	Communications / GPA - Online
Ann Borja-Gallarde	Management Analyst IV / GWA Ex. Office
Joyce Sayama	Management Analyst / GPA Ex. Office

Lou Sablan

Board Secretary / CCU

Guest:

Annmarie Muna

AM Insurance

Tricia Granillo

AM Insurance

Ed Ilao

JMI Edison - Online

F. Castro

Sen. Sabina Perez – Online

2. APPROVAL OF MINUTES

The Minutes of the CCU Special Meeting of November 10, 2021 was presented for approval.

Comm. Guthertz motioned to approve the Minutes, second by Comm. Limtiaco. There was no further discussion or objection and the motion passed. The vote was 4 ayes / 1 absent.

3. PUBLIC COMMENTS - None

4. GPA

4.1 GM Report

The General Manager gave his usual GM Summary report per following highlights – not all slides were included here. A full report is available upon request.

6. PUC Update:

- Public hearings for "**Docket 20-10** *Petition to Establish Condominium Rate*" were held on January 13 & 14, 2021 in Hagatna, Asan, and Dededo respectively. We expect the PUC to address the matter in their January 28, 2021 meeting.

7. Legislative Matters:

- Bill 219-35** *Renewable Energy Purchase or Lease-Back for Educational Facilities* was placed on the 35th Legislature's December session agenda. The legislation would have resulted in higher rates for non net-metering customers, as well as violated bond covenants. Bill 219-35 was sent from the 3rd Reading File to the 2nd Reading File during the December session, and did not advance to the voting file.
- Bills 9-36 & 10-36 Introduced:** Both Bills which were introduced in the 35th Legislature have been re-introduced in the current 36th Legislature. The Bills are related to back billing and net metering respectively. Public hearing dates have not been announced.

8. Yigo Diesel Generator PMC Update:

- Issued bid GPA-061-20 for Management, Operation and Maintenance of the now GPA-owned Yigo 40MW Diesel Power Plant (formerly AGGREKO). Price proposals were opened on 10/30/2020. GPA cancelled the bid and plans to make adjustments to specifications. GPA began operating and maintaining units on January 9, 2021.



9. Phase III Renewable Project Update:

- GlidePath filed an appeal in the Superior Court of the OPA's decision which favored a GPA award to Engie for 40 MW of solar with full energy shifting ESS. GPA has no update at this time on the process or the timeline of the court.

10. Energy Storage System (ESS) Update:

- The construction of ESS projects in Talofoto and Hagåtña have been completed; the energization and commissioning work continues. The following graphs provide a preliminary indication of the **positive impact** the ESS has on frequency regulation of intermittent solar production energy. The ESS is being operated mainly during weekdays for fine tuning which will continue into February. Commissioning is anticipated no later than March 31, 2021.

11. COVID-19 Impact Report:

- The following graph is a summary of GPA's Workforce Availability from October 30 - December 31, 2020

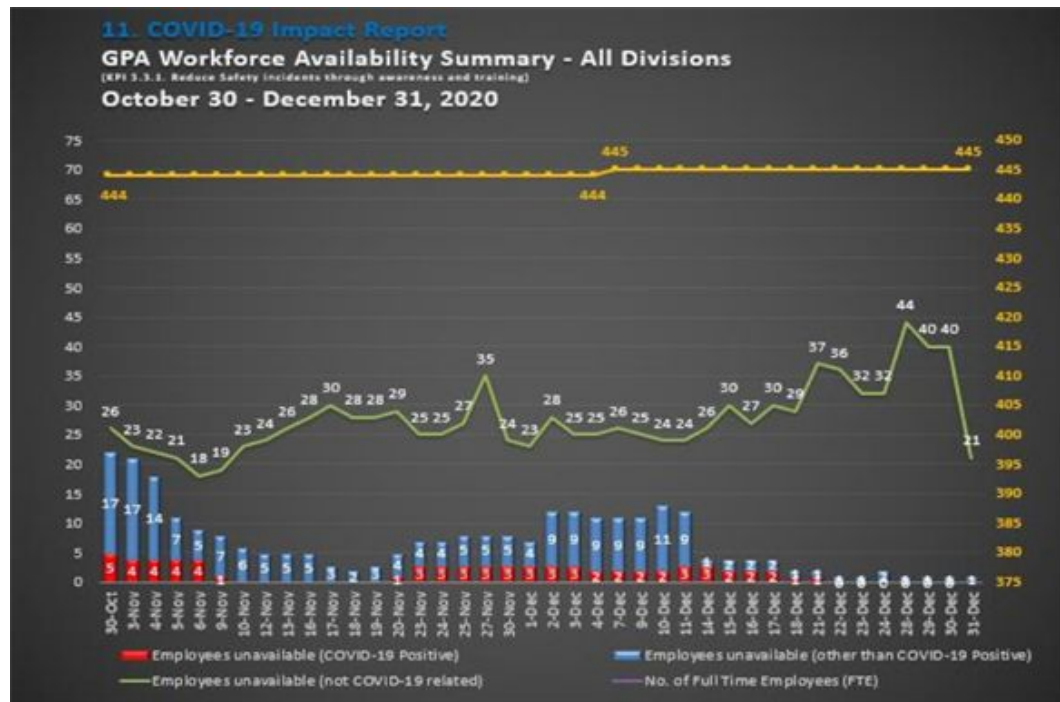
12. Customer Engagement Survey:

- Conducted October 21, 2020 - November 21, 2020
- Quantitative baseline
- Mixed-mode internet & telephone

The following slides provide the findings and insights of the survey

13. Generation KPIs:

- The following graphs show updated information through Dec. 2020:



12. Customer Engagement Survey

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Customer satisfaction levels are good
(We aim for *great* customer satisfaction)

Goal: Improve mean score to 8.5+ with 50% in top box

Conducted October 21,
2020 – November 21, 2020

- Quantitative baseline
- Mixed-mode internet & telephone

A total of 1,035 surveys were collected, with quotas set by customer classification.

- Residential post-pay: n=677
- Residential pre-pay: n=120
- Commercial: n=238

Margin of error for overall sample is +/- 3.05% at a 95% confidence level.

Nearly 6 in 10 customers say GPA is IMPROVING



Opportunities to improve customer engagement & satisfaction

- Reduce outages
- Improve clarity and timeliness of customer communications
- Provide friendly and professional customer call center
- Better communicate variety of options for contacting GPA
- Better communicate customers ways to conserve energy

Most important factors for customers (top 3)

- Being able to pay my bill online (18%)
- Ability to communicate clearly and in a timely manner (12%)
- Supports renewable energy such as photovoltaic (12%)

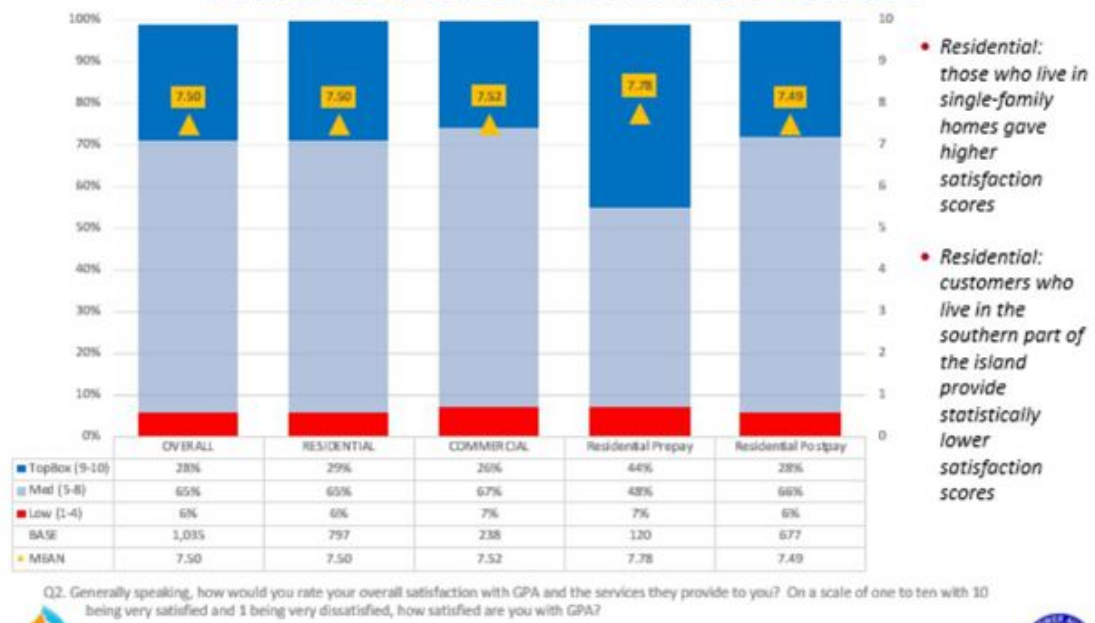
Preferred modes of communication

- Email
- Text Messaging

Customer Engagement Survey

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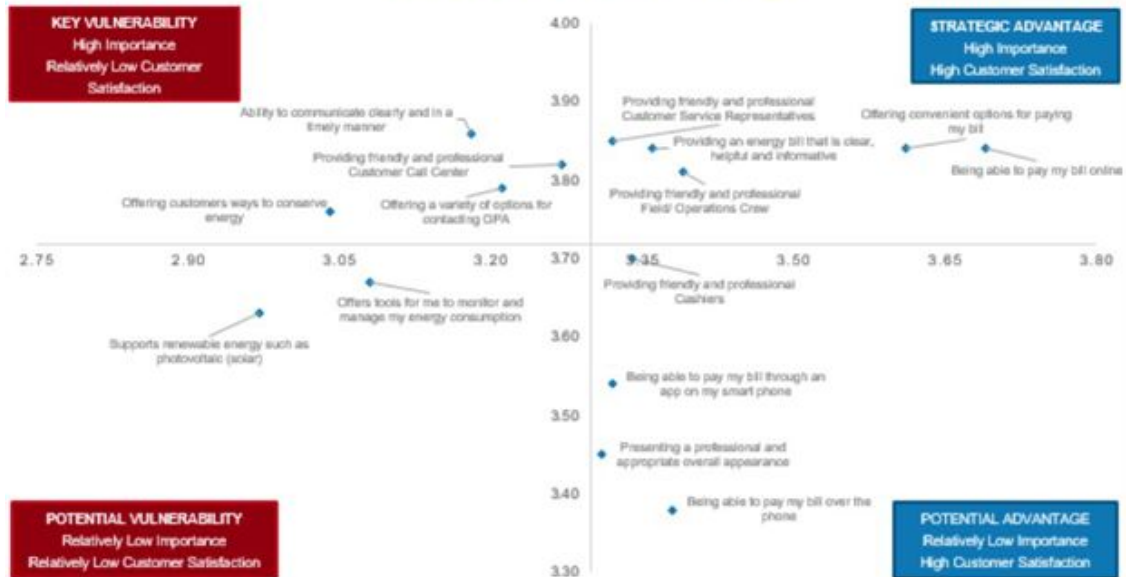
OVERALL CUSTOMER SATISFACTION



Customer Engagement Survey

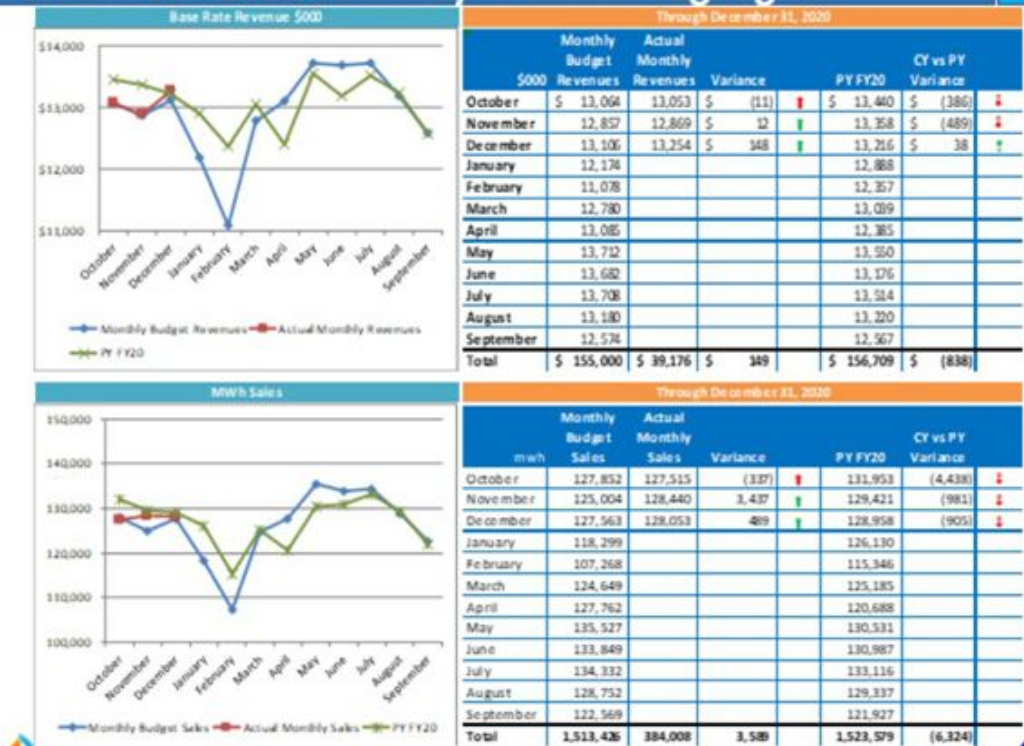
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NEED-GAP ANALYSIS



4.2 Financials

December 2020 Monthly Financial Highlights



December 2020 Monthly Financial Highlights (Continued)



Through December 31, 2020

	Monthly Budget Rev/Cost \$000	Actual Monthly Rev/Cost	Variance	PY FY20	CY vs PY Variance
October	11,098	10,910	\$ (187)	\$ 20,165	\$ (9,255)
November	10,850	10,984	\$ 134	19,088	\$ (8,104)
December	11,072	11,435	\$ 362	19,697	\$ (8,262)
January	10,268			18,820	
February	16,274			13,701	
March	18,911			15,968	
April	19,383			13,254	
May	20,561			14,001	
June	20,307			10,867	
July	20,380			9,935	
August	16,352			10,925	
September	15,566			10,438	
Total	\$ 191,023	\$ 33,329	\$ 309	\$ 176,860	\$ (25,621)



Through December 31, 2020

	Monthly Budget Cost \$000	Actual Monthly Cost	Variance	PY FY20	CY vs PY Variance
October	\$ 5,790	5,515	275	5,421	(94)
November	5,469	5,389	80	5,572	184
December	5,334	5,645	(311)	5,460	(185)
January	5,857			5,521	
February	5,530			5,417	
March	6,143			5,723	
April	5,956			5,357	
May	6,211			6,215	
June	5,889			5,578	
July	6,363			5,957	
August	6,543			5,539	
September	9,806			7,700	
Total	\$ 74,892	\$ 16,549	\$ 44	\$ 69,461	\$ (96)

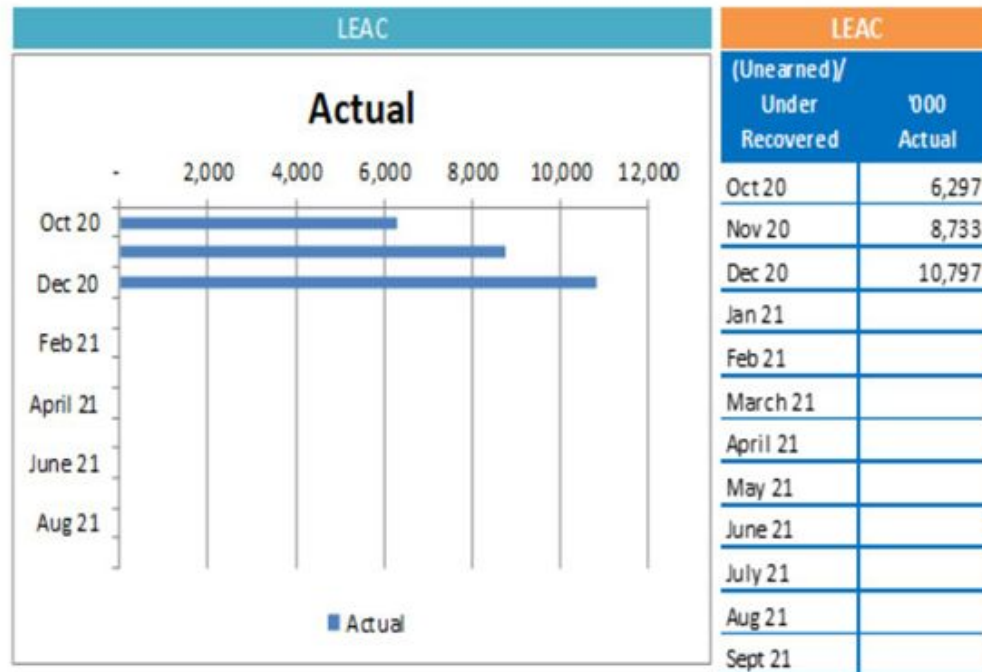
December 2020 Monthly Financial Highlights (Continued)

Through December 31, 2020

	4Q2018	1Q2019	2Q2019	3Q2019	4Q2019	1Q2020	2Q2020	3Q2020	4Q2020	1Q2021
Residential	43,887	43,920	44,144	44,329	44,479	44,203	44,509	45,069	44,191	44,345
Commercial	5,261	5,273	5,291	5,303	5,289	5,154	5,352	5,309	5,366	5,298
Government	1,077	1,090	1,074	1,075	1,070	1,072	1,059	1,061	1,081	1,068
Streetlights	1,152	1,151	1,152	1,138	1,138	1,135	1,128	1,139	1,132	1,135
Navy	1	1	1	1	1	1	1	1	1	1
Total	51,378	51,435	51,662	51,846	51,977	51,565	52,049	52,579	51,771	51,847

Debt service coverage (DSC) calculation-indenture	2015	2016	2017	2018	2019	2020	2021
Senior lien coverage	3.62	3.28	2.65	2.53	1.97	1.67	1.72
Aggregate debt service coverage	2.62	3.28	2.65	2.53	1.97	1.67	1.72
Debt service coverage (DSC) calculation-IPP as O&M							
Senior lien coverage	2.56	2.45	1.79	1.65	1.64	1.48	1.53
Aggregate debt service coverage	1.85	2.45	1.79	1.65	1.64	1.48	1.53

December 2020 Monthly Financial Highlights (Continued)



December 2020 Monthly Financial Highlights (Continued)

Date	# Prepaid Customers	Balance in arrear	Payment Plan	Total
July 31, 2020	951	\$ 579,651	\$ 98,276	\$ 677,927
Aug .31, 2020	955	\$ 133,710	\$ 565,383	\$ 699,093
Sept. 30, 2020	996	\$ 360,861	\$ 546,949	\$ 907,810
Oct. 31, 2020	1000	\$ 534,346	\$ 544,028	\$ 1,078,374
Nov. 30, 2020	988	\$ 688,253	\$ 527,062	\$ 1,215,315
Dec. 31, 2020	1002	\$ 802,879	\$ 514,058	\$ 1,316,937

December 2020 Monthly Financial Highlights (Continued)

Proposed LEAC Rate (\$000)

	With Actuals thru December 2020		
	Status Quo	Full Recovery	50% Recovery
	MS Pricing 1.11.21 to 1.15.21 Feb 21- Jul 21	MS Pricing 1.11.21 to 1.15.21 Feb 21- Jul 21	MS Pricing 1.11.21 to 1.15.21 Feb 21- Jul 21
Average Price per Bbl-RFO	\$ 60.61	\$ 60.61	\$ 60.61
Average Price per Bbl-Diesel	\$ 71.13	\$ 71.13	\$ 71.13
Number 6 (HLSFO/LSFO)	\$ 49,796	\$ 49,796	\$ 49,796
Number 2 (Diesel)	37,869	37,869	37,869
Renewable (Solar)	4,690	4,690	4,690
TOTAL COST	\$ 92,355	\$ 92,355	\$ 92,355
Handling Costs	6,443	6,443	6,443
Total Current Fuel Expense	\$ 98,798	\$ 98,798	\$ 98,798
Civilian Allocation	80.530%	80.530%	80.530%
LEAC Current Fuel Expense	\$ 79,563	\$ 79,563	\$ 79,563
Estimated DSM for this period	\$ 1,500	\$ 1,500	\$ 1,500
Deferred Fuel Expense at the beginning of the period	14,709	14,709	14,709
Total LEAC Expense	\$ 95,772	\$ 95,772	\$ 95,772
Less: Trans. Level Costs	(2,660)	(4,819)	(3,740)
Distribution Level Costs	\$ 93,112	\$ 90,953	\$ 92,032
Over recovery/(Under) at the end of the period	\$ (42,902)	\$ -	\$ (21,451)
Adjusted Distribution Level Costs	\$ 90,210	\$ 90,953	\$ 70,581
Distribution Level Sales (MWh)	578,459	578,459	578,459
LEAC Factor Distribution	0.086800	0.167233	0.122916
Current LEAC Factor Distribution	0.086800	0.086800	0.086800
Increase/(Decrease)	(0.000000)	0.070433	0.035222
Monthly Increase/(Decrease) - 1000 kWh	\$ (0.00)	\$ 70.43	\$ 35.22
% Increase/(Decrease) in LEAC	0.00%	81.14%	40.57%
% Increase/(Decrease) in Total Bill	0.00%	38.83%	19.41%
Discount (3%) - Primary 13.8 KV	0.084260	0.232944	0.118377
Discount (4%) - 34.5 KV	0.083957	0.232104	0.118036
Discount (5%) - 115 KV	0.082924	0.230232	0.116583

4.3 Resolution 2021-01 Approval of Conversion of Piri 8&9

Piti Units 8&9 are under a Consent Decree in Federal Court. The Consent Decree mandates GPA to contract for the conversion of the units to burn ultra-low sulfur diesel (ULSD) to comply with USEPA National Emissions Standards for Hazardous Air Pollutants for Stationary Reciprocating Internal Combustion Engines (RICE NESHP).

The project to be implemented by MEC and BWSC provides a technical solution to eliminate the Sulphur oxide emissions and comply with the Consent Decree and new USEPA NAAQS rules. The Piti 8&9 units are critical for system reliability until the new power plant is commissioned.

MEC submitted a proposal of \$14,141,045.28 for the conversion. The funding source will be Cabras 3&4 Insurance Proceeds. MEC proposed the full conversion to be completes within 15 months after contract signing.

Comm. Sanchez asked if 8&9 are not converted can GPA still operate it. The GM said he does not have the answer but April 2023 is the deadline then they will take GPA to court.

Comm. Sanchez said right now we need Piti 8&9; there are 2 issues a reliability and fuel cost issue. If we spend \$14M we save \$51M. When we lost Cabras 3&4 reliability became a key issue and Piti 8&9 helped with reliability; if we don't do the conversion, we are subject to millions in fines. Relative to reliability GPA needs 8&9; management is asking to invest \$14M to make them compliant. The source of the \$14M is insurance proceeds, not ratepayers. After the Ukudu plant is operational, management will decide the future status of Piti 8&9. After 2 years GPA will solidify what to do with 8&9.

Comm. Limtiaco said the CCU passed Resolution 2020-14 in 6/23/20, authorizing GPA to plan for the retirement of Piti 8 & 9 and to request USEPA to modify the consent decree to retire Piti 8 & 9 in lieu of conversion to ULSD; he asked what changed in past 6 months; GM Benavente responded that the resolution was to retire subject to PUC and USEPA conditions in the process the delay of Ukudu happened due to COVID and the April 2023 deadline all contributed to where we are today. Conditions have changed which forced GM to revisit this issue and which resulted in this requested action.

Comm. Limtiaco asked if there were other units that are ready to retire. GM Benavente responded that Piti 8&9 are the real candidate for retirement but there is also the Tenjo plant and the other combustion turbine generators that could be considered for retirement. He said putting on more renewables will force GPA to look at other opportunities for consideration like battery storage or similar in order for the current conventional generators to retire.

Comm. Sanchez motioned to approve Resolution 2021-01, seconded by Comm. Guthertz.

Comm. Sanchez reiterated his understanding that \$14 million in insurance proceed as insurance that we have reliable power and save \$30-40M of fuel cost in the future once the Ukudu Plant comes on line. Afterwards we own it and it is there; if we need it in the future, we can run it if needed.

On the motion there was no further discussion or objection and the motion passed. The vote was 4 ayes / 1 absent.

4.4 Resolution 2021-02 Approval of Ukudu Power Plant ECA Amendment for Relocation of Emergency Diesel Unit

Guam Power Authority (GPA) and Guam Ukudu Power (GUP) LLC signed the Energy Conversion Agreement (ECA) for the construction, operation and transfer of a 198 MW power plant to be sited on GPA owned property in Ukudu, Dededo. Guam Ukudu Power (GUP) LLC is a local company formed by the KEPCO-EWP consortium ("KEPCO-EWP").

The relocation of the emergency diesel units will allow the Ukudu Power Plant to be permitted as a minor source air permit plant which will significantly reduce the permit process and overall construction and commissioning schedule of the new plant. This would minimize delays on the retirement of the Cabras 1&2 Power Plant as per the consent decree. The consideration for the relocation of these diesel units includes a separate O&M cost that would also provide GPA access and use of these units to support the Island-Wide Power System (IWPS) outside of any Ukudu Power Plant outages. Its efficiency and operating costs along with the Yigo Diesel Units (formerly Aggreko units) would allow for the retirement of older and costlier Power Plants. The site for the relocated diesel units is adjacent to the GPA bulk storage tanks in Piti.

GPA has negotiated for a 41MW diesel plant with improved engines for continuous operations with a fixed O&M cost of \$2,000,000 annually and a variable O&M cost of \$0.025/kWh net production when dispatched by GPA. The funding source is revenue funds.

Guam Ukudu Power LLC has provided a schedule for minor source air permit path with the new COD of the Ukudu plant to be no later than April 2024 with best efforts to achieve a target COD of November 2023. The GM said he wants to see the latter schedule come to fruition. The priority now is to get the permitting.

GM said that with the new negotiations the original standby gen of 65MW was changed to a 41MW standby gen to be housed at Cabras which will be a further cost savings. Having it housed in Ukudu would require the fuel to be trucked there at \$9 per barrel. With the pipeline in place this is not an issue. The new negotiations is a win-win for both parties. The GM said the beauty of this is the gen will be operational 24/7. It was mentioned that the total savings with the new Ukudu plant is \$87M using ULSD fuel.

Comm. Guthertz motioned to approve Resolution 2021-02, seconded by Comm. Sanchez.

Comm. Limtiaco asked if the solicitation required the 65MW standby generator? GM said it was a proposal by KEPCO. The GM said the requirement was 180 minus 10% and 50% thermal efficiency. So, to attain this a bigger machine was required. To avoid being penalized for major source permitting it was decided to change the size of the gen to a smaller one that qualifies for minor source permitting. They added the difference in the form of a 25MW battery. To reiterate, Limtiaco said there is a drop in the size of generators from 41MW to 65MW but that is offset by the type of generator being proposed in the modification it can run continuously for more than 500 hours, 24/7 up to what is permitted to be compliant. The relocation from Ukudu to Cabras allows KEPCO to do minor source permitting rather than major source. It was mentioned that all this modification does not affect the performance standard. Comm. Limtiaco talked about performance bond prior to the financial close so KEPCO will have skin in the game – he asked for an update on this. The GM said this was very difficult for them to do because of the many required approvals that needed to be had. The last thing the GM wanted to happen was for then to walk away from the contract. The GM explained that KEPCO did not sign contract with EPC but this time around they have DOOSAN and they will be funding the contractor in order for them mobilize. The GM said his assurance is KEPCO's contract with Doosan.

Comm. Sanchez referencing the slide what re battery usage is it only for KEPCO's use or is it available for GPA to dispatch? Can this battery be used to support the growth of renewables? The GM said yes- this battery will be operational all the time and can help catch intermittency and it does play a roll on the renewables side.

On the motion, there was no further discussion of objection and the motion carried. The note was 4 ayes / 1 absent.

Comm. Limtiaco asked about the go live date on the battery the GM said it is live now and is being tested throughout the day dispatchers are on duty to track when it is on or off. The Commissioner also asked if there is any data yet relative to before and after performances relative to intermittency; the GM said it is still a work in progress.

Comm. Guthertz asked about the power outages in the UOG / GCC area – she asked why. AGMO explained but her explanation was inaudible. The GM said usually these outages happen to prevent the system from completely failing. Feeders need to be taken off line in order to save the system from failing and the outages are

Comm. Sanchez led discussion re renewable customers using GPA as a battery storage for free. Right now, with full net metering they don't pay for this. If they want to be 100% off GPA, they would have

to buy their own battery. Right now, under the current net metering 2100 renewable customers get to use GPA as a battery and 48,000 other customers are paying for it. If they are going to use the grid for reliability, they should pay for it. The study is ongoing right now. John Kim commented that conference calls are forthcoming related to this subject which will be studied and presented to the PUC.

4.5 **Resolution 2021 -03 Approval for Solicitation to Bid for 3-year Property Insurance Policy**

This matter was tabled and not discussed.

5. **GWA**

5.1 **GM Report**

Update to Workforce Availability

GWA Workforce availability as of January 15, 2020

Healthy	362	97.1%
Sick, not COVID-19 related	3	0.8%
COVID-19 Quarantined	1	0.3%
Employee with COVID-19, active case	1	0.3%
COVID-19 Medical Risk	1	0.3%
Military Leave	4	1.1%
LTD	1	0.3%
	373	100%

Total		
Healthy/Reporting for duty at worksite	291	78.0%
Healthy/Reporting for duty - Part Teleworking and Part Reporting for duty at worksite	42	11.3%
Healthy/Reporting for duty - Teleworking	28	7.5%
Employee sick - symptoms unrelated to COVID-19	3	0.8%
Military Leave	4	1.1%
LTD/Workers Comp	1	0.3%
Employee wants to electively self-quarantine; status not considered vulnerable - does not report for duty	1	0.3%
Employee with COVID-19, active case	1	0.3%
Employee or household member: Travel within last 14 days	1	0.3%
Employee or household member is at medical risk (i.e. COVID-19 vulnerable)	1	0.3%
	373	100%

Operations Update

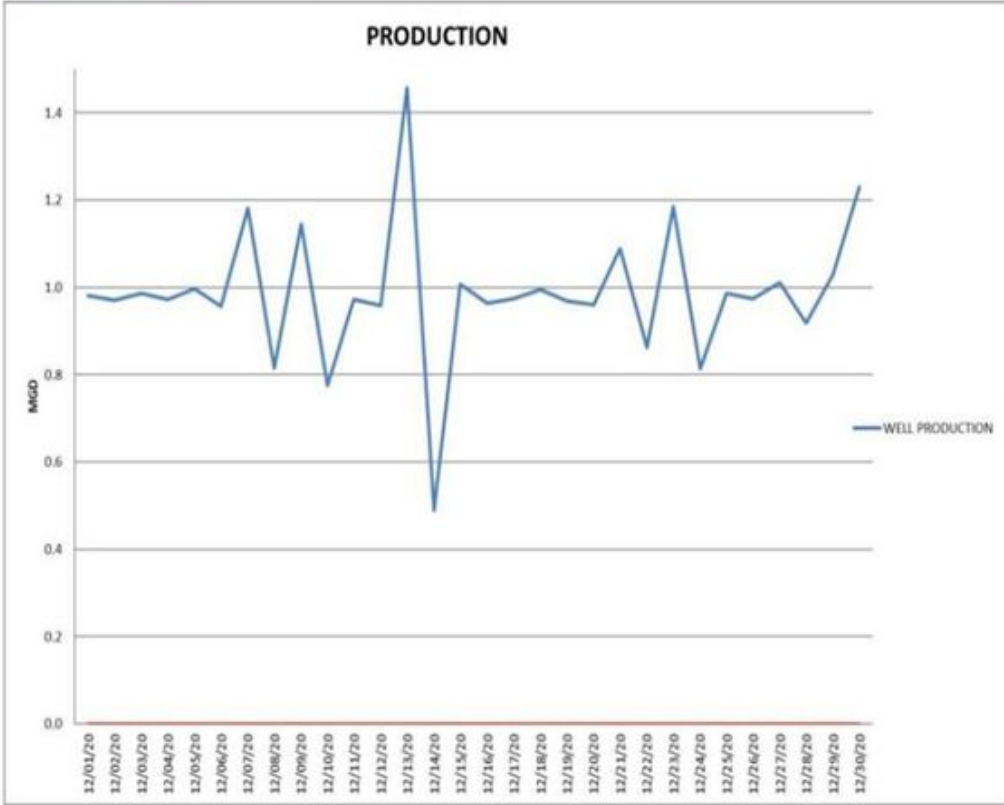
Production (December 2020)

Monthly Production Summary - December 2020			
Deep Wells		34.7 MGD	
Active wells =	90 of 120		
Avg days in operation =	31 days		
Total Production =	1,074,179 Kgals		
Springs		0.29 MGD	
Avg days in operation =	31 days		
Total Production =	8,885 Kgals		
Ugum Surface Water Plant		2.1 MGD	
Avg days in operation =	31 days		
Total Production =	66,023 Kgals		
Tumon Maui Well		0.99 MGD	
Avg days in operation =	31 days		
Total Production =	30,656 Kgals		
	1,179,743 Kgals	38.1 MGD	

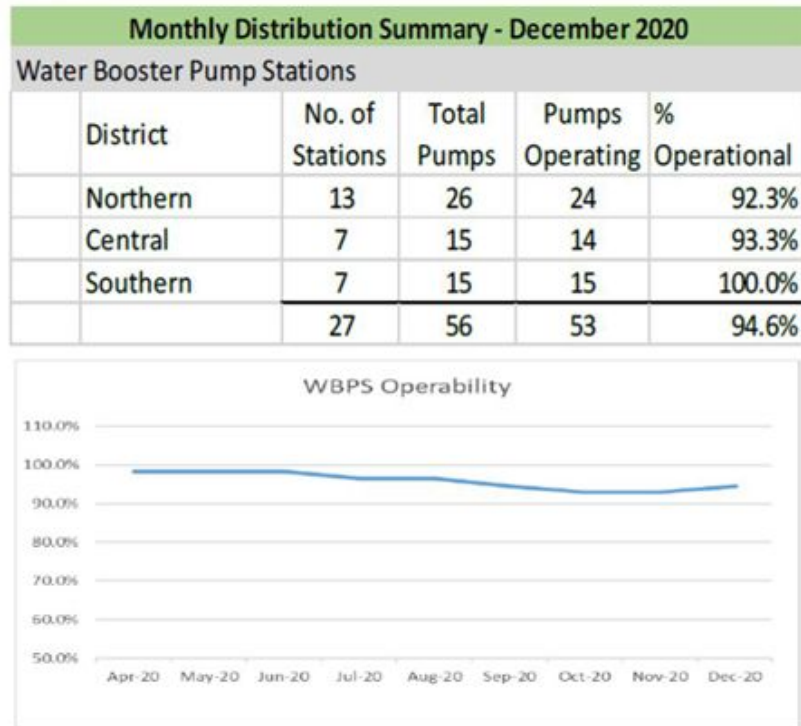
DW Status as of 12/31/2020		
Active	90	
Grounded motor or Pump failure	11	A2S-D03-D08-F06-F07-F10-F12-F13-F14-F15-F16
Out of commission	8	A02-A03-A04-A05-A06-A07-A08
Temporarily Secured	2	A23-A25
Standby	9	A10-A20-D02-D04-D05-D06-F08-F09-M02
TOTAL	120	



Turnon Maui Well Production (December 2020)



Distribution (December 2020)



Distribution – Tank Levels (December 2020)



Monthly Collections Summary - December 2020					
Wastewater Pump Stations					
	District	No. of Stations	Total Pumps	Pumps Operating	% Operational
	Northern	22	52	47	90.4%
	Central	29	63	58	92.1%
	Southern	26	56	48	85.7%
		77	171	153	89.5%



Wastewater Treatment (November and December 2020)

Monthly Wastewater Treatment Summary - November 2020				
WW Treatment Plants - Flows				
	Facility	Avg. Daily Flows	Sludge (lbs)	Sludge Disp. (\$)
	Hagatna	4.18	253,980	\$ 22,858
	Northern	4.51	657,060	\$ 59,135
	Agat	2.46	107,560	\$ 9,680
	Baza	0		
	Umatac	0.73		
	Inarajan	0.17		
		12.05	1,018,600	\$ 91,673

Monthly Wastewater Treatment Summary - December 2020				
WW Treatment Plants - Flows				
	Facility	Avg. Daily Flows	Sludge (lbs)	Sludge Disp. (\$)
	Hagatna	4.45	465,220	\$ 41,870
	Northern	4.4	975,120	\$ 87,761
	Agat	2.1	97,820	\$ 8,804
	Baza	0		
	Umatac	0.80		
	Inarajan	0.15		
		11.90	1,538,160	\$ 138,435

Tiyan Meter Installation Project

Number of Active Accounts to be Metered	Number of Active Accounts with Meter Installed as of 1/19/2021	Remaining Number of Meters to Install
107	67	40

- Decision to move forward with metering Tiyan Flat Rate Customers.
- 35 meters installed between February 2020 and January 2021.
- Project plan included assessing each premise by locating water lines, discussing meter placement with customer and then scheduling installation.
- Confusion in procedures resulted in failure to send official notification of plan to assess and install meters to 35 customers.
- In many cases, installations were initiated at time of assessment after discussing meter location with customer.
- Four (4) accounts double billed (flat rate and metered consumption) in January 2021 due to issues with billing quality control. Process implemented to avoid this from happening again.

One Guam Update (through December 2020)

- 01- TMW
 - Inspection for December postpone until January 2021 -
- 04-OEA Projects
 - Observation Wells/NGLA
 - The signed Temporary Construction Easements (TCEs) were sent to GWA for GM's signature.
 - Because TCE term was reduced to 1-year, the GM is waiting for contract issuance for construction to execute the TCEs – to insure we have sufficient time to complete the work within TCE term.
 - DOD/GWA MOA to ensure that the NGLA Observation Wells are properly maintained and each party funds the data collection and analysis is being reviewed by both Navy and GWA.
 - The DOD MOA with WERI will not move forward until DOD's budget is approved.
- 05- Water to Camp Blaz
 - GWA is preparing the proposals to address the needs of for Camp Blaz and for the Forrest Enhancement Irrigation Project.
 - DOD will confirm the water demands for the Forrest Enhancement Irrigation Project and provide to GWA.
 - Maria sent a spreadsheet to GWA on the projected requirements for Camp Blas for each year. The DOD water requirements from the Pott Junction connection for Camp Blaz are .3mgd for 2021 and .4mgd for 2023. The DOD water requirement for the Forrest Enhancement the .5 mgd for 2024.
- 06-Strategy/Framework Discussion
 - DOD and GWA exchanged each other's Hydraulic profile.
 - GWA will contact B&C to clarify some information from the Technical Memo (TM) regarding interoperability of water systems. Once B&C responds, Engineering will meet with Operations to discuss GWA's priority projects.
 - DOD and GWA need to meet once each party establish their priority projects.
- 07-Property Transfers
 - Transfer documents of Navy Laterals at Murray Road was signed by Captain Grimes. It is with Capt. Liberator, then to the Admiral before submitting to GWA.
- 30-Other
 - Umatac / Cetti Bay Easement
 - GWA would like to move forward with the extension of the Conservation Easement. Cpt. Grimes needs to execute the extension with GWA. Glen is working with the Installation for approval.
- Licenses for TMW, AG1 and Tarague Line
 - Andersen will work on the licenses in January
- Documentation/acceptance package for ACEORP Tunnel will be transmitted to the Governor's Office by December 16, 2020.

Court Order Summary (November 2020 and December 2020 – no changes)

	Total Items	On-time Items Completed / Continuous	In Progress - late	Completed - Late	In Progress - on time	Performance %
Court order total	93	78	1	14	0	98.90%



	Court Order Items	%	Performance (on-time or completed)
Completed/Continuous - on time	78	84%	98.9%
Completed - late	14	15%	
In Progress - on time	0	0%	
In Progress - late	1	1%	
Totals	93	100%	

Court Order – Status Information (November 2020 and December 2020)

- 1 item delayed - The Court Order is down to one item remaining, § II, (C), (29) – Storage tank Repair. Restoration, Replacement or Relocation – which is the item that will take longer than the “end” of the court order. That makes us 98.9% done with the CO.
- Final Date to complete all Court Order items will be delayed past December 31, 2020.
 - CO 29(b) has been expanded by 31% beyond the original Court Order Requirements
 - General Counsel is drafting filing for submission to District Court
 - Additional impact resulted from delay of 2020 Bond issuance and there is also delay due to COVID-19 impacts
- Overflow or Bypass events reported to USEPA (for November 2020 and December 2020):
 - 11-10-20 - SSO#299, Francisco Javier Street, Agana Heights, 7950 gallons, FOG
 - 11-19-20 - SSO#309, Marine Corps Drive, Tamuning – Mamajanao Pump Station, 10175 gallons, Pump Station Failure
 - 11-20-20 - SSO#310, Marine Corps Drive, Tamuning, 1260 gallons, FOG
 - 11-23-20 - SSO#314, 385 Joaquin L.G. Jesus St., Asan, 3800 gallons, Heavy Rains
 - 11-23-20 - SSO#315, Vietnam Veterans Highway, Barrigada Sewer Pump Station, 8200 gallons, Heavy Rains
 - 11-29-20 - SSO#323, Chalan Chagamin Lago, Inarajan, 2400 gallons, Heavy Rains
 - 11-30-20 - SSO#329, Chalan Canton Tasi, Merizo, 85,350 gallons, Heavy Rains
 - 12-03-20 - SSO#330, Nino Perdido Street, Asan, 1050 gallons, Pump Station Failure
 - 12-05-20 - SSO#334, Chalan Canton Tasi, Merizo, 20,850 gallons Heavy Rain
 - 12-11-20 - SSO#343, Dairy Road, Mangilao, 575 gallons, No power at Pump Station – Pump Station Failure
 - 12-11-20 - SSO#344, Chalan Canton Tasi, Merizo, 8150 gallons, Heavy Rain
 - 12-13-20 - SSO#345, Ironwood Manor, Dededo, 640 gallons, Pump Station Failure
 - 12-15-20 - SSO#348, Salomon Drive, Agana Heights, 805 gallons, FOG
 - 12-22-20 - SSO#335, Dennie Lane, Yigo, 200 gallons, FOG

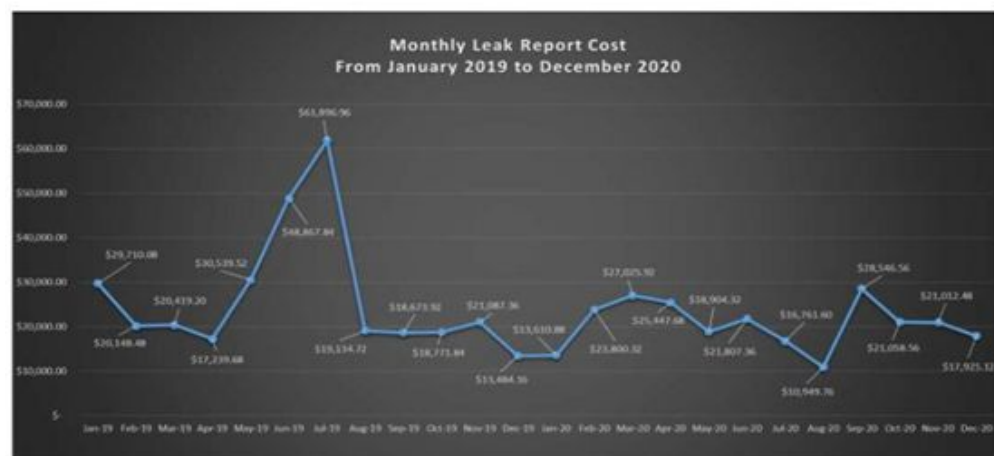
Land Acquisition Summary (through December 2020)

GWA Facility	Location	Gov. or Private Property	Land Acquisition Status
Tanks	Astumbo	Gov't. - CLTC	Petition of Land Registration package forwarded to Attorney General by DLM 11/04/19. 3 rd follow up update status request emailed to DLM 12/14/2020.
	Piti	Private	Received final comments from DoAg. Waiting on the archaeological report before we can submit 299 form.
	Airport	Private	Petition revised, reviewed and approved by GWA legal counsel. Family attorney to forward for court approval. 12/22/2020
Deep Wells	AG-12	Dept. of Agriculture/Manhita Farms	Right of Entry Agreement sent to Dept of AG for signature 05/24/18. 2 nd follow up sent on 09/12/18. 3 rd follow up sent on 04/10/19. Retracement Survey Property Map filed and recorded at DLM 7/10/19.
Booster Pump Station	Agfayan	Private	TGE working on structural design for pump station area for L28, B19, T3734, Inarajan 11/07/19.
Asan Springs	Asan	Federal	In order for NPS to issue a land ROW agreement with GWA, NPS has to complete NEPA first. GWA has HDR under contract to perform this work and an Environmental Assessment will be developed. The permit for the biological survey was submitted on 6/12/2020 and is currently still in the hands of NPS. NPS is waiting to confirm with USFWS on the threatened and endangered species that are of concern at the project location. They are just waiting on USFWS confirmation.

Comparison of Leaks Reported vs. Leaks Repaired (through December 2020)



Monthly Leak Report Cost (through December 2020)



Assumptions:

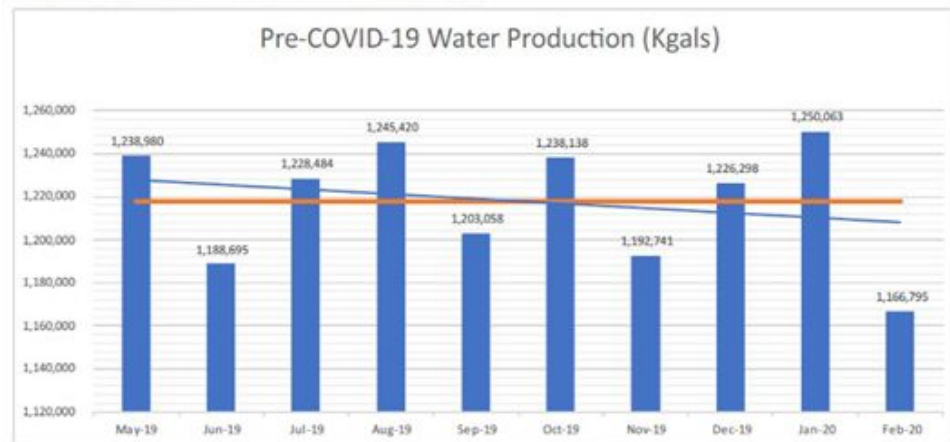
1. Leak rate = 4 gpm
2. Cost per kgal = \$4.00

Update to Workforce Availability – By February 1, 2021

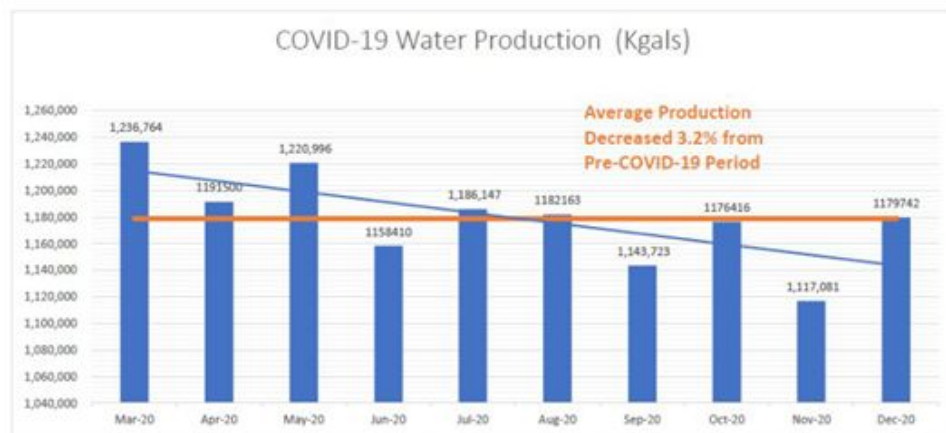
GWA employees that continue to telework

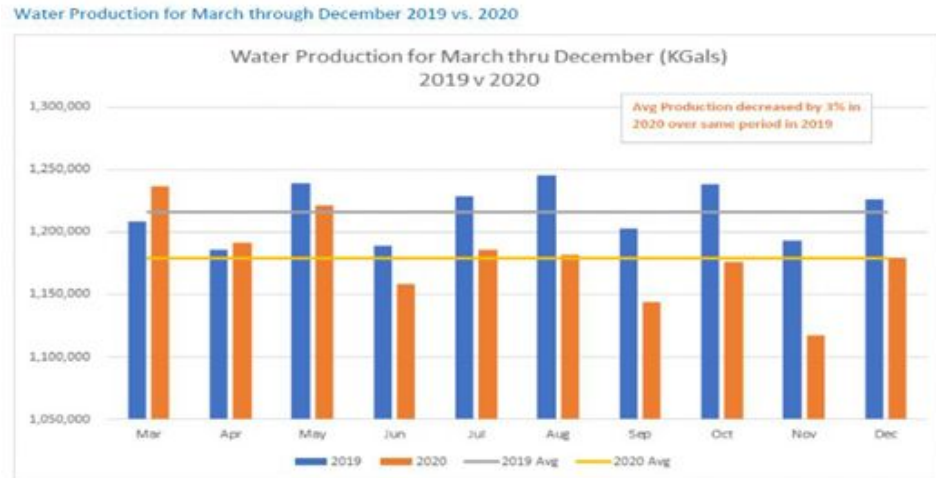
Row Labels	Count of Employee_Name
Compliance & Safety	8
Customer Service	4
Engineering	1
Finance	1
Wastewater Treatment	1
Grand Total	15

Water Production from May 2019 through February 2020



Water Production from March 2020 through December 2020





5.2 Financials

There were 465 COVID-19 positive tests and 10 COVID-related fatalities reported during the month of December. Executive Order 2020-46 extended the public health emergency from December 29, 2020 to January 29, 2021. The first COVID 19 vaccines were given on December 17, 2020 to the Phase 1 priority group which included health care workers and first responders. At the end of December, 4,241 vaccines were administered.

In early November, the Governor introduced the *Strive for Five* campaign to bring down our CAR (COVID Area Risk) score to 5 or less in hopes of moving the community towards some semblance of normalcy. On December 31, 2020, the island's CAR score was at .5 and mass testing was available to the public at no charge at various locations throughout the island. The Governor's Office announced that Guam will be placed in PCOR 2 on January 18, 2021 as the island's CAR score has been under 5 for nearly 50 consecutive days.

About a third of customers continue to make payments in person. Using social media, GWA continues to encourage customers to conduct business online or via the phone. As part of this effort, GWA joined the *Going Online Together* campaign in June with several other organizations. Additionally, CARES funding was approved to customize an automated customer service online support portal on the GWA website.

On April 28th, CCU Resolution 24-FY2020 granted the lifting of credit card limits on payments for non-residential accounts. Approximately 47% of payments made in the 1st Quarter of FY21 were made with credit cards. Below is a summary of payments made and related fees exceeding the limit.

Month	Customer Count	Amount Paid	Fees	% of Fees to Payments
May – September 2020	140	\$241,335	\$4,952	2.05%
October 2020	33	\$62,173	\$1,250	2.01%
November 2020	23	\$47,555	\$956	2.01%
December 2020	44	\$85,037	\$1,710	2.01%

Year to Date water consumption for the first quarter of FY21 is 13% lower than last year while daily water consumption for the period is down 12% from 16,216 to 14,488 Kgals. Although residential consumption is up 6% for water and 4% for wastewater, reductions in commercial and hotel of 43% in water demand and 40% in wastewater flows offset those increases.

For the month of December, water consumption was down 15% and wastewater consumption was down 18% partially due to reduction of 1 day billed this year compared to last. While daily water consumption for residents increased by 8%, overall daily water consumption was down by 13%.

The Guam Visitors Bureau and the Guam Airport Authority have announced that COVID 19 testing could begin in January, which could lead to changes in the mandatory 14-day quarantine. Additionally, negative coronavirus test results from Korea, Japan, and Taiwan could soon be accepted in time for the targeted reopening of tourism in the first quarter of CY2021. However, GVB suggests arrivals are not likely to pick up until the third or fourth quarter of FY2021 and a full tourism recovery may not happen until 2024. The Guam Hotel & Restaurant Association has noted that about 3,000 military reside in Guam hotels.

GVB is exploring the possibility of a travel bubble arrangement with Taiwan. The Governor will be visiting Taiwan to help boost this plan in the upcoming months. Meanwhile, most airlines have suspended flights to Guam.

Schools are scheduled to open on January 19, 2021 with parents able to choose face to face, online or hard copy for their children; we hope to see GDOE consumption increase as more activities are held at the schools. UOG and GCC are also considering reopening in a limited fashion but have not announced specific plans. See Schedule K for Water Demand for FY2015 to FY2021.

The second United States stimulus law was signed this month and includes some funding for rental and utility assistance as well as direct funding for water utilities. The Governor's Office applied for funding for the rental and utility assistance program in early January and we await information on the direct funding program. Unemployment assistance has been extended and the Department of Labor is determining whether reduced hours will be covered in the extension of the program. The deadline for the expenditure of CARES funding was also extended for a year.

As the recovery of Guam's economy is slower than expected, revenues are coming in below projections. A cost containment plan is in place in response to the revenue reductions. While sufficient cash reserves are in place, management will continue to assess the situation and make any course corrections required to ensure continuity of services to our customers while keeping the safety of our staff the highest priority. GWA is working with bond counsel to determine if a Rate Stabilization Fund can be stood up to assist with debt service coverage.

Balance Sheet

- Total Assets & Deferred Outflows of Resources of \$1.129B in September 2020 decreased by \$1.2M or less than 1% to \$1.128B in December 2020. Current Assets decreased by \$6.0M primarily due to reductions in federal receivables. Property, Plant and Equipment increased by \$4.5M due to increases in property net of accumulated depreciation. Other Noncurrent Assets increased by \$809K primarily due to increases in investment balances offset by reductions in

restricted cash. Cash on hand was calculated at 277 days. Schedule G contains a schedule of restricted and unrestricted cash and investments.

- Liabilities & Deferred Inflow of Resources of \$869.9M in September 2020 decreased by \$4.2M or 1% to \$865.7M in December 2020 primarily due to reductions in contractors payable offset by increases in interest payable.
- Accounts Receivable days were 50 in December compared to 49 in November 2020 and Accounts Payable days were 33 in December 2020 compared to 31 in November 2020.

Statement of Operations and Retained Earnings

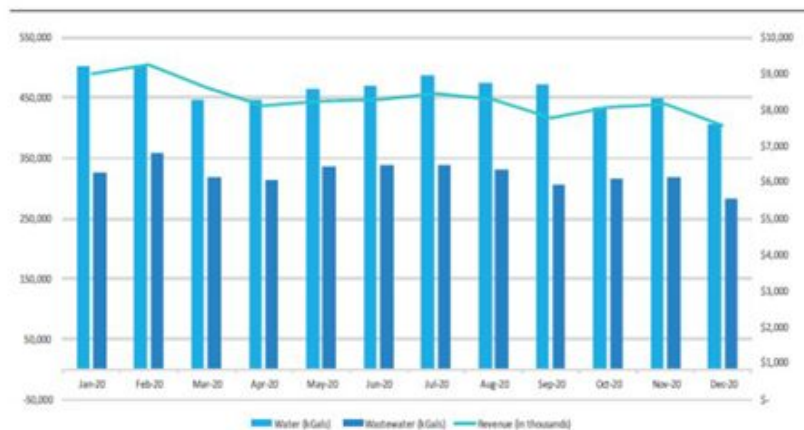
- Total Operating Revenues for December 2020 of \$7.6M were 20% or \$1.9M less than budget and 18% or \$1.7M less than December 2019 due to the impact of the COVID-19 public health emergency and offset by the 5% increases effective in March and October 2020.
- Year to Date Operating Revenues as of December 2020 of \$24.0M were 15% below budget and prior year or \$4.4M less than budget and \$4.2M less than last year.
- Below is the percentage of operating revenues (water and wastewater) contributed by GWA's customer classes for the first quarter of FY2021:

GWA Key Financial Indicators

Indicator	Target	November 2020	December 2020
DSC YTD			
• Per Section 6.12 of Indenture	1.25	1.30	1.32
• Per PUIC / CCU	1.40	1.30	1.32
Days - Cash on Hand	120 days	268 days	277 days
Collection Ratio			
• Month to Date	99%	*92%	93%
• Year to Date	99%	*95%	94%
Days Billed	30 days	31 days	28 days
Account Receivable Days	30 days	49 days	50 days
Account Payable Days	45 days	31 days	33 days
Employee Count	400 FTE	374 FTE	373 FTE
Water Demand			
• Month to Date	478,754	448,412	405,540
• Year to Date	1,436,263	883,912	1,289,392
Wastewater Flow			
• Month to Date	356,472	317,558	283,087
• Year to Date	1,069,417	633,627	916,714
Water Customers	42,839	42,978	43,021
Wastewater Customers	29,805	29,403	29,988

*Navy accruals excluded as they were not billed in November.

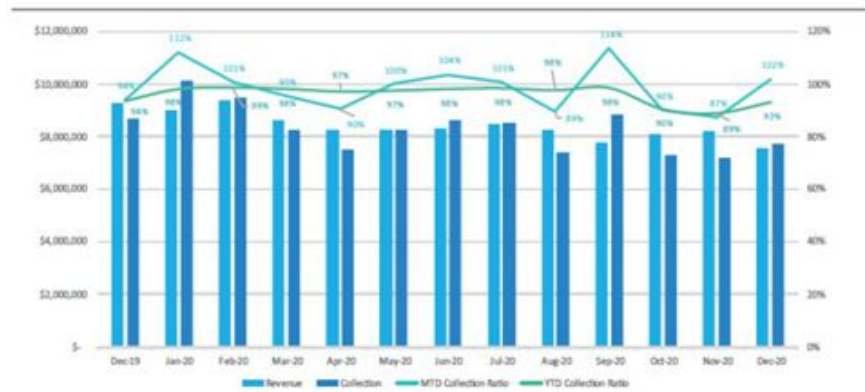
Overall Revenues and Demand



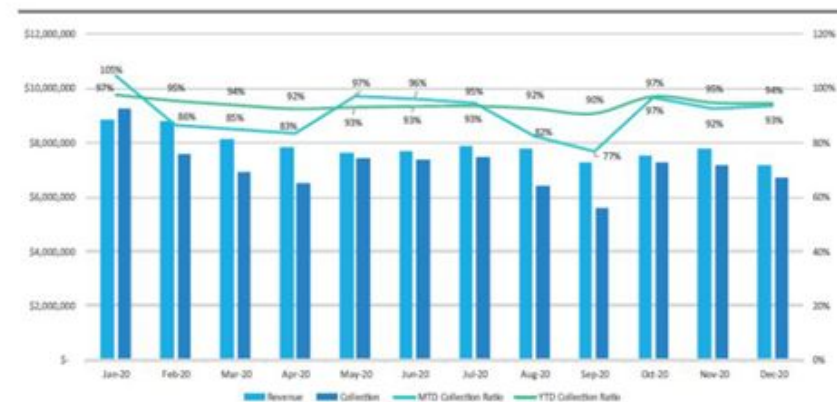
Revenues and Demand



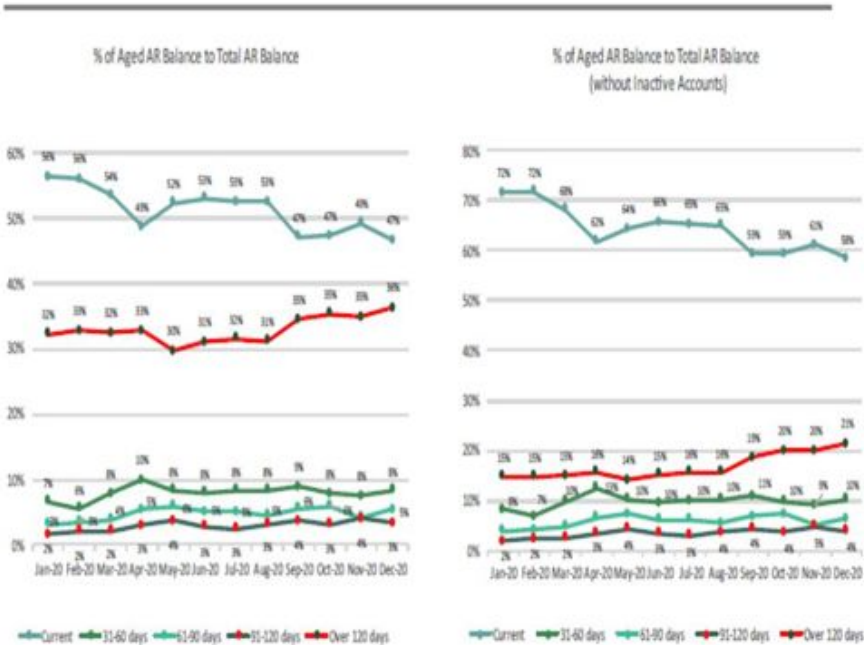
Overall Revenues and Collections



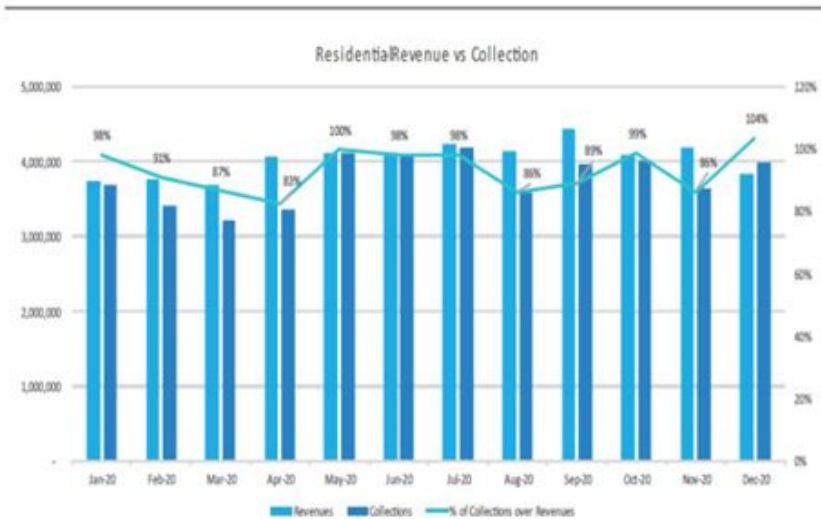
Revenues and Collections (without Navy)



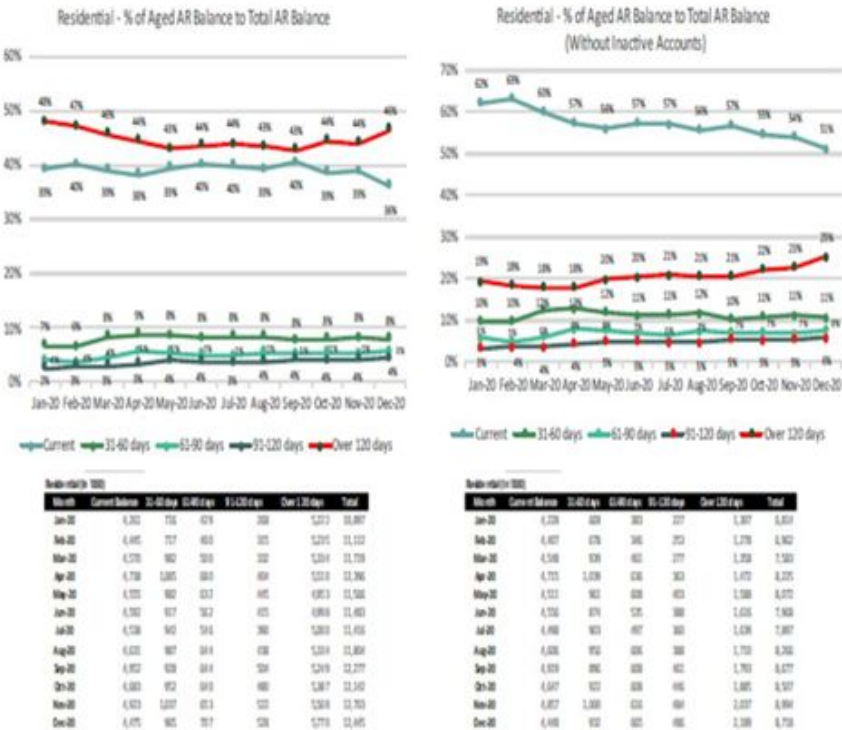
Overall- AR Aging



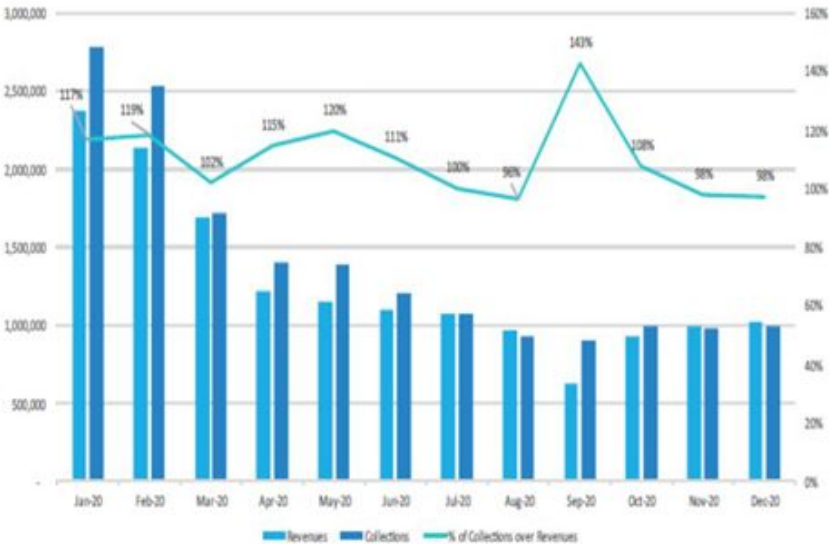
Residential Revenues and Collections



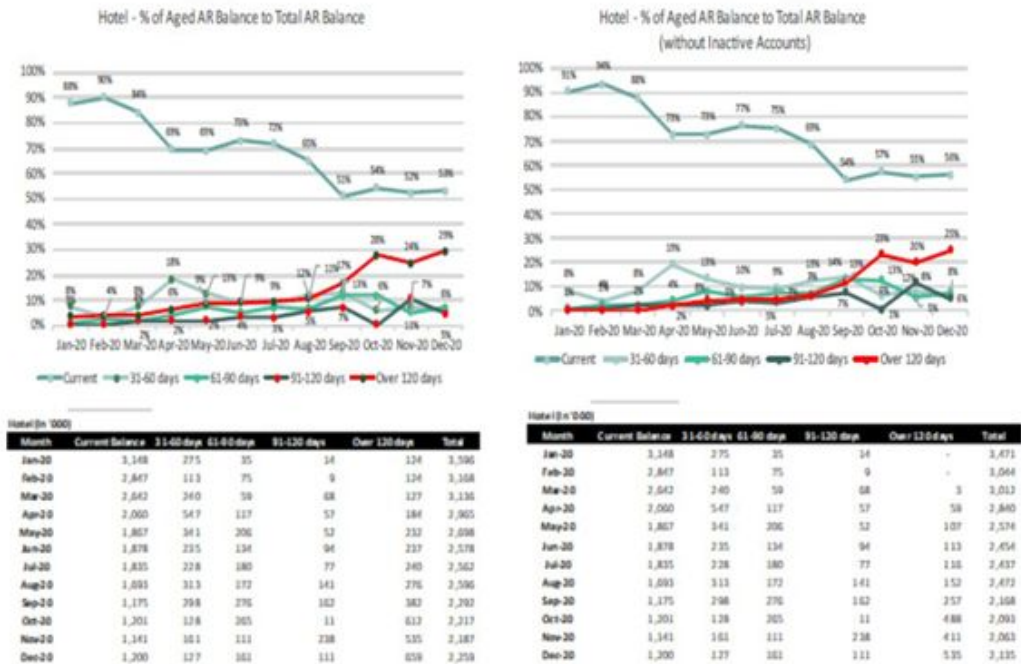
Residential- AR Aging



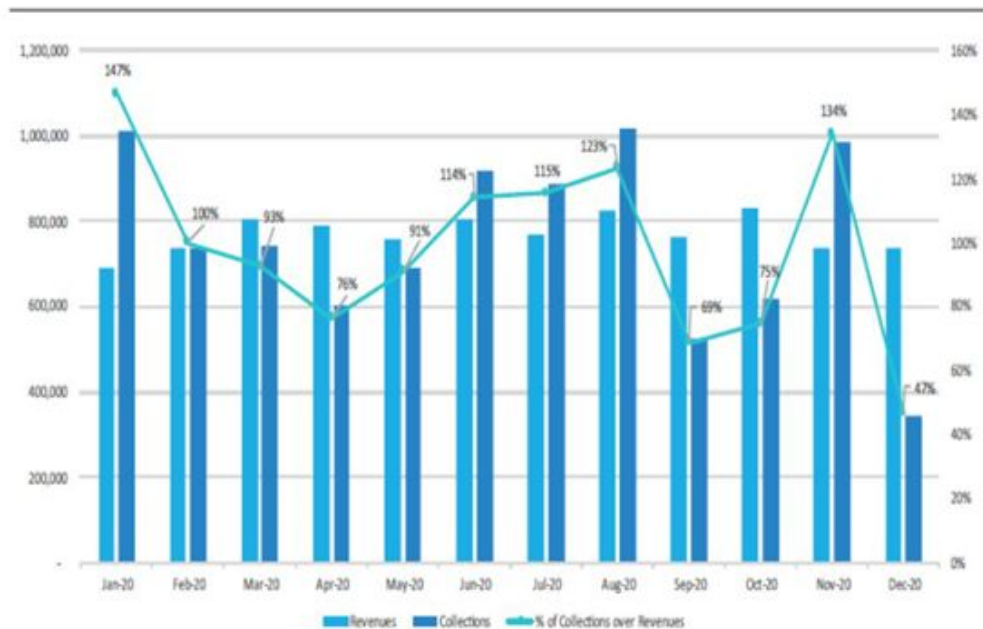
Hotel Revenues and Collections



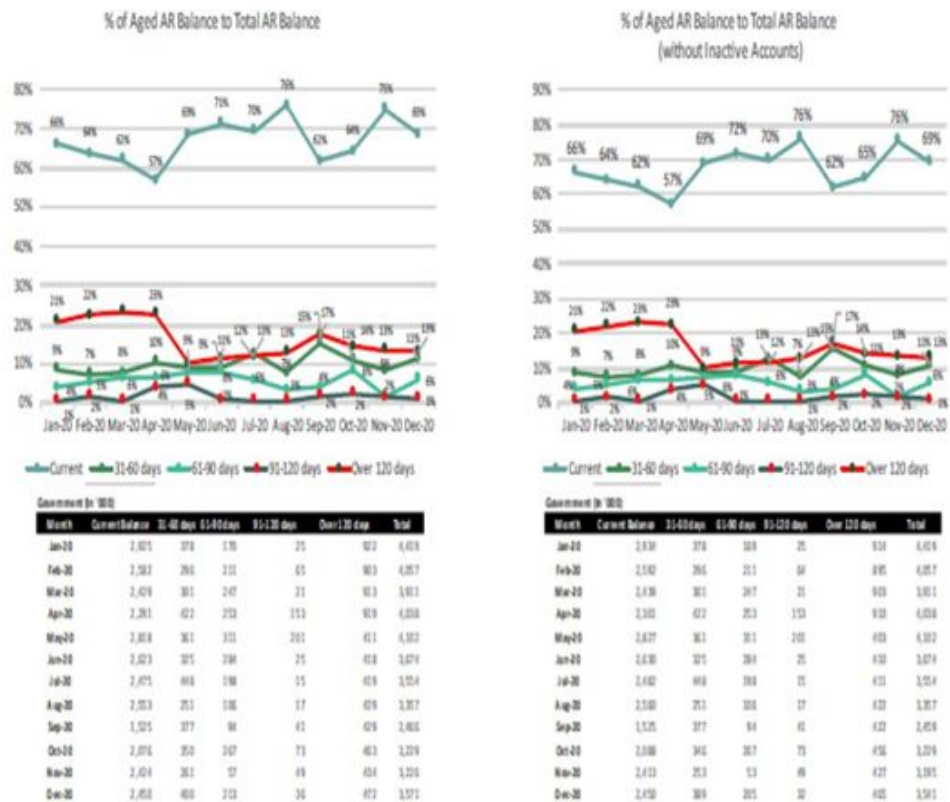
Hotel- AR Aging



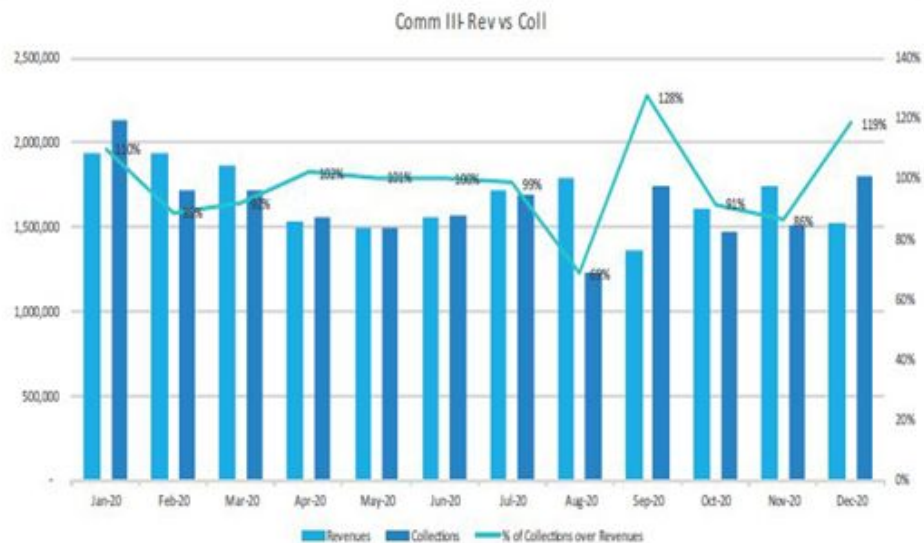
Government Revenues and Collections



Government- AR Aging



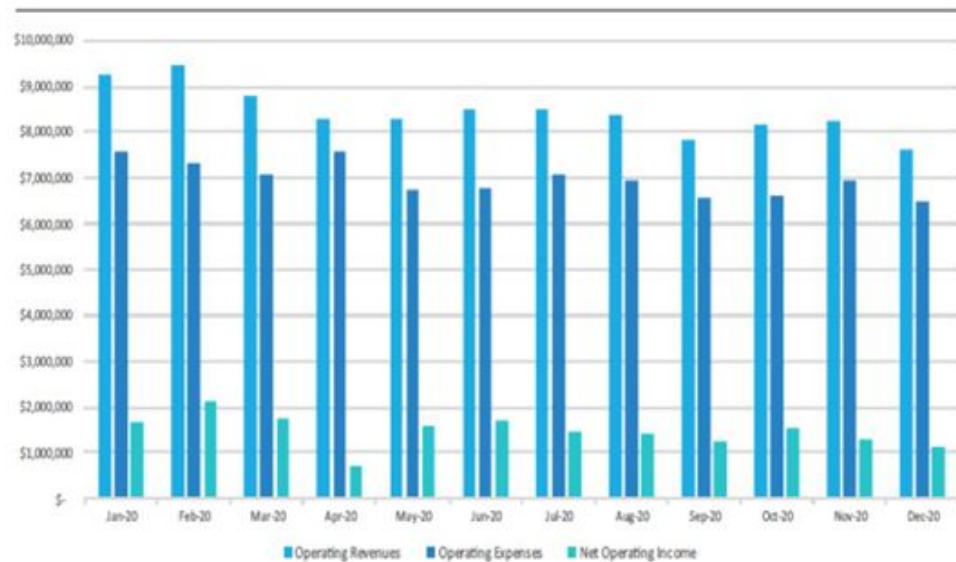
Commercial Revenues and Collections



Commercial- AR Aging



Income Statement



5.3 Resolution 06-FY2021 Relative to Change Order No. 5 Asan-Adelup-Hagatna, Rte1 Sewer Rehab Replacement Phase I Project

If approved, Resolution 07-FY2021 will help improve the sewer collection system, which includes rehabilitating, repairing and/or replacing sewer manholes and gravity sewer lines along Route 1 from Adelup to Hagatna. These sewer infrastructure elements have been identified by GWA, through a Sanitary Sewer Evaluation Survey. Successful completion of this project will result in proper maintenance and operation of the sewer collection system and USEPA agrees that efforts to rehabilitate, repair or replace the sewer lines are necessary. The Change Order is necessary to add additional time and commensurate compensation for by-pass pumping and other unforeseen obstructions encountered during construction such as buried existing utilities, work hour restrictions by the Department of Public Works, archaeological discoveries, and extensive AC pipe repairs.

This project is located along Route 1, from Adelup to the Agana Main Pump Station in Hagatna at the Chamorro Village. Construction activities are limited to the government easements or the sewer infrastructure elements. The construction contract length of this project is increased by 205 calendar days by Change Order #5.

The original contract award amount was Six Million Two Hundred Seventy-Five Thousand Seven Hundred Eighty-Two Dollars and Eighty-Eight Cents (\$6,275,782.88). There have been four (4) previous change orders issued under this contract totaling Four Hundred Seventy-Nine Thousand Two Hundred Sixty Dollars and Eleven Cents (\$479,260.11). The current total contract amount is, therefore, Six Million Seven Hundred Fifty-Five Thousand Forty-Two Dollars and Ninety-Nine Cents (\$6,755,042.99). Resolution 44-FY2018 authorized a maximum contract expenditure of Six Million Nine Hundred Three Thousand Three Hundred Sixty-Seven Dollars and Seventeen Cents (\$6,903,367.17), (\$6,275,782.88 bid amount plus \$627,578.29 contingencies). Change Order #5 is in the amount of One Hundred Sixty-Eight Thousand Seven Hundred Thirty-Seven Dollars and Ninety-Three Cents (\$168,737.93). Approval of Change Order #5 will bring the contract total amount to Six Million Nine Hundred Twenty-Three Thousand Seven Hundred Eighty Dollars and Forty-Two Cents (\$6,923,780.42) which exceeds the amount authorized by Resolution 44-2018 by Twenty Thousand Four Hundred Nineteen Dollars and Twenty-Five Cents (\$20,419.25).

GWA management requests CCU approval to increase the contract maximum amount by Twenty Thousand Four Hundred Nineteen Dollars and Twenty-Five Cents (\$20,419.25) to enable GWA to execute the needed Change Order #5. The total authorized funding amount for this contract will then become Six Million Nine Hundred Twenty-Three Thousand Seven Hundred Eighty Dollars and Forty-Two Cents (\$6,923,780.42). Estimated completion of construction will be March 2021.

The funding for this project will be from USEPA SRF Grant Funds and, if necessary, GWA Bond Funds with a maximum project budget of Six Million Nine Hundred Twenty-Three Thousand Seven Hundred Eighty Dollars and Forty-Two Cents (\$6,923,780.42).

5.4 Resolution 07-FY2021 Relative to Indefinite Quantity Contract JMI Edison for Submersible Pumps Motors for GWA Wells

This request is for the necessary purchase of pumps and motors to maintain and improve reliability of GWA's water production system. The project is to replenish the inventory of submersible pumps and motors for GWA deep wells to ensure adequate stock is available at all times to quickly bring any wells back into service. The objective is to maintain critical inventory levels for pumps and motors at all times at GWA deep well facilities island wide.

The contract amount is \$1,496,805.18 for the purchases of submersible pumps and motors during the initial contract term of 3 years: submersible motors \$231,077.82, submersible pumps \$ 267,857.23, Estimated Annual \$498,935.06, Estimated 3-year Contract \$1,496,805.18. Should GWA approve the two (2) one-year options to renew the contract then the additional funding cost is estimated at Nine Hundred Ninety-Seven Thousand Eight Hundred Seventy Dollars and Twelve Cents (\$997,870.12). GWA management further seeks a ten percent (10%) contingency to the possible overall life of the contract (five-year term), of Two Hundred Forty-Nine Thousand Four Hundred Sixty-Seven Dollars and Fifty-Three Cents (\$249,467.53) to bring the total authorized funding to Two Million Seven Hundred Forty-Four Thousand One Hundred Forty-Two Dollars and Eighty-Three cents (\$2,744,142.83). The funding source is revenue or internally funded CIP.

The indefinite quantity contract will be in place for an initial term of 3 years and purchases will be ongoing on an as-needed basis over the life of the contract term.

It was reported that 16 potential bidders downloaded the bid information, 1 responded to the bid and JMI-Edison was awarded.

5.5 Resolution 08-FY2021 Approval of GWA 2021 Employee Recognition Program [ERP] Budget

GWA Management recognizes the employees are its valuable asset in maintaining high employee morale and retention. The implementation of a well-run Employee Recognition Program (ERP) is essential to maintain morale and employee retention which are inherent requirements of Section 3.4 Volume 1 of the Water Resources Master Plan to achieve employee satisfaction and pride identified as a strategic level of service (LOS).

The ERP will be implemented and maintained by the Human Resources Division and Program Managers within the Guam Waterworks Authority. A request for \$30k budget approval based on activities as presented is the proposed budget amount and will be funded through revenues.

Comm. Guthertz motioned to approve Resolution 08-FY2021, seconded by Comm. Sanchez.

In discussion Comm. Limtiaco asked if asked if GWA's FY21 budget will be increased because of this resolution and program and GM Bordallo responded there will be no increase in the FY21 budget. The Commission also asked if this program is not already active / being done. The AGMA Budasi said yes, it is but because there is no set budget, the program is not consistent. GM Miguel added that since CFO Taitano has come on board, she has initiated some programs but management believes the program must be an done annually and needs this funding request to be significant.

On the motion there was no further discussion or objection and the motion passed 4 ayes / 1 absent.

6. OTHER DISCUSSION

6.1 CCU Rules Update

7. ANNOUNCEMENTS

7.1 Next CCU Meetings

The Chairman announced that the next meeting would be a work session for GWA on Feb 16, a work session for GPA on Feb 18 and the regular monthly meeting on February 23.

8. ADJOURNMENT

There being no other business to bring before the Commission.

Comm. Guthertz motioned to adjourn the meeting second by Comm. Sanchez. There was no objection or discussion and the meeting adjourned at 7:25 p.m.

\\s\\
BlS

Attested

JOSEPH T. DUENAS, Chairman

MICHAEL T. LIMTIACO Secretary



Management Report

GWA CCU Work Session, February 23, 2021



Update to Workforce Availability

GWA Workforce availability as of February 10, 2021

Healthy	362	97.6%
Sick, not COVID-19 related	1	0.3%
Employee with COVID-19, active case	1	0.3%
COVID-19 Medical Risk	1	0.3%
Military Leave	5	1.3%
LTD	1	0.3%
	371	100%

Total		
Healthy/Reporting for duty at worksite	346	93.3%
Healthy/Reporting for duty - Part Teleworking and Part Reporting for duty at worksite	9	2.4%
Healthy/Reporting for duty - Teleworking	7	1.9%
Employee sick - symptoms unrelated to COVID-19	1	0.3%
Military Leave	5	1.3%
LTD/Workers Comp	1	0.3%
Employee with COVID-19, active case	1	0.3%
Employee or household member is at medical risk (i.e. COVID-19 vulnerable)	1	0.3%
	371	100%

GWA Workforce Vaccine Status

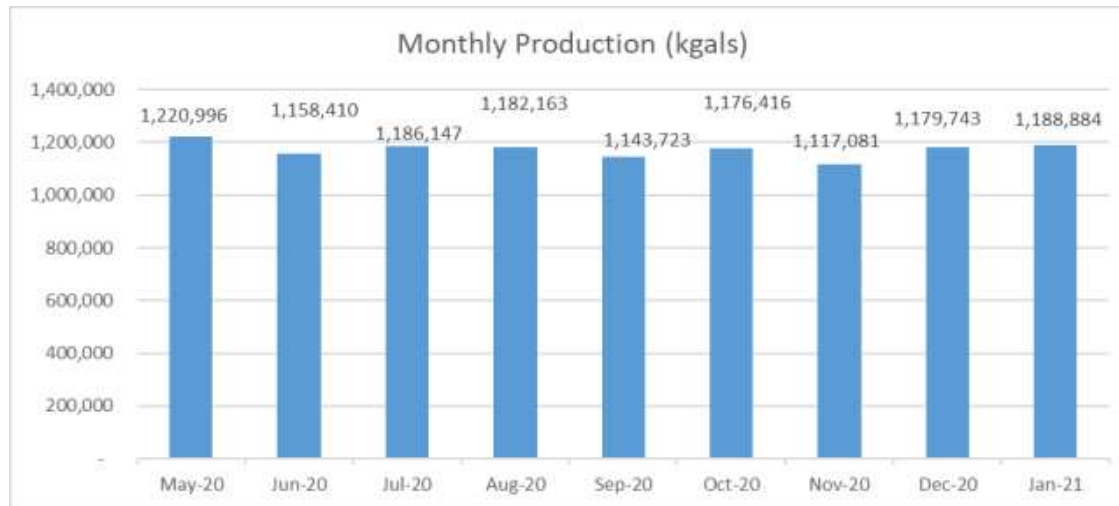
First Shot	70	18.87%
Second Shot	12	3.23%
Did Not Receive Shot	289	77.90%
	371	100.00%

Operations Update

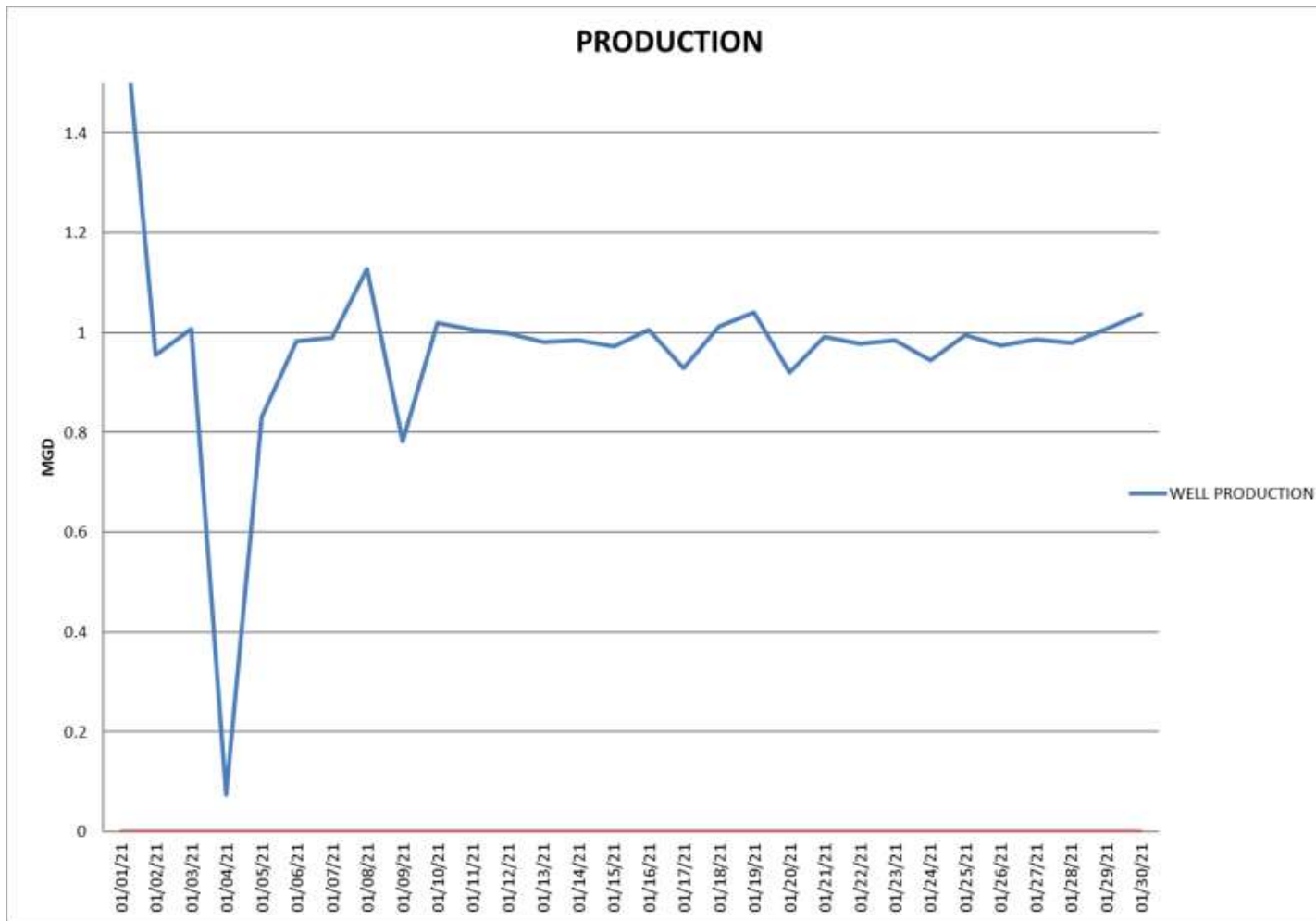
Production (January 2021)

Monthly Production Summary - January 2021				
Deep Wells			34.9 MGD	
Active wells =	93	of 120		
Avg days in operation =	31	days		
Total Production =	1,081,362	Kgals		
Springs			0.32 MGD	
Avg days in operation =	31	days		
Total Production =	9894	Kgals		
Ugum Surface Water Plant			2.2 MGD	
Avg days in operation =	31	days		
Total Production =	67,520	Kgals		
Tumon Maui Well			0.97 MGD	
Avg days in operation =	31	days		
Total Production =	30,108	Kgals		
			1,188,884	Kgals
			38.4 MGD	

DW Status as of 1/31/2021									
Active	93								
Grounded motor or Pump Failure	11	A26-D03-D09-F06-F07-F13-F16-M06-M17A-Y16-Y20							
Out of commission	8	A02-A07-A28-D05-D13-M14-MJ01-MJ05							
Temporarily Secured	2	A23-A25							
Standby	6	A10-A29-D02-D24-F05-F10							
TOTAL	120								

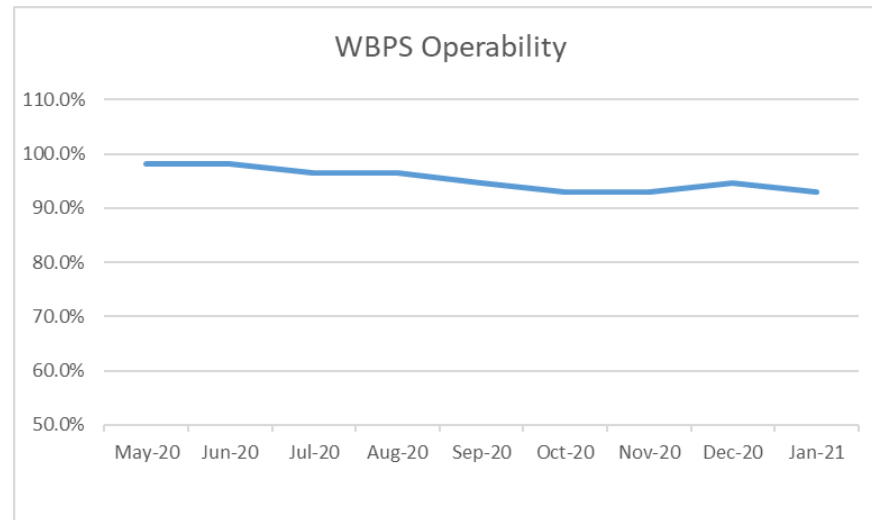


Tumon Maui Well Production (January 2021)

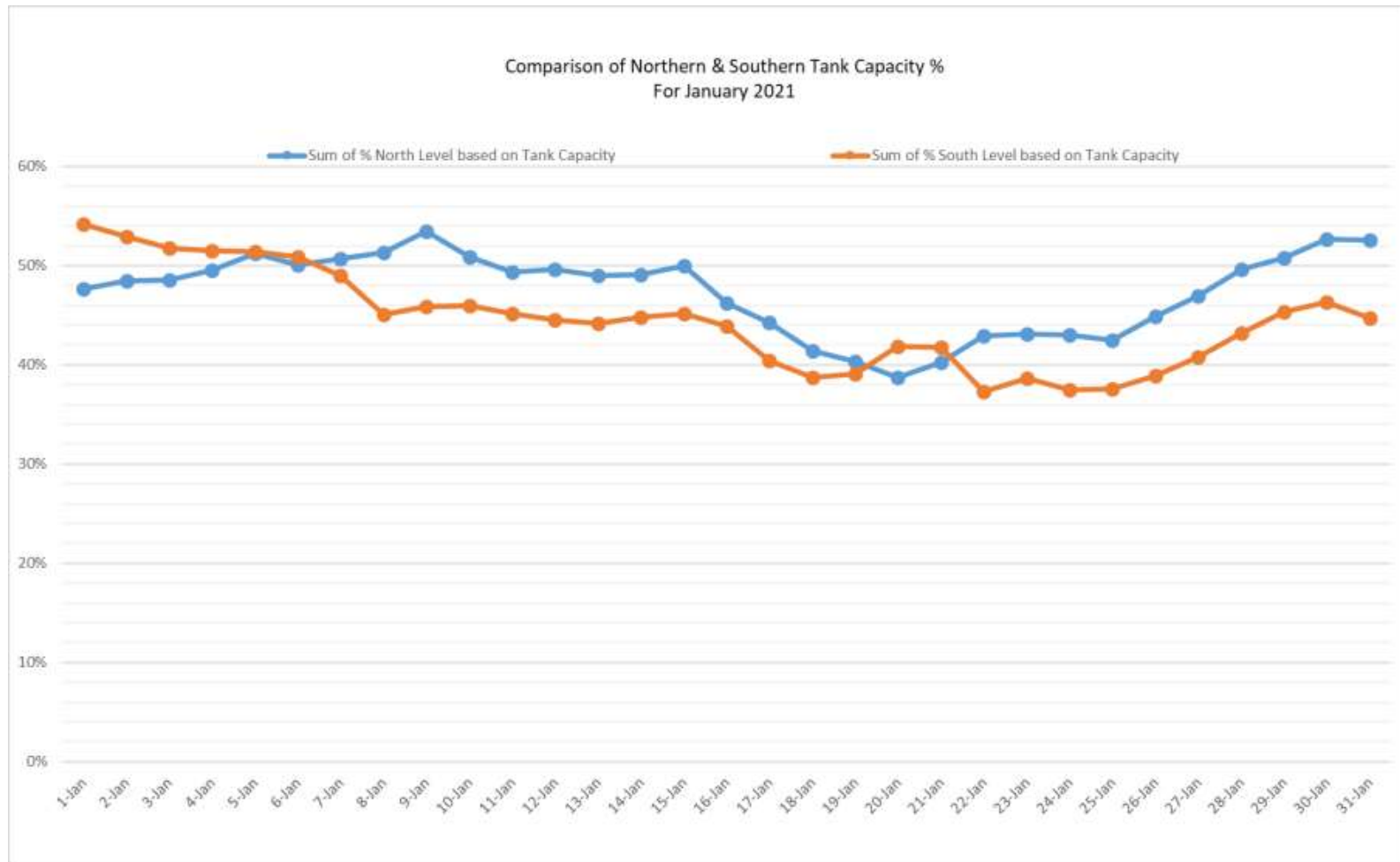


Distribution (January 2021)

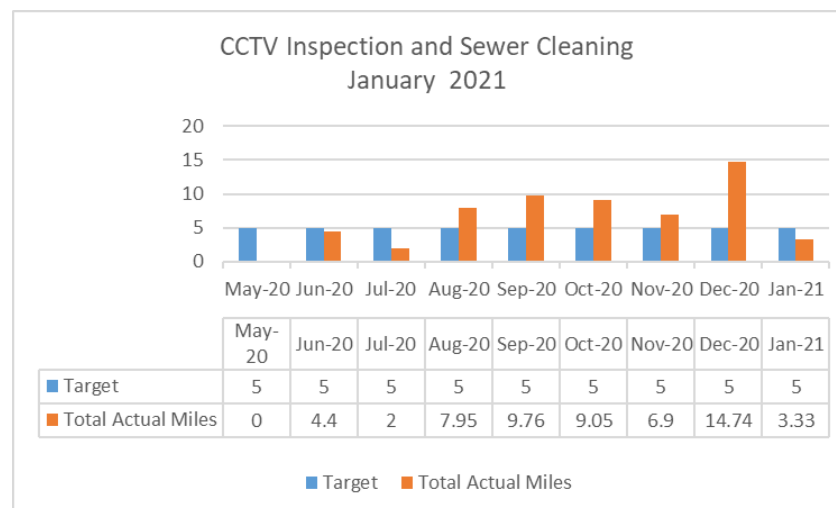
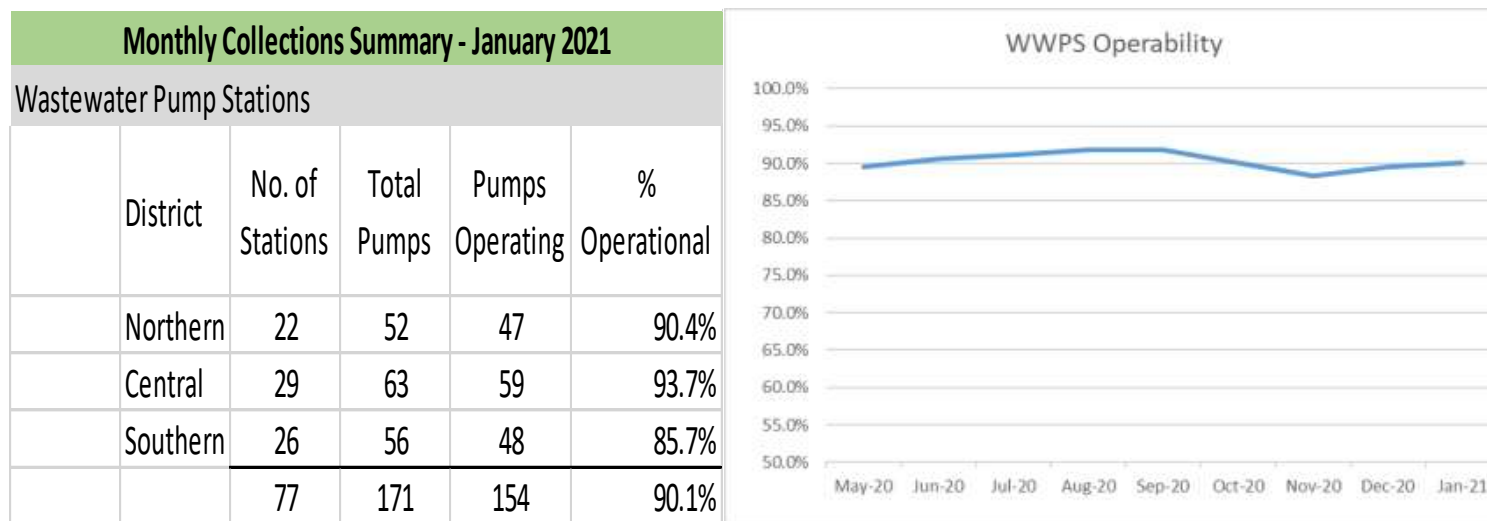
Monthly Distribution Summary - January 2021					
Water Booster Pump Stations					
	District	No. of Stations	Total Pumps	Pumps Operating	% Operational
	Northern	13	26	24	92.3%
	Central	7	15	13	86.7%
	Southern	7	15	15	100.0%
		27	56	52	92.9%



Distribution – Tank Levels (January 2021)



Wastewater Collections (January 2021)



Wastewater Collections –Cleaning/Jetting (January 2021)

Barrigada



Chalan Kareta / Starts Golf Course



Wastewater Collections –Cleaning/Jetting (January 2021)

Route 16



Wastewater Collections –Cleaning/Jetting (January 2021)

Pia Marine

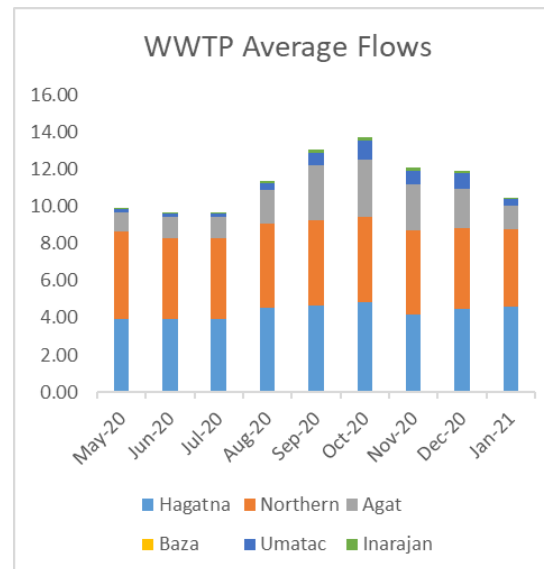


Hagatna /Anigua



Wastewater Treatment (January 2021)

Monthly Wastewater Treatment Summary - January 2021				
WW Treatment Plants - Flows				
	Facility	Avg. Daily Flows	Sludge (lbs)	Sludge Disp. (\$)
	Hagatna	4.58	249,740	\$ 22,477
	Northern	4.2	1,167,660	\$ 105,089
	Agat	1.23	44,400	\$ 3,996
	Baza	0		
	Umatac	0.39		
	Inarajan	0.07		
		10.47	1,461,800	\$ 131,562

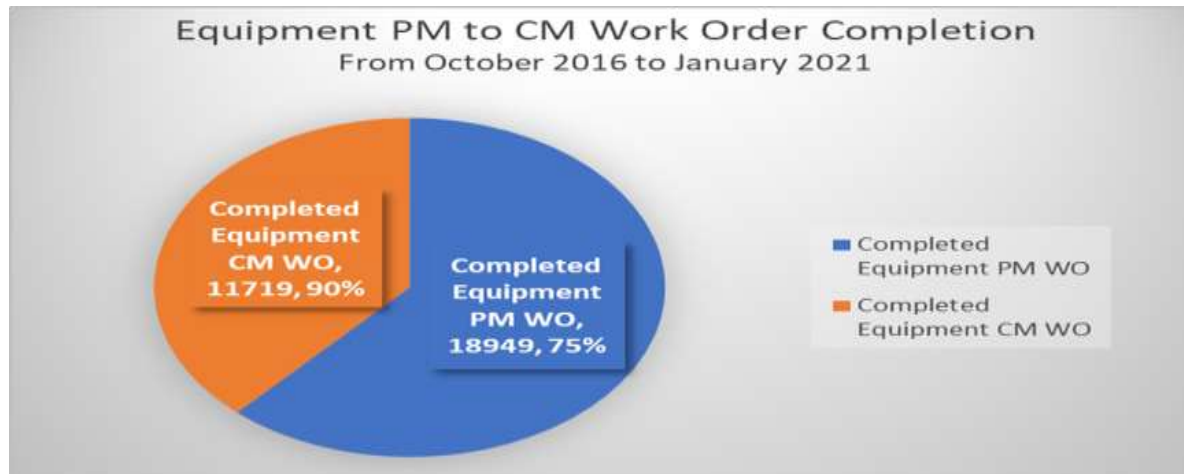


Asset Management (through January 2021)

I. Equipment Preventive Maintenance to Corrective Maintenance *Ratio*

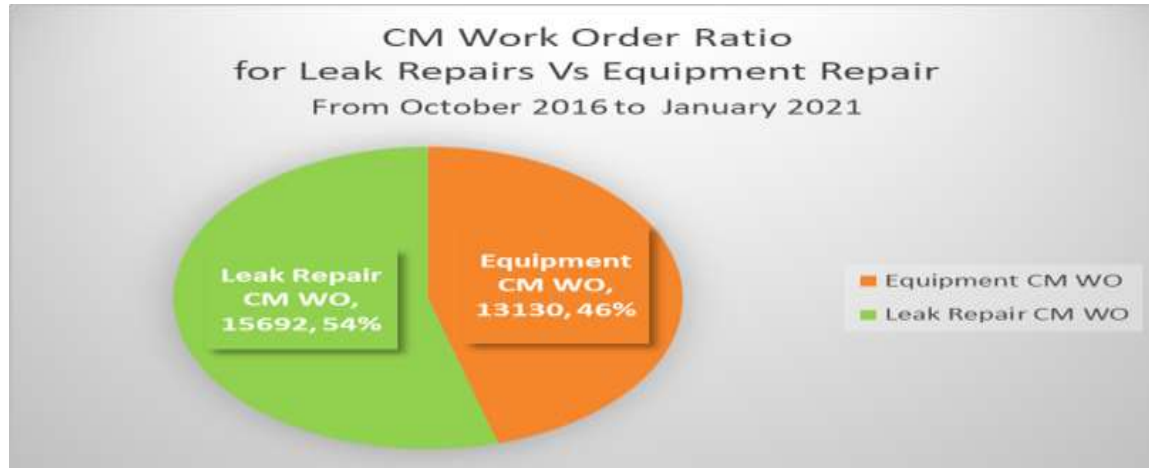


II. Equipment Preventive Maintenance to Corrective Maintenance *Work Order Completion*



Asset Management (January 2021)

III. Corrective Maintenance Work Order **Ratio** for Leak Repairs vs. Equipment Repair



IV. Corrective Maintenance Work Order **Completion** for Leak Repairs vs. Equipment Repair



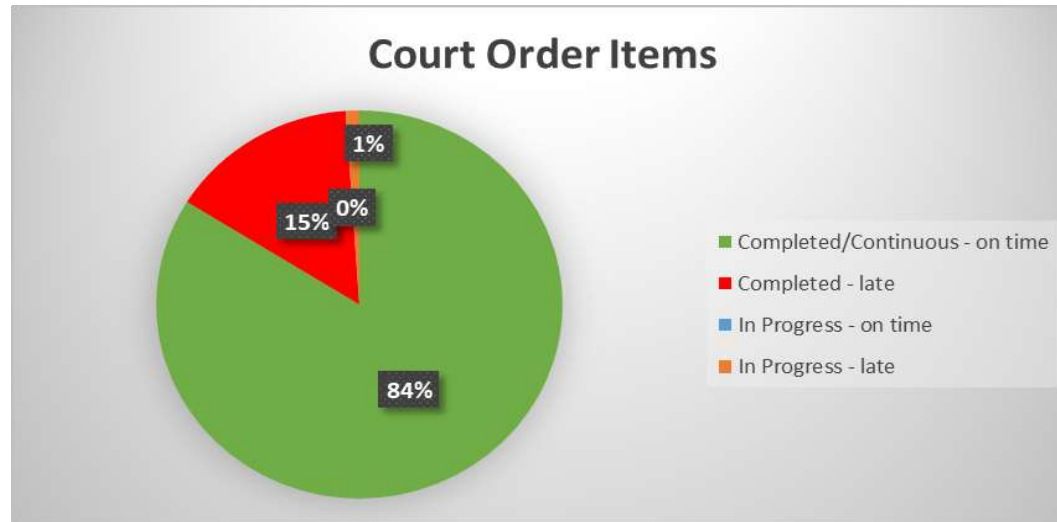
One Guam Update (through January 2021)

- 01- TMW
 - Inspection was on January 26, 2021.
- 04-OEA Projects
 - Observation Wells/NGLA
 - GWA is still waiting on formal response from OEA regarding the approval of the extension on the grant funds. GWA will sign the Temporary Construction Easements (TEC) and award the new wells contract to maximize time for the 1-year TCE term.
 - WERI is still determining the final cost for GWA and DOD for long term data collection and analysis for the observation wells. An MOA will be finalized once this information is finalized. Maria Lewis will brief the DOD. MOA will be presented to CCU prior to GWA signing MOA.
- 05- Water to Camp Blaz
 - GWA provided a response letter regarding GWA support and approval regarding water service to Camp Blaz; waiting for Marines to respond and date when the water service is required.
- 06-Strategy/Framework Discussion
 - Meeting between GWA & DoD Engineering will be scheduled for Jan. 29 at 9am at GPWA Fadian Mangilao, 3rd floor, CCU Conference Room.
 - The results from the meeting will be discussed at the next One Guam meeting of Feb. 5
- 07-Property Transfers
 - Transfer of Navy Laterals at Murray Road to GWA
 - Waiting for endorsement from CNIC, then NAVFAC RE will prepare the deed and have review by Legal and RECO. If no changes are made, then will go to Real Estate Headquarters. Once it is signed off, it can complete the transferred to GWA.
 - NAVFAC determined no concern with GWA doing a visual inspection prior to the transfer. GWA will approach the transfer like other infrastructure asset transfers, and hope to complete prior to DOD completing the review of the deeds.
- 30-Other
 - Umatac / Cetti Bay Easement
 - Waiting on approval from Captain Grimes.

- Possible Navy WW Diversion to Agat
 - Navy and GWA are discussing the possible Navy wastewater diversion to the Agat Santa Rita Wastewater Treatment Plant. Additional information is needed, such as what kind of costs and savings are involved to move forward.
- GWA Operation Staff, Peter Cruz and Mancini Santos did a presentation on GWA's Disinfection Process at the virtual AWWA Hawaii Section/Western Pacific Sub-Section – Webinar/ Workshop on Safe Drinking Water Regulations.

Court Order Summary (January 2021 – no changes)

	Total Items	On-time Items Completed / Continuous	In Progress - late	Completed - Late	In Progress - on time	Performance %
Court order total	93	78	1	14	0	98.90%



	Court Order Items	%	Performance (on-time or completed)
Completed/Continuous - on time	78	84%	98.9%
Completed - late	14	15%	
In Progress - on time	0	0%	
In Progress - late	1	1%	
Totals	93	100%	

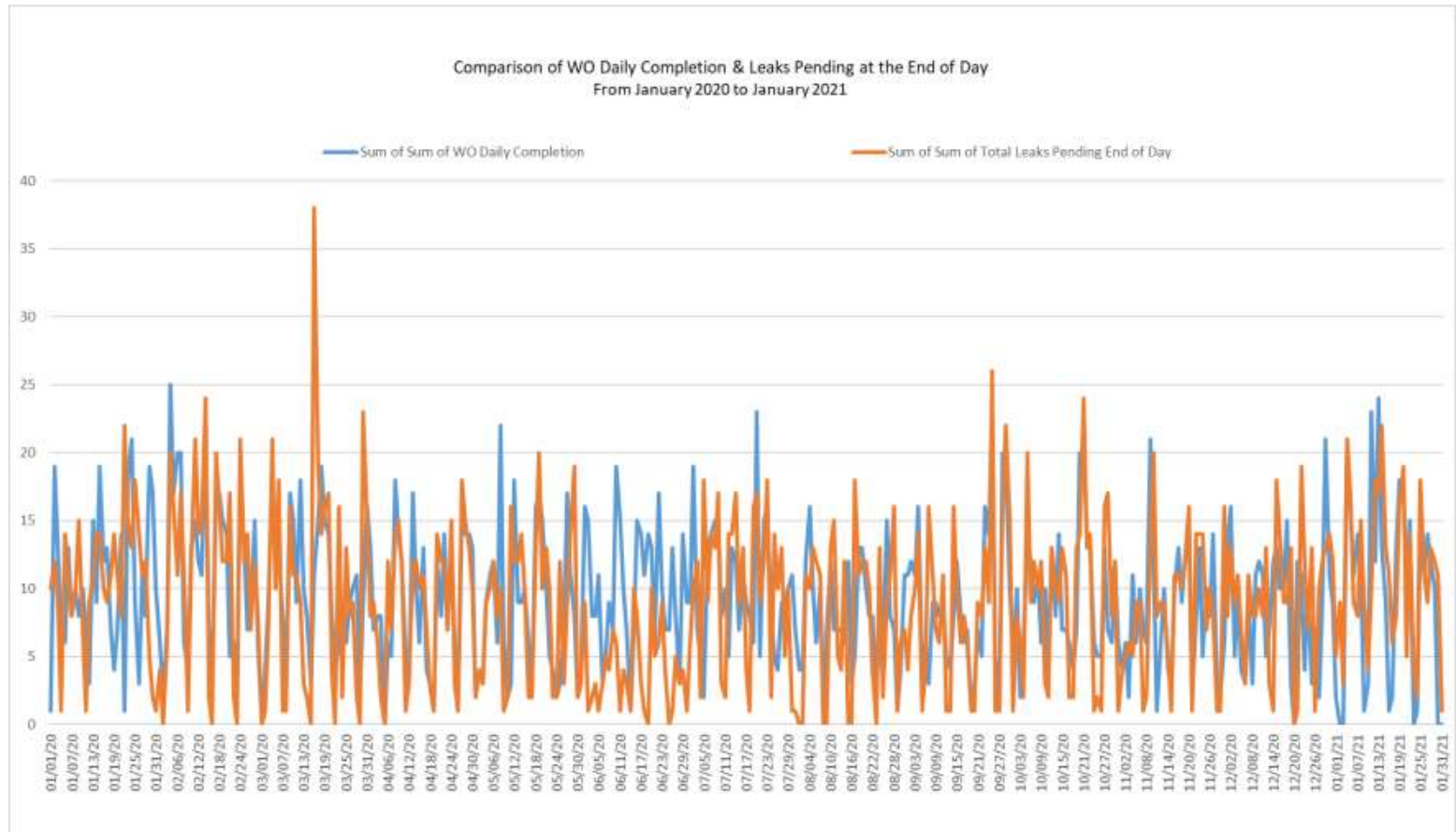
Court Order – Status Information (January 2021)

- 1 item delayed - The Court Order is down to one item remaining, § II, (C), (29) – Storage tank Repair. Restoration, Replacement or Relocation – which is the item that will take longer than the “end” of the court order. That makes us 98.9% done with the CO.
- Final Date to complete all Court Order items will be delayed past December 31, 2020.
 - CO 29(b) has been expanded by 31% beyond the original Court Order Requirements
 - General Counsel filed a motion and proposed order to District Court. Received Order on ***Tuesday, February 16, 2021*** from District Court granting GWA up to June 30, 2023 to complete the last item on the Court Order for the Tanks.
 - Additional impact resulted from delay of 2020 Bond issuance and there is also delay due to COVID-19 impacts
- Overflow or Bypass events reported to USEPA (for January 2021):
 - January 9, 2021: SSO#363 – Vietnam Memorial Highway, Mangilao – FOG
 - January 9, 2021: SSO#362 – ET Calvo Parkway, Tamuning – FOG
 - January 21, 2021: SSO#368 – Mamajanao SP – Heavy Rain
 - January 21, 2021: SSO#369 – Serenu Street, Tamuning – Heavy Rain
 - January 27, 2021: SSO#371 – Cabayero Road, Mongmong – debris in the line
 - January 29, 2021: SSO#373 – Ysengsong Road, Dededo – DPW operator damaged line while clearing inside of a ponding basin.
 - January 31, 2021: SSO#374 - Ch RS Sanchez Mongmong – FOG

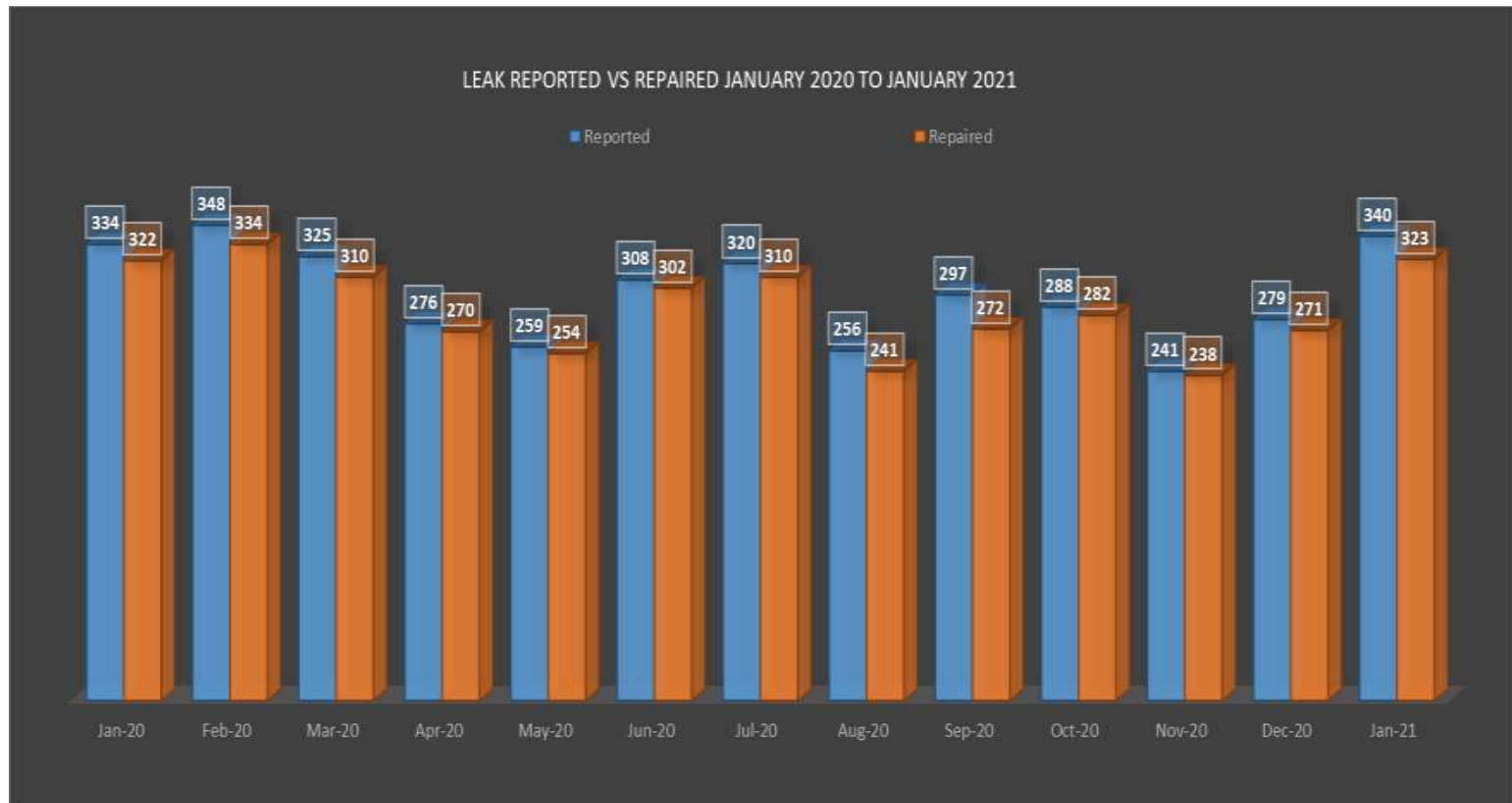
Land Acquisition Summary (through January 2021)

GWA Facility	Location	Gov. or Private Property	Land Acquisition Status
Tanks	Astumbo	Gov't. - CLTC	Petition of Land Registration package forwarded to Attorney General by DLM 11/04/19. 3 rd follow up update status request emailed to DLM 12/14/2020.
	Piti	Private	Received final comments from DoAg. Waiting on the archaeological report before we can submit 299 form.
	Airport	Private	Family attorney to forward for court approval. 12/22/2020. Sent follow up email to family attorney for court petition approval update 02/04/2021
Deep Wells	AG-12	Dept. of Agriculture/Manhita Farms	Right of Entry Agreement sent to Dept of AG for signature 05/24/18. 2 nd follow up sent on 09/12/18. 3 rd follow up sent on 04/10/19. Retracement Survey Property Map filed and recorded at DLM 7/10/19. DCA to proceed with survey work for parceling of AG-12 property 01/25/2021.
Booster Pump Station	Agfayan	Private	TGE working on structural design for pump station area for L28, B19, T3734, Inarajan 11/07/19.
Asan Springs	Asan	Federal	In order for NPS to issue a land ROW agreement with GWA, NPS has to complete NEPA first. GWA has HDR under contract to perform this work and an Environmental Assessment will be developed. The permit for the biological survey was submitted on 6/12/2020 and was signed by NPS on 1/22/2021. HDR is planning to perform the biological survey at Asan Springs in the month of February 2021. An archaeological survey is also needed to complete the EA requirement, further coordination between NPS and SHPO is pending to determine necessary approach for an archaeological survey.

Leak Repair Summary (through January 2021)



Comparison of Leaks Reported vs. Leaks Repaired (through January 2021)



Monthly Leak Report Cost (through January 2021)



Assumptions:

1. Leak rate = 4 gpm
2. Cost per kgal = \$4.00



COVID-19 impact on collections





Timeline

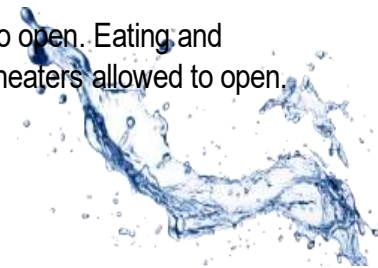
- March 14, Governor of Guam issues Executive Order 2020 -03 declaring a state of emergency to respond to COVID -19
- March 16, GWA management begins implementation of essential operations only
- March 19, Governor of Guam orders prohibition on gatherings, mandatory social isolation and shuts down non-essential government offices and private business.
- May 10, Guam placed in Condition of Readiness 2; gatherings limited to 10 people, schools and public parks and beaches remain closed.
- June 1, Governor of Guam establishes the Guam Small Business Pandemic Assistant Grant
- June 22, first batch of Pandemic Unemployment Assistance claims paid out.





Timeline continued

- July 20, Guam placed in Condition of Readiness 3; gatherings limited to 50 people, schools, public parks and beaches and non -essential business allowed to open. 314 COVID -19 cases and 5 deaths.
- August 16, Guam placed in Condition of Readiness 1; mandatory social isolation and shuts down non -essential government offices and private business. 516 COVID -19 cases and 5 deaths.
- October 3, restrictions relaxed, gatherings limited to 5 people, places of worship, public parks and beaches and additional non -essential business allowed to open. 2,699 COVID -19 cases and 51 deaths.
- December 24, restrictions relaxed, gatherings limited to 15 people, Eating and Drinking Establishments allowed to operate at 25%. 7,257 COVID -19 cases and 121 deaths.
- Pandemic Unemployment Assistance ends on December 31, 2020 but then extended to March 13, 2021.
- January 16, 2021 Guam placed in Condition of Readiness 2; schools allowed to open. Eating and Drinking Establishments allowed to operate at 50%; Game rooms and movie theaters allowed to open. 7,485 COVID -19 cases and 128 deaths.





Relief for Residential and Commercial Customers

- March 16 GWA suspends disconnections.
- May 19, GWA begins outreach to customers in arrears to sign up for payment plans.
- June 2020, GWA plan to begin disconnections starting July 1 is discussed w/ CCU but deferred pending more time for public notice.
- June 16, 2020 Resolution 30 -2020 passed allowing Residential and Commercial Customers to enter 12 -month payment plans.



Payment Plans Entered January 1, 2019 to December 31, 2020

Residential			
	2019	2020	Incr/Decr
Number of Payment Plans	7,634	4,008	-47.5%
# of Payments During Pay Plan	13,848	4,609	-66.7%
Pay Plan Amount + Total Amount Billed During Pay Plan	\$3,352,412	\$1,794,062	-46.5%
Total Paid During Pay Plan	\$2,219,346	\$902,985	-59.3%
Average Payment Amount	\$160.26	\$195.92	22.3%
Commerical			
	2019	2020	Incr/Decr
Number of Payment Plans	129	69	-46.5%
# of Payments During Pay Plan	285	145	-49.1%
Pay Plan Amount + Total Amount Billed During Pay Plan	\$3,837,271	\$856,900	-77.7%
Total Paid During Pay Plan	\$1,404,308	\$466,582	-66.8%
Average Payment Amount	\$4,927.40	\$3,217.80	-34.7%

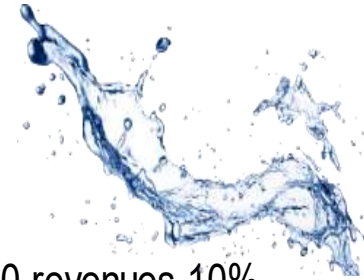


Results of Customer Outreach to Establish Pay Plan

- 13,480 calls; average of 1,497 a month
- 27.5% contact rate; 3,714 successful contacts; average of 412 a month
- 1,110 pay plans established; average of 123 a month

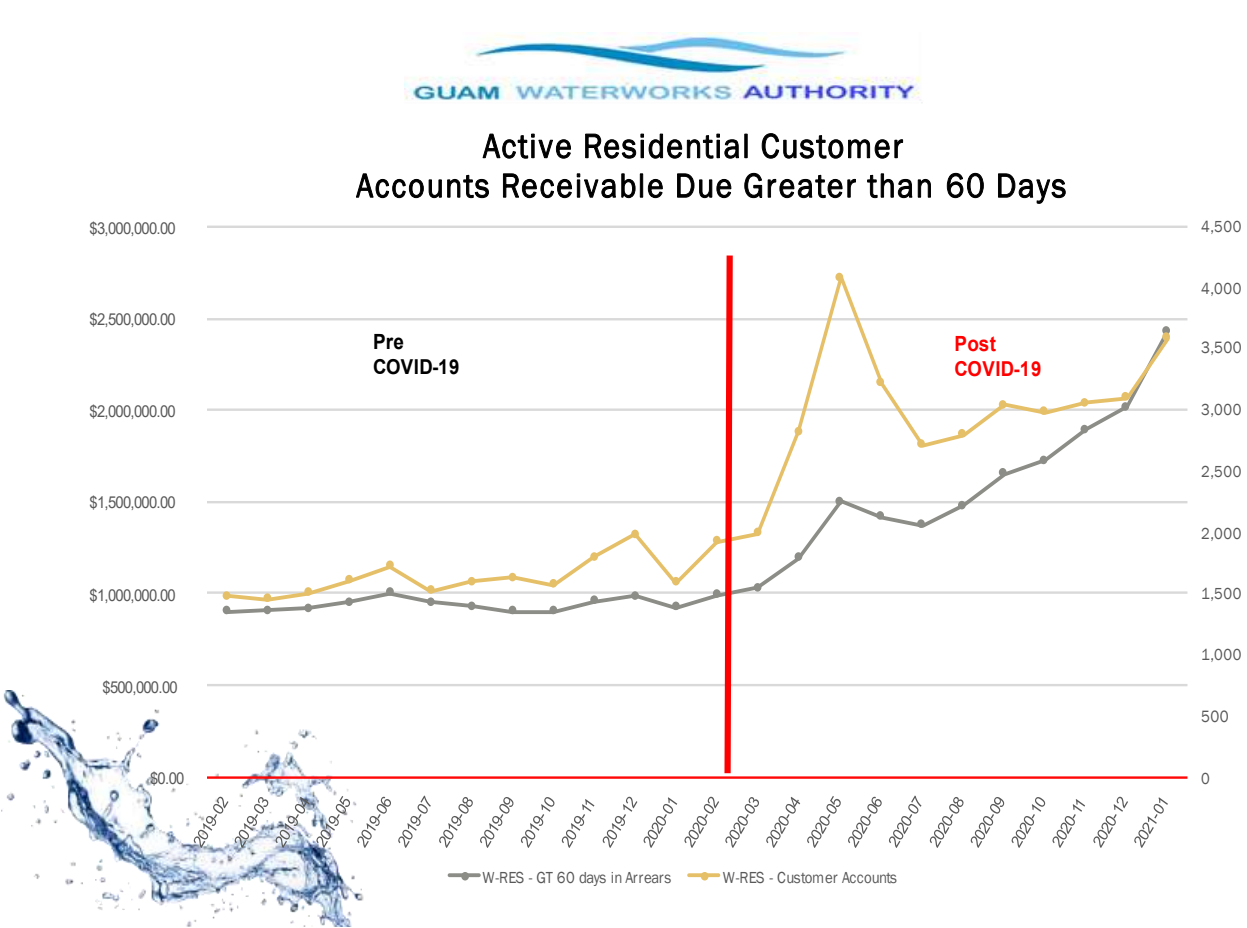


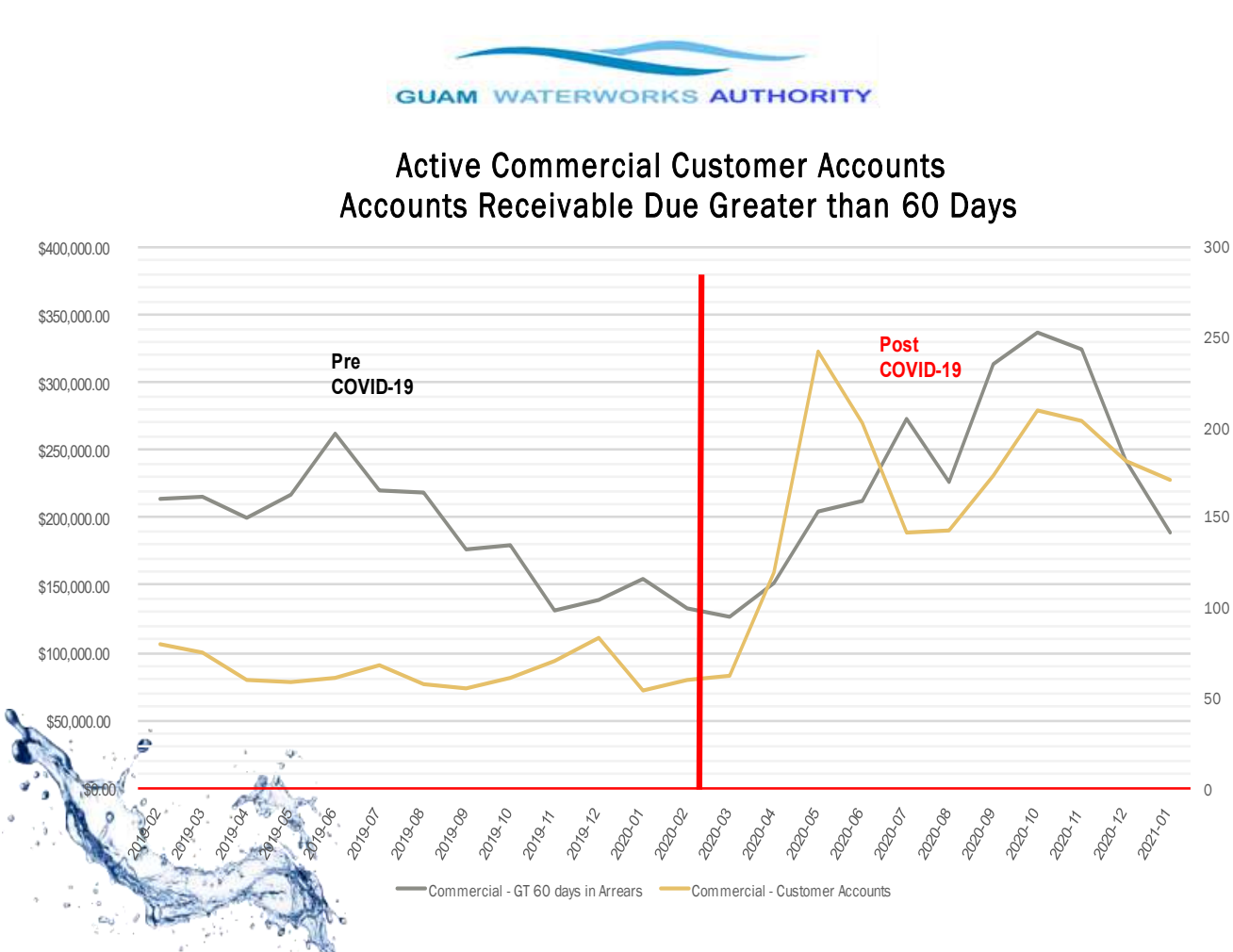
If you are impacted financially by recent events contact us to arrange for a payment plan. Let's get through this together.



Current Status

- Fiscal year to date operating revenues down 14%. FY2020 revenues 10% below approved budget.
- Residential receivables greater than 60 days increased approximately 250% since COVID-19 pandemic started.
- Commercial receivables greater than 60 days increased approximately 34% since COVID-19 pandemic started.
- Number of Residential Payment Plans entered during 2020 decreased by 48% year over year.
- Number of Commercial Payment Plans entered during 2020 decreased by 47% year over year.







Next Steps

- Determine date to restart disconnections.
- Continue outreach and encourage customers to apply for Rent and Utilities Assistance Program.
- Establish criteria and prioritization of accounts to disconnect that do not bring account current or enter into payment plan.



GWA Financial Overview

JANUARY 2021

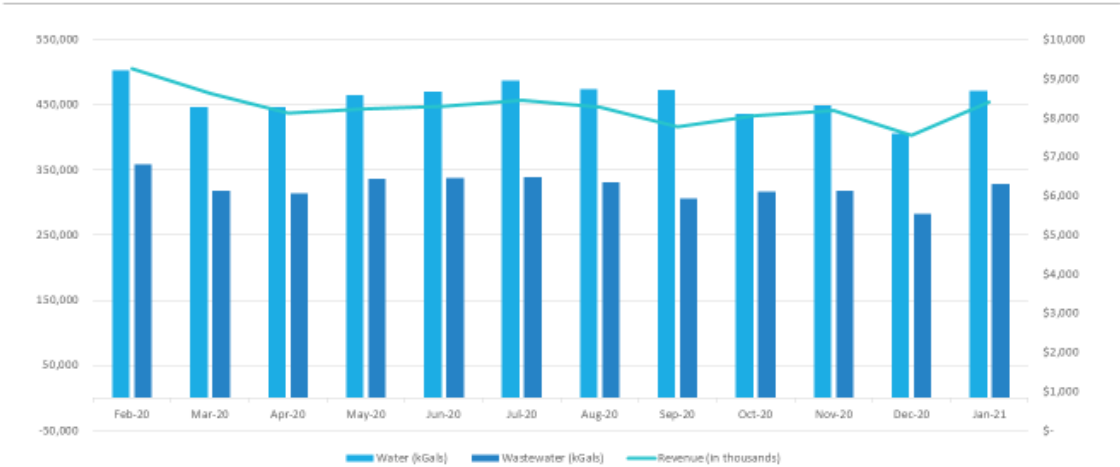


GWA Key Financial Indicators

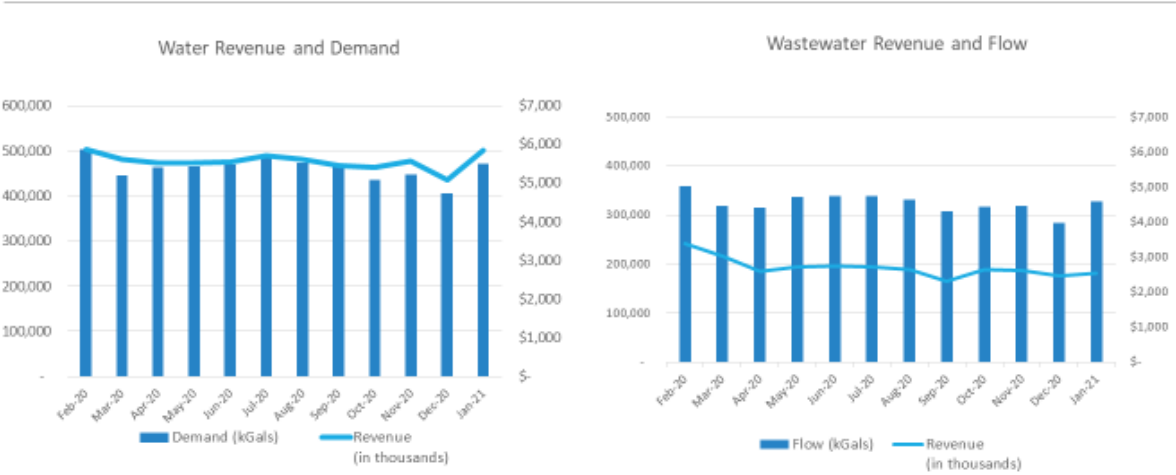
Indicator	Target	December 2020	January 2021
DSC YTD			
• Per Section 6.12 of Indenture	1.25	1.32	1.30
• Per PUC / CCU	1.40	1.32	1.30
Days - Cash on Hand	120 days	277 days	259 days
Collection Ratio			
• Month to Date	99%	101%*	91%
• Year to Date	99%	96%*	95%
Days Billed	30 days	28 days	32 days
Account Receivable Days	30 days	50 days	50 days
Account Payable Days	45 days	33 days	32 days
Employee Count	400 FTE	373 FTE	373 FTE
Water Demand			
• Month to Date	478,754	405,540	471,523
• Year to Date	1,915,017	1,289,392	1,760,915
Wastewater Flow			
• Month to Date	356,472	283,087	328,313
• Year to Date	1,425,889	916,714	1,245,027
Water Customers	42,839	43,021	43,086
Wastewater Customers	29,805	29,988	29,765

*Updated from December reporting

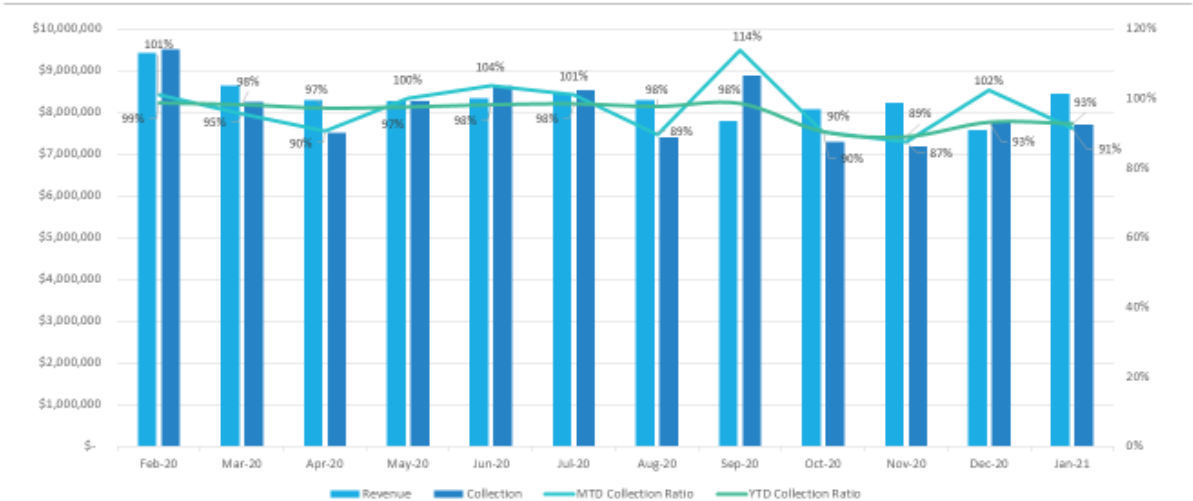
Overall Revenues and Demand



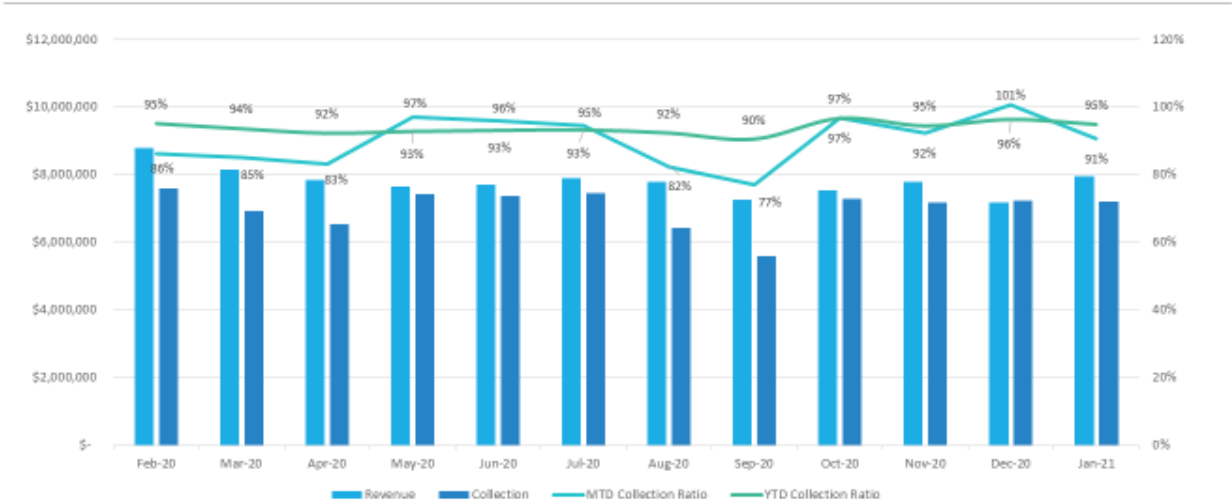
Revenues and Demand



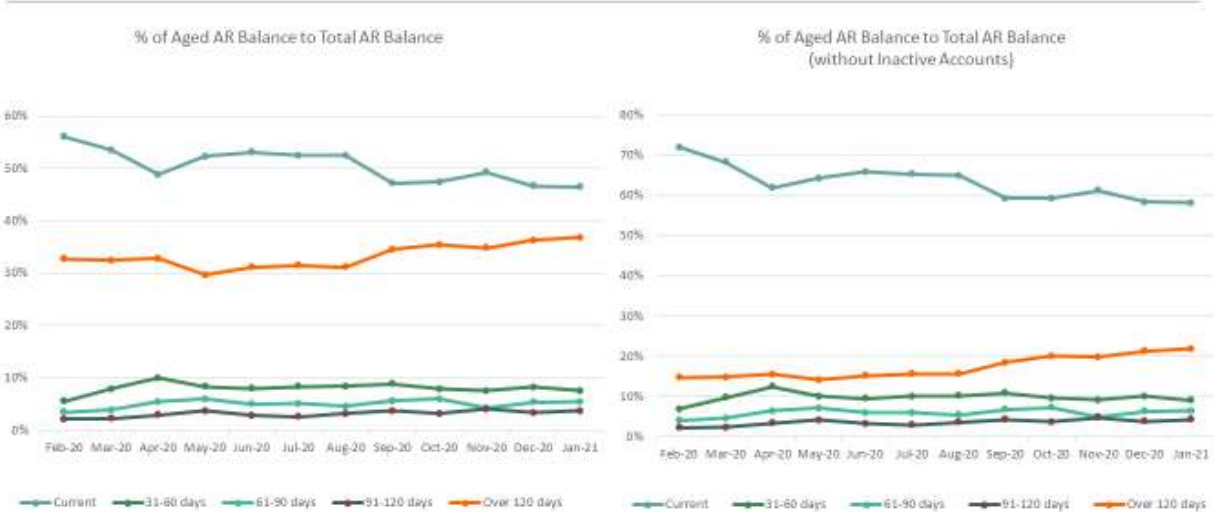
Overall Revenues and Collections



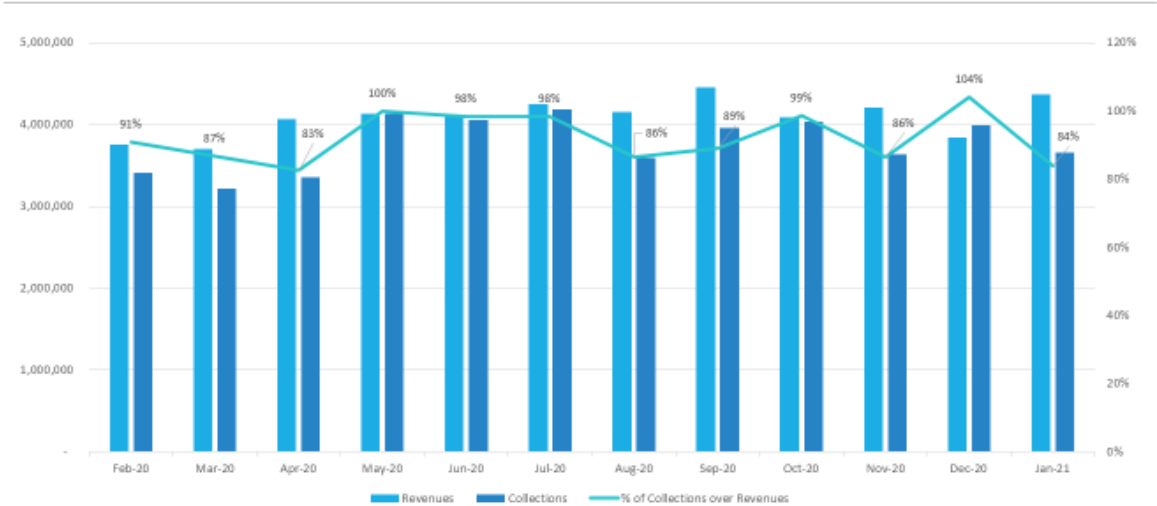
Revenues and Collections
(without Navy)



Overall – AR Aging

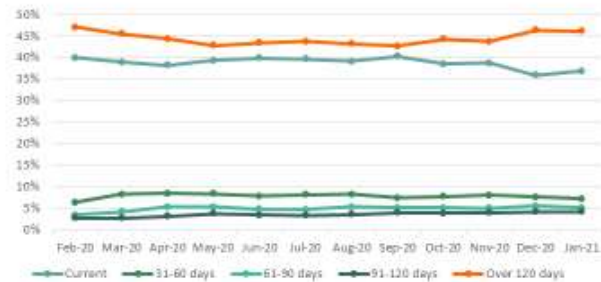


Residential Revenues and Collections



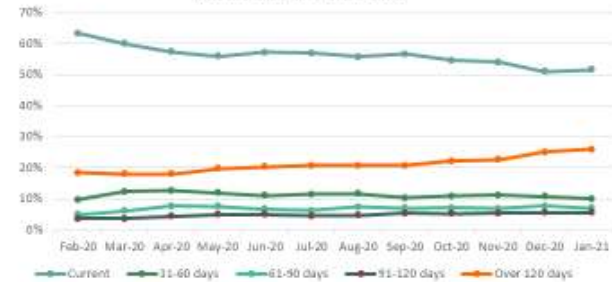
Residential - AR Aging

Residential - % of Aged AR Balance to Total AR Balance



Residential (in '000)

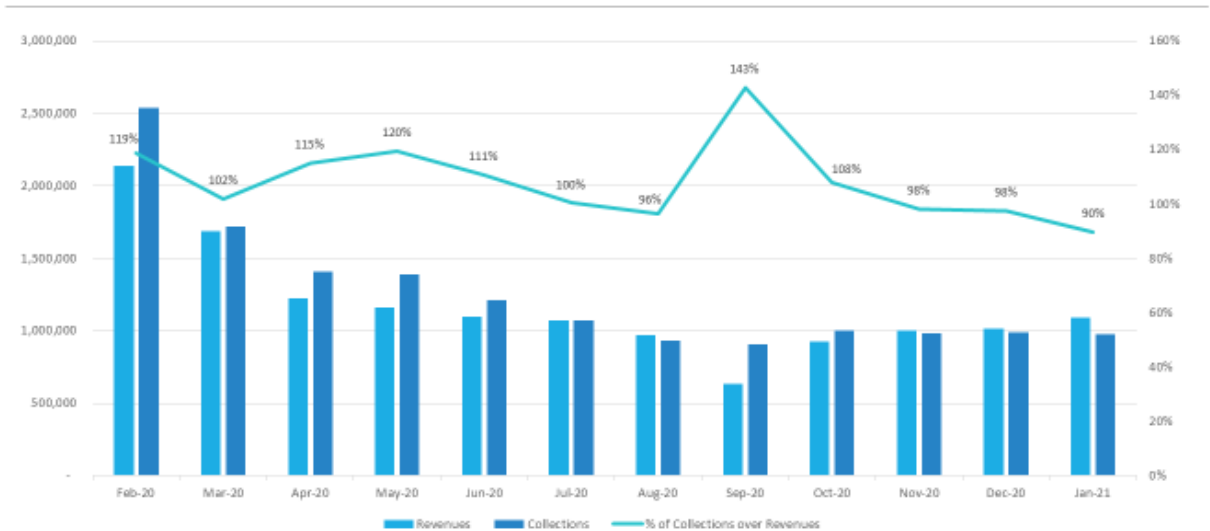
Month	Current Balance	31-60 days	61-90 days	91-120 days	Over 120 days	Total
Feb-20	4,445	717	400	315	5,235	11,112
Mar-20	4,370	582	500	352	5,334	11,719
Apr-20	4,738	1,065	680	404	5,510	12,396
May-20	4,555	582	632	445	4,953	11,566
Jun-20	4,592	917	582	415	4,998	11,483
Jul-20	4,538	942	546	390	5,000	11,416
Aug-20	4,631	987	644	438	5,104	11,804
Sep-20	4,952	928	844	504	5,249	12,277
Oct-20	4,693	952	640	480	5,387	12,142
Nov-20	4,923	1,037	653	522	5,569	12,703
Dec-20	4,475	969	707	528	5,770	12,445
Jan-21	4,800	958	682	560	6,016	13,016

Residential - % of Aged AR Balance to Total AR Balance
(Without Inactive Accounts)

Residential (in '000)

Month	Current Balance	31-60 days	61-90 days	91-120 days	Over 120 days	Total
Feb-20	4,407	678	346	253	1,278	6,962
Mar-20	4,548	939	461	277	1,358	7,583
Apr-20	4,715	1,039	636	363	1,472	8,225
May-20	4,511	961	608	403	1,588	8,072
Jun-20	4,556	874	535	388	1,616	7,968
Jul-20	4,498	903	497	360	1,639	7,897
Aug-20	4,606	956	606	388	1,710	8,266
Sep-20	4,919	896	808	461	1,793	8,877
Oct-20	4,647	922	698	446	1,885	8,507
Nov-20	4,857	1,000	616	484	2,037	8,964
Dec-20	4,448	952	665	486	2,189	8,718
Jan-21	4,766	925	646	513	2,400	9,250

Hotel Revenues and Collections



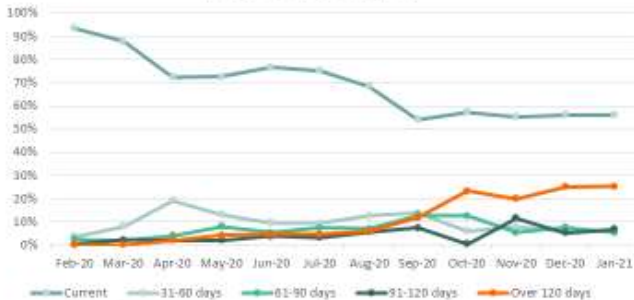
Hotel – AR Aging

Hotel - % of Aged AR Balance to Total AR Balance



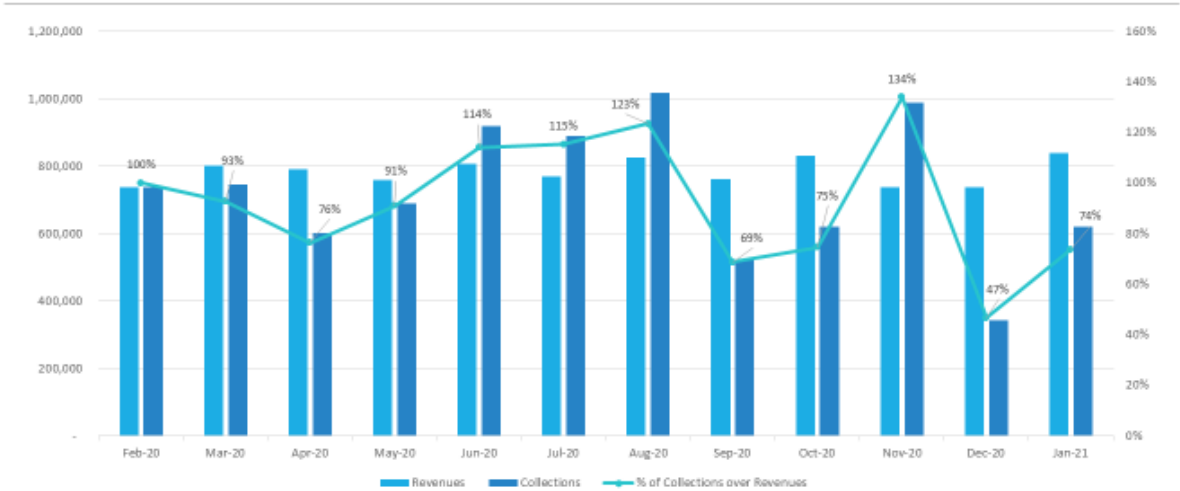
Month	Current balance	31-60 days	61-90 days	91-120 days	Over 120 days	Total
Feb-20	2,847	113	75	9	124	3,168
Mar-20	2,642	240	59	68	127	3,136
Apr-20	2,080	547	117	57	184	2,985
May-20	1,867	541	206	52	232	2,698
Jun-20	1,878	235	134	94	237	2,578
Jul-20	1,835	228	180	77	240	2,562
Aug-20	1,693	313	172	141	276	2,596
Sep-20	1,175	298	276	162	582	2,292
Oct-20	1,201	128	265	11	612	2,217
Nov-20	1,141	161	111	238	535	2,187
Dec-20	1,200	127	161	111	659	2,259
Jan-21	1,263	138	124	154	694	2,373

Hotel - % of Aged AR Balance to Total AR Balance
(without Inactive Accounts)

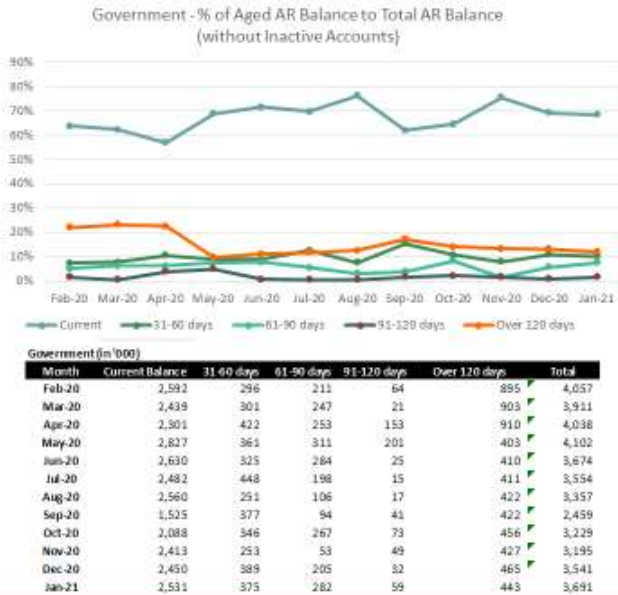
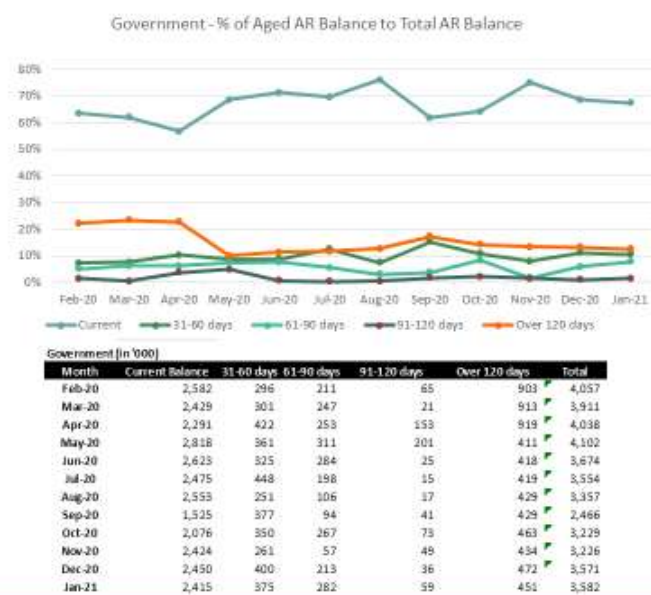


Month	Current balance	31-60 days	61-90 days	91-120 days	Over 120 days	Total
Feb-20	2,847	113	75	9	-	3,044
Mar-20	2,642	240	59	68	3	3,012
Apr-20	2,080	547	117	57	59	2,840
May-20	1,867	541	206	52	107	2,574
Jun-20	1,878	235	134	94	113	2,454
Jul-20	1,835	228	180	77	116	2,457
Aug-20	1,693	313	172	141	152	2,472
Sep-20	1,175	298	276	162	257	2,168
Oct-20	1,201	128	265	11	488	2,093
Nov-20	1,141	161	111	238	421	2,083
Dec-20	1,200	127	161	111	535	2,135
Jan-21	1,263	138	124	154	570	2,249

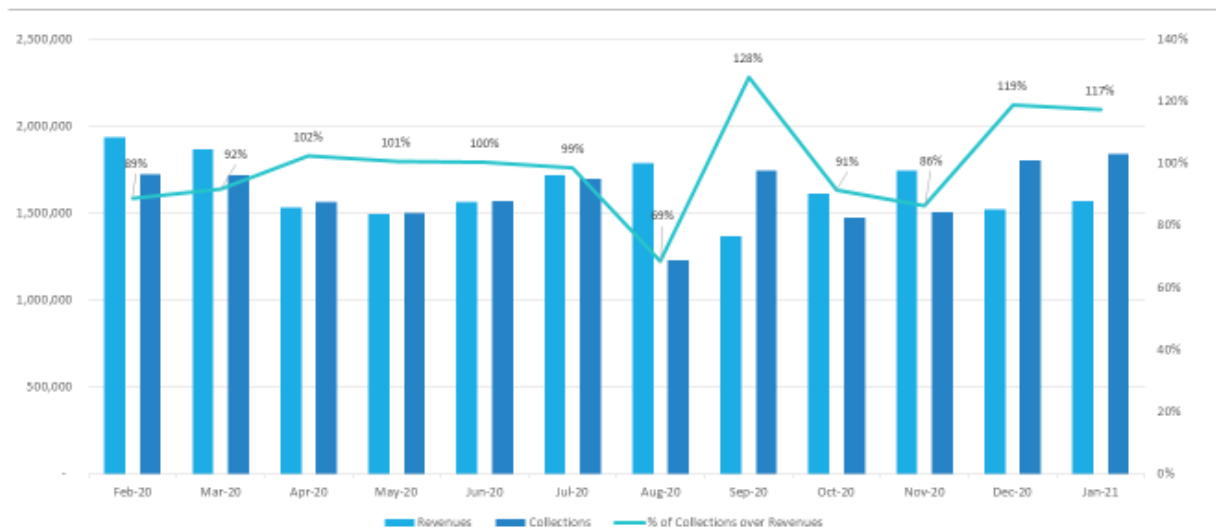
Government Revenues and Collections



Government - AR Aging

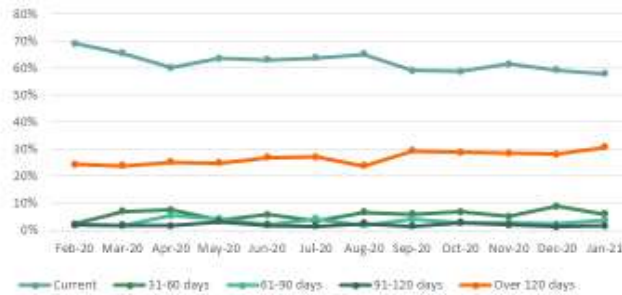


Commercial Revenues and Collections



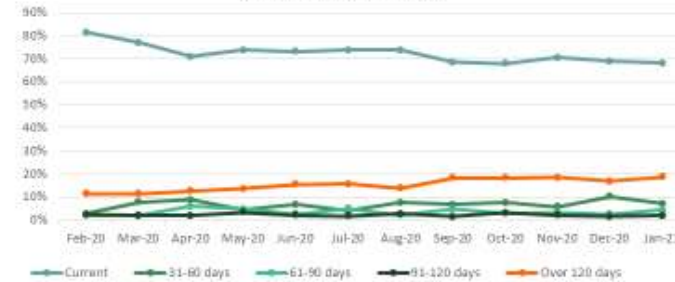
Commercial - AR Aging

Commercial - % of Aged AR Balance to Total AR Balance



Commercial (\$ in '000)

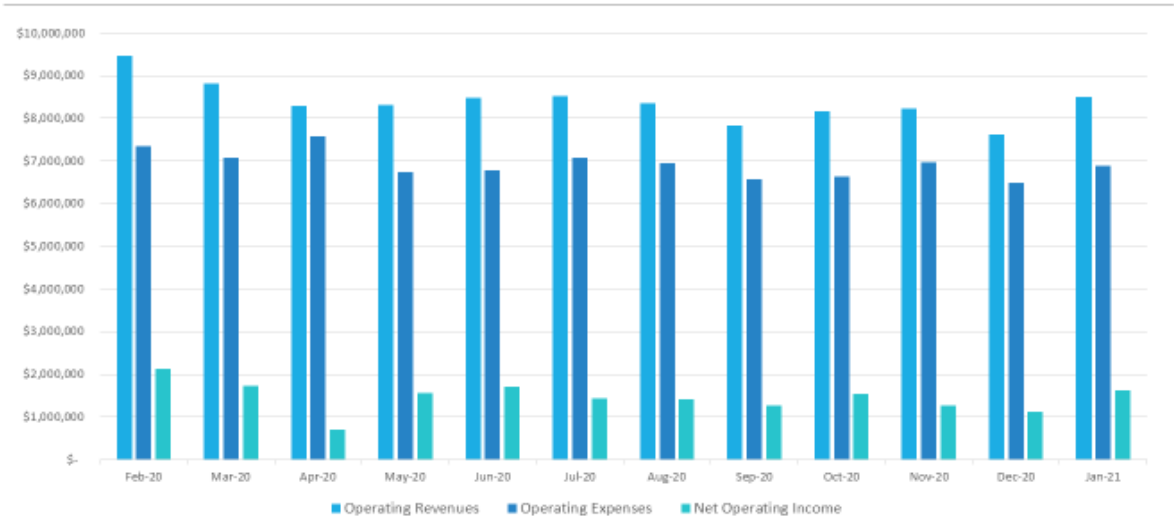
Month	Current Balance	31-60 days	61-90 days	91-120 days	Over 120 days	Total
Feb-20	2,349	83	70	66	829	3,397
Mar-20	2,308	248	62	66	840	3,522
Apr-20	2,099	262	193	66	878	3,486
May-20	2,174	134	165	112	863	3,446
Jun-20	2,144	199	78	84	913	3,597
Jul-20	2,173	117	166	89	927	3,463
Aug-20	2,573	264	75	97	944	3,954
Sep-20	2,006	204	141	48	997	3,397
Oct-20	2,084	240	97	101	1,019	3,541
Nov-20	2,316	193	108	75	1,071	3,766
Dec-20	2,016	201	79	48	958	3,402
Jan-21	1,816	189	118	52	962	3,138

Commercial - % of Aged AR Balance to Total AR Balance
(without Inactive Accounts)

Commercial (\$ in '000)

Month	Current Balance	31-60 days	61-90 days	91-120 days	Over 120 days	Total
Feb-20	2,222	80	63	60	227	2,948
Mar-20	2,206	230	61	60	329	2,996
Apr-20	2,098	239	178	55	371	2,995
May-20	2,172	123	162	96	401	2,946
Jun-20	2,141	197	76	61	469	2,936
Jul-20	2,170	115	144	49	465	2,942
Aug-20	2,569	262	74	98	482	3,485
Sep-20	2,001	200	136	47	526	2,919
Oct-20	2,080	234	52	98	558	3,061
Nov-20	2,313	190	101	71	608	3,280
Dec-20	2,010	206	76	64	496	2,959
Jan-21	1,812	188	114	50	498	2,662

Income Statement





Financial Statement Overview January 2021

There were 270 COVID-19 positive tests and 7 COVID-related fatalities reported during the month of January. Executive Order 2021-03 extended the public health emergency from January 29, 2021 to March 1, 2021.

In early November 2020, the Governor introduced the *Strive for Five* campaign to bring down our CAR (COVID Area Risk) score to 5 or less in hopes of moving the community towards some semblance of normalcy. On January 31, 2020, the island's CAR score was at .2 and mass testing was available to the public at no charge at various locations throughout the island. Executive Order 2021-01 placed Guam in PCOR2 effective January 18, 2021 and the Governor announced likely movement to PCOR3 effective February 22, 2021.

By the end of January, Guam had received 34,300 vaccines and 28,183 or 82.17% were administered with 6,856 persons receiving both shots. An additional 17,000 vaccines were expected in the month of February. The National Guard was engaged to administer vaccines at the UOG fieldhouse as vaccines became more widely available through certain clinics and pharmacies.

About a third of customers continue to make payments in person. Using social media, GWA continues to encourage customers to conduct business online or via the phone. As part of this effort, GWA joined the *Going Online Together* campaign in June 2020 with several other organizations. Additionally, CARES funding was approved to customize an automated customer service online support portal which will also include requests for permitting and submissions related to backflow testing on the GWA website.

On April 28th, CCU Resolution 24-FY2020 granted the lifting of credit card limits on payments for non-residential accounts. Approximately 46% of payments made in FY21 were made with credit cards. Below is a summary of payments made and related fees exceeding the limit.

Month	Customer Count	Amount Paid	Fees	% of Fees to Payments
May – September 2020	140	\$241,335	\$4,952	2.05%
October – December 2020	100	\$194,764	\$3,916	2.01%
January 2021	27	\$48,491	\$975	2.01%

For the month of January, water consumption was down 6% and wastewater consumption was up 1%. While daily water consumption for residents increased by 1%, overall daily water consumption was down by 14%.

Year to Date water consumption is 11% lower than last year while daily water consumption for the period is down 12% from 16,345 to 14,553 Kgals. Although residential consumption is up 7% for water and 47% for wastewater, reductions in commercial and hotel of 41% in water demand and 41% in wastewater flows offset those increases.

Schools welcomed back students on January 19, 2021 with parents able to choose face to face, online or hard copy instruction; we hope to see GDOE consumption increase as more activities are held at the schools. While Government of Guam has reopened to the public, adopting procedures to protect staff and customers, it's unclear when UOG and GCC might hold in person classes. See Schedule K for Water Demand for FY2015 to FY2021.



In late December, the second United States Corona Relief Package was signed into law. Funding for rental and utility assistance as well as direct funding for water utilities was included. Stimulus checks will be issued in February. The Guam Housing Corporation will be administering the rental and utility assistance program and GWA has initiated contact with them. Unemployment assistance has been extended and the Department of Labor is working to include reduced hours in the extension of the unemployment program. The deadline for the expenditure of CARES funding was also extended for a year however BBMR has captured any unused funds and balances are no longer available.

In January 2019, the Philippines was removed from the H-2B nonimmigrant program. For 2021, the acting Secretary of Homeland Security and the Secretary of State agreed to add the Philippines to the list of countries eligible to participate in the H-2B program. Despite the prior ban, military project contractors were still allowed to bring in workers from the Philippines. Its unclear if this action will impact nonmilitary construction activity.

The Guam Visitors Bureau and the Guam Airport Authority had previously announced that COVID-19 testing for arriving passengers may begin, which could lead to changes in the mandatory 14-day quarantine. Additionally, negative coronavirus test results from Korea, Japan, and Taiwan could soon be accepted in time for the targeted reopening of tourism in the first quarter of CY2021. However, GVB suggests arrivals are not likely to pick up until the third or fourth quarter of FY2021 and a full tourism recovery may not happen until 2024. The Guam Hotel & Restaurant Association has noted that about 3,000 military reside in Guam hotels.

GVB is exploring the possibility of a travel bubble arrangement with Taiwan. The Governor will be visiting Taiwan to help boost this plan in the upcoming months. Meanwhile, most airlines have continued to suspend flights to Guam.

As the recovery of Guam's economy is slower than expected, revenues are coming in below projections. A cost containment plan is in place in response to the revenue reductions. While sufficient cash reserves are in place, management will continue to assess the situation and make any course corrections required to ensure continuity of services to our customers while keeping the safety of our staff the highest priority.

GWA has consulted with bond counsel and the auditors to determine if a Rate Stabilization Fund can be stood up to assist with debt service coverage. A resolution is included in this month's packet for CCU consideration.

The studies that will be presented to the PUC as part of the stipulated agreement are progressing. A presentation to the CCU will be scheduled in the upcoming weeks.

The system upgrade is progressing, with the cutover scheduled for early May. A number of paper based processes will be automated and we hope to see a number of efficiencies with the implementation of the new system.

Balance Sheet

- Total Assets & Deferred Outflows of Resources of \$1.129B in September 2020 decreased by \$6.01M or 1% to \$1.123B in January 2021. Current Assets decreased by \$3.8M primarily due to reductions in federal receivables and unrestricted cash offset by increases in trade accounts receivable. Property, Plant and Equipment increased by \$10.4M due to increases in property net of accumulated depreciation and construction in progress. Other Noncurrent Assets decreased by \$12M primarily due to reductions in restricted cash. Cash on hand was calculated at 259 days. Schedule G contains a schedule of restricted and unrestricted cash and investments.



- Liabilities & Deferred Inflow of Resources of \$869.9M in September 2020 decreased by \$13.7M or 2% to \$856.3M in January 2021 primarily due to reductions in contractors payable offset by increases in interest payable.
- Accounts Receivable days were 50 in January 2021 and December 2020 and Accounts Payable days were 32 in January 2021 compared to 33 in December 2020.

Statement of Operations and Retained Earnings

- Total Operating Revenues for January 2021 of \$8.5M were 10% or \$966K less than budget and 6% or \$532K less than January 2020 due to the impact of the COVID-19 public health emergency and offset by the 5% increases effective in March and October 2020.
- Year to Date Operating Revenues as of January 2021 of \$32.5M were 14% or \$5.4M below budget of \$37.9M and \$4.7M or 13% below Year to Date Operating Revenues at January 2020 of \$37.2M.
- Below is the percentage of operating revenues (water and wastewater) contributed by GWA's customer classes for FY2021 and FY2020 Year to Date as of January:

Customer Class	FY2020	FY2021
○ Residential	39.97%	51.25%
○ Commercial	20.47%	20.01%
○ Hotel	25.47%	12.53%
○ Government of Guam	8.92%	9.77%
○ Federal Government	4.71%	5.94%
○ Agriculture, Golf Course, Irrigation	.46%	.50%

- Total Operating Expenses for January 2021 of \$6.9M were \$603K or 8% lower than budget. Total Operating Expenses for January 2021 were 9% or \$693K less than January 2020 with decreases in most expense categories.
- Year to Date Operating Expenses at January 2021 of \$27.4M were \$2.5M or 8% lower than budget. Year to Date Operating Expenses at January 2021 were \$2.3M or 8% less than last year's \$29.6M.
- Earnings from Operations for January 2021 of \$1.6M were 18% or \$363K less than budget and 11% or \$161K more than January 2020. Change in Net Assets for January 2021 of \$5.2M were \$2.4M more than the \$2.8M budget mainly due to \$2.7M more in Grants and \$5.2M more than January 2020 due to \$5.7M more in grants.
- Year to Date Earnings from Operations as of January 2021 of \$5.2M were 36% or \$2.9M less than budget and 32% or \$2.4M less than YTD Earnings as of January 2020. Year to Date Change in Net Assets as of January 2021 of \$7.7M were \$3.5M or 31% less than budget. Year to Date Change in Net Assets as of January 2021 were \$1.9M or 20% less than YTD as of January 2020 with decreases of \$3M in Non-Operating Revenues net of Expenses offset by \$3.5M more in grants.

**Key Financial Indicators**

Indicator	Target	December 2020	January 2021
DSC YTD			
• Per Section 6.12 of Indenture	1.25	1.32	1.30
• Per PUC / CCU	1.40	1.32	1.30
Days – Cash on Hand	120 days	277 days	259 days
Collection Ratio			
• Month to Date	99%	101%*	91%
• Year to Date	99%	96%*	95%
Days Billed	30 days	28 days	32 days
Account Receivable Days	30 days	50 days	50 days
Account Payable Days	45 days	33 days	32 days
Employee Count	400 FTE	373 FTE	373 FTE
Water Demand			
• Month to Date	478,754	405,540	471,523
• Year to Date	1,915,017	1,289,392	1,760,915
Wastewater Flow			
• Month to Date	356,472	283,087	328,313
• Year to Date	1,425,889	916,714	1,245,027
Water Customers	42,839	43,021	43,086
Wastewater Customers	29,805	29,988	29,765

*Updated from December reporting

**GUAM WATERWORKS AUTHORITY
JANUARY 31, 2021
FINANCIAL AND RELATED REPORTS
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GUAM WATERWORKS AUTHORITY
Balance Sheet
January 31, 2021

SCHEDULE A

	Unaudited January 31, 2021	Unaudited September 30, 2020	Increase (Decrease)
ASSETS AND DEFERRED OUTFLOWS of RESOURCES			
<u>Current Assets</u>			
Cash			
Unrestricted (Schedule G)	39,090,625	42,479,412	(3,388,787)
Restricted Funds (Schedule G)	29,545,320	30,072,502	(527,182)
Accounts Receivable Trade, Net of Allowance for Doubtful Receivables of \$8,671,542 at Jan 31, 2021 and \$8,671,857 at Sep 30, 2020	13,517,954	12,562,276	955,678
Federal Receivable	7,404,096	8,168,373	(764,278)
Other Receivable	887,100	901,928	(14,829)
Materials & Supplies Inventory, Net of Allowance for Obsolescence of \$64,131 at Jan 31, 2021 and \$64,131 at Sep 30, 2020	4,752,627	4,804,463	(51,835)
Total Current Assets	95,197,721	98,988,953	(3,791,232)
<u>Property, Plant and Equipment</u>			
Utility plant in service			
Water system	379,128,412	378,487,752	640,660
Wastewater system	492,117,959	480,533,485	11,584,474
Non-utility property	25,790,721	25,752,939	37,782
Total property	897,037,092	884,774,176	12,262,917
Less: Accumulated Depreciation	(351,619,794)	(343,114,822)	(8,504,971)
Land	5,240,187	5,240,187	-
Construction Work in Progress	152,017,714	145,342,590	6,675,124
Property, Plant and Equipment, net	702,675,200	692,242,131	10,433,069
<u>Other noncurrent assets and deferred charges</u>			
Restricted cash (Schedule G)	208,141,934	219,203,039	(11,061,105)
Investments (Schedule G)	66,920,975	66,616,997	303,978
Other Prepaid Expenses	1,043,801	2,615,782	(1,571,980)
Regulatory Assets	793,103	430,962	362,141
Total other noncurrent assets and deferred charges	276,899,813	288,866,779	(11,966,966)
Total Assets	1,074,772,735	1,080,097,863	(5,325,128)
Deferred outflows of resources			
Debt defeasance due to bond refunding	32,663,413	33,351,801	(688,388)
Deferred outflows from pension	9,057,499	9,057,499	-
Deferred outflows from OPEB	6,982,196	6,982,196	-
Total Assets and Deferred Outflows of Resources	1,123,475,843	1,129,489,360	(6,013,516)
LIABILITIES, DEFERRED INFLOWS of RESOURCES AND NET ASSETS			
<u>Current Liabilities</u>			
Current maturities of long-term debt			
Series 2013 Revenue Bond	2,840,000	2,695,000	145,000
Series 2014 Refunding Bond	530,000	3,760,000	(3,230,000)
Series 2016 Revenue Bond	3,860,000	420,000	3,440,000
Series 2017 Refunding Bond	2,040,000	-	2,040,000
Accounts Payable -Trade	2,578,207	2,701,944	(123,737)
Accrued and Other Liabilities	979,722	1,238,863	(259,140)
Interest Payable	2,480,584	6,304,598	(3,824,014)
Accrued Payroll and Employee Benefits	1,053,154	354,780	698,375
Current portion of employee annual leave	521,113	616,114	(95,001)
Contractors' Payable	13,601,219	23,311,295	(9,710,076)
Customer and Other Deposits	2,172,690	2,199,462	(26,772)
Total Current Liabilities	32,656,689	43,602,055	(10,945,366)
<u>Long Term Debt, less current maturities</u>			
Series 2013 Revenue Bond	24,500,000	24,645,000	(145,000)
Series 2014 Refunding Bond	64,610,000	61,380,000	3,230,000
Series 2016 Revenue Bond	139,030,000	142,470,000	(3,440,000)
Series 2017 Refunding Bond	105,325,000	107,365,000	(2,040,000)
Series 2020A Revenue Bond	134,000,000	134,000,000	-
Series 2020B Refunding Bond	166,075,000	166,075,000	-
Unamortized Bond Premium/Discount	41,890,127	42,515,523	(625,396)
Net pension liability	49,593,171	49,593,171	-
Net OPEB obligation	62,656,405	62,656,405	-
Employee Annual Leave, Less Current Portion	1,274,196	1,179,195	95,001
Employee Sick Leave	1,226,702	1,226,702	-
Total Liabilities	822,837,290	836,708,051	(13,870,761)
Deferred inflows of resources:			
Contribution in Aid of Construction	225,498	67,608	157,890
Deferred inflows from pension	1,444,744	1,444,744	-
Deferred inflows from OPEB	31,758,062	31,758,062	-
Total Liabilities and Deferred Inflows of Resources	856,265,594	869,978,465	(13,712,871)
Net Assets	267,210,249	259,510,894	7,699,355
Total Liabilities, Deferred Inflows of Resources and Net Assets	1,123,475,843	1,129,489,360	(6,013,516)

GUAM WATERWORKS AUTHORITY
Statement of Operations and Retained Earnings
Comparative Budget vs. Actual for the period ending January 31, 2021

SCHEDULE B

	Month to Date		Variance
	Actual (Unaudited)	Budget*	Favorable /
	January-21	January-21	(Unfavorable)
OPERATING REVENUES			
Water Revenues	5,664,142	5,863,373	(199,231)
Wastewater Revenues	2,488,113	3,226,426	(738,313)
Legislative Surcharge	249,110	274,214	(25,104)
Other Revenues	26,428	35,895	(9,467)
System Development Charge	83,152	77,442	5,710
Total Operating Revenues	8,510,943	9,477,350	(966,406)
OPERATING AND MAINTENANCE EXPENSES			
Water Purchases	512,582	718,609	206,027
Power Purchases	906,236	1,082,131	175,895
Total Utility Costs	1,418,818	1,800,740	381,922
Salaries and Wages	1,558,189	1,769,221	211,032
Pension and Benefits	586,829	606,991	20,163
Total Salaries and Benefits	2,145,018	2,376,212	231,194
Capitalized Labor and Benefits	(311,767)	(308,333)	3,434
Net Salaries and Benefits	1,833,251	2,067,879	234,628
Administrative and General Expenses			
Sludge removal	143,606	143,907	301
Chemicals	103,726	144,696	40,969
Materials & Supplies	116,417	171,435	55,019
Transportation	40,737	41,298	560
Communications	11,934	14,528	2,594
Claims	24,951	25,681	730
Insurance	78,330	78,685	355
Training & Travel	1,310	5,321	4,011
Advertising	5,545	11,346	5,801
Miscellaneous	113,456	113,496	40
Regulatory Expense	15,543	20,055	4,511
Bad Debts Provision	168,014	168,113	99
Total Administrative and General Expense	823,571	938,561	114,990
Depreciation Expense	2,133,381	1,855,919	(277,461)
Contractual Expense			
Audit & Computer Maintenance	142,550	142,904	354
Building rental	37,471	41,702	4,231
Equipment rental	25,977	37,524	11,547
Legal	-	563	563
Laboratory	28,474	35,032	6,558
Other	162,637	267,774	105,138
Total Contractual Expense	397,109	525,500	128,391
Retiree Supp. Annuities and health care costs	210,987	233,386	22,398
Contribution to Government of Guam	50,333	48,546	(1,787)
Total Retiree Benefits	261,321	281,932	20,611
Total Operating Expenses	6,867,450	7,470,530	603,081
Earnings (Loss) from Operations	1,643,494	2,006,820	(363,326)
Interest Income - 2010/13/14/16/17/20 Series Bond	2,382	128,299	(125,917)
Interest Income - Other Funds	721	29,550	(28,829)
Interest Income - SDC	1,952	2,488	(536)
Interest Expense - 2010/13/14/16/17/20 Series Bond	(2,480,584)	(2,638,329)	157,746
Federal Expenditures	(9,710)	-	(9,710)
Amortization of Discount, Premium and Issuance Costs	156,349	(23,078)	179,427
Defeasance due to bond refunding	(172,097)	(22,439)	(149,658)
Prior Year Adjustment	(20,889)	-	(20,889)
Total non-operating revenues (expenses)	(2,521,875)	(2,523,508)	1,633
Net Income (Loss) before capital contributions	(878,381)	(516,688)	(361,693)
Capital Contributions			
Grants from US Government	6,035,585	3,311,071	2,724,514
Grants from GovGuam & Others	-	-	-
Total Capital Contributions	6,035,585	3,311,071	2,724,514
Change in Net Assets	5,157,204	2,794,383	2,362,821
Debt Service Calculation			
Earnings From Operations	1,643,494	2,006,820	
System Development Charge	(83,152)	(77,442)	
Retiree COLA	50,333	48,546	
Interest/Investment Income	721	29,550	
Depreciation	2,133,381	1,855,919	
Balance Available for Debt Service per Section 6.12	3,744,777	3,863,393	
Debt Service			
Principal	772,500	772,500	
Interest	1,847,251	1,996,663	
Total	2,619,751	2,769,163	
Debt Service Coverage (1.25X) - per Section 6.12 (Indenture)	1.43	1.40	
Debt Service Coverage (1.40X) inclusive of reserves (PUC)	1.43	1.40	

*Adjusted budget

GUAM WATERWORKS AUTHORITY
Statement of Operations and Retained Earnings
Comparative for the period ending January 31, 2020 and 2021

SCHEDULE C

	Month to Date Actual (Unaudited) January-21	Actual (Unaudited) January-20	Variance Increase / (Decrease)
OPERATING REVENUES			
Water Revenues	5,664,142	5,677,227	(13,085)
Wastewater Revenues	2,488,113	3,038,548	(550,436)
Legislative Surcharge	249,110	280,815	(31,705)
Other Revenues	26,428	25,810	617
System Development Charge	83,152	20,849	62,303
Total Operating Revenues	8,510,943	9,043,249	(532,306)
OPERATING AND MAINTENANCE EXPENSES			
Water Purchases	512,582	664,907	(152,325)
Power Purchases	906,236	1,348,139	(441,903)
Total Utility Costs	1,418,818	2,013,046	(594,228)
Salaries and Wages	1,558,189	1,734,611	(176,422)
Pension and Benefits	586,829	553,171	33,658
Total Salaries and Benefits	2,145,018	2,287,782	(142,764)
Capitalized Labor and Benefits	(311,767)	(311,461)	(306)
Net Salaries and Benefits	1,833,251	1,976,321	(143,070)
Administrative and General Expenses			
Sludge removal	143,606	125,324	18,282
Chemicals	103,726	182,191	(78,465)
Materials & Supplies	116,417	191,862	(75,446)
Transportation	40,737	50,688	(9,951)
Communications	11,934	16,727	(4,793)
Claims	24,951	10,052	14,899
Insurance	78,330	77,860	470
Training & Travel	1,310	-	1,310
Advertising	5,545	1,829	3,716
Miscellaneous	113,456	113,950	(494)
Regulatory Expense	15,543	41,129	(25,586)
Bad Debts Provision	168,014	179,932	(11,918)
Total Administrative and General Expense	823,571	991,547	(167,976)
Depreciation Expense	2,133,381	1,993,832	139,549
Contractual Expense			
Audit & Computer Maintenance	142,550	44,709	97,841
Building rental	37,471	35,141	2,331
Equipment rental	25,977	37,299	(11,322)
Laboratory	28,474	16,976	11,498
Other	162,637	214,442	(51,805)
Total Contractual Expense	397,109	348,566	48,542
Retiree Supp. Annuities and health care costs	210,987	187,512	23,475
Contribution to Government of Guam	50,333	50,334	(1)
Total Retiree Benefits	261,321	237,846	23,475
Total Operating Expenses	6,867,450	7,561,157	(693,708)
Earnings (Loss) from Operations	1,643,494	1,482,092	161,402
Interest Income - 2010/13/14/16/17/20 Series Bond	2,382	175,824	(173,442)
Interest Income - Other Funds	721	44,294	(43,573)
Interest Income - SDC	1,952	10,563	(8,611)
Interest Expense - 2010/13/14/16/17/20 Series Bond	(2,480,584)	(2,117,099)	(363,485)
Interest Expense - ST BOG	-	(7,577)	7,577
Federal Expenditures	(9,710)	-	(9,710)
Loss on Asset Disposal	-	(60,489)	60,489
Amortization of Discount, Premium and Issuance Costs	156,349	119,970	36,379
Defeasance due to bond refunding	(172,097)	(68,976)	(103,121)
Prior Year Adjustment	(20,889)	36,592	(57,481)
Total non-operating revenues (expenses)	(2,521,875)	(1,866,898)	(654,977)
Net Income (Loss) before capital contributions	(878,381)	(384,806)	(493,575)
Capital Contributions			
Grants from US Government	6,035,585	313,163	5,722,423
Grants from GovGuam & Others	-	-	-
Total Capital Contributions	6,035,585	313,163	5,722,423
Change in Net Assets	5,157,204	(71,644)	5,228,848
Debt Service Calculation			
Earnings From Operations	1,643,494	1,482,092	
System Development Charge	(83,152)	(20,849)	
Retiree COLA	50,333	50,334	
Interest/Investment Income	721	44,294	
Depreciation	2,133,381	1,993,832	
Balance Available for Debt Service per Section 6.12	3,744,777	3,549,703	
Working Capital Reserve Available for Debt Service	-	968,394	
Balance Available for Debt Service inclusive of reserves	3,744,777	4,518,097	
Debt Service			
Principal	772,500	730,833	
Interest	1,847,251	2,117,099	
Total	2,619,751	2,847,932	
Debt Service Coverage (1.25X) - per Section 6.12 (Indenture)	1.43	1.25	
Debt Service Coverage (1.40X) (PUC)	1.43		
Debt Service Coverage (1.75X) inclusive of reserves (PUC)		1.59	

GUAM WATERWORKS AUTHORITY
Statement of Operations and Retained Earnings
Comparative Budget vs. Actual for the period ending January 31, 2021

SCHEDULE D

	Year to Date Actual (Unaudited) January-21	Budget* January-21	Variance Favorable / (Unfavorable)
OPERATING REVENUES			
Water Revenues	21,231,598	23,453,493	(2,221,895)
Wastewater Revenues	10,008,786	12,905,703	(2,896,917)
Legislative Surcharge	943,592	1,096,857	(153,264)
Other Revenues	115,522	143,579	(28,057)
System Development Charge	242,469	309,768	(67,299)
Total Operating Revenues	32,541,966	37,909,399	(5,367,433)
OPERATING AND MAINTENANCE EXPENSES			
Water Purchases	2,110,145	2,874,435	764,290
Power Purchases	3,890,187	4,328,526	438,339
Total Utility Costs	6,000,332	7,202,961	1,202,629
Salaries and Wages	6,368,100	7,076,883	708,783
Pension and Benefits	2,407,769	2,427,965	20,196
Total Salaries and Benefits	8,775,869	9,504,848	728,979
Capitalized Labor and Benefits	(1,227,930)	(1,233,333)	(5,403)
Net Salaries and Benefits	7,547,939	8,271,515	723,576
Administrative and General Expenses			
Sludge removal	509,891	527,628	17,738
Chemicals	539,430	769,782	230,352
Materials & Supplies	375,745	631,741	255,996
Transportation	166,070	166,191	121
Communications	53,896	58,113	4,217
Claims	24,951	25,723	772
Insurance	313,322	313,741	420
Training & Travel	9,067	117,283	108,217
Advertising	10,751	42,184	31,433
Miscellaneous	360,770	360,785	14
Regulatory Expense	62,479	96,619	34,140
Bad Debts Provision	643,680	644,453	773
Total Administrative and General Expense	3,070,051	3,754,244	684,192
Depreciation Expense	8,504,971	7,423,677	(1,081,294)
Contractual Expense			
Audit & Computer Maintenance	425,307	425,616	309
Building rental	149,885	165,408	15,522
Equipment rental	99,346	296,097	196,751
Legal	-	2,251	2,251
Laboratory	51,051	141,529	90,478
Other	502,097	1,071,098	569,000
Total Contractual Expense	1,227,686	2,101,998	874,312
Retiree Supp. Annuities and health care costs	824,520	933,543	109,022
Contribution to Government of Guam	201,333	194,184	(7,149)
Total Retiree Benefits	1,025,854	1,127,727	101,873
Total Operating Expenses	27,376,833	29,882,121	2,505,288
Earnings (Loss) from Operations	5,165,133	8,027,278	(2,862,145)
Interest Income - 2010/13/14/16/17/20 Series Bond	9,049	513,198	(504,149)
Interest Income - Other Funds	2,617	118,202	(115,585)
Interest Income - SDC	11,149	9,950	1,199
Interest Expense - 2010/13/14/16/17/20 Series Bond	(10,159,502)	(10,553,317)	393,815
Federal Expenditures	(137,522)	-	(137,522)
Amortization of Discount, Premium and Issuance Costs	623,646	(92,310)	715,956
Defeasance due to bond refunding	(688,388)	(89,754)	(598,634)
Prior Year Adjustment	(71,472)	-	(71,472)
Total non-operating revenues (expenses)	(10,410,423)	(10,094,032)	(316,392)
Net Income (Loss) before capital contributions	(5,245,290)	(2,066,754)	(3,178,537)
Capital Contributions			
Grants from US Government	12,748,772	13,244,286	(495,514)
Grants from GovGuam & Others	195,873	-	195,873
Total Capital Contributions	12,944,645	13,244,286	(299,641)
Change in Net Assets	7,699,355	11,177,532	(3,478,177)
Debt Service Calculation			
Earnings From Operations	5,165,133	8,027,278	
System Development Charge	(242,469)	(309,768)	
Retiree COLA	201,333	194,184	
Interest/Investment Income	2,617	118,202	
Depreciation	8,504,971	7,423,677	
Balance Available for Debt Service per Section 6.12	13,631,586	15,453,573	
Debt Service			
Principal	3,090,000	3,090,000	
Interest	7,389,006	7,986,650	
Total	10,479,006	11,076,650	
Debt Service Coverage (1.25X) - per Section 6.12 (Indenture)	1.30	1.40	
Debt Service Coverage (1.40X) inclusive of reserves (PUC)	1.30	1.40	

*Adjusted budget

GUAM WATERWORKS AUTHORITY
Statement of Operations and Retained Earnings
Comparative for the period ending January 31, 2020 and 2021

SCHEDULE E

	Year to Date Actual (Unaudited) January-21	Actual (Unaudited) January-20	Variance Increase / (Decrease)
OPERATING REVENUES			
Water Revenues	21,231,598	22,719,472	(1,487,874)
Wastewater Revenues	10,008,786	13,076,153	(3,067,368)
Legislative Surcharge	943,592	1,167,793	(224,201)
Other Revenues	115,522	120,925	(5,404)
System Development Charge	242,469	132,286	110,183
Total Operating Revenues	32,541,966	37,216,630	(4,674,663)
OPERATING AND MAINTENANCE EXPENSES			
Water Purchases	2,110,145	2,374,676	(264,531)
Power Purchases	3,890,187	5,392,557	(1,502,371)
Total Utility Costs	6,000,332	7,767,233	(1,766,901)
Salaries and Wages	6,368,100	6,608,807	(240,707)
Pension and Benefits	2,407,769	2,133,977	273,792
Total Salaries and Benefits	8,775,869	8,742,784	33,085
Capitalized Labor and Benefits	(1,227,930)	(1,150,124)	(77,807)
Net Salaries and Benefits	7,547,939	7,592,660	(44,721)
Administrative and General Expenses			
Sludge removal	509,891	501,297	8,594
Chemicals	539,430	754,481	(215,051)
Materials & Supplies	375,745	626,899	(251,154)
Transportation	166,070	182,960	(16,890)
Communications	53,896	44,598	9,298
Claims	24,951	31,693	(6,742)
Insurance	313,322	311,666	1,655
Training & Travel	9,067	59,248	(50,182)
Advertising	10,751	7,100	3,651
Miscellaneous	360,770	365,822	(5,051)
Regulatory Expense	62,479	205,876	(143,397)
Bad Debts Provision	643,680	739,228	(95,549)
Total Administrative and General Expense	3,070,051	3,830,869	(760,818)
Depreciation Expense	8,504,971	7,993,697	511,274
Contractual Expense			
Audit & Computer Maintenance	425,307	144,435	280,872
Building rental	149,885	140,563	9,322
Equipment rental	99,346	326,013	(226,668)
Legal	-	18,082	(18,082)
Laboratory	51,051	94,029	(42,978)
Other	502,097	770,507	(268,409)
Total Contractual Expense	1,227,686	1,493,629	(265,943)
Retiree Supp. Annuities and health care costs	824,520	759,083	65,438
Contribution to Government of Guam	201,333	201,336	(3)
Total Retiree Benefits	1,025,854	960,419	65,435
Total Operating Expenses	27,376,833	29,638,507	(2,261,674)
Earnings (Loss) from Operations	5,165,133	7,578,122	(2,412,989)
Interest Income - 2010/13/14/16/17/20 Series Bond	9,049	763,333	(754,285)
Interest Income - Other Funds	2,617	202,028	(199,411)
Interest Income - SDC	11,149	48,010	(36,862)
Interest Expense - 2010/13/14/16/17/20 Series Bond	(10,159,502)	(8,468,396)	(1,691,106)
Interest Expense - ST BOG	-	(26,274)	26,274
Federal Expenditures	(137,522)	-	(137,522)
Loss on Asset Disposal	-	(102,757)	102,757
Amortization of Discount, Premium and Issuance Costs	623,646	479,879	143,767
Defeasance due to bond refunding	(688,388)	(275,902)	(412,486)
Prior Year Adjustment	(71,472)	(28,268)	(43,203)
Total non-operating revenues (expenses)	(10,410,423)	(7,408,347)	(3,002,077)
Net Income (Loss) before capital contributions	(5,245,290)	169,776	(5,415,066)
Capital Contributions			
Grants from US Government	12,748,772	9,399,767	3,349,005
Grants from GovGuam & Others	195,873	-	195,873
Total Capital Contributions	12,944,645	9,399,767	3,544,879
Change in Net Assets	7,699,355	9,569,542	(1,870,188)
Debt Service Calculation			
Earnings From Operations	5,165,133	7,578,122	
System Development Charge	(242,469)	(132,286)	
Retiree COLA	201,333	201,336	
Interest/Investment Income	2,617	202,028	
Depreciation	8,504,971	7,993,697	
Balance Available for Debt Service per Section 6.12	13,631,586	15,842,897	
Working Capital Reserve Available for Debt Service	-	3,873,576	
Balance Available for Debt Service inclusive of reserves	13,631,586	19,716,474	
Debt Service			
Principal	3,090,000	2,923,333	
Interest	7,389,006	8,468,396	
Total	10,479,006	11,391,729	
Debt Service Coverage (1.25X) - per Section 6.12 (Indenture)	1.30	1.39	
Debt Service Coverage (1.40X) (PUC)	1.30		
Debt Service Coverage (1.75X) inclusive of reserves (PUC)		1.73	

**Guam Waterworks Authority
System Development Charges Project Status
As of January 31, 2021**

SCHEDULE F

Funding Summary

Total available project funds	\$ 13,427,823
Total project expenditures and encumbrances	10,390,541
Total unobligated project funds	\$ 3,037,282

Projects Funded

Project Description	Expenditures	Outstanding Encumbrances	Expenditures and Encumbrances
Agat-Santa Rita Wastewater Treatment Plant Replacement	1,202,006	-	1,202,006
Baza Gardens Wastewater Cross Island Pumping & Conveyance	1,150,881	3,090	1,153,971
Central Guam Reservoirs	274,240	5,800	280,040
Line Replacement Phase IV	-	256,937	256,937
Northern DWWTP	36,302	5,386,297	5,422,599
Northern DWWTP (Land Purchase)	1,000,000	-	1,000,000
Route 4 Relief Sewerline Rehab & Replacement	72,836	521,033	593,869
South Paulino Heights Waterline Upgrade	84,056	4,714	88,770
Talofofo Sewer Improvement	-	241,142	241,142
Umatac Merizo WWTP	-	0.01	0.01
Groundwater Well Production Meter Rep.	-	151,207	151,207
	\$ 3,820,321	\$ 6,570,220	\$ 10,390,541

Future planned projects

	FY2021
Water Wells	1,000,000
Water Dist Sys Pipe Replacement & Upgrades	1,500,000
	\$ 2,500,000

GUAM WATERWORKS AUTHORITY
Restricted and Unrestricted Cash Summary
FY2021

SCHEDULE G

Description	Unaudited January 31, 2021	Unaudited September 30, 2020	Increase (Decrease)
UNRESTRICTED			
Change Fund	2,000	2,000	-
Petty Cash	4,450	4,450	-
BOG Deposit Accounts	3,670,633	5,561,165	(1,890,532)
BOG O & M Reserve	25,259,311	25,689,390	(430,079)
BOG CapEx Fund	10,154,231	11,222,407	(1,068,176)
Sub-total Unrestricted	39,090,625	42,479,412	(3,388,787)
RESTRICTED			
ANZ Bank	1,461	-	1,461
Bank Pacific	19,191	29,243	(10,053)
Bank of Hawaii	343,942	191,250	152,692
Community First FCU	6,833	1,976	4,857
First Hawaiian Bank	27,269	43,451	(16,182)
Bank Pacific Surcharge	1,126,244	420,680	705,563
Bank Pacific Escrow Deposit	805,832	842,331	(36,500)
BOG Customer Refunds	2,078,403	2,063,361	15,042
BOG Emergency Reserve Fund	6,244	6,243	-
BOG Sewer Hookup Revolving Fund	68,456	67,809	647
BOG Operation and Maintenance Fund	3,083,482	3,083,482	-
BOG Revenue Trust	428,345	254,619	173,726
BOG Revenue Trust Fund	6,216,083	7,929,291	(1,713,208)
BOG Capital Improvement Revenue Fund	5,595,787	5,361,363	234,424
	19,807,570	20,295,100	(487,531)
BOG - SDC Deposit	4,933,625	3,527,401	1,406,223
BOG - SDC CDs	4,804,125	6,250,000	(1,445,875)
Total SDC	9,737,750	9,777,401	(39,652)
Total Restricted	29,545,320	30,072,502	(527,182)
Reserve Funds			
BOG Series 2013 Construction Fund	6,755,672	8,647,934	(1,892,263)
BOG Series 2014 Refunding Construction Fund	219,106	219,099	8
BOG Series 2016 Construction Fund	63,672,093	68,518,206	(4,846,112)
BOG Series 2017 Refunding Construction Fund	5,480,840	6,206,732	(725,891)
BOG Series 2020A Construction Fund	123,080,181	-	123,080,181
BOG Series 2020A Capitalized Interest Fund	8,934,041	123,277,054	(114,343,013)
BOG Series 2020A Cost of Issuance Fund	-	12,283,633	(12,283,633)
B20B- BOG COI Fund 184000	-	50,382	(50,382)
Total Restricted - Held by Trustee	208,141,934	219,203,039	(11,061,105)
BOG OMRRRF Fund	17,423,213	17,423,213	-
USB Series 2013 Debt Service Fund	2,108,604	1,810,544	298,060
USB Series 2013 Debt Service Reserve Fund	12,031,688	12,031,688	-
USB Series 2014 Refunding Debt Service Fund	682,237	1,048,374	(366,137)
USB Series 2014 Refunding Debt Service Reserve Fund	7,735,183	7,735,395	(212)
USB Series 2016 Debt Service Fund	2,911,861	2,815,863	95,998
USB Series 2016 Debt Service Reserve Fund	7,591,999	7,591,999	-
USB Series 2010 Debt Service Fund	31,557	31,556	-
USB Series 2017 Refunding Debt Service Reserve Fund	7,566,460	7,566,460	-
USB Series 2017 Debt Service Fund	1,687,552	1,902,205	(214,653)
USB Series 2020A Debt Service Reserve Fund	6,659,700	6,659,700	-
USB Series 2020B Debt Service Reserve Fund	490,921	-	490,921
Total Investments	66,920,975	66,616,997	303,978
Total Restricted and Unrestricted Cash	343,698,854	358,371,949	(14,673,096)

Guam Waterworks Authority
Accounts Receivable - Government (Active)
January 31, 2021

SCHEDULE H

A G I N G									
Customer Name	No. of Accounts	Current	31 - 60 days	61 - 90 days	91 - 120 days	Over 120 days	Total		
Autonomous Agencies (Active)									
Guam Int'l Airport Authority	7	\$ 17,365	\$ 13,214	\$ 24,747	\$ 6,451	\$ 236,826	\$		298,603
Guam Power Authority	25	207,778	-	-	-	-			207,778
Guam Memorial Hospital Authority	3	39,337	2,610	2,741	2,681	5,823			53,193
Guam Housing & Urban Renewal Authority	9	8,266	724	227	-	-			9,216
Guam Visitors Bureau	1	3,477	-	-	-	-			3,477
Port Authority of Guam	5	2,186	-	-	-	-			2,186
Guam Housing Corporation	1	52	-	-	-	-			52
Total Autonomous Agencies	51	\$ 278,461	\$ 16,548	\$ 27,715	\$ 9,133	\$ 242,649	\$	574,506	
		48.47%	2.88%	4.82%	1.59%	42.24%		100.00%	
Line Agencies									
Department of Education	52	\$ 289,409	\$ 196,390	\$ 201,201	\$ 19,047	\$ 14,589	\$	720,637	
Mayors Council of Guam	60	26,734	23,421	28,087	22,755	75,343		176,341	
Department of Corrections	8	79,799	22,049	-	-	-		101,848	
Department of Parks & Recreation	12	47,839	6,381	35,225	2,573	3,046		95,064	
Department of Public Works	12	42,386	1,769	23,786	75	7,101		75,117	
Department of Chamorro Affairs	7	10,499	9,265	7,346	-	-		27,110	
Guam Fire Department	11	9,039	7,136	5,815	137	-		22,127	
Department of Agriculture	6	6,470	7,655	6,030	869	-		21,024	
Guam Police Department	8	8,128	4,884	3,714	1,515	1,346		19,587	
Department of Public Health & Social Services	8	2,481	1,888	2,006	1,472	2,354		10,202	
University of Guam	46	5,010	-	-	-	-		5,010	
Department of Military Affairs/GUARNG	1	3,966	-	-	-	-		3,966	
Guam Veterans Affairs Office	2	887	1,374	1,002	496	-		3,758	
Sanctuary Inc.	1	1,011	2,401	-	-	-		3,411	
Office of The Governor of Guam	2	1,977	-	-	-	-		1,977	
Division of Senior Citizens, Dph&Ss	2	378	274	369	323	520		1,864	
Department of Customs & Quarantine	1	428	428	428	389	-		1,673	
Guam Solid Waste Authority	2	1,656	-	-	-	-		1,656	
Office of Technology	1	667	183	-	-	-		850	
Merizo Mayor	1	75	58	218	69	153		573	
Guam Public Library	6	491	-	-	-	-		491	
Guam Police Department	1	227	220	37	-	-		484	
Department of Mental Health	2	423	-	-	-	-		423	
Department of Administration	3	358	-	-	-	-		358	
Department of Mental Health And Substance	1	353	-	-	-	-		353	
The Office of The Dededo Mayor	1	93	89	96	-	-		277	
Department of Agriculture-Fisheries	1	95	59	87	-	-		241	
Guam Energy Office	1	240	-	-	-	-		240	
Agat Mayor's Office	1	26	26	26	26	-		103	
Department of Youth Affairs	3	29	-	-	-	-			
Total Line Agencies	260	\$ 541,145	\$ 285,951	\$ 315,475	\$ 49,745	\$ 104,452	\$	1,296,767	
		41.73%	22.05%	24.33%	3.84%	8.05%		100.00%	
Total as of January 31, 2021 (Active)	311	\$ 819,606	\$ 302,499	\$ 343,190	\$ 58,878	\$ 347,101	\$	1,871,273	
		43.80%	16.17%	18.34%	3.15%	18.55%		100.00%	

CCU Regular Meeting February 23, 2021 - GWA

GUAM WATERWORKS AUTHORITY
Accounts Receivable Aging Summary by Rate Class
As of January 31, 2021

SCHEDULE I

ACTIVE AND INACTIVE

A G I N G								
Rate Class	No. of Accounts	Current	31 - 60 days	61 - 90 days	91 - 120 days	Over 120 days	Total	
Government	440	\$ 2,414,717	\$ 375,323	\$ 282,037	\$ 58,904	\$ 450,567	\$ 3,581,547	16%
Agriculture	398	38,400	7,865	3,467	2,532	55,643	107,905	0%
Commercial I	2,647	1,253,778	160,632	90,527	35,950	401,126	1,942,013	9%
Commercial II	29	146,400	53	65	62	206,582	353,161	2%
Commercial III	296	415,594	28,427	27,073	17,177	354,782	843,053	4%
Golf Course	16	2,608	155	155	-	-	2,918	0%
Hotel	59	1,263,231	137,570	123,666	154,042	694,458	2,372,966	11%
Irrigation	33	3,908	330	164	167	1,870	6,439	0%
Residential	49,942	4,799,922	958,326	682,185	560,473	6,015,550	13,016,453	59%
	53,860	10,338,556	1,668,680	1,209,338	829,306	8,180,577	22,226,455	100%
		47%	8%	5%	4%	37%		

Less Allowance for Doubtful Accounts: (8,671,542)
 Net Accounts Receivable: **13,554,912**

Days Receivables Outstanding 50

As of December 31, 2020

Rate Class	No. of Accounts	Current	31 - 60 days	61 - 90 days	91 - 120 days	Over 120 days	Total	
Government	443	\$ 2,450,376	\$ 399,766	\$ 213,132	\$ 35,710	\$ 472,422	\$ 3,571,406	16%
Agriculture	395	31,088	9,336	3,364	3,791	53,695	101,274	0%
Commercial I	2,636	1,179,806	177,073	57,511	32,049	398,340	1,844,780	8%
Commercial II	29	121,788	4,766	62	-	206,582	333,198	2%
Commercial III	297	713,664	118,881	21,274	15,517	354,296	1,223,631	6%
Golf Course	16	2,007	576	-	-	-	2,584	0%
Hotel	59	1,200,338	127,227	161,266	111,164	659,261	2,259,257	10%
Irrigation	33	3,110	303	234	171	1,899	5,717	0%
Residential	49,763	4,474,661	965,465	706,597	528,078	5,769,921	12,444,719	57%
	53,671	10,176,838	1,803,394	1,163,441	726,480	7,916,415	21,786,566	100%
		47%	8%	5%	3%	36%		

Less Allowance for Doubtful Accounts: (8,503,526)
 Net Accounts Receivable: **13,283,040**

Days Receivables Outstanding 50

ACTIVE ONLY

Rate Class	No. of Accounts	Current	31 - 60 days	61 - 90 days	91 - 120 days	Over 120 days	Total	
Government	434	\$ 2,531,111	\$ 375,268	\$ 282,025	\$ 58,904	\$ 443,461	\$ 3,690,768	21%
Agriculture	378	38,400	7,865	3,252	2,532	14,171	66,220	0%
Commercial I	2,431	1,251,246	160,130	87,503	32,403	217,828	1,749,109	10%
Commercial II	28	146,400	53	65	62	-	146,579	1%
Commercial III	281	414,162	28,291	26,764	17,177	280,387	766,781	4%
Golf Course	16	2,608	155	155	-	-	2,918	0%
Hotel	56	1,263,231	137,570	123,666	154,042	570,038	2,248,546	13%
Irrigation	32	3,908	330	164	167	575	5,144	0%
Residential	39,928	4,766,271	925,488	645,601	513,417	2,399,685	9,250,461	52%
	43,584	10,417,335	1,635,149	1,169,193	778,703	3,926,144	17,926,525	100%
		58%	9%	7%	4%	22%		

Less Allowance for Doubtful Accounts: (8,671,542)
 Net Accounts Receivable: **9,254,982**

As of December 31, 2020

Rate Class	No. of Accounts	Current	31 - 60 days	61 - 90 days	91 - 120 days	Over 120 days	Total	
Government	434	\$ 2,450,321	\$ 388,927	\$ 204,886	\$ 31,936	\$ 465,317	\$ 3,541,386	20%
Agriculture	374	31,088	9,084	3,311	2,315	13,098	58,896	0%
Commercial I	2,423	1,175,140	173,985	53,854	28,094	214,626	1,645,699	9%
Commercial II	28	121,788	4,766	62	-	-	126,616	1%
Commercial III	281	713,424	117,616	20,587	15,463	279,867	1,146,956	7%
Golf Course	16	2,007	576	-	-	-	2,584	0%
Hotel	56	1,200,338	127,227	161,266	111,164	534,841	2,134,837	12%
Irrigation	32	3,110	303	234	171	604	4,422	0%
Residential	39,846	4,447,591	931,630	665,131	485,581	2,188,565	8,718,497	50%
	43,490	10,144,807	1,754,114	1,109,331	674,724	3,696,917	17,379,893	100%
		58%	10%	6%	4%	21%		

Less Allowance for Doubtful Accounts: (8,503,526)
 Net Accounts Receivable: **8,876,367**

GUAM WATERWORKS AUTHORITY
Accounts Payable Aging

SCHEDULE J

As of	AGING						Days Payable Outstanding
	Current	31 - 60 Days	61 - 90 Days	91 - 120 Days	> 120 Days	Total	
January 31, 2021	\$ 1,631,565 63%	\$ 428,618 17%	\$ 53,700 2%	\$ 60,259 2%	\$ 404,065 16%	\$ 2,578,207 100%	32
December 31, 2020	\$ 1,750,883 65%	\$ 428,618 16%	\$ 53,700 2%	\$ 45,426 2%	\$ 402,608 15%	\$ 2,681,235 100%	33
November 30, 2020	\$ 1,840,702 68%	\$ 58,635 2%	\$ 294,325 11%	\$ 23,281 1%	\$ 493,971 18%	\$ 2,710,914 100%	31

GUAM WATERWORKS AUTHORITY
WATER DEMAND BY RATE CLASS
FY2015 - FY2021

SCHEDULE K

CLASS	AUDITED						UNAUDITED			
	FY2015 TOTAL CONSUMPTION (kGal)	FY2016 TOTAL CONSUMPTION (kGal)	FY2017 TOTAL CONSUMPTION (kGal)	FY2018 TOTAL CONSUMPTION (kGal)	FY2019 TOTAL CONSUMPTION (kGal)	% Inc / (Dec.)	FY2020 TOTAL CONSUMPTION (kGal)	% Inc / (Dec.)	FY2021 TOTAL CONSUMPTION (kGal)	% Inc / (Dec.)
R Residential	3,415,662	3,429,689	3,206,811	3,313,613	3,359,905	1%	3,712,723	11%	3,690,290	-1%
C Commercial	1,020,089	1,022,890	964,639	910,905	906,192	-1%	822,029	-9%	719,223	-13%
F Federal	1,168	1,180	2,508	1,813	1,602	-12%	1,338	-16%	2,259	69%
G Government	515,974	475,366	448,430	450,165	405,980	-10%	408,502	1%	387,791	-5%
H Hotel	999,116	1,008,087	1,004,525	989,723	1,079,919	9%	714,161	-34%	418,007	-41%
G Golf	6,850	6,770	5,252	2,741	2,793	2%	5,835	109%	2,192	-62%
A Agriculture	67,376	78,628	69,482	81,127	90,803	12%	84,492	-7%	57,367	-32%
I Irrigation	<u>10,385</u>	<u>11,351</u>	<u>10,143</u>	<u>8,504</u>	<u>7,896</u>	-7%	<u>8,654</u>	10%	<u>5,797</u>	-33%
GRAND TOTAL	<u>6,036,620</u>	<u>6,033,960</u>	<u>5,711,790</u>	<u>5,758,590</u>	<u>5,855,091</u>	2%	<u>5,757,733</u>	-2%	<u>5,282,927</u>	-8%



Gloria B. Nelson Public Service Building | 688 Route 15 | Mangilao, Guam 96913
Tel: (671) 300-6846

Issues for Decision

Resolution No. 09-FY2021

Relative to Approval of Change Order No. 2 for the Pressure Zone Realignment and Tank Repair/Replacement Design Project

What is the project's objective and is it necessary and urgent?

The objective of the change order is to design additional water system improvements in Nimitz Hill. The design is urgent because it will address recent pressure issues causing frequent breaks and service outages to a large number of customers in the service area. The work includes a new waterline to replace existing AC piping along Route 6 that is breaking due to current pressure issues, the replacement of the newly installed temporary PRV (across the street from the Inter-Island Communications radio station on Rt. 6) with a permanent PRV and traffic-rated concrete vault, and the revision of the Nimitz District Metered Area (DMA) metering station to include a PSRV and SCADA to regulate pressures in the area.

Where is the location?

The additional items will be located in Nimitz Hill; with the new PSRV and meter with SCADA located on Larson Road and the ACP replacement/ PRV replacement along Route 6.

How much will it cost?

- Nimitz Hill Water Improvements: \$79,892.00
- Phase II Construction Management: \$200,000.00
- With additional Guam GRT, the total requested funding will be \$294,447.00

When will it be completed?

The design will be completed by March 31st, 2021.

What is the funding source?

- PW 09-03: Water Distribution System Pipe Replacement and Upgrades
- PW 09-04: Pressure Zone Realignment/ Development 2005 Improvements
- PW 09-10: Water Reservoir Internal/External Corrosion Rehabilitation Program
- PW 09-11: Water System Reservoir 2005 Improvements
- PW 12-01: Water Audit Program and Water Loss Control Plan
- MP-PW-Pipe-12: Rehabilitation and Replacement Program

The RFP/BID responses (if applicable):

N/A



CONSOLIDATED COMMISSION ON UTILITIES
Guam Power Authority | Guam Waterworks Authority
P.O. Box 2977 Hagatna, Guam 96932 | (671)649-3002 | guamccu.org

GWA RESOLUTION NO. 09-FY2021

**RELATIVE TO APPROVAL OF CHANGE ORDER NO. 2 FOR THE PRESSURE ZONE
REALIGNMENT AND TANK REPAIR/REPLACEMENT DESIGN PROJECT**

WHEREAS, under 12 G.C.A. § 14105, the Consolidated Commission on Utilities (“CCU”) has plenary authority over financial, contractual and policy matters relative to the Guam Waterworks Authority (“GWA”); and

WHEREAS, the Guam Waterworks Authority (“GWA”) is a Guam Public Corporation established and existing under the laws of Guam; and

WHEREAS, GWA’s PMO Brown and Caldwell has developed a pressure zone realignment plan as part of the Water Resource Master Plan; and

WHEREAS, Resolution No. 36 – FY2018 (Exhibit A – Resolution 36-FY2018) authorized the total funding of Two Million Five Hundred Thirty-Nine Thousand Nine Hundred Ninety-One Dollars (\$2,539,991.00) along with a ten percent (10%) contingency of Two Hundred Fifty-Three Thousand Nine Hundred Ninety-Nine Dollars and Ten Cents (\$253,999.10) for the design services of the Pressure Zone Realignment and Tank Repair/ Replacement project; and

WHEREAS, Resolution No. 12 – FY2020 (Exhibit B – Resolution 12-FY2020) authorized the total funding of Ninety Thousand Seven Hundred Seventy-Six Dollars and Ninety Cents (\$90,776.90) plus an additional Two Hundred Fifty-Four Thousand Dollars (\$254,000.00) to replenish the original contract’s contingency, to bring the total authorized funding to Three Million One Hundred Thirty-Eight Thousand Seven Hundred Sixty-Seven Dollars (\$3,138,767.00); and

WHEREAS, following CCU approval in Resolution No. 12-FY2020, GWA issued Change Order No. 1 to GHD; and

WHEREAS, GWA engineering has determined that due to recent problematic events in the system, additional system improvements associated with the Pressure Zone Realignment are necessary; and

WHEREAS, GWA is requesting for additional work which includes the following (Exhibit C):

- (1) Task A: Nimitz Hill Water Improvements- Additional design for ACP line replacement, PSRV/meter installation with SCADA on Larson Rd., and the replacement of a temporary PRV on Rt.6; and
- (2) Task B: Construction management services for Pressure Zone Realignment Construction Phase II, and;

WHEREAS, GWA and GHD has negotiated a price for the services provided in the amount of Two Hundred Ninety-Four Thousand Four Hundred Forty-Seven Dollars (\$294,447.00) for the design services described above (Exhibit C— Scope of Work and Fee); and

WHEREAS, GWA management is seeking CCU approval of the fee proposal relative to Change order No. 2 in the amount of Two Hundred Ninety-Four Thousand Four Hundred Forty-Seven Dollars (\$294,447.00) to fund the design and CM services; and

WHEREAS, GWA management further seeks CCU approval of the total authorized funding of the design contract with GHD., Inc. to Three Million Four Hundred Thirty-Three Thousand Two Hundred Fourteen Dollars (\$3,433,214.00); and

WHEREAS, the funding sourced for the construction project will be from bond funds as detailed in the following CIP line items:

- PW 09-03: Water Distribution System Pipe Replacement and Upgrades
- PW 09-04: Pressure Zone Realignment/ Development 2005 Improvements
- PW 09-10: Water Reservoir Internal/External Corrosion Rehabilitation Program
- PW 09-11: Water System Reservoir 2005 Improvements
- PW 12-01: Water Audit Program and Water Loss Control Plan
- MP-PW-Pipe-12: Rehabilitation and Replacement Program

NOW BE IT THEREFORE RESOLVED, the Consolidated Commission on Utilities does hereby approve and authorize the following:

1. The recitals set forth above hereby constitute the findings of the CCU.
2. The CCU finds that the terms of the fee proposal submitted by GHD are fair and reasonable.
3. The CCU hereby authorizes the management of GWA to accept the fee proposal of Two Hundred Ninety-Four Thousand Four Hundred Forty-Seven Dollars (\$294,447.00) from GHD, attached hereto as Exhibit C, and execute a Change Order.
4. The CCU hereby approves the total funding amount to Three Million Four Hundred Thirty-Three Thousand Two Hundred Fourteen Dollars (\$3,433,214.00).
5. The CCU approves the funding sources from the following bond funds:
 - PW 09-03: Water Distribution System Pipe Replacement and Upgrades
 - PW 09-04: Pressure Zone Realignment/ Development 2005 Improvements
 - PW 09-10: Water Reservoir Internal/External Corrosion Rehabilitation Program
 - PW 09-11: Water System Reservoir 2005 Improvements
 - PW 12-01: Water Audit Program and Water Loss Control Plan
 - MP-PW-Pipe-12: Rehabilitation and Replacement Program

RESOLVED, that the Chairman certified and the Board Secretary attests to the adoption of this Resolution.

DULY AND REGULARLY ADOPTED, this 23rd day of February 2021.

Certified by:

Attested by:

JOSEPH T. DUENAS
 Chairperson

MICHAEL T. LIMTIACO
 Secretary

SECRETARY'S CERTIFICATE

I, Michael T. Limtiaco, Board Secretary of the Consolidated Commission on Utilities as evidenced by my signature above do hereby certify as follows:

The foregoing is a full, true and accurate copy of the resolution duly adopted at a regular meeting by the members of the Guam Consolidated Commission on Utilities, duly and legally held at a place properly noticed and advertised at which meeting a quorum was present and the members who were present voted as follows:

AYES: _____

NAYS: _____

ABSENT: _____

ABSTAIN: _____

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EXHIBIT A



CONSOLIDATED COMMISSION ON UTILITIES
Guam Power Authority | Guam Waterworks Authority
P.O. Box 2977 Hagatna, Guam 96932 | (671)649-3002 | guamccu.org

GWA RESOLUTION NO. 36-FY2018

**RELATIVE TO APPROVAL OF THE DESIGN SERVICES FOR THE PRESSURE
ZONE REALIGNMENT AND TANK REPAIR/REPLACEMENT CONTRACT**

WHEREAS, under 12 G.C.A. § 14105, the Consolidated Commission on Utilities (“CCU”) has plenary authority over financial, contractual and policy matters relative to the Guam Waterworks Authority (“GWA”); and

WHEREAS, the Guam Waterworks Authority (“GWA”) is a Guam Public Corporation established and existing under the laws of Guam; and

WHEREAS, GWA is working on critical reservoir projects under the 2011 Court Order (“CO”) Paragraph 29 – Storage Tank/Reservoir Repair, Replacement, and Relocation Program; and

WHEREAS, GWA’s PMO Brown and Caldwell has developed a pressure zone realignment plan as part of the Water Resource Master Plan (2017 Draft WRMP); and

WHEREAS, engineering and design services are required to integrate the improvements needed for realigning pressure zones within the distribution system, and the on-going 2011 CO storage tank/reservoir program; and

WHEREAS, GWA has advertised the Request for Proposals (RFP-03-ENG-2018) soliciting statement of qualifications from experienced and qualified engineering firms to provide tank repair/replacement/modification design, pressure zone realignment and zone metering design, and limited construction management services for the implementation of the pressure zone realignment construction; and

1 **WHEREAS**, RFP packages were picked up by twenty (20) interested parties, from which
2 GWA received proposal submittals from five (5) firms before the RFP submittal deadline; and
3

4 **WHEREAS**, the GWA A-E Selection committee reviewed and evaluated the five (5)
5 proposals (See Exhibit A – Score Summary) and generated a short list of the top 3 firms with a
6 recommendation to award a contract to the firm GHD (See Exhibit B – GM's Determination);
7 and
8

9 **WHEREAS**, GWA and GHD negotiated the price and scope of work for tank
10 repair/replacement/modification design, the pressure zone realignment design (22 pressure
11 zones), including zone metering, as recommended by the 2017 Draft WRMP, limited
12 construction management services (estimated time & materials budget) for the implementation of
13 the pressure zone realignment construction and an AWWA water audit, including three trial
14 district metering areas (See Exhibit C – Scope of Work and Fee); and
15

16 **WHEREAS**, GWA management seeks approval of the estimated fee proposal amount of
17 Two Million Five Hundred Thirty-Nine Thousand Nine Hundred Ninety-One Dollars
18 (\$2,539,991.00), along with a ten percent (10%) contingency of Two Hundred Fifty-Three
19 Thousand Nine Hundred Ninety-Nine Dollars and Ten Cents (\$253,999.10), to bring the total
20 authorized funding amount to a maximum of Two Million Seven Hundred Ninety-Three
21 Thousand Nine Hundred Ninety Dollars and Ten Cents (\$2,793,990.10); and
22

23 **WHEREAS**, funding for this project will be from the Bond Funds under the line items
24 PW 09-04 Pressure Zone Realignment/Development 2005 Improvements, PW 09-10 Water
25 Reservoir Internal/External Corrosion Rehabilitation Program, PW 09-11 Water System
26 Reservoirs 2005 Improvements, and PW 12-01 Water Audit Program and Water Loss Control
27 Plan; and
28

29 **NOW BE IT THEREFORE RESOLVED**, the Consolidated Commission on Utilities
30 does hereby approve the following:
31

- 32 1. The recitals set forth above hereby constitute the findings of the CCU.

2. The CCU finds that the terms of the fee proposal submitted by GHD are fair and reasonable.
3. The CCU hereby authorizes the management to accept the fee proposal from GHD (Exhibit C) inclusive of estimated time and material budget for limited CM services, which is also incorporated into this Resolution in its entirety.
4. The CCU hereby authorizes the management of GWA to enter into a contract with GHD, in the amount of Two Million Five Hundred Thirty-Nine Thousand Nine Hundred Ninety-One Dollars and Zero Cents (\$2,539,991.00).
5. The CCU hereby approves the total funding amount for this project of Two Million Five Hundred Thirty-Nine Thousand Nine Hundred Ninety-One Dollars (\$2,539,991.00), with a ten percent (10%) contingency of Two Hundred Fifty-Three Thousand Nine Hundred Ninety-Nine Dollars and Ten Cents (\$253,999.10), to bring the total authorized funding amount to Two Million Seven Hundred Ninety-Three Thousand Nine Hundred Ninety Dollars and Ten Cents (\$2,793,990.10).
6. The CCU hereby further approved the funding source shall be the following:
 - PW 09-04: Pressure Zone Realignment/Development 2005 Improvements
 - PW 09-10: Water Reservoir Internal/External Corrosion Rehabilitation Program
 - PW 09-11: Water System Reservoirs 2005 Improvements
 - PW 12-01: Water Audit Program and Water Loss Control Plan

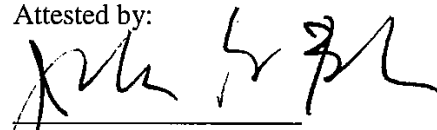
RESOLVED, that the Chairman certified and the Board Secretary attests to the adoption of this Resolution.

DULY AND REGULARLY ADOPTED, this 5th day of June 2018.

Certified by:


JOSEPH T. DUENAS
Chairperson

Attested by:


J. GEORGE BAMBA
Secretary

SECRETARY'S CERTIFICATE

I, J. George Bamba, Board Secretary of the Consolidated Commission on Utilities as evidenced by my signature above do hereby certify as follows:

The foregoing is a full, true and accurate copy of the resolution duly adopted at a regular meeting by the members of the Guam Consolidated Commission on Utilities, duly and legally held at a place properly noticed and advertised at which meeting a quorum was present and the members who were present voted as follows:

AYES:	<u>5</u>
NAYS:	<u>0</u>
ABSTENTIONS:	<u>0</u>
ABSENT:	<u>0</u>



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March 7, 2018

To: Thomas F. Cruz, P.E., Chief Engineer

From: Gloria P. Bensen 
Chairperson, Consultant Selection Board

Subject: RFP-03-ENG-2018
Design Services for Pressure Zone Realignment and Tank Repair/Replacement
GWA Project No. W18-001-BND

The following information is intended to document the evaluation process undertaken for the referenced solicitation.

EVALUATION COMMITTEE MEMBERS	
Name	Title
Brett Railey, P.E.	Engineer Supervisor
Garrett Yeoh	Senior Engineer
Ryan Diaz	Junior Engineer
Vincent Pangelinan	Operations Manager

Consultant	Evaluation Score				Total	Rank
1. EMPSCO Engineering Consultants	65	63	78	66	272	5
2. TG Engineers, PC	68	80	87	81	316	4
3. GHD	96	98	97	88	379	1
4. AECOM Technical Services	91	95	98	89	373	2
5. Duenas, Camacho & Associates	82	80	96	81	339	3


Scores were evaluated based on sum of the individual scores. The recommendation of the evaluation committee is shown in the ranking above.

Please review and approve at your earliest convenience so that we may proceed with the notification letters.



MEMORANDUM

To: Miguel C. Bordallo, General Manager

From: Thomas F. Cruz, P.E., Chief Engineer 

Subject: RFP-03-ENG-2018
Design Services for Pressure Zone Realignment and Tank Repair/Replacement
GWA Project No. W18-001-BND

Date: March 7, 2018

The Selection Committee has completed all necessary actions for selecting the most qualified consultant for the referenced solicitation. All proposals were reviewed and scored according to the conditions established in the solicitation. The evaluation summary sheet is attached for your information.

The committee recommends the following top three (3) firms in order of preference for the project:

1. GHD
2. AECOM Technical Services, Inc
3. Duenas, Camacho & Associates

Concurred:



VINCENT E. GUERRERO
Supply Management Administrator



Date

GENERAL MANAGER'S DETERMINATION

Consultant Firm Selected:

GHD

Remarks:



MIGUEL C. BORDALLO, P.E.
General Manager

3.13.18

Date



GWA Pressure Zone Realignment and Tank Repair/Replacement Design Scope of Work and Fees

I. GENERAL

GHD will provide design and construction management services for the Pressure Zone Realignment and Tank Repair/Replacement Project. The design services will consist of site investigations, preparation of plans, specifications, and estimates to construct improvements recommended in the Pressure Zone Realignment and Pressure Improvement report prepared by Brown and Caldwell completed in 2017. Project design tasks include review of Brown and Caldwell's report, investigation of GWA's existing system and comparison to the report figures, Basis of Design reports, design calculations, hydraulic modelling, construction schedule estimates, topographical surveys, property research, property mapping, geotechnical reports, cultural resource inventory and evaluation of historic resources, construction documents, design drawings in Auto CAD, and construction bid support services.

The construction management tasks include onsite inspection and inspection reports, project correspondence, Quality Assurance testing, submittal review, contractor schedule review, payment request review, and progress meetings.

Reports, plans, specifications and other documents submitted to GWA shall be in a form approved by GWA.

II. PROJECT OVERVIEW

The design for the Pressure Zone Realignment and Tank Repair/Replacement Project is based on work required to accomplish the zone realignment in the above mentioned report by Brown and Caldwell, and steel tank repair or replacement as needed. The project is divided into three general tasks, the key elements and details of the scope of work are described for each:

A. Pressure Zone Realignment and Zone Metering

Appendices G and H of the Pressure Zone Realignment and Pressure Improvement report show a multitude of improvements and changes to the system over 53 zones. GHD will review and analyse the report appendices. The analysis will mainly consist of verification of existing infrastructure shown in the appendices by comparing as-built drawings and site visits. If discrepancies are found, alternative designs will be presented



to provide the same result as intended by the report. GHD will not analyse the report for effectiveness of improvements to realign the zones.

Individual improvements that may be designed are pressure reducing valves (PRV) in vaults, master meters in vaults, in-line valves to be closed, abandonment of existing PRVs, PRV rehabs, piping connections, new waterlines, and SCADA and instrumentation systems.

GHD will sub-contract Water Systems Optimization, Inc. (WSO) to perform a water audit, analysis of losses, GWA's economic level of leakage, and implement three pilot District Metered Areas (DMA). The scope from WSO will be approved by GWA. GHD will provide only minimal project management and coordination support to WSO's scope of work and no design effort is included.

B. Hydraulic Modelling

The hydraulic modelling scope will be limited to updating the model once improvements are completed. Hydraulic modelling will also be used to determine the setting of new and replaced PRVs.

C. Tank Repair and Site Upgrades

The project includes possible repairs to ten existing steel reservoirs. The tanks are listed in the table below.

Table 2.1 Tank to Repair

Number	Tank Name	Capacity (MG)	Status	Inspected
1	Umatac Subdivision	0.5	Online	No
2	Windward Hills	1.0	Online	No
3	Umatac #1	0.2	Online	No
4	Kaiser	2.5	Online	No
5	Pigua	0.5	Online	No
6	Agat #1	1.0	Online	No
7	Malojloj	1.0	Online	No
8	Upper Nimitz	0.01	Online	Yes
9	Lower Nimitz	0.025	Offline	Yes
10	Agat #2	0.5	Online	Yes

GHD will provide construction management services for the repair of the existing steel tanks listed in Table 2.1. GWA will determine which tanks are to be repaired or



replaced. The fees for construction management services will be awarded through change orders to the contract as needed.

Tank site upgrades may include cathodic protection systems, instrumentation systems, new vaults, altitude valves, meters, piping, and a control building. The needs of each site will be determined by GWA.

III. DESIGN PHASE TASKS

A. Project Controls:

These services shall be provided to insure the project is efficiently managed and sufficient data is collected to provide a thorough design.

The project controls for each site or improvement shall consist of:

1. Analysis of the existing site conditions and on-site inspection – GHD shall visit each site to determine existing conditions and system configurations including
 - a. Existing site conditions and facilities
 - b. Existing site operation
 - c. Proposed site improvements
 - d. Preliminary site layout
 - e. Research existing Right-of-Way
 - f. Demolition requirements
 - g. Minor grading requirements
 - h. Piping and valving requirements
 - i. Operational requirements
 - j. Electrical power supply
 - k. Construction sequencing
 - l. Future expandability as needed
2. Survey Services – GHD will contract with a subconsultant to provide surveying services at each site as listed in the fee proposal, consisting of property boundary or Right-of-way (ROW), topographic field survey, and preparation of topographical mapping. These services include preparation of topographical and boundary/ROW mapping of the improvement or tank site including existing facilities above ground within the project area and adjacent sites which may be impacted. The GHD team will make all necessary research for determination of land ownership.

B. Design:

1. GHD will prepare construction drawings, specifications, cost estimates, supporting design calculations, and other documents necessary for project construction.



- a. The design plans will include necessary piping, valving, fittings, and appurtenances to connect to the existing water system. The plan will also include necessary erosion control measures such as erosion control seeding, silt fencing, protection of stockpiled materials, and other necessary measures to mitigate the impact of erosion and sedimentation.
- b. GHD will prepare and submit the following:
 - Multidiscipline plans to the 30% (preliminary design), 60%, 90%, and 100% completion levels.
 - Specifications at 60%, 90%, and 100% completion levels, which will include front end documents and technical specifications applicable to the indicated completion levels.
 - Construction cost estimate update at 60% completion level. This estimate will be a Class 3 estimate in accordance with the AACE International Cost Estimate Classification System. All costs will be in current dollars and escalated to the estimated midpoint of construction.
 - Final construction cost estimate based on quantity takeoffs and the requirements of the 100% design plans and specifications. This estimate will be a Class 2 estimate in accordance with the AACE International Cost Estimate Classification System. All costs will be in current dollars and escalated to the estimated midpoint of construction.
 - GHD shall coordinate with relevant agencies such as Guam Environmental Protection Agency, Department of Public Works, and other relevant agencies at the 60%, and 100% submittals. This includes submitting design documents (11x17 plans and specifications at both phases) and maintaining communication throughout the duration of the project and incorporating any relevant regulation requirements in the design.

Task B Deliverables: Deliverables to GWA will be provided in accordance with the following:

1. 30% phase
 - a. 5 hard copies of the design development documents – if requested
 - b. Digital copy of the design development documents
2. 60% phase
 - a. 5 hard copies of the 60% design documents (plan submittal shall consist of 3 sets of 11"x17" sized drawings if requested)
 - b. Digital copy of the 60% design documents
3. 90% phase
 - a. 5 hard copies of the 90% design documents (plan submittal shall consist of 3 sets of 11"x17" sized drawings if requested)



- b. Digital copy of the 90% design documents
- 4. Final phase
 - a. 5 hard copies of the final design documents (plan submittal shall consist of 2 sets of 36"x24" sized drawings and 3 sets of 11"x17" sized drawings)
 - b. Digital copy of the final design documents

IV. CONSTRUCTION PHASE TASKS

A. Construction Bid Support Services:

1. Pre-Bid Conference (4 total) - GHD shall assist GWA with the meeting and provide meeting minutes for the pre-bid conference. The pre-bid conference shall be arranged to inform prospective bidders of the overview of the project. GHD will be present to respond to technical questions involving the design and specifications and will provide formal responses within five working days of the meeting.
2. Request For Information – GHD will assist GWA with preparing answers to questions regarding the bid packages during the bidding phase.
3. Bid Addenda – GHD will provide addenda to the plans, specifications and contract documents as needed during the bidding phase.
4. Bid Evaluation (4 total) – Upon receipt of bids GHD will review the bid packages and provide GWA with a recommendation and/or concurrence on the proposed selected contractor. This will include a bid analysis, review of bid proposal prices, and conformance with contract requirements and the Guam Procurement Code. GHD will prepare a recommendation of award letter.

B. Construction Management Services:

GHD will assume a budget for time and material construction management services for the Pressure Zone Realignment and Zone Metering improvements. The budget assumes a part-time construction manager for four (4) different construction packages with a four month construction duration for each. If the assumed budget is depleted and additional construction management services are required, then GHD will negotiate a change order to the contract with GWA.

Construction Management Services shall consist of:

1. Implementation and maintenance of project controls
2. Conduct and prepare meeting minutes for
 - a. Pre-construction conference
 - b. Weekly or bi-weekly progress meetings
 - c. As-built drawing review meetings
 - d. Other meetings as required
3. Project correspondence including



- a. Daily construction reports
 - b. Material testing logs
 - c. Progress photos
- 4. Submittal and shop drawing review including Contractor project schedules
- 5. Payment requests review and processing including payroll reports
- 6. Track and process Requests for Information
- 7. General Compliance Monitoring for
 - a. Labor laws
 - b. Permit compliance
 - c. insurance
- 8. Claims and disputes
 - a. Claim records
 - b. Review and interpret claims
 - c. Change order review, negotiation and log
 - d. Prepare design changes
- 9. Maintenance of project records and document management
- 10. Quality Assurance testing and inspection
- 11. Construction observation, part-time inspection and quality control monitoring
- 12. Provide special inspections as required
- 13. Project Closeout
 - a. Inspections
 - b. Punch list development
 - c. Coordinate training
 - d. Review closeout submittals
- 14. Final CM report

V. PROJECT PLANNING AND MANAGEMENT

The GHD team shall arrange for a bi-weekly design meeting with team members and GWA to discuss design issues, progress of work, and coordination. GHD shall prepare meeting minutes for all design progress meetings. The meeting minutes shall include action items from week to week. Separate hydraulic analysis team meetings will be held to streamline this time sensitive work.

GHD shall maintain an electronic project record which will include all project correspondence, reports, meeting minutes, deliverables, and other items required to document the project. GHD will communicate and coordinate with all stakeholders during the design, bid and construction phases.

CLARIFICATIONS AND ASSUMPTIONS:

1. The fee assumes items will be included in the design that may not be needed based on the analysis of the appendices of the report by Brown and Caldwell. If any item is



not required, based on the analysis report, then the individual fee can be removed from the scope.

2. Assumed individual improvements for the project are listed on the attached Scope of Work Table. If design is required for other improvement, GHD will negotiate a change order to the contract.
3. GHD assumed Project Planning and Management will last for two years (104 weeks). If the project is extended past that time, additional fees will be negotiated with GWA.
4. Pressure Zone Realignment and Zone Metering:
 - a. Improvements to the PRV/meter and existing tank sites will include only minimal grading design if required.
 - b. A budget for construction management has been assumed. The budget was based on an estimate of one part-time inspector for four separate packages with four-month construction durations. The budget will be invoiced as time and material.
 - c. Property investigation, appraisals, and boundary surveys are excluded.
 - d. Design of remote control of three PRV sites via the SCADA system will be provided as trial for GWA.
 - e. Refurbishment of existing PRV sites will only include the replacement of pipe, fittings and PRVs. Meters, electrical, SCADA and new vaults are excluded.
5. Hydraulic Modelling:
 - a. Effort for hydraulic modelling has been assumed per improvement site as needed to verify the improvement is needed per the model prior to design and to update the model after construction. Hydraulic modelling will be used to determine the setting of the new PRVs in the project. No extensive modelling of the system or updating is included.
6. Tank Repair and Site Upgrades:
 - a. The review of tank repair plans is excluded.
 - b. The project will include repair for the ten tanks listed above and in the RFP. It is assumed that all ten tanks can be repaired. If, after further inspection, it is determined by GWA that an existing tank cannot be repaired, then GHD will negotiate a change to the scope of work to design an AWWA D110 Type I pre-stressed concrete replacement reservoir.
 - c. Designs for improvements to existing tank sites may include cathodic protection systems, instrumentation systems, new vaults, altitude valves, meters, piping, a control building, other necessary tank and site upgrades. The needs of each site will be determined by GWA.
 - d. Construction Management Services for repair of existing steel tanks will be awarded as needed through a change order to the contract.
 - e. Hazardous material testing is excluded. Testing can be added through a change order to the contract if a tank is determined to be demolished and testing is deemed necessary.



7. Data Loggers: An assumed budget of \$525 per logger setup (x15), including lock and fittings. GHD will provide research of different brands and models by requesting experience from other GHD offices. There may not be any responses from the request resulting in no recommendation.
8. GHD will not prepare the construction permit applications, route the permits through the required government agencies, nor pay permit fees.
9. GHD will create four (4) separate bid packages for the pressure zone realignment. The improvements will be divided to provide four (4) packages with similar construction costs.
10. Fees are not included for GHD to revise or update bid packages that have expired due to a delay in advertising them for bid. GWA agrees to negotiate with GHD for change orders for additional work that may include such services as restamping plans and specifications, verifying design based on a change in the adopted building code or design standards, and preprinting of the bid packages.
11. GWA agrees to negotiate with GHD for change orders for additional design phase services due to additional work or any other reason not due to the negligent acts of GHD.

VI. FEE SCHEDULE

TASK	DESCRIPTION	COST
A	Project Planning/Management	
A1	Design Scope/Fee Development	\$11,106
A2	Project Design Meetings (52, every two weeks)	\$31,214
A3	Hydraulic Analysis Team Meetings (24)	\$13,032
A4	Planning and Design Team Management	\$54,300
A5	Project Communication/File Management	\$14,118
A6	Subconsultant Management	\$12,660
A7	Review of Pressure Zone Realignment Report	\$5,430
A8	Project Administration/Invoicing	\$14,832
A9	District Metered Areas (DMA) Study	\$206,396
A10	Data Loggers (15)	\$9,749
	SUBTOTAL	\$372,837
	EXPENSES SUBTOTAL	\$7,068
	PLANNING/MANAGEMENT & EXPENSES SUBTOTAL	\$379,905
B	Pressure Zone Realignment Tasks	
B1.0	Project Controls	
B1.1	Plan Set Preparation (8)	\$11,456
B1.2	Specifications General (8)	\$19,794
B1.3	GEPA Review and Responses (8)	\$4,074
B1.4	Design Review Meeting (8)	\$3,076
	SUBTOTAL	\$38,400
B2.0	Pressure Zone Improvements Design	



G-4	Yigo North	\$84,317
G-5	Yigo South	\$9,052
G-7	Astumbo	\$233,432
G-8	Route 15	\$16,991
G-9	Barrigada	\$158,416
G-10	Barrigada Subzone	\$153,288
G-12	Hyundai	\$10,290
G-13	Hyundai Subzone	\$18,338
G-14	Mangilao North	\$103,375
G-15	Mangilao Central	\$50,758
G-16	Kaiser	\$31,262
G-17	Harmon Industrial	\$62,365
G-18	Tumon/Tamuning/Hagatna North	\$68,231
G-19	Tumon/Tamuning/Hagatna Central	\$13,415
G-21	Tiyan	\$87,253
G-22	Mangilao	\$112,016
G-23	Ordot/Sinajana	\$171,192
G-25	Pago Bay	\$34,435
G-31	Santa Rita	\$10,855
G-32	Santa Ana Lower	\$45,043
G-33	Santa Ana Upper	\$13,403
G-52	Chalan Palauan	\$17,726
B2.1	Tank Site Upgrades (assumed budget)	\$160,000
	SUBTOTAL	\$1,665,453
B3.0	Construction Bid Support Services	
B3.1	Prebid Conference and Meeting Minutes (8)	\$2,896
B3.2	RFI Responses (assume 10 at 2 hr each, per package)	\$14,480
B3.3	Bid Addenda	\$4,992
B3.4	Bid analysis and recommendation (8)	\$10,612
	SUBTOTAL	\$32,980
B4.0	Construction Management Services	
B4.1	Assumed T&M Budget (4 packages, part-time CM, 4 mo. Constr. Ea)	\$300,000
	SUBTOTAL	\$300,000
	PRESSURE ZONE DESIGN SERVICES SUBTOTAL	\$2,036,833
ALL	SUBTOTAL	\$2,416,738
ALL	GRT AT 5.1%	\$123,254
ALL	GRAND TOTAL	\$2,539,991

EXHIBIT B



CONSOLIDATED COMMISSION ON UTILITIES
Guam Power Authority | Guam Waterworks Authority
P.O. Box 2977 Hagatna, Guam 96932 | (671)649-3002 | guamccu.org

GWA RESOLUTION NO. 12-FY2020

**RELATIVE TO APPROVAL OF CHANGE ORDER NO. 1 FOR THE PRESSURE ZONE
REALIGNMENT AND TANK REPAIR/REPLACEMENT DESIGN PROJECT**

WHEREAS, under 12 G.C.A. § 14105, the Consolidated Commission on Utilities (“CCU”) has plenary authority over financial, contractual and policy matters relative to the Guam Waterworks Authority (“GWA”); and

WHEREAS, the Guam Waterworks Authority (“GWA”) is a Guam Public Corporation established and existing under the laws of Guam; and

WHEREAS, GWA’s PMO Brown and Caldwell has developed a pressure zone realignment plan as part of the Water Resources Master Plan; and

WHEREAS, CCU Resolution No. 36-FY2018 (Exhibit A-Resolution 36-FY2018) authorized a design contract with GHD with total funding of Two Million Five Hundred Thirty-Nine Thousand Nine Hundred Ninety-One Dollars (\$2,539,991.00) along with a ten percent (10%) contingency of Two Hundred Fifty-Three Thousand Nine Hundred Ninety-Nine Dollars and Ten Cents (\$253,999.10) for the design services of the Pressure Zone Realignment and Tank Repair/Replacement project; and

WHEREAS, GWA seeks to continue the design services of GHD and their subconsultant, Water Systems Optimization, Inc. (WSO) for the further development of an island-wide water loss control program and construction plans for program execution; and

WHEREAS, GWA and GHD have negotiated a price of Three Hundred Seventy-Three Thousand Six Hundred Seventy Dollars (\$373,670.00) for the design services described above (Exhibit B-Scope of Work and Fee); and

WHEREAS, GWA management is requesting authorization to increase the funding amount for the GHD contract by Ninety Thousand Seven Hundred Seventy Six Dollars and Ninety Cents (\$90,776.90) plus an additional Two Hundred Fifty Four Thousand Dollars (\$254,000.00) to replenish the original contract's contingency, bringing the total authorized funding to Three Million One Hundred Thirty-Eight Thousand Seven Hundred Sixty-Seven Dollars (\$3,138,767.00); and

WHEREAS, the funding source for the construction project will be from bond funds as detailed in the following CIP line items:

- PW 09-04: Pressure Zone Realignment/ Development 2005 Improvements
- PW 09-10: Water Reservoir Internal/External Corrosion Rehabilitation Program
- PW 09-11: Water System Reservoir 2005 Improvements
- PW 12-01: Water Audit Program and Water Loss Control Plan

NOW BE IT THEREFORE RESOLVED, the Consolidated Commission on Utilities does hereby approve and authorize the following:


1. The recitals set forth above hereby constitute the findings of the CCU.
2. The CCU finds that the terms of the fee proposal submitted by GHD are fair and reasonable.
3. The CCU hereby authorizes the management of GWA to accept the fee proposal of Three Hundred Seventy-Three Thousand Six Hundred Seventy Dollars (\$373,670.00) from GHD, attached hereto as Exhibit B, and execute a Change Order.
4. The CCU hereby approves the total funding amount to Three Million One Hundred Thirty-Eight Thousand Seven Hundred Sixty-Seven Dollars (\$3,138,767.00).
5. The CCU approves the funding sources from the following bond funds:
 - PW 09-04: Pressure Zone Realignment/ Development 2005 Improvements
 - PW 09-10: Water Reservoir Internal/External Corrosion Rehabilitation Program

- PW 09-11: Water System Reservoir 2005 Improvements
- PW 12-01: Water Audit Program and Water Loss Control Plan

RESOLVED, that the Chairman certified and the Board Secretary attests to the adoption of this Resolution.

DULY AND REGULARLY ADOPTED, this 28th day of January 2020.

Certified by:


JOSEPH T. DUENAS
Chairperson

Attested by:


MICHAEL T. LIMTIACO
Secretary

SECRETARY'S CERTIFICATE

I, Michael T. Limtiaco, Board Secretary of the Consolidated Commission on Utilities as evidenced by my signature above do hereby certify as follows:

The foregoing is a full, true and accurate copy of the resolution duly adopted at a regular meeting by the members of the Guam Consolidated Commission on Utilities, duly and legally held at a place properly noticed and advertised at which meeting a quorum was present and the members who were present voted as follows:

AYES:	<u>5</u>
NAYS:	<u>0</u>
ABSTENTIONS:	<u>0</u>
ABSENT:	<u>0</u>



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EXHIBIT A



CONSOLIDATED COMMISSION ON UTILITIES
Guam Power Authority | Guam Waterworks Authority
P.O. Box 2977 Hagatna, Guam 96932 | (671)649-3002 | guamccu.org

GWA RESOLUTION NO. 36-FY2018

**RELATIVE TO APPROVAL OF THE DESIGN SERVICES FOR THE PRESSURE
ZONE REALIGNMENT AND TANK REPAIR/REPLACEMENT CONTRACT**

WHEREAS, under 12 G.C.A. § 14105, the Consolidated Commission on Utilities (“CCU”) has plenary authority over financial, contractual and policy matters relative to the Guam Waterworks Authority (“GWA”); and

WHEREAS, the Guam Waterworks Authority (“GWA”) is a Guam Public Corporation established and existing under the laws of Guam; and

WHEREAS, GWA is working on critical reservoir projects under the 2011 Court Order (“CO”) Paragraph 29 – Storage Tank/Reservoir Repair, Replacement, and Relocation Program; and

WHEREAS, GWA’s PMO Brown and Caldwell has developed a pressure zone realignment plan as part of the Water Resource Master Plan (2017 Draft WRMP); and

WHEREAS, engineering and design services are required to integrate the improvements needed for realigning pressure zones within the distribution system, and the on-going 2011 CO storage tank/reservoir program; and

WHEREAS, GWA has advertised the Request for Proposals (RFP-03-ENG-2018) soliciting statement of qualifications from experienced and qualified engineering firms to provide tank repair/replacement/modification design, pressure zone realignment and zone metering design, and limited construction management services for the implementation of the pressure zone realignment construction; and

EXHIBIT A

WHEREAS, RFP packages were picked up by twenty (20) interested parties, from which GWA received proposal submittals from five (5) firms before the RFP submittal deadline; and

WHEREAS, the GWA A-E Selection committee reviewed and evaluated the five (5) proposals (See Exhibit A – Score Summary) and generated a short list of the top 3 firms with a recommendation to award a contract to the firm GHD (See Exhibit B – GM’s Determination); and

WHEREAS, GWA and GHD negotiated the price and scope of work for tank repair/replacement/modification design, the pressure zone realignment design (22 pressure zones), including zone metering, as recommended by the 2017 Draft WRMP, limited construction management services (estimated time & materials budget) for the implementation of the pressure zone realignment construction and an AWWA water audit, including three trial district metering areas (See Exhibit C – Scope of Work and Fee); and

WHEREAS, GWA management seeks approval of the estimated fee proposal amount of Two Million Five Hundred Thirty-Nine Thousand Nine Hundred Ninety-One Dollars (\$2,539,991.00), along with a ten percent (10%) contingency of Two Hundred Fifty-Three Thousand Nine Hundred Ninety-Nine Dollars and Ten Cents (\$253,999.10), to bring the total authorized funding amount to a maximum of Two Million Seven Hundred Ninety-Three Thousand Nine Hundred Ninety Dollars and Ten Cents (\$2,793,990.10); and

WHEREAS, funding for this project will be from the Bond Funds under the line items PW 09-04 Pressure Zone Realignment/Development 2005 Improvements, PW 09-10 Water Reservoir Internal/External Corrosion Rehabilitation Program, PW 09-11 Water System Reservoirs 2005 Improvements, and PW 12-01 Water Audit Program and Water Loss Control Plan; and

NOW BE IT THEREFORE RESOLVED, the Consolidated Commission on Utilities does hereby approve the following:

1. The recitals set forth above hereby constitute the findings of the CCU.

EXHIBIT A

2. The CCU finds that the terms of the fee proposal submitted by GHD are fair and reasonable.
3. The CCU hereby authorizes the management to accept the fee proposal from GHD (Exhibit C) inclusive of estimated time and material budget for limited CM services, which is also incorporated into this Resolution in its entirety.
4. The CCU hereby authorizes the management of GWA to enter into a contract with GHD, in the amount of Two Million Five Hundred Thirty-Nine Thousand Nine Hundred Ninety-One Dollars and Zero Cents (\$2,539,991.00).
5. The CCU hereby approves the total funding amount for this project of Two Million Five Hundred Thirty-Nine Thousand Nine Hundred Ninety-One Dollars (\$2,539,991.00), with a ten percent (10%) contingency of Two Hundred Fifty-Three Thousand Nine Hundred Ninety-Nine Dollars and Ten Cents (\$253,999.10), to bring the total authorized funding amount to Two Million Seven Hundred Ninety-Three Thousand Nine Hundred Ninety Dollars and Ten Cents (\$2,793,990.10).
6. The CCU hereby further approved the funding source shall be the following:
 - PW 09-04: Pressure Zone Realignment/Development 2005 Improvements
 - PW 09-10: Water Reservoir Internal/External Corrosion Rehabilitation Program
 - PW 09-11: Water System Reservoirs 2005 Improvements
 - PW 12-01: Water Audit Program and Water Loss Control Plan

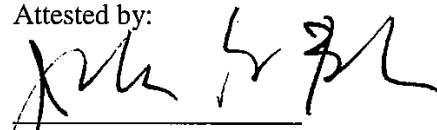
RESOLVED, that the Chairman certified and the Board Secretary attests to the adoption of this Resolution.

DULY AND REGULARLY ADOPTED, this 5th day of June 2018.

Certified by:


JOSEPH T. DUENAS
 Chairperson

Attested by:


J. GEORGE BAMBA
 Secretary

SECRETARY'S CERTIFICATE

I, J. George Bamba, Board Secretary of the Consolidated Commission on Utilities as evidenced by my signature above do hereby certify as follows:

The foregoing is a full, true and accurate copy of the resolution duly adopted at a regular meeting by the members of the Guam Consolidated Commission on Utilities, duly and legally held at a place properly noticed and advertised at which meeting a quorum was present and the members who were present voted as follows:

AYES:	<u>5</u>
NAYS:	<u>0</u>
ABSTENTIONS:	<u>0</u>
ABSENT:	<u>0</u>



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December 24, 2019

Mauryn McDonald, PE
 Chief Engineer
 Guam Waterworks Authority
 Gloria B. Nelson Public Service Building
 688 Route 15
 Mangilao, Guam 96913

Attention: Garrett Yeoh

**RE: Change Proposal 02 for Design Services for GWA's Pressure Zone Realignment and Tank Repair/Replacement, GWA Project W18-001-BND
 Water Loss Control Program Development**

Dear Ms. McDonald:

GHD is pleased to submit this change proposal to amend our Scope of Work and Fee for the Pressure Zone Realignment and Tank Repair/Replacement (Pressure Zone Realignment) project. This scope of work defines the additional design services GHD and our subconsultant, Water Systems Optimization, Inc. (WSO), will provide for Phase 3 of the Water Loss Control Program. More specifically, the design services will include the development of a plan to implement District Metered Areas (DMA) island-wide and the construction documents to execute four sites that resulted from the DMA Conversion report prepared by WSO and delivered to GWA November 2019. The original project scope will be amended on a lump sum basis per the fees in the table below.

SCOPE OF WORK

The first step will be the Phase 3 Water Loss Control Program Development to be prepared by WSO. The detailed scope of work, dated October 2019, is attached. The plan will include identification of DMA infrastructure requirements to implement the DMAs in Task 4 of the attached scope of work. GHD will provide project oversight and coordination between the original Pressure Zone Realignment scope of work. Efforts will be coordinated with the design and construction documents of the Pressure Zone Realignment in the determination of DMAs. GHD will review the infrastructure requirements identified under Task 4 of the WSO scope of work for suitability with GWA's water system and the climate on Guam.

Secondly, GHD will prepare construction documents to execute the infrastructure requirements to convert four temporary DMAs under Phase 2 of the WSO original scope to permanent DMAs. The design will follow the recommendations in the report "DMA Conversion – Recommendations for Conversion of the

Page 1 of 3



Temporary DMAs to Permanent DMAs.” The four DMAs are Asan-Piti, Mataguac, Nimitz Estates, and Windward-Talafofo. These recommendations included battery-powered flow meters, data loggers and M2M data transmission that do not communicate with GWA’s SCADA system. No electrical or SCADA design will be provided under this scope of work. The documents will include specifications, plans, cost estimates, and bid forms necessary for bidding and permit submittal to DPW. The documents will be integrated with construction documents for a phase of the Pressure Zone Realignment. GHD will prepare and submit the following:

- Multidiscipline plans at 30%, 60%, 90%, and Final completion levels per the requirements for Pressure Zone Realignment.
- Construction cost estimate based on the 60% and 100% design plans and specifications. These estimates will be Class 3 and 2 respectively in accordance with the AACE International Cost Estimate Classification System.

GHD shall coordinate with Guam Environmental Protection Agency and Department of Public Works at the 90% submittal. This includes submitting 11x17 plans, one meeting with each, and incorporating any relevant regulation requirements in the design.

ASSUMPTIONS AND EXCEPTIONS

- This change proposal only applies to the scope of work and contract amount. The terms of the original executed agreement still apply.
- The scope to prepare construction documents for the execution of the infrastructure improvements for permanent DMAs is limited to the specific sites listed above. If infrastructure requirements are needed for more sites, GHD will negotiate a fee adjustment.
- GHD’s scope of work assumes that existing conditions are accurately defined by WSO and SCADA and electrical design are excluded. The fee will be renegotiated for design changes based on differing conditions from those defined by WSO.
- Property and right-of-way research and acquisition will be provided by GWA.
- Survey services are excluded. It is assumed that the existing site conditions can be prepared based on field hand measurements, utility locations from aboveground utility appurtenances, and as-built drawings.
- Construction Bid Support Services are excluded.
- Construction Management Services are excluded.

The fee will be adjusted accordingly if designs are needed at less than 30 sites or less than four different sets of contract documents are prepared for bidding. The fees for specifications and bid plans apply if the documents are combined into a set with improvements from the original Pressure Zone Realignment scope of work.

FEE SCHEDULE FOR ADDITIONAL DESIGN SERVICES

TASKS	TOTALS
Original Contract Amount	\$2,511,097
WSO fee and GHD markup	\$287,500



GHD Project Management and Coordination	\$14,800
GHD Construction Documents	\$52,900
<ul style="list-style-type: none"> • 4 sites at \$11,000 each • Enclosure Detailing \$4,000 • Specifications Additions \$2,500 • Cost Estimates \$2,400 	
Subtotal Cost	\$355,200
Guam GRT (at 5.2%)	\$18,470
TOTAL CHANGE PROPOSAL COST	\$373,670
AMENDED CONTRACT AMOUNT	\$2,884,767

Work that exceeds the scope of this proposal will be brought to your attention for review, approval and fee adjustment. Work performed will be billed monthly based on the estimated percent complete. We stand ready to provide the professional services necessary to assist GWA in this endeavor.

Sincerely,

Aaron Sutton, PE, ENV SP
Project Manager

Attachments: WSO Phase 3 Water Loss Control Program Development Proposal, October, 2019

Cc: file

GUAM WATERWORKS AUTHORITY

Phase 3

Water Loss Control Program Development

WATER SYSTEMS OPTIMIZATION, INC.



PROPOSAL SUBMISSION

OCTOBER, 2019

ELECTRONICALLY SUBMITTED

COVER LETTER

October 18, 2019

TO: GHD - Guam

Attn: Mr. Aaron Sutton, P. E.
GHD Guam Office Manager

FROM: Water Systems Optimization, Inc.

131 Kissling Street
San Francisco, CA 94103
Tel: 415-533-0419



Dear Mr. Sutton,

After successful completion of Phase 1 and 2 of the Guam Waterworks Authority (GWA) Water Loss Control Program we are pleased to submit this scope for Phase 3 as requested during recent meetings with GWA stakeholders.

Phases 1 and 2 have confirmed that there is a strong case for substantial cost recovery through the implementation of a comprehensive water loss reduction project in GWAs distribution network.

In Phase 3, WSO will develop a water loss control program for GWA based on the island-wide implementation of District Metered Areas, an approach proven successful during Phase 2. The aim is to provide a long-term, sustainable and holistic approach to monitoring and managing water losses within the GWA water supply and distribution network.

Our project team wholeheartedly believes that we are uniquely positioned to provide the best service to GWA and its customers. Water Systems Optimization (WSO) respectfully submits the enclosed scope with the intention that all of the required information is supplied. WSO will happily provide any further clarification if needed.

If you have any questions, please do not hesitate to contact me at (786) 877-5752 or by email at reinhard.sturm@wsoglobal.com.

Sincerely,

A handwritten signature in black ink, appearing to read 'Reinhard Sturm', with a stylized flourish at the end.

Reinhard Sturm

CEO/President – WSO

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WSO Scope: GWA Phase 3 Water Loss Control Program Development

1 PHASE 3: WATER LOSS CONTROL PROGRAM DEVELOPMENT

Project Approach & Understanding

During the Phase 2 Pilot Project, the direct measurement of water losses in three pilot temporary District Metered Areas (DMAs) supported and confirmed the results from the Phase 1 top-down water audit - that physical water loss from leaking pipes is the major component of water loss for GWA.

In Phase 3 WSO will develop a water loss control program for GWA based on the island-wide implementation of DMAs. The aim is to provide a long-term, sustainable and holistic approach to monitoring and managing water losses within the GWA water supply and distribution network.

DMAs allow the direct measurement of water losses within the water network and can be used to set targets for water loss reduction at the DMA, supply zone and system-wide level. Within each DMA, leak detection and repair will be carried out to reduce water losses from detectable leaks and, where necessary, pressure within the DMA will be managed downwards to further reduce losses from background leaks. A DMA monitoring system will provide for the automated calculation of monthly water loss volume within each DMA. This allows DMAs to be ranked in priority order according to their volume of water loss. The long-term aim will be to reduce the water loss volume in each DMA to the optimum economic level and to focus water loss control activity in those DMAs where water loss increases above the economic level. This approach will ensure that GWA reduces the current markedly high water-loss level and has in place a system to manage future water loss levels at the most economic level.

The requested services include the development of a DMA implementation program that takes into account the ongoing pressure zone realignment program and other relevant CIP and operational programs.

WSO proposes the following steps to develop a DMA-based water loss water management program for GWA.

1. Review existing zone realignment and CIP plans and hydraulic models.
2. Identify potential DMAs to provide maximum coverage of the water supply and distribution network.
3. Identify the GWA customers inside each potential DMA to assess for DMA size and water demand.
4. Identify DMA infrastructure requirements and costs including requirements for DMA meter points, chambers, boundary valves, telemetry/SCADA and pressure management.
5. Produce a prioritized ranking of potential DMAs by ease / least cost implementation.
6. Develop a phased DMA implementation plan (3 to 5-year plan).
7. Produce draft scopes for the various project implementation elements (design, construction and management).

2 PHASE 3: SCOPE OF WORK**Task 1: Review of Existing Plans and Models*****Task 1A: Zone Realignment Plan and Phasing*****Review Zone Realignment Plan**

WSO will review the ongoing zone realignment plan to understand the current and proposed network configuration, as well as the associated realignment tasks (new PRVs etc.). WSO will also review the phasing of the zone realignment work in order to understand the sequence in which the zones are being realigned. This will feed into the later task where the DMA Implementation Plan is developed.

Task 1A outcomes:

- *Understanding of the current and proposed network configuration*
- *Understanding of the order in which the pressure zones are being realigned*

Task 1B: Hydraulic Model**Review Hydraulic Model Output**

WSO will review the current hydraulic model of the GWA network, including the future scenarios that cover the pressure zone realignment. This will improve the understanding of how the current network configuration is performing and what effects the proposed pressure zone realignment work will have. The model can also be used to test the proposed DMAs that are identified in Task 2.

Task 1B outcomes:

- *Utilization of the hydraulic model to assist in understanding the performance of the current network configuration*
- *Utilization of the hydraulic model to assist in understanding the performance improvements being brought about by the proposed pressure zone realignment work*
- *Prepare for utilization of the hydraulic model to test potential DMAs*

Task 1C: GIS**Review current GIS records**

Obtain latest GIS records for the pipe network and customer locations for DMA design.

Task 1C outcomes:

- *Utilization of GIS records for DMA design*

Task 1D: Pressure Reducing Valve (PRV) Rehabilitation / Replacement Plans and any other relevant CIP projects**Review the PRV Rehabilitation / Replacement Plans**

WSO will review GWAs plans for rehabilitation and/or replacement of PRVs and all other relevant CIP projects (pump station upgrades, new wells, etc.) to ensure these are taken into account in the DMA identification phase.

Task 1D outcomes:

- *Understanding of GWAs PRV rehabilitation / replacement plans*
- *Understanding of relevant CIP projects*

Task 2: Identification of Potential DMAs**Task 2A: Desk Study**

WSO will carry out a desk study utilizing the data and understanding gained in Task 1 to identify all the potential DMAs, including the potential DMA inlet points and boundaries. Each potential DMA will be tested using the hydraulic model to ensure that it can be implemented without impacting on service levels.

Task 2A outcomes:

- *Draft list of potential DMAs with inlet points and boundaries*

Task 2B: Site Visit to Potential DMA Inlet Locations

WSO will carry out a site visit to all potential DMA inlet locations to identify the optimal DMA inlet meter point location.

Task 2B outcomes:

- *DMA Inlet meter Location Point Plans.*

Task 2C: Site Visit to Potential DMA Boundary Locations

The extent of each DMA boundary will be determined by inspection of the pressure zone details and the distribution network records. The location of any boundary valve will be identified. All boundary valves will be located and tested for operation including whether it can provide a water-tight shut when closed off and tested for operation. Should a boundary valve be found to be inoperable or passing, it will need to be replaced with a new boundary valve. Any boundary valve that cannot be located will need excavating to enable testing.

Task 2C outcomes:

- *DMA boundary valve plans, including list of valves that need to be replaced and new valves that need to be installed*

Task 2D: Site Visit all above-ground infrastructure in each potential DMA

The above-ground infrastructure (water tanks and pumping stations) in each DMA will be inspected to determine what additional measurement devices (water level, inlet and outlet flow) are required to ensure that the DMA water balance can be correctly calculated. This is particularly relevant for water tanks within a DMA where water storage increases / decreases must be recognized to correctly calculate water losses.

Task 2D outcomes:

- *Identification of additional measurement requirements at above-ground infrastructure in each DMA*

Task 2E: Non-intrusive DMA Inflow Measurement and Preliminary Water Loss Assessment

Where possible, the DMA inflow will be measured using non-intrusive techniques (logging of existing meters and/or use of clamp-on ultrasonic flow meters). This will enable a preliminary water loss assessment for the potential DMA to be carried out.

Task 2E outcomes:

- *DMA Inlet flow measurement (where possible)*
- *DMA Water Loss Assessment where inflow measurement is possible*

Task 2F: DMA Pressure Data Collection

Pressure data will be collected in each potential DMA using both normal and high-frequency data loggers to assess the pressure profile and determine the scope for pressure management in the DMA.

Task 2E outcomes:

- *DMA pressure data*
- *Identification of scope for pressure management in the DMA*

Task 2G: Zero Pressure Tests

Where possible, a Zero Pressure Test (ZPT) will be carried out in the potential DMA. This entails closing the main inlet supply valve for the zone and recording the pressure at selected locations within the zone. All boundary valves will be manually sounded during the ZPT to make sure they close tightly and are not allowing water to pass into the zone. Should the zone fail the ZPT (positive pressure remains within the zone) then extensive investigations will be needed to locate the zone breach. Additional boundary valves may be required if zone breaches are identified.

Task 2E outcomes:

- *Confirmed DMA boundary*
- *Need for additional boundary valves*

Task 3: Customer Identification per DMA

WSO will utilize the existing GWA customer billing data to identify the number of customers and the current customer demand within each potential DMA. This will be used in the assessment of DMA water losses for those DMAs where temporary inflow measurement has been possible.

Task 3 outcomes:

- *Number of customers in each potential DMA*
- *Current customer demand in each potential DMA*

Task 4: Identification of DMA Infrastructure Requirements

For each potential DMA, the infrastructure requirements needed to implement the DMA will be identified, catalogued and provisionally costed. These will include:

- Preliminary DMA meter point pipework design and costing
- Preliminary DMA meter point chamber design and costing
- DMA boundary valve locations, including preliminary design for additional valves, where necessary.
- Preliminary DMA telemetry / SCADA requirements
- Additional pressure management requirements

Task 4 outcomes:

- *Complete list of all DMA infrastructure requirements with preliminary design and costings*

Task 5: Prioritization of Proposed DMAs

WSO will produce a priority ranking of the potential DMAs by ease of implementation and capital investment needed (least cost first). This will drive the DMA Implementation Plan with the DMAs that are easiest to implement and have lowest capital cost requirement being done first.

Task 5 outcomes:

- *Prioritized list of potential DMAs ranked by ease of implementation*

Task 6: Develop DMA Implementation Plan

The prioritized list of potential DMAs will be used to develop a 3-year to 5-year DMA implementation plan. The plan will take into account the pressure zone realignment work. The plan will set out in detail the requirements for each DMA in terms of construction requirements, boundary valve operation, telemetry and SCADA requirements, and additional pressure management requirements.

Task 6 outcomes:

- *DMA implementation Plan*

Task 7: Develop Draft Scopes for Implementation Project Contracting Elements

WSO will develop draft scope of works for the Implementation Project contracting elements.

Task 7 outcomes:

- *Draft Scope for Construction Design and Specifications*
- *Draft Scope for Water Loss Control Management including DMA boundary implementation, leak detection, pressure management and ongoing monitoring of DMA water loss levels*
- *Draft Scope for Leak Repair works*

3 PROJECT MANAGEMENT AND REPORTING

In order to ensure that the project meets GWA WSD's expectations and timeline, the project team will schedule appropriate milestone meetings to discuss project findings and scheduling. In addition to the project milestone meetings, the project team will schedule individual meetings with various departments and stakeholders as necessary. Monthly progress reports will accompany the monthly invoice that WSO will prepare.

After completing all tasks, the project team will develop a final report that includes an executive summary, a description of the study process, all analyses conducted, and findings and recommendations for implementing GWA's water loss control program. Prior to submittal of the final report, WSO will prepare a draft report for GWA staff review and incorporate comments received from GWA in preparing the final report.

- *Monthly invoicing and progress update*
- *Brief program report on water loss program recommendations*
- *Slide deck for presenting water loss program*

4 PROJECT SCHEDULE AND COST

Project Schedule

WSO understands that time is of the essence for GWA, and we can guarantee that the project will be completed in the expected timeframe with all deliverables by June 30, 2020 assuming a project start date no later than January 1, 2020.

WSO will update GWA staff regularly with project findings and the status of each task underway. WSO will conduct milestone meetings to present and discuss project findings and adjust task schedules where necessary. WSO prides itself on being accessible and responsive – we will be in close communication to ensure the on-time and complete delivery of the project's objectives.

Additionally, WSO will schedule an in-person results presentation to discuss findings and recommendations.

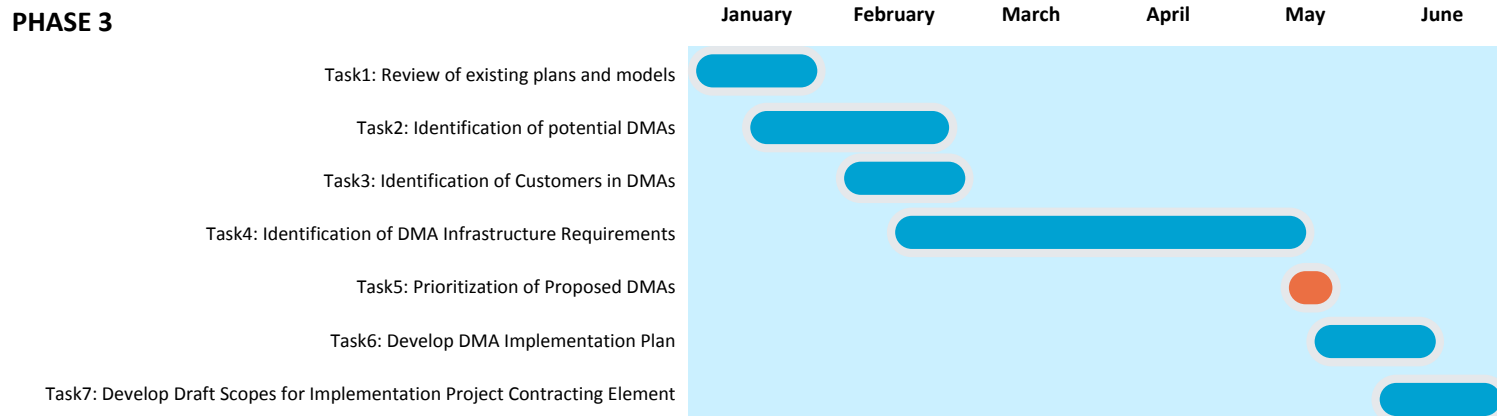


Table 1: Proposed Project Schedule, Organized by Task

Project Cost

Phase 3 lump sum cost is \$250,000.

WSO will submit monthly invoices based on task percentage completion.

APPENDIX A – PROJECT ORGANIZATIONAL CHART

PHASE 3:

This phase of the project will be led by Steve Preston. Reinhard Sturm will assist in a project advisory role. Peter Jinks of WSO will serve as the project manager for this phase of the project. Peter will be based in Guam for the duration of the project. Peter will be assisted by Kris Williams on data intake and management. Kris Williams will mostly work remotely but it is planned for Kris or one of WSOs Leak Detection Specialists to be on site to assist Peter Jinks during the DMA pressure data collection task.

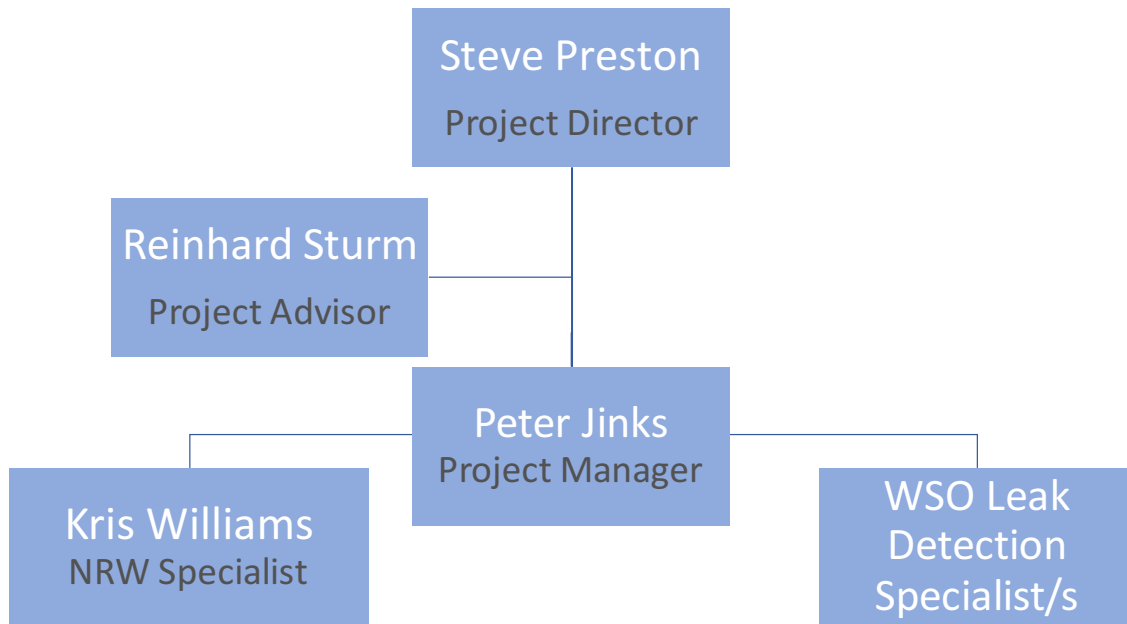




EXHIBIT C

February 3, 2021

Brett Railey, PE
Interim Chief Engineer
Guam Waterworks Authority
Gloria B. Nelson Public Service Building
688 Route 15
Mangilao, Guam 96913

Attention: Garrett Yeoh

**RE: Change Proposal 04 for Design Services for GWA's Pressure Zone Realignment and Tank Repair/Replacement, GWA Project W18-001-BND
Nimitz Hill Waterline Replacement and PRVs and Construction Management for Phase 2 Construction**

Dear Mr. Railey:

GHD is pleased to submit this change proposal to amend our Scope of Work and Fee for the Pressure Zone Realignment and Tank Repair/Replacement (Pressure Zone Realignment) project. This scope of work defines the additional design services GHD will provide for water system improvements on Nimitz Hill around Nimitz Estates and Mama Sandy areas in Piti. More specifically, the design services will include the design of a waterline replacement, revising the Nimitz District Metered Area (DMA) meter to a pressure reducing/sustaining valve (PRSV)/meter vault, and a permanent pressure reducing valve (PRV) station to replace a temporary PRV. Additionally, this scope will provide budget for construction management services for Pressure Zone Realignment Phase 2 Construction. The original project scope will be amended on a lump sum basis per the fees in the table below.

SCOPE OF WORK

Nimitz Hill Water Improvements

The detailed scope involves revising the Nimitz DMA meter to a station with a PRSV, meter, power source and SCADA panel. The PRSV station would still be on Larson Road, but moved to a lower elevation of about 557. This elevation would lower the pressure of houses on Ocean View to a maximum of 90 psi. Moving the meter will not cause any residences to be outside of the DMA.

Operations is in the process of installing a temporary PRV across the street from the Inter-Island Communications radio station on Route 6. The purpose is to alleviate immediate pressure problems in the area to stop pipe breakage due to excessive pressure. The vault is not going to be constructed to standards

**EXHIBIT C**

to support traffic loads. The scope of this change proposal will include the design of a permanent PRV station to replace the temporary. No electrical or SCADA design is included with this PRV station.

The existing waterline on Route 6 is Asbestos Cement Pipe (ACP) which is brittle and has been rupturing due to the excessively high pressure in the area. This scope will provide a design for the replacement of approximately 3,600 lineal feet of the existing ACP from the PRV station across from the radio station on Route 6 to an existing PRV after Chalan Sabana in Nimitz Estates. The waterline will bypass the existing PRV at the northeast corner of Route 6 and Nimitz Estates Road. This existing PRV will be repurposed to reduce pressure for services down Route 6.

Construction Management Budget

construction management of the construction of Pressure Zone Realignment Phase 1 has been successfully accomplished on a time and material basis. A budget was assumed for this purpose in the original Scope of Work and Fee. The Pressure Zone Realignment project is expected to have four phases and more budget is needed for construction management of the remaining three phases. This change proposal will provide budget that is estimated to cover the construction management services of Phase 2 construction.

ASSUMPTIONS AND EXCEPTIONS

- This change proposal only applies to the scope of work and contract amount. The terms of the original executed agreement still apply.

FEE SCHEDULE FOR ADDITIONAL DESIGN SERVICES

TASKS	TOTALS
Original Contract Amount	\$2,884,767
Change Order 1	\$373,670
Change Order 2	\$36,294
Contract Amount Prior to Change Proposal	\$2,921,061
Nimitz Hill Water Improvements	\$79,892
Construction Management Budget	\$200,000
Guam GRT (at 5.2%)	\$14,555
TOTAL CHANGE PROPOSAL COST	\$294,447
AMENDED CONTRACT AMOUNT	\$3,215,508



EXHIBIT C

Work that exceeds the scope of this proposal will be brought to your attention for review, approval and fee adjustment. Work performed will be billed monthly based on the estimated percent complete. We stand ready to provide the professional services necessary to assist GWA in this endeavor.

Sincerely,

A handwritten signature in black ink, appearing to read "Aaron Sutton", written over a light blue horizontal line.

Aaron Sutton, PE, ENV SP
Project Manager

Attachments: None

Cc: file



Gloria B. Nelson Public Service Building | 688 Route 15 | Mangilao, Guam 96913
Tel: (671) 300-6846

Issues for Decision

Resolution No. 10-FY2021

Relative to Approval of the Additional Funding to the Construction Contract for the Tank Repair and Bypass Project

What is the project's objective and is it necessary and urgent?

The objective of the Tank Repair and Bypass Project is to complete needed repairs and rehabilitation to GWA water reservoirs as part of the final component of the 2011 Court Order compliance requirements. The work to be performed which requires additional funding is necessary as a result of the ongoing inspections after bypass work was completed. The Windward Hills tank is undergoing API and structural inspections (02/03/21 to 02/09/21). Preliminary comments from the API inspector recommends replacing the tank floor, metal repair, and complete interior and exterior coating. Lead has been found on the exterior paint coating which needs to be addressed through complete removal or paint encapsulation. Interior lead testing is scheduled for the week of 02/08/21.

Bypass for the Malojloj tank is underway. Once the bypass is completed, the tank will be taken offline for API/structural inspections. It is anticipated that the tank will need major repairs.

GWA management is seeking approval for the funding for the tank repairs to be inline with the inspection report repair recommendations to prevent delays placing the tanks online. Additive Bid Items considered potential repairs. Additive Bid Major repair work includes new double bottom floor, complete exterior and interior coating, cathodic protection, vent, hatch, ladder, column and base plate repair, and miscellaneous repair items. Additional repair found during inspections include lead paint removal or encapsulation.

The additional work described above is urgent because as a requirement of the 2011 Court Order, completion of the work has specific compliance deadlines which have already been surpassed.

Where is the project located?

Malojloj Reservoir

The tank is located off Highway 4 in Malojloj heading South after the Malojloj Residential Transfer Station.

Windward Hills

The tank is located off Camacho Street, Highway 4A in Talofofo heading South after Onward Talofofo Golf Club.

How much will it cost?

- Additive Bid No. 5 – Malojloj Tank Major Repair proposal submitted by AIC International, Inc. is \$1,128,298.00.
- Additive Bid No. 7 – Windward Hills Major Repair proposal submitted by AIC International, Inc. is \$1,098,564.00.
- Additive Bid No. 5 and No. 7 total is \$2,226,862.00.

GWA management is requesting a 15% contingency of \$334,029.00 to address additional repair needed that were not included in the Additive Bid major repair items.

The total requested funding amount is \$2,560,891.00.

When will it be completed?

1. Malojloj Major Repair: The Contractor shall begin work upon issuance of the Change Order Notice to Proceed (NTP) and shall be substantially completed as specified no later than 180 calendar days.
2. Windward Major Repair: The Contractor shall begin work upon issuance of the Change Order Notice to Proceed (NTP) and shall be substantially completed as specified no later than 180 calendar days.

What is the funding source?

1. CIP PW 09-09: Water Reservoir Internal/External Corrosion Assessment Program
2. CIP PW 09-11: Water System Reservoirs 2005 Improvements



CONSOLIDATED COMMISSION ON UTILITIES
Guam Power Authority | Guam Waterworks Authority
P.O. Box 2977 Hagatna, Guam 96932 | (671)649-3002 | guamccu.org

GWA RESOLUTION NO. 10-FY2021

**RELATIVE TO APPROVAL OF THE ADDITIONAL FUNDING TO THE
CONSTRUCTION CONTRACT FOR THE TANK REPAIR AND BYPASS PROJECT**

WHEREAS, under 12 G.C.A. § 14105, the Consolidated Commission on Utilities (“CCU”) has plenary authority over financial, contractual and policy matters relative to the Guam Waterworks Authority (“GWA”); and

WHEREAS, the Guam Waterworks Authority (“GWA”) is a Guam Public Corporation established and existing under the laws of Guam; and

WHEREAS, GWA currently has critical Court Order (“CO”) Projects that includes the Santa Ana, Agat-Umatat, Umatat Subdivision, Pigua Merizo, Malojloj, Windwards Hills, Kaiser, Yigo, and Astumbo No. 2 Tanks, as stated in Paragraph 29.b of the Order for Preliminary Relief Re: Deadlines for Outstanding Projects Under the Amended Stipulated Order; and

WHEREAS, Resolution No. 10-FY2020 (See Exhibit A) authorized GWA management to enter into contract with AIC, International in the amount of Five Million Four Hundred Two Thousand Three Hundred Twenty-Six Dollars (\$5,402,326.00) for base bid and select additive bid items, along with a 10% contingency of Five Hundred Forty Thousand Two Hundred Thirty-Three Dollars (\$540,233.00), bringing the total authorized funding amount to Five Million Nine Hundred Forty-Two Thousand Five Hundred Fifty-Nine Dollars (\$5,942,559.00); and

WHEREAS, GWA has issued Change Order No. 1 for Yigo No. 3 Major Repairs and is in the process of issuing Change Order No. 2 for the Agat-Umatat Major Repair; and

WHEREAS, GWA is in the process of inspecting Windward Hills tank and installing the bypass for Malojloj tank to allow inspections; and

WHEREAS, Tank Repair and Bypass, IFB-06-EN-2019, included Additive Bid Major Repair Items No. 5 and No. 7 for the Malojloj and Windward Hills tanks, respectively (See Exhibit B); and

WHEREAS, GWA Management is seeking additional funding to award additional additive bid items for the major repair of the Windward Hills and Malojloj tanks in the amount of Two Million Two Hundred Twenty-Six Thousand Eight Hundred Sixty-Two Dollars (\$2,226,862.00) along with a 15% contingency of Three Hundred Thirty-Four Thousand Twenty-Nine Dollars (\$334,029.00), bringing the total additional funding amount to Two Million Five Hundred Sixty Thousand Eight Hundred Ninety-One Dollars (\$2,560,891.00).; and

WHEREAS, the funding sourced for the construction project will be from bond funds as detailed in the following CIP line items:

- CIP PW 09-09: Water Reservoir Internal/External Corrosion Assessment Program
- CIP PW 09-11: Water System Reservoirs 2005 Improvements

NOW BE IT THEREFORE RESOLVED, the Consolidated Commission on Utilities does hereby approve the following:

1. The recitals set forth above hereby constitute the findings of the CCU.
2. The CCU hereby authorizes Two Million Five Hundred Sixty Thousand Eight Hundred Ninety-One Dollars (\$2,560,891.00) to fund the Windward Hills and Malojloj Tank Major Repairs to bring the total project authorization to Eight Million Five Hundred Three Four Hundred Fifty Dollars (\$8,503,450.00).
3. The CCU hereby approves the use of funding sources from the following CIP line items:
 - a. CIP PW 09-09: Water Reservoir Internal/External Corrosion Assessment Program
 - b. CIP PW 09-11: Water System Reservoirs 2005 Improvements

1 **RESOLVED**, that the Chairman certified and the Board Secretary attests to the adoption
2 of this Resolution.

3
4 **DULY AND REGULARLY ADOPTED**, this 23rd day of February 2021.

5
6 Certified by:

Attested by:

7
8 _____
9 **JOSEPH T. DUENAS**
10 Chairperson

MICHAEL T. LIMTIACO
Secretary

11
12 **SECRETARY'S CERTIFICATE**

13
14 I, Michael T. Limtiaco, Board Secretary of the Consolidated Commission on Utilities as
15 evidenced by my signature above do hereby certify as follows:

16 The foregoing is a full, true and accurate copy of the resolution duly adopted at a regular
17 meeting by the members of the Guam Consolidated Commission on Utilities, duly and
18 legally held at a place properly noticed and advertised at which meeting a quorum was
19 present and the members who were present voted as follows:

20 AYES: _____

21 NAYS: _____

22 ABSENT: _____

23 ABSTAIN: _____

24
25
26
27 ///

28
29 ///

30
31
32 ///

Exhibit A (pg. 1 of 5)



CONSOLIDATED COMMISSION ON UTILITIES
Guam Power Authority | Guam Waterworks Authority
P.O. Box 2977 Hagatna, Guam 96932 | (671)649-3032 | guamccu.org

GWA RESOLUTION NO. 10-FY2020

**RELATIVE TO APPROVAL OF THE CONSTRUCTION CONTRACT FOR THE TANK
REPAIR AND BYPASS PROJECT**

WHEREAS, under 12 G.C.A. § 14105, the Consolidated Commission on Utilities (“CCU”) has plenary authority over financial, contractual and policy matters relative to the Guam Waterworks Authority (“GWA”); and

WHEREAS, the Guam Waterworks Authority (“GWA”) is a Guam Public Corporation established and existing under the laws of Guam; and

WHEREAS, GWA currently has critical Court Order (“CO”) Projects that include the Santa Ana, Agat-Umatat, Umatat Subdivision, Pigua Merizo, Malojloj, Windwards Hills, Kaiser, Yigo and Astumbo No. 2 Tanks, as stated in Paragraph 29.b of the Order for Preliminary Relief Re: Deadlines for Outstanding Projects Under the Amended Stipulated Order; and

WHEREAS, GWA has advertised an Invitation for Bid (IFB-06-ENG-2019) soliciting bid proposals from experienced, responsible, and responsive bidders to construct tank bypass systems to allow for inspection and repair of the tanks; and

WHEREAS, under the Base Bid Work, the Santa Ana, Agat-Umatat, Umatat Subdivision, Pigua Merizo, Malojloj, Windward Hills, and Kaiser tank shall undergo inspection and minor repair work;

WHEREAS, should the tank inspections warrant the above tanks to undergo major repair as detailed in the Additive Bid Work, a change order shall be negotiated with the Contractor;

//

1 **WHEREAS**, under Base Bid Work, the Astumbo No. 2 tank shall undergo major repair
2 which includes complete exterior and interior tank painting, new tank floor, weld repairs,
3 cathodic protection, and miscellaneous repairs;

4
5 **WHEREAS**, under Additive Bid No. 1, the Yigo No. 3 tank shall undergo major repair
6 which includes complete exterior and interior tank painting, weld repairs, cathodic protection,
7 and miscellaneous repairs;

8
9 **WHEREAS**, IFB packages were picked up by 8 interested bidders, from which GWA
10 received bid proposals from 2 of the 8 parties before the IFB submittal deadline (See Exhibit A –
11 Abstracts of Bid); and

12
13 **WHEREAS**, GWA engineering team analyzed all bid proposals received on November
14 21, 2019 and determined AIC International, Inc. as being the lowest responsive and responsible
15 bidder and met all the bid requirements set forth by GWA; and

16
17 **WHEREAS**, GWA management finds that AIC International, Inc.'s Base Bid proposal
18 of Four Million Two Hundred Eight Thousand One Hundred Ninety-Seven Dollars
19 (\$4,208,197.00) to be acceptable (See Exhibit B – Bid Form).

20
21 **WHEREAS**, GWA Management will assess any additional funding availability from the
22 latest Capital Improvements Plan to ascertain if any or all the Additive bid items as part of this
23 IFB can be awarded later through a change order or via a subsequent CCU approval as a means
24 of maximizing system improvements efficiently; and

25
26 **WHEREAS**, GWA Management is seeking approval to enter in contract for the Base Bid
27 work with AIC International, Inc. (IFB-06-ENG-2019) in the amount of Four Million Two
28 Hundred Eight Thousand One Hundred Ninety-Seven Dollars (\$4,208,197.00), along with a ten
29 percent (10%) contingency of Four Hundred Twenty Thousand Eight Hundred Twenty Dollars
30 (\$420,820.00), bringing the total Base Bid requested funding amount to Four Million Six
31 Hundred Twenty Nine Thousand Seventeen Dollars (\$4,629,017.00); and

32 //

WHEREAS, GWA Management is seeking approval to include in such contract Additive Bid No. 1 – Yigo No. 3 Major Repair Work in the amount of One Million One Hundred Ninety-Four Thousand One Hundred Twenty-Nine Dollars (\$1,194,129.00) after entering into contract with AIC International, Inc., along with a ten percent (10%) contingency of One Hundred Nineteen Thousand Four Hundred Thirteen Dollars (\$119,413.00), bringing the total additive bid item funding amount to One Million Three Hundred Thirteen Thousand Five Hundred Forty-Two Dollars (\$1,313,542.00).

WHEREAS, the funding source for the construction project will be from bond funds as detailed in the following CIP line items:

- CIP PW 09-09: Water Reservoir Internal/External Corrosion Assessment Program
- CIP PW 09-11: Water System Reservoirs 2005 Improvements

NOW, BE IT THEREFORE RESOLVED, the Consolidated Commission on Utilities does hereby approve the following:

1. The recitals set forth above hereby constitute the findings of the CCU.
2. The CCU finds that the terms of the bid proposal submitted by AIC International, Inc. are fair and reasonable.
3. The CCU hereby authorizes the management of GWA to accept bid from AIC International, Inc. attached hereto as Exhibit B, and which is also incorporated into this Resolution in its entirety.
4. The CCU hereby authorizes the management of GWA to enter into a contract with AIC International, Inc. in the amount of Four Million Two Hundred Eight Thousand One Hundred Ninety-Seven Dollars (\$4,208,197.00) for base bid work plus the amount of One Million One Hundred Ninety-Four Thousand One Hundred Twenty-Nine Dollars (\$1,194,129.00) for additive bid item work.
5. The CCU hereby approves the funding total of Five Million Four Hundred Two Thousand Three Hundred Twenty Six Dollars (\$5,402,326.00), along with a ten percent (10%) contingency of Five Hundred Forty Thousand Two

Hundred Thirty Three Dollars (\$540,233.00), bringing the total authorized funding amount to Five Million Nine Hundred Forty Two Thousand Five Hundred Fifty Nine Dollars (\$5,942,559.00).

6. The CCU hereby approves the use of funding sources from the following CIP line items:

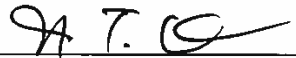
- a. CIP PW 09-09: Water Reservoir Internal/External Corrosion Assessment Program
- b. CIP PW 09-11: Water System Reservoirs 2005 Improvements

RESOLVED, that the Chairman certified and the Board Secretary attests to the adoption of this Resolution.

DULY and REGULARLY ADOPTED, this 28th day of January 2020.

Certified by:

Attested by:


JOSEPH T. DUENAS
Chairperson


MICHAEL T. LIMTIACO
Secretary

SECRETARY'S CERTIFICATE

I, Michael T. Limtiaco, Board Secretary of the Consolidated Commission on Utilities as evidenced by my signature above do hereby certify as follows:

The foregoing is a full, true and accurate copy of the resolution duly adopted at a regular meeting by the members of the Guam Consolidated Commission on Utilities, duly and legally held at a place properly noticed and advertised at which meeting a quorum was present and the members who were present voted as follows:

AYES:	<u>5</u>
NAYS:	<u>0</u>
ABSTENTIONS:	<u>0</u>
ABSENT:	<u>0</u>




ORIGINAL

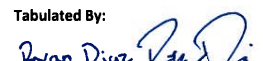
GUAM WATERWORKS AUTHORITY
ABSTRACT OF BIDSProject Name: **TANK REPAIR AND BYPASS**
Project Number: W19-003-BND IFB No.: IFB-06-ENG-2019Bid Opening Date: November. 21, 2019
Time: 3:00 PM

	Bidders Name	Section A-5 Bid Bond	CERTIFICATIONS											BID AMOUNT		
			Qualification Statement	Non Collusion Affidavit	EEO Certification	Non Segregated Facilities	Sex Offender Certification	Wage and Benefit Determination	Major Shareholder Affidavit	Special Instructions to Bidders	Addendum			BASE BID	ADDITIVE BID NO. 1	BASE + ADDITIVE
											1	2	3			
1.	MURPHY ENTERPRISES	—														
2.	VG GOZUM CONSTRUCTION	—														
3.	IAN CORPORATION	—														
4.	AYM INTERNATIONAL INC.	—														
5.	SUMITOMO-MITSUI CONSTRUCTION CO.	Federal Insurance Company 15% of bid	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	\$7,079,883	\$7,797,117	\$14,877,000
6.	GENERAL + PLUMBING	—														
7.	AIC INTERNATIONAL INC.	Fidelity and deposit company of Maryland, 15% of bid	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	\$4,208,215	\$8,602,200	\$12,810,415
8.	FRONTIER SUPPLY	—														
	GWA Estimate													\$4,039,625.01	\$10,139,655.50	\$14,179,280.51

Bids Opened and Read by:


 GLORIA P. BENSAN
 (Name and Signature)


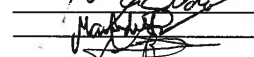
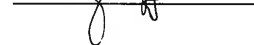
Tabulated By:


 Ryan Dior
 (Name and Signature)

GWA Procurement Representative:


 ROLAND F. LUMONGSO
 (Name and Signature)

Witnesses:

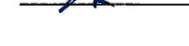



Exhibit B (pg. 1 of 4)

**TABLE I - ADDITIVE BID NO. 5 - MALOJLOJ TANK MAJOR REPAIR
TANK BYPASS AND REPAIR BID SCHEDULE**

Major repair work shall be determined after GWA's Inspector has performed a full API-653 inspection. After the API-653 inspection has been completed, GWA shall determine which Additive Bid Items should be included in the Contract through a Change Order. If GWA determines that the tank requires major repair, GWA shall have the right to issue a deductive Change Order for the minor repair work items listed in Table C.

Item No.	Description	Quantity	Unit	Amount
5.00	Malojloj - 1.0 MG (Diameter = 66', Height = 41')			
5.01	Install new double bottom tank floor, complete in place	57,650	LB	\$ 262,891.00
5.02	Install drip ring to new tank floor chimes	1,600	LB	\$ 4,051.00
5.03	Replace tank shell manway nozzle assemblies affected by new floor	1	EA	\$ 27,132.00
5.04	Complete exterior coating, including sandblasting, epoxy coating	14,000	SF	\$ 180,862.00
5.05	Complete interior coating, including sandblasting and epoxy coating	19,000	SF	\$ 224,269.00
5.06	Dehumidification equipment for coating	1	LS	\$ 65,110.00
5.07	Replace tank exterior fill gauge and interior float system assemble	1	LS	\$ 4,029.00
5.08	Remove existing grounding cables and install new grounding cables, including testing	1	LS	\$ 33,279.00

5.09	Install new tank cathodic protection system, including new conduits	1	LS	\$	11,575.00
5.10	Install new tank hatch cover	1	EA	\$	25,667.00
5.11	Install new tank vent and screen	1	EA	\$	25,813.00
5.12	Install new guardrail and roof platform	1	LS	\$	68,659.00
5.13	Install new interior tank ladder and fall arrest assembly	1	LS	\$	46,461.00
5.14	Install new exterior tank ladder and cage assembly	1	LS	\$	64,868.00
5.15	Install anchor bolts and chair assemblies	104	EA	\$	67,715.00
5.16	Center column and base repair	1	EA	\$	15,916.00
			Sub Total:	\$	1,128,297.00

**TABLE K - ADDITIVE BID NO. 7 - WINDWARD HILLS TANK MAJOR REPAIR
TANK BYPASS AND REPAIR BID SCHEDULE**

Major repair work shall be determined after GWA's Inspector has performed a full API-653 inspection. After the API-653 inspection has been completed, GWA shall determine which Additive Bid Items should be included in the Contract through a Change Order. If GWA determines that the tank requires major repair, GWA shall have the right to issue a deductive Change Order for the minor repair work items listed in Table C.

Item No.	Description	Quantity	Unit	Amount
7.00	Windward Hills - 1.0 MG (Diameter = 66', Height = 41')			
7.01	Install new double bottom tank floor, complete in place	57,650	LB	\$ 262,891.00
7.02	Install drip ring to new tank floor chimes	1,600	LB	\$ 4,051.00
7.03	Replace tank shell manway nozzle assemblies affected by new floor	1	EA	\$ 27,132.00
7.04	Complete exterior coating, including sandblasting, epoxy coating	14,000	SF	\$ 180,862.00
7.05	Complete interior coating, including sandblasting and epoxy coating	19,000	SF	\$ 224,269.00
7.06	Dehumidification equipment for coating	1	LS	\$ 65,110.00
7.07	Replace tank exterior fill gauge and interior float system assembly	1	LS	\$ 4,029.00
7.08	Remove existing grounding cables and install new grounding cables, including testing	1	LS	\$ 33,279.00

7.09	Install new tank cathodic protection system, including new conduits	1	LS	\$	11,575.00
7.10	Install new tank hatch cover	1	EA	\$	25,667.00
7.11	Install new tank vent and screen	1	EA	\$	25,814.00
7.12	Install new guardrail and roof platform	1	LS	\$	68,659.00
7.13	Install new interior tank ladder and fall arrest assembly	1	LS	\$	46,461.00
7.14	Install new exterior tank ladder and cage assembly	1	LS	\$	64,868.00
7.15	Install anchor bolts and chair assemblies	35	EA	\$	37,981.00
7.16	Center column and base repair	1	LS	\$	15,916.00
			Sub Total:	\$	1,098,564.00



Gloria B. Nelson Public Service Building | 688 Route 15 | Mangilao, Guam 96913
Tel: (671) 300-6846

Issues for Decision

Resolution No. 11- FY2021

Relative to Establishment of the GWA Rate Stabilization Fund

Background

GWA has been in consultation with its financial consultant, auditors, and bond counsel to develop a strategy to deal with sustained effect of the COVID-19 Public Health Emergency on GWA revenues and debt service coverage. In original projections of the FY2021 budget and the projections contained in the 2020B Bond Official Statement, it was anticipated that the economic downturn related to the pandemic would be of a shorter duration.

The Bond Indenture allows for the establishment of a Rate Stabilization Fund to assist in maintaining required debt service coverage. Funds transferred to the Rate Stabilization Fund reduce debt service coverage; funds transferred from the Rate Stabilization Fund increase coverage. GWA management proposes that funds originally set aside in the Working Capital Reserves for Debt Services, which was dissolved by CCU GWA Resolution 17-FY2020 be used to set up a Rate Stabilization Fund. This will make available transfers from the Rate Stabilization Fund to help meet minimum debt service coverage requirements in future years.

What is the project's objective and is it necessary and urgent?

The Rate Stabilization Fund will provide GWA with an important mechanism to manage reserves and meet debt service coverage requirements. It is necessary to enable GWA to most effectively address the financial impacts of the COVID-19 pandemic. It is urgent insofar as it will facilitate near-term compliance with required debt service coverage levels and inform in GWA's development of GWA's FY 2022 – 2024 rate application update to be submitted by March 31, 2021 per PUC Order in Docket No. 19-08.

Where is the location?

The Rate Stabilization Fund will be set up as a separate account under control of the trustee.

How much will it cost?

There are no costs per se involved in the establishment of the fund, simply a transfer of reserves. It is proposed that no more than \$11.4 million be placed into this account.

When will it be completed?

The Rate Stabilization Fund will be established before the end of FY21.

What is the funding source?

Funds would be transferred from GWA's Working Capital Reserves to the Rate Stabilization Fund, a reserve fund held by the Trustee. Working Capital Reserves were increased in FY 2020 through the dissolution of the Working Capital Reserves for Debt Services that were previously set aside to meet the CCU targeted debt service coverage ratio.

The RFP/BID responses (if applicable):

Not applicable. GWA will work with the current trustee.



CONSOLIDATED COMMISSION ON UTILITIES
Guam Power Authority | Guam Waterworks Authority
P.O. Box 2977 Hagatna, Guam 96932 | (671)649-3002 | guamccu.org

GWA RESOLUTION NO. 11-FY2021

RELATIVE TO ESTABLISHMENT OF A GWA RATE STABILIZATION FUND

WHEREAS, under 12 G.C.A. § 14105, the Consolidated Commission on Utilities (“CCU”) has plenary authority over financial, contractual, and policy matters relative to the Guam Waterworks Authority (“GWA”, “Authority”); and

WHEREAS, the Guam Waterworks Authority (“GWA”) is a Guam Public Corporation established and existing under the laws of Guam; and

WHEREAS, the CCU recognizes that sound financial and risk management entails the strategic deployment of financial reserves to cover cash flow variations from short term volatility in revenues and expenses, downturns in revenues, and unanticipated and unforeseeable expenses; and

WHEREAS, the CCU also recognizes that financial reserves and reserve policies are major factors that bond rating agencies study in determining the creditworthiness of an issuer which in turn can impact interest rates on debt issuance; and

WHEREAS, the CCU also recognizes that reserves, when properly established and applied can be used as a tool for mitigating water rate fluctuations influenced primarily by (1) volatile and temporary financial adversities; and/or (2) debt service coverage requirements set forth by bond covenants and/or regulatory entities; and

WHEREAS, GWA Resolution No. 17-FY2020 Relative to Adopting a Debt Service Coverage Target of 1.50 and a Working Capital Reserve of 120 Days of Operating and Maintenance Expense dissolved the Working Capital Reserves for Debt Services and provided for the transfer of the related cash balances into the Working Capital Reserve of approximately \$11.4 million; and

WHEREAS, *Section 1.01 Definitions* of the Bond Indenture defines Net Revenues (as used in the calculation of debt service coverage) for any period *as (a) the sum of (i) all of the Revenues (other than Payment Agreement Receipts) received during the period plus (ii) the aggregate amount of all transfers from the Rate Stabilization Fund to the Revenue Fund during such period, less (b) the sum of (x) all Operations and Maintenance Expenses incurred during such period, plus (y) the amount of all transfers from the Revenue Fund to the Rate Stabilization Fund during such period;* and

WHEREAS, *Section 5.02 Allocation of Revenues* of the Bond Indenture states that funds flow into the Rate Stabilization Fund in *the amount specified for such month in a Certificate of the Authority which also certifies that such amount is consistent with the annual budget established by the Authority, and Section 6.08 Authority Budgets* of the Bond Indenture states that *the Authority, as part of the annual budget, may transfer funds to or from the Rate Stabilization Fund each month;* and

WHEREAS, revenue loss and economic disruption associated with the COVID-19 Public Health Emergency will impact GWA financial performance; and

WHEREAS, a Rate Stabilization Fund is designed to mitigate rate spikes and allow the smoothing of annual rate increases; and

NOW BE IT THEREFORE RESOLVED, the Consolidated Commission on Utilities does hereby approve the following:

1. The recitals set forth above hereby constitute the findings of the CCU.
2. The CCU finds that the establishment and implementation of a Rate Stabilization Fund serves to help address financial risks associated with utility operations and capital financing.
3. The CCU finds that the adoption of this policy promotes best practice in utility management by establishing an additional mechanism for managing uncertainties and risks and promoting predictable rates consistent with community expectations and acceptability.

4. Given that COVID-19 related financial impacts are projected to affect GWA financial performance throughout FY 2021 – 2024. The CCU amends the FY2021 budget and hereby certifies that no more than \$11.4 million will be transferred from GWA’s Working Capital Reserves into a Rate Stabilization Fund.
5. GWA transfers to and from the Rate Stabilization Fund are to be structured to enable GWA to target achievement of a minimum Debt Service Coverage ratio of 1.3x during the pendency of adverse financial conditions that occasion deferral of GWA’s conformance with previously established CCU and PUC policies related to targeted debt service coverage of 1.50x and Working Capital Reserves equal to at least 120 days of annual Operations and Maintenance expenses.
6. The CCU hereby further directs the management of GWA to set up the Rate Stabilization Fund as a separate account of the Authority held by the Trustee, segregated from other Authority Funds, and managed in a manner consistent with the Authority’s Indenture (dated 2005 as amended).
7. The CCU directs that GWA Management shall notify the CCU of the final amount of any planned deposits (transfers into) up to the authorized amount, and further directs that any planned utilization (transfers out) of the Rate Stabilization Fund will be formally approved by the CCU as part of the annual approval of the budget and that any interest earned on the Rate Stabilization Fund will be accounted for as general revenues and transferred into the GWA Revenue fund.

RESOLVED, that the Chairman certified, and the Board Secretary attests to the adoption of this Resolution.

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DULY AND REGULARLY ADOPTED, this 23rd day of February 2021.

Certified by:

Attested by:

JOSEPH T. DUENAS

Chairperson

MICHAEL T. LIMTIACO

Secretary

SECRETARY'S CERTIFICATE

I, Michael T. Limtiaco, Board Secretary of the Consolidated Commission on Utilities as evidenced by my signature above do hereby certify as follows:

The foregoing is a full, true and accurate copy of the resolution duly adopted at a regular meeting by the members of the Guam Consolidated Commission on Utilities, duly and legally held at a place properly noticed and advertised at which meeting a quorum was present and the members who were present voted as follows:

AYES: _____

NAYS: _____

ABSTENTIONS: _____

ABSENT: _____

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GM REPORT

FEBRUARY 2021



Generation Status

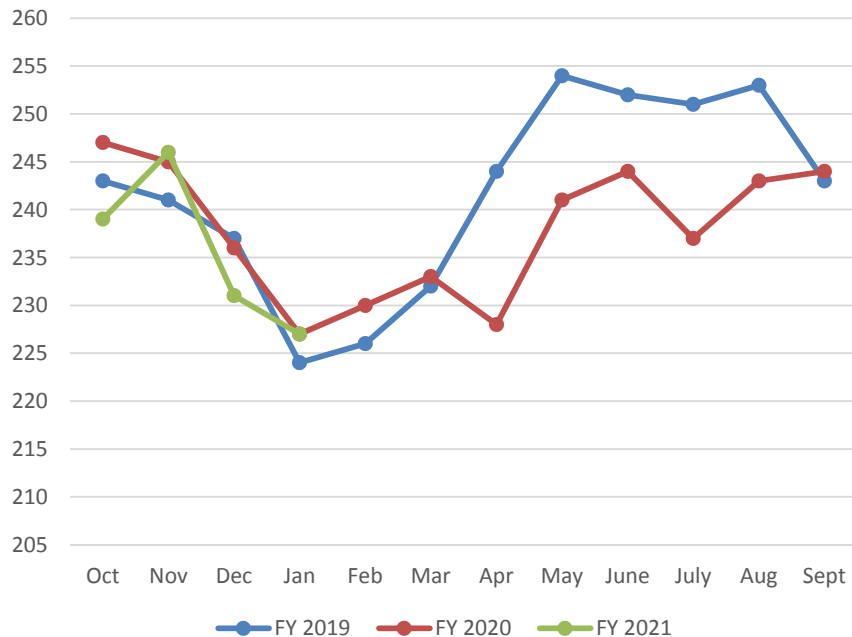
2

1. Reserve Margin Forecast for February 2021:

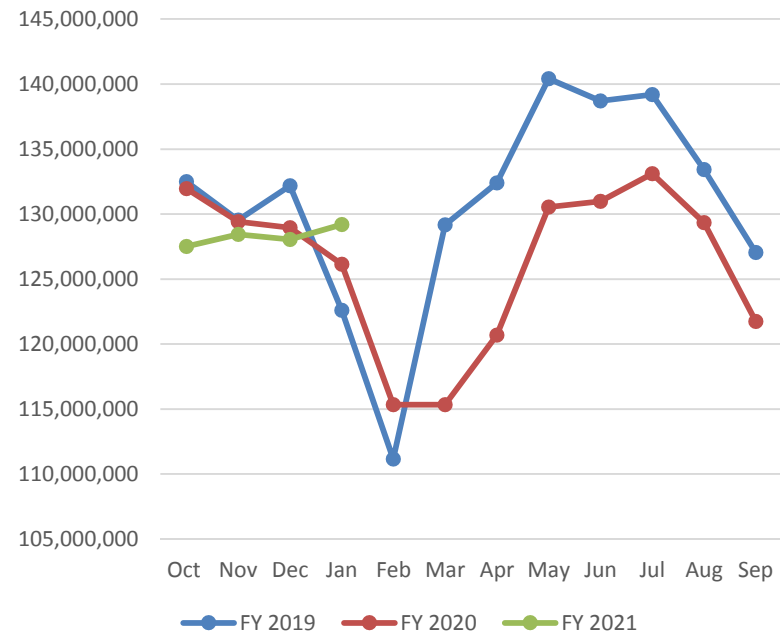
Projected Available Capacity: 354 MW
 Projected Demand: 230 MW
 Anticipated Reserve Margin: 124 MW

2. Production Characteristics Thru January 2021:

PEAK MW DEMAND



kWh Sales



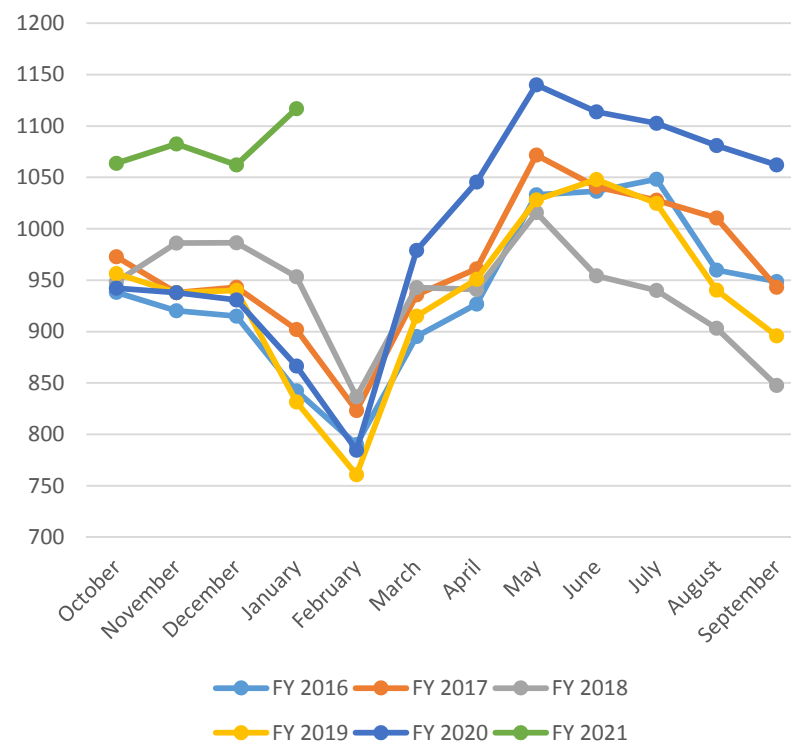
Monthly Residential Energy Consumption FY'2016 - FY'2021

3

3. Average Monthly Residential Energy Consumption:

Residential Customer Monthly Average Consumption						
MONTH	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
October	938	973	948	957	942	1064
November	920	938	986	938	938	1083
December	915	943	987	940	931	1062
January	842	902	954	831	867	1117
February	790	823	837	761	785	
March	895	936	943	915	979	
April	927	961	941	951	1046	
May	1033	1072	1016	1028	1140	
June	1037	1041	954	1048	1114	
July	1048	1028	940	1025	1103	
August	960	1011	903	940	1081	
September	949	943	848	896	1062	
AVERAGE:	938	964	938	936	999	1081

Average Residential kWh Consumption



Customer Energy Consumption Demographics May 2019

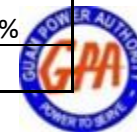
4

4. Customer Demographics kWh Consumption:

kWh Consumption	Residential (Post Paid)	Commercial	Government of Guam
0	358	127	48
1-350	5,554	1,085	760
351-500	3,444	288	53
501-750	6,589	410	67
751-1000	6,325	327	46
1001-1500	9,417	546	77
1501-2000	5,050	389	49
2001-3000	3,314	456	74
3001-6000	578	624	105
6000+	19	938	384
TOTAL:	40,648	5,190	1,663

Residential Post Paid Customers:

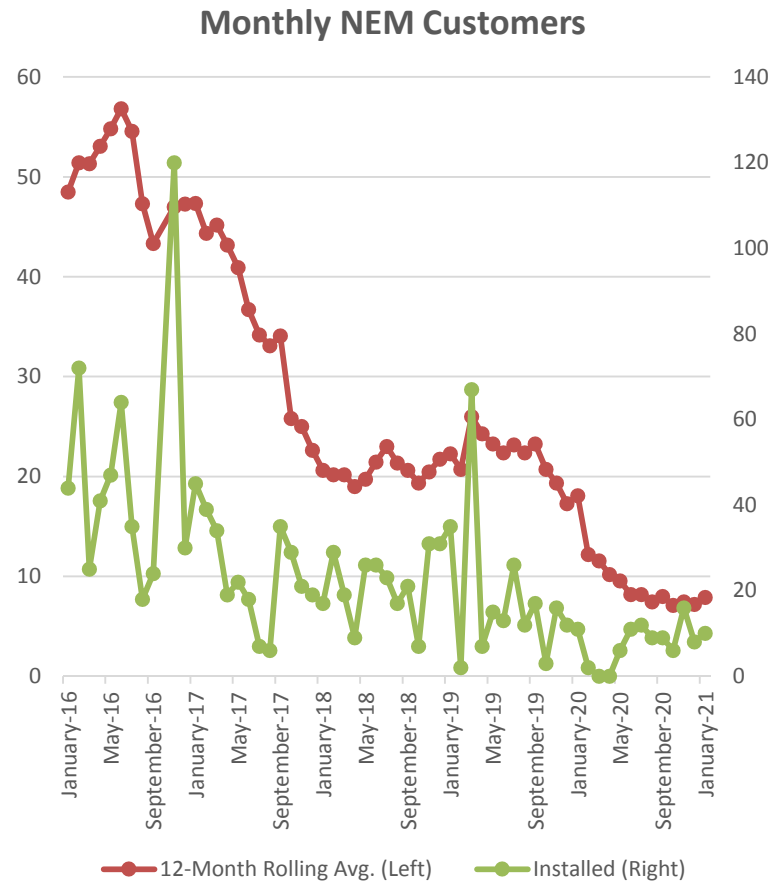
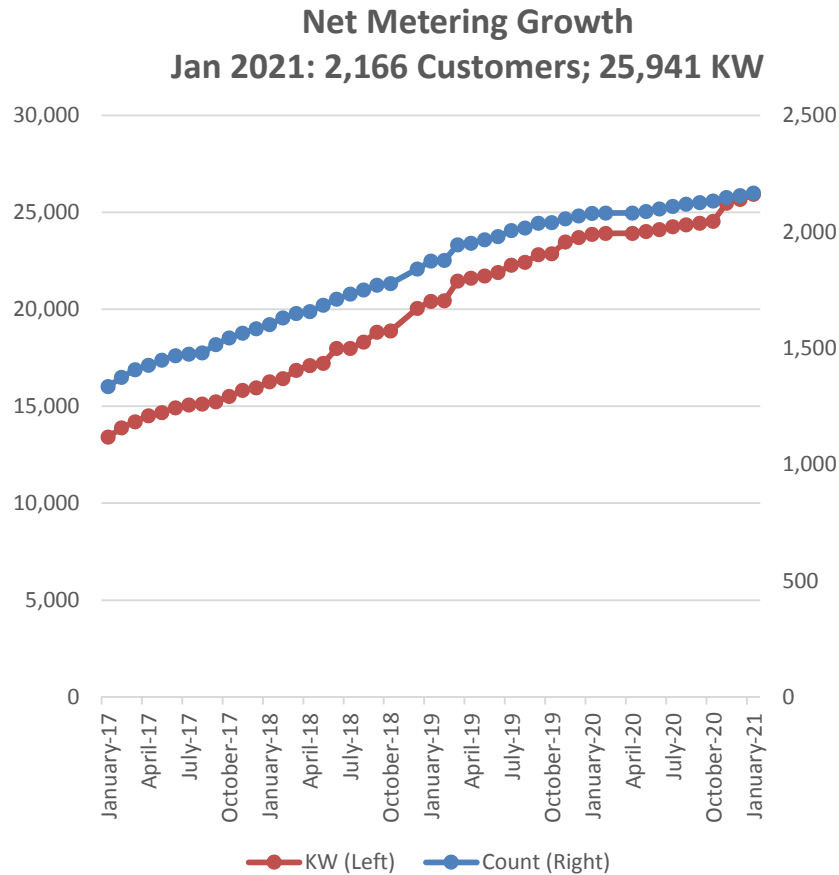
kWh Consumption	Residential	Average Rate \$0.18	Average Rate \$0.25	Cumulative	% Customers
0	358	\$0.00	\$0.00	358	0.9%
1-350	5,554	\$63.00	\$87.50	5,912	14.5%
351-500	3,444	\$90.00	\$125.00	9,356	23.0%
501-750	6,589	\$135.00	\$187.50	15,945	39.2%
751-1000	6,325	\$180.00	\$250.00	22,270	54.8%
1001-1500	9,417	\$270.00	\$375.00	31,687	78.0%
1501-2000	5,050	\$360.00	\$500.00	36,737	90.4%
2001-3000	3,314	\$540.00	\$750.00	40,051	98.5%
3001-6000	578	\$1,080.00	\$1,500.00	40,629	100.0%
Approximate LEAC Rate:		\$0.086	\$0.154		



NET METERING

5

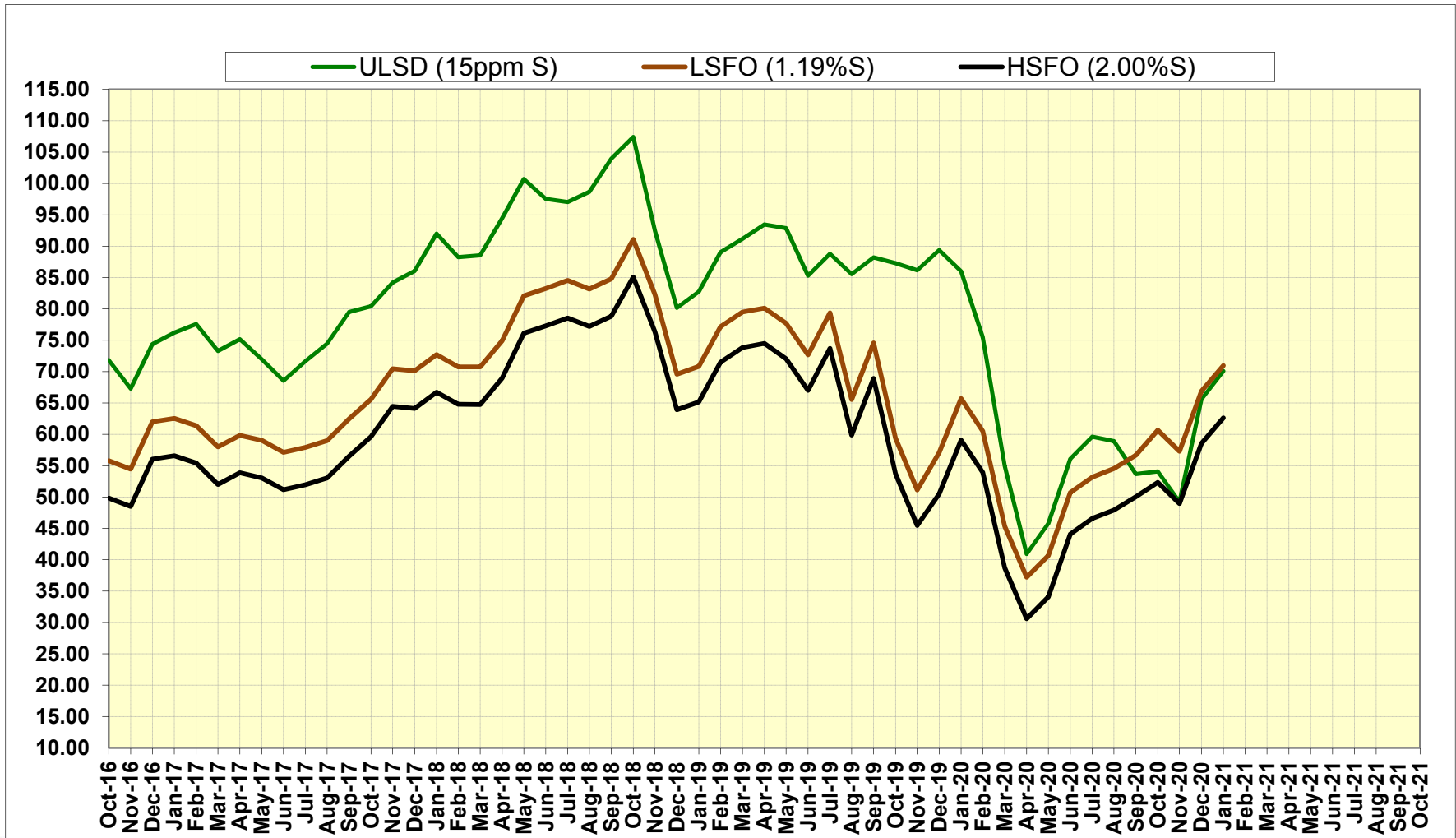
5. Net Metering (NEM) Growth Thru January 2021:



GPA Fuel Landed Cost (Per Barrel) Feb 10, 2021

6

6. HSRFO-\$62.62; LSRFO-\$70.96; ULSD-\$70.10



Demand Side Management (DSM)

7

7. DSM Funding:

No.	Description	Amount
1	Initial DSM Budget FY 2016	\$1,806,014.00
2	Interest Income	\$5,855.10
3	Bank Fees	\$5,367.32
4	Additional Funding Source 2017 Bond Refunding savings FY 2019 Revenue Funding FY 2020 Revenue Funding FY2020 LEAC (June to September) FY2021 LEAC (October to December)	\$1,139,189.00 \$1,031,500.00 \$348,075.00 \$1,296,397.67 \$625,329.23
5	Total Expense FY2016– FY2020 (Ending May 2020)	\$4,355,078.30
6	Total Expense FY2020 –FY2021 (June 2020 to December 2020)*	\$1,295,107.75
	DSM Ending Balance – LEAC Funds	\$596,806.63

*Preliminary Data as of 12/31/2020.

**December 2020 LEAC Revenues pending



Active DSM Application Processing Report

8

8. DSM Rebate Application Report 2019 to 2021:

	2019	2020	2021	Total
Total Received	880	5830	763	7473
Total Processed (Denied or Paid with Check Date)	848	4541		5389
Total Pending	32	1289	763	2084

NOTES:

1. Table is based on Customer Services Received Date on application as log update of 2/12/21.
2. Log was generated in Jan 25, 2020 for active applications at the time and does not reflect total applications for 2019 or prior.
3. Includes checks processed on 2/12/21.
4. GPA is presently reviewing applications received in November 2020.



General Manager's Report (con't)

9. PUC Update:

- GPA Docket 20-10: Petition to Establish Condominium Rate - **Approved**
- GPA Docket 21-04: LEAC - Adjustment **Approved** for \$0.11/kWh effective Feb 1st
- GPA Docket 21-06: Petition to Approve the Piti 8&9 Contract for Conversion to ULSD - **Pending**, on PUC's Feb 25th Mtg Agenda
- GPA Docket 21-07: Petition to Approve Amendment to the Energy Conversion Agreement (ECA) with KEPCO for the 198MW Power Plant - **Pending**, on PUC's Feb 25th Mtg Agenda

10. Legislative Matters:

- No bills impacting GPA have any scheduled public hearing yet

11. Yigo Diesel Generator PMC Update:

- GPA cancelled the bid and plans to make adjustments to specifications. GPA began operating and maintaining units on January 9, 2021.

12. Phase III Renewable Project Update:

- GlidePath filed an appeal in the Superior Court of the OPA's decision which favored a GPA award to Engie for 40 MW of solar with full energy shifting ESS. A scheduling conference by the court is set for February 23, 2021.



ENERGY STORAGE SYSTEM (ESS):

10

13. Energy Storage System (ESS) Update:

- LG completed commissioning tests and tuning at both the Talofofo and Agana site which was performed in December 2020/January 2021. At this time, LG technical support from construction and commissioning teams are focusing on training the O&M subcontractor who will be taking over the ESS operations upon turn-over.
- Training activities include familiarization with the project design and monitoring the battery and power management systems of the ESS. These teams are also working on finalizing commissioning documents and addressing punch list items. We are expecting the Commercial Operation date to be by **March 1, 2021**. After commercial operation, LG will continue to train their O&M team with additional onsite technical support until May 2021.

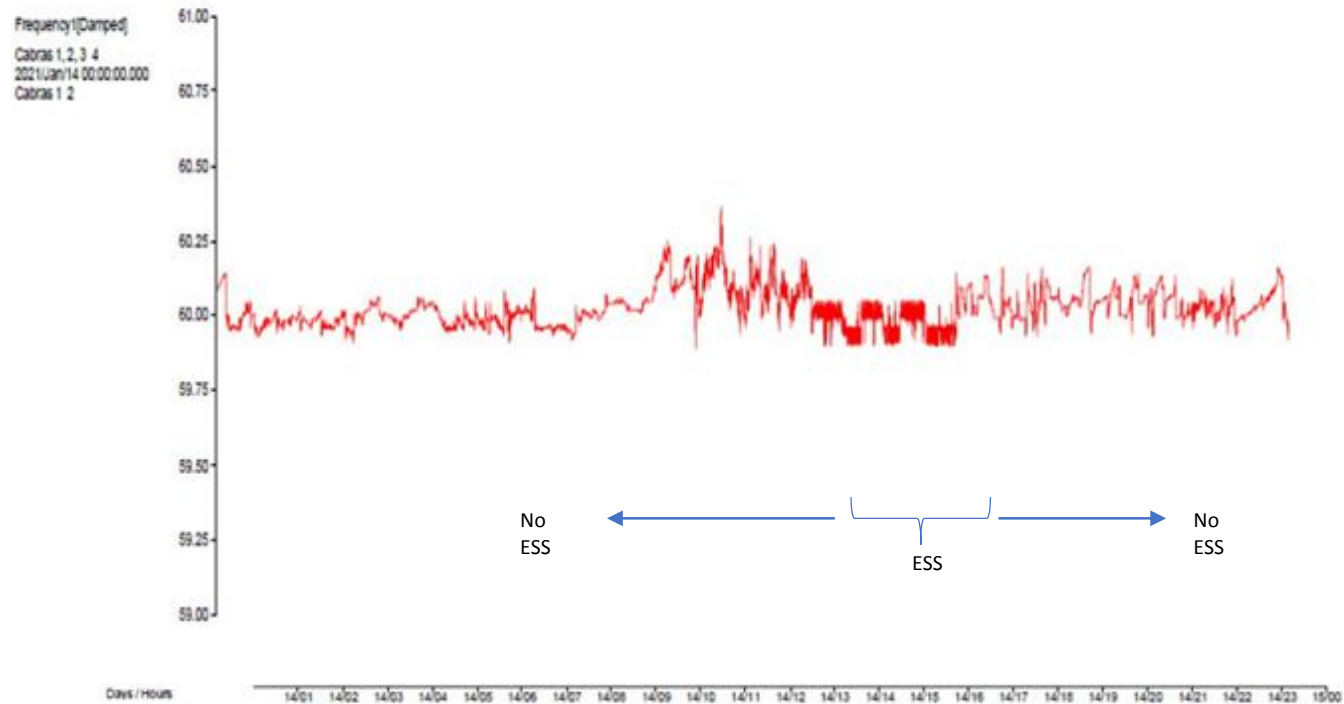


Agana ESS Testing Graphs Jan 14 - Jan 29

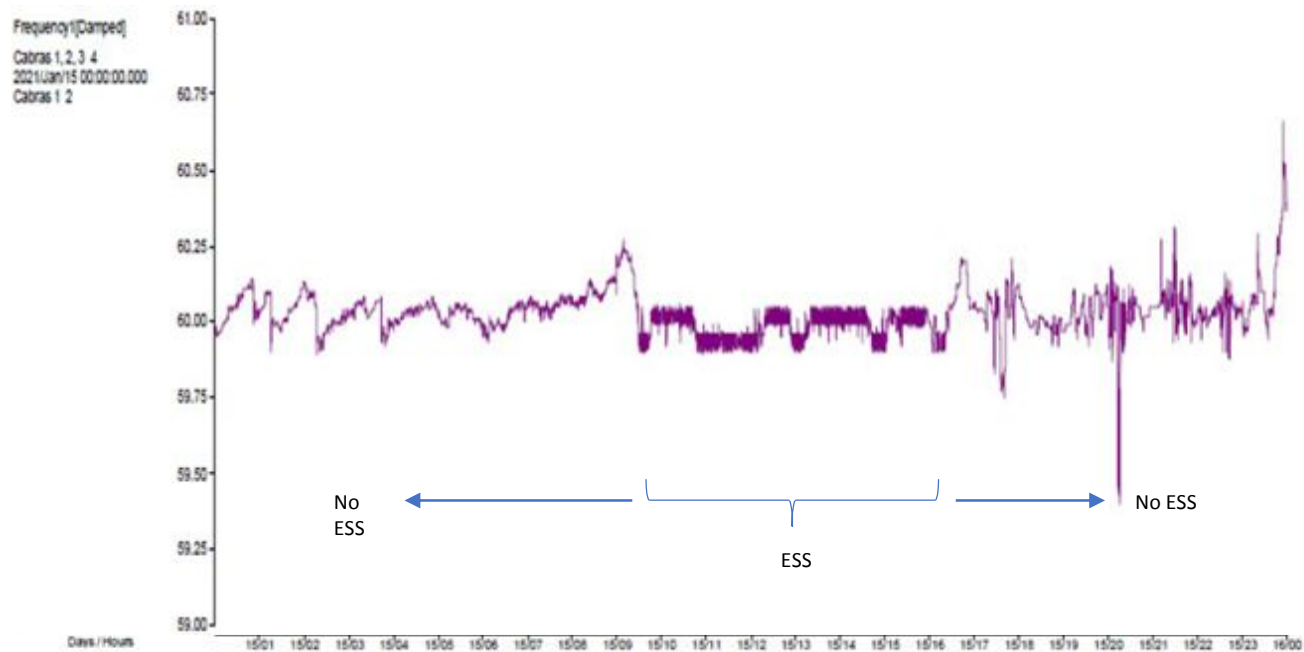
- LG CNS continued testing thru January 2021. Slides show results over a two week period.
- Graphs are from GPA Substation Tesla Recorder Data (GPA Engineering)



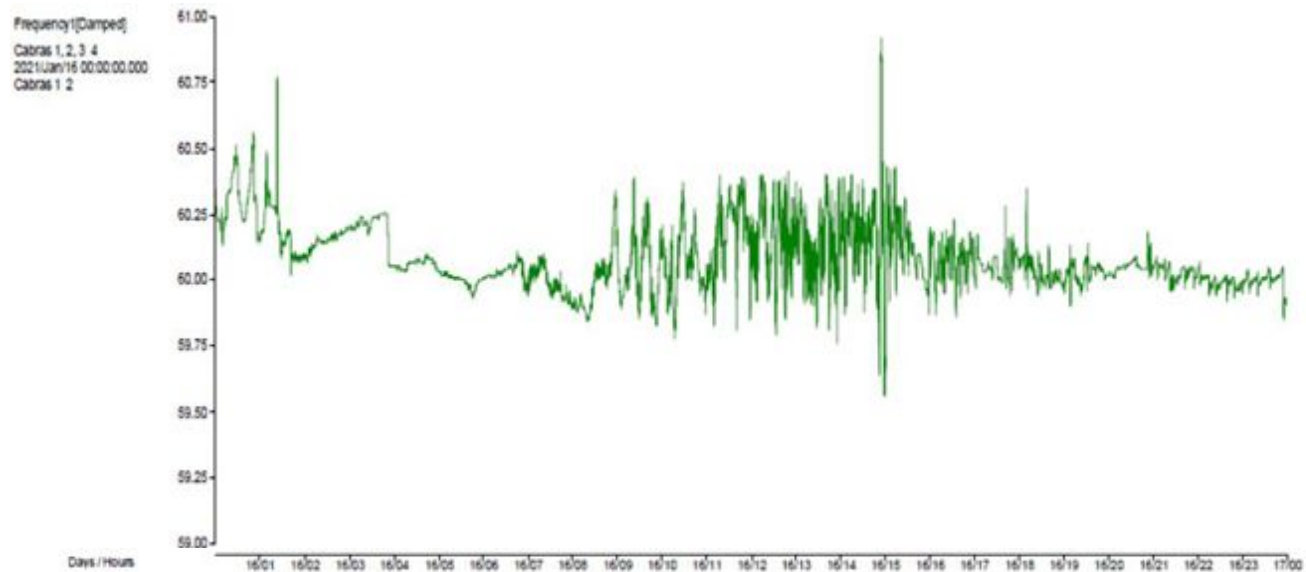
Agana ESS ACTIVATED - January 14, 2021



Agana ESS ACTIVATED - January 15, 2021

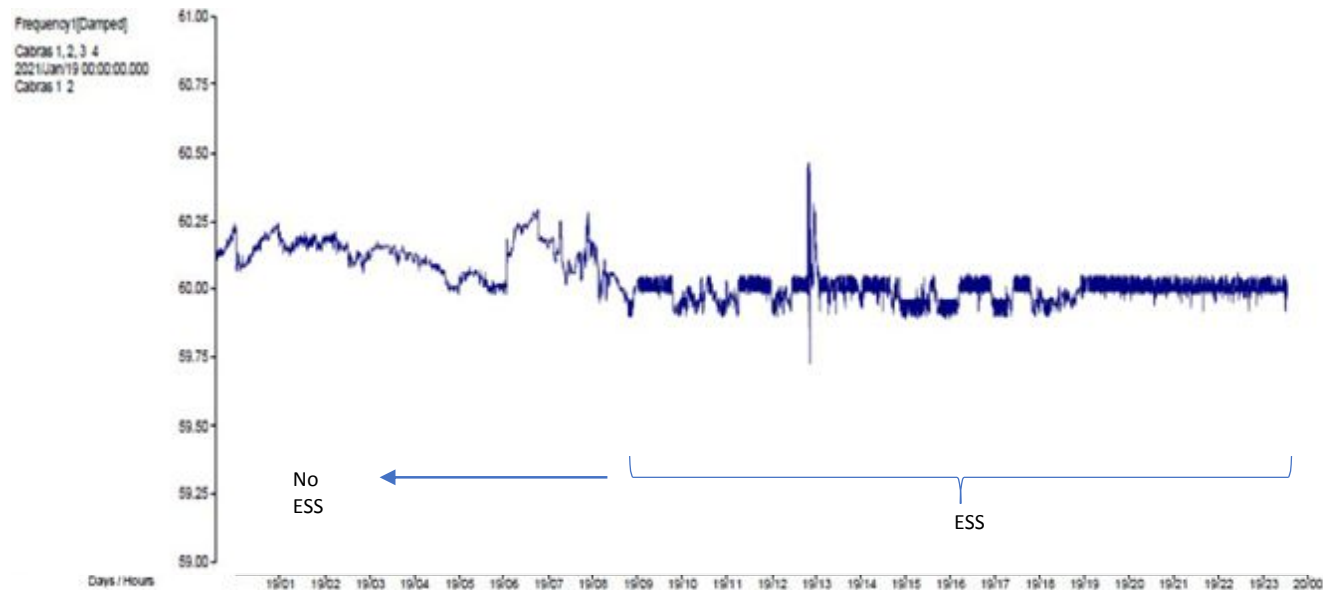


Agana ESS **DEACTIVATED** - January 16, 2021

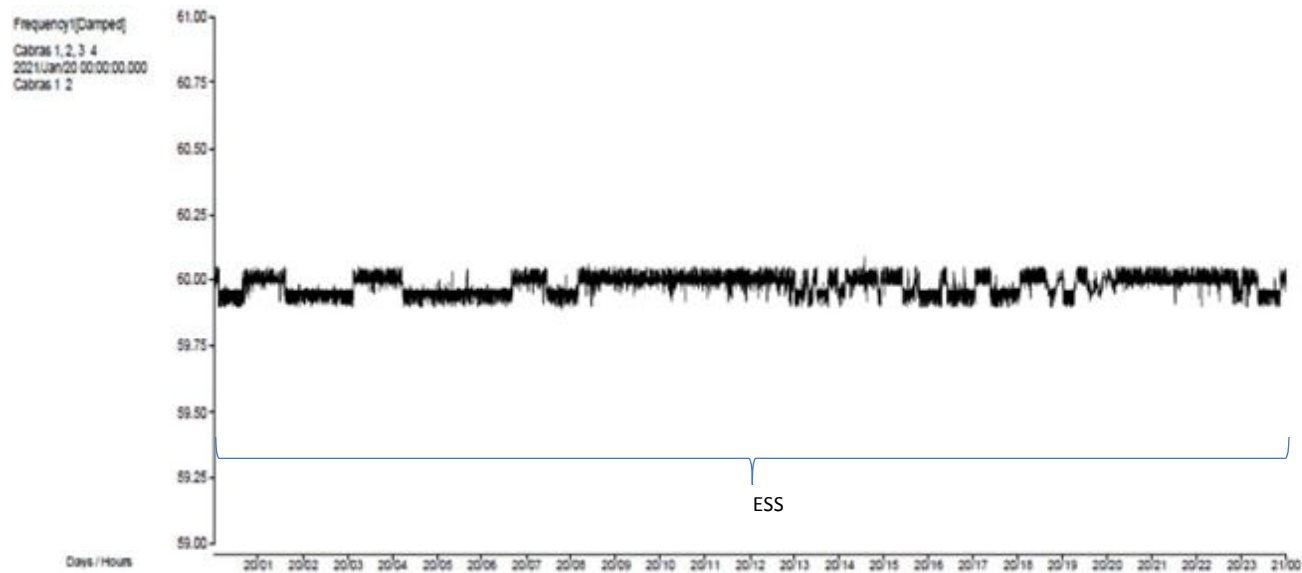


ESS was deactivated Jan. 17th – 18th

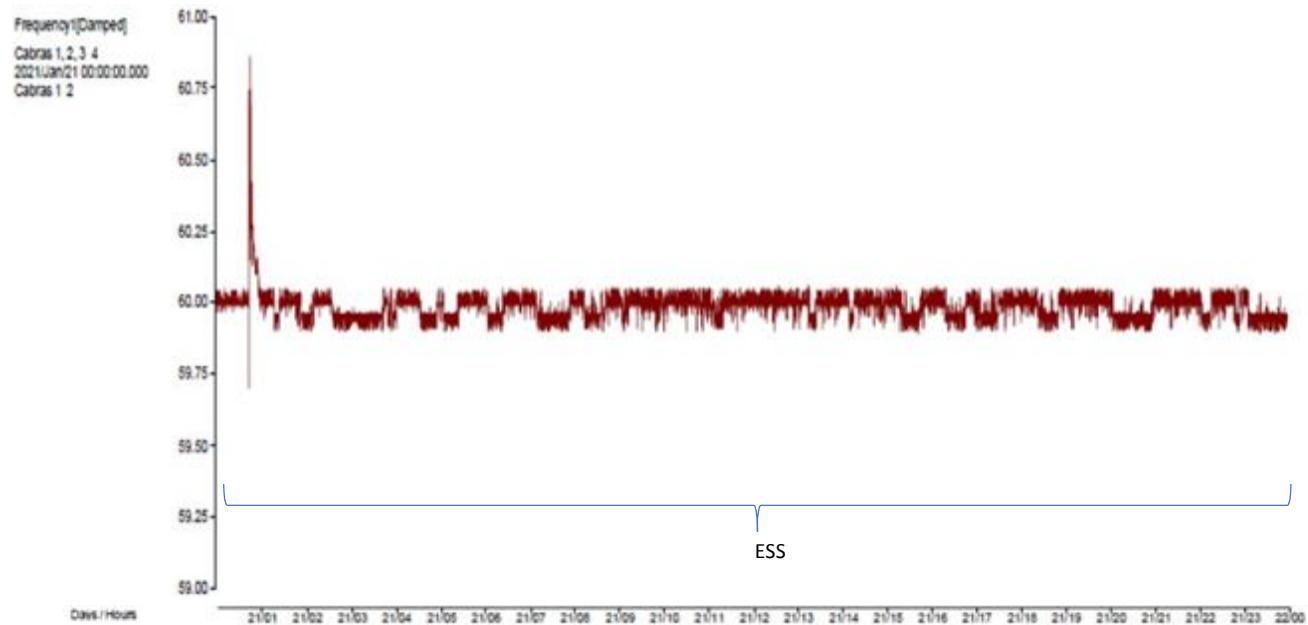
Agana ESS ACTIVATED - January 19, 2021



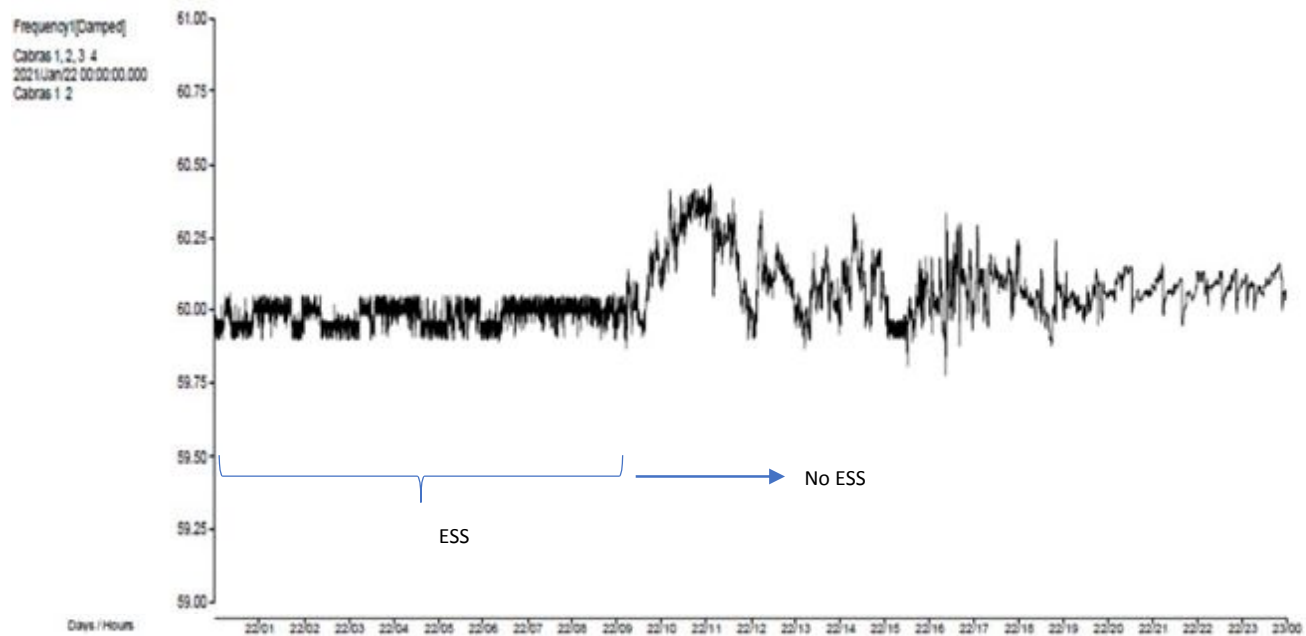
Agana ESS ACTIVATED - January 20, 2021



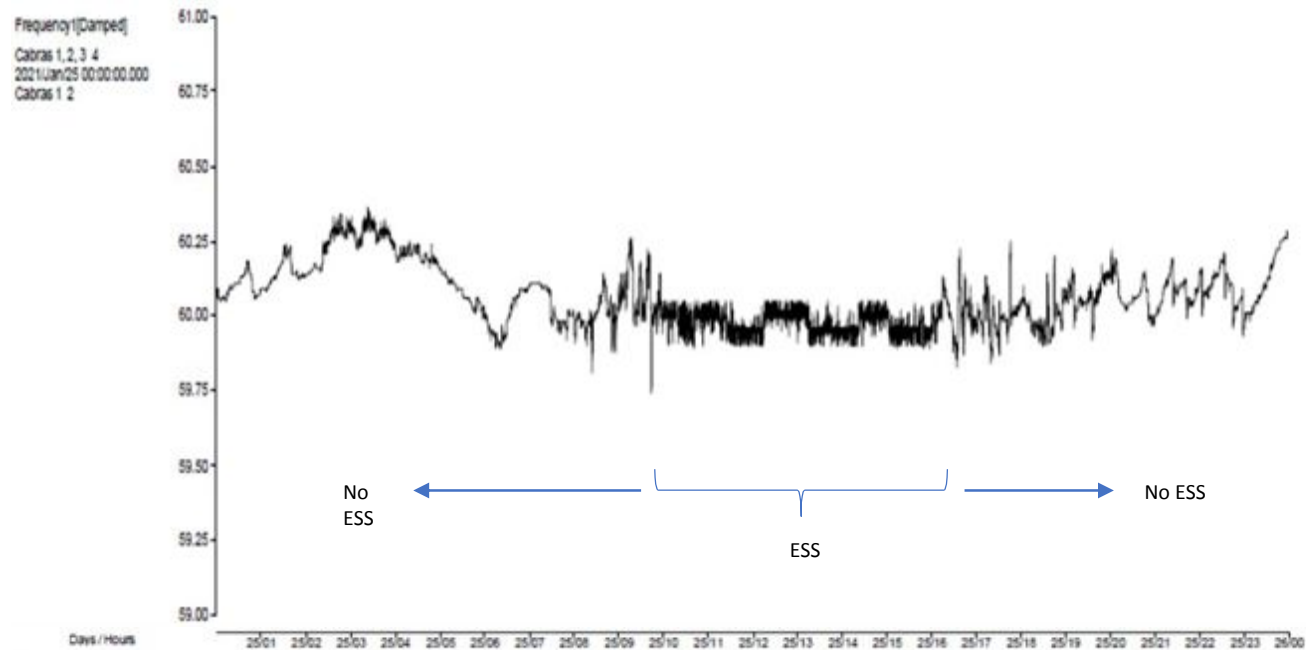
Agana ESS ACTIVATED - January 21, 2021



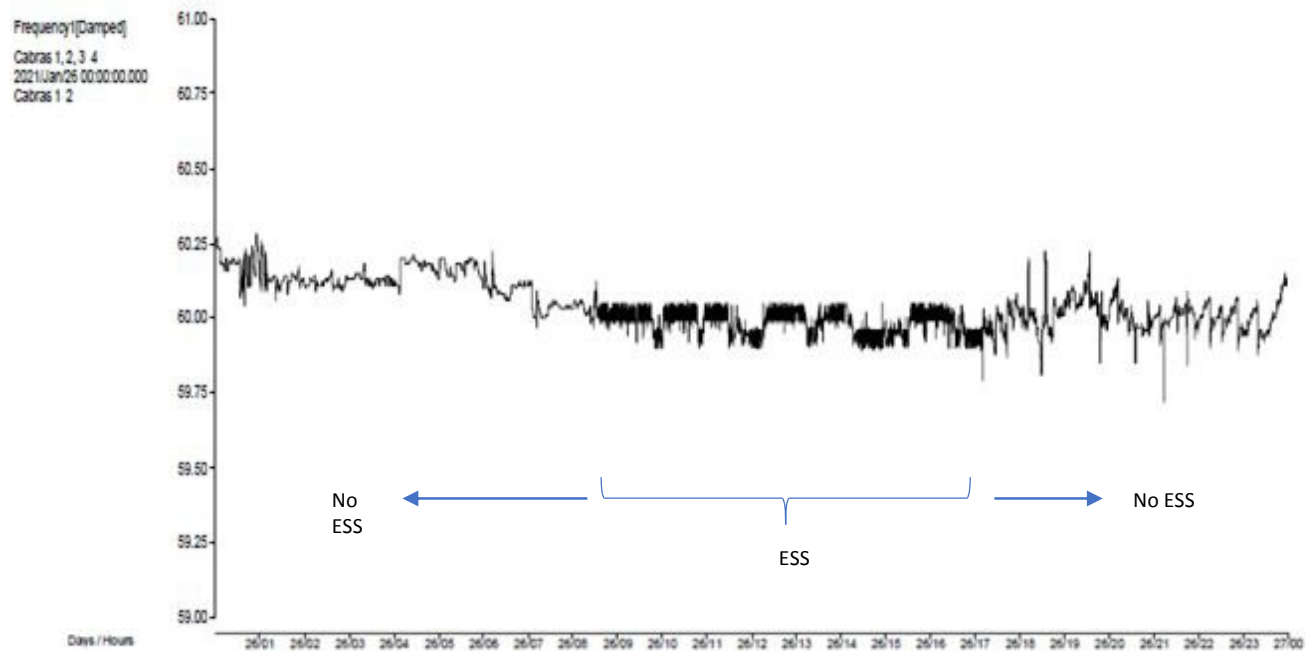
Agana ESS ACTIVATED - January 22, 2021



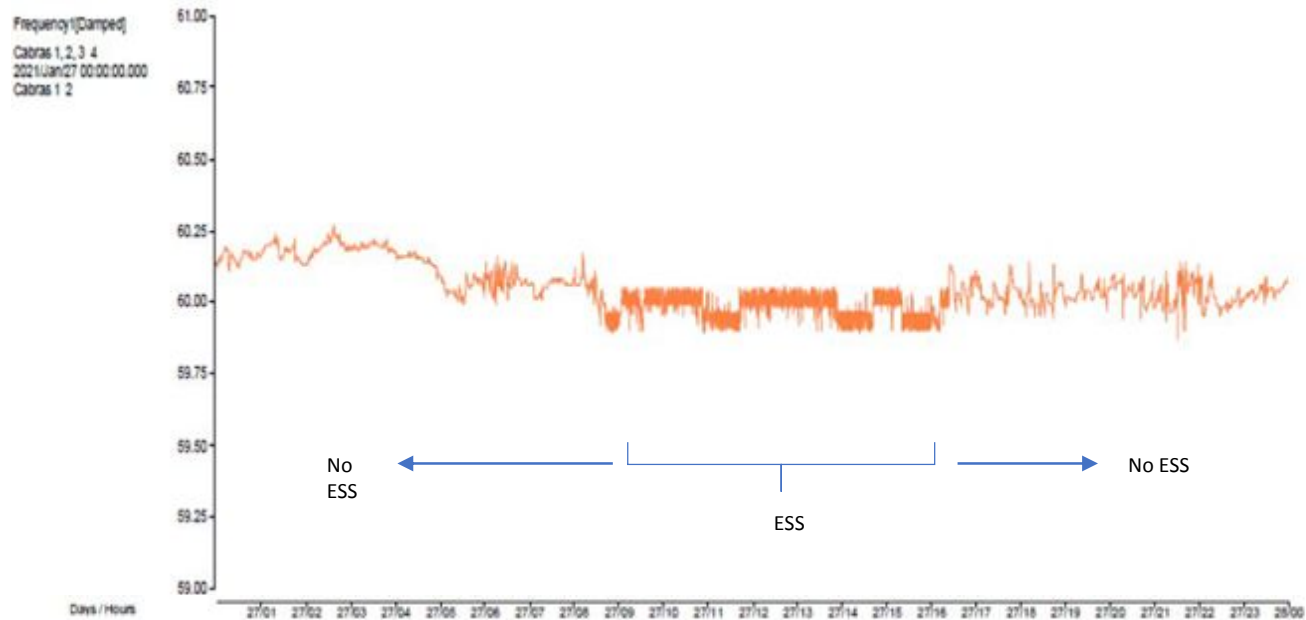
Agana ESS ACTIVATED - January 25, 2021



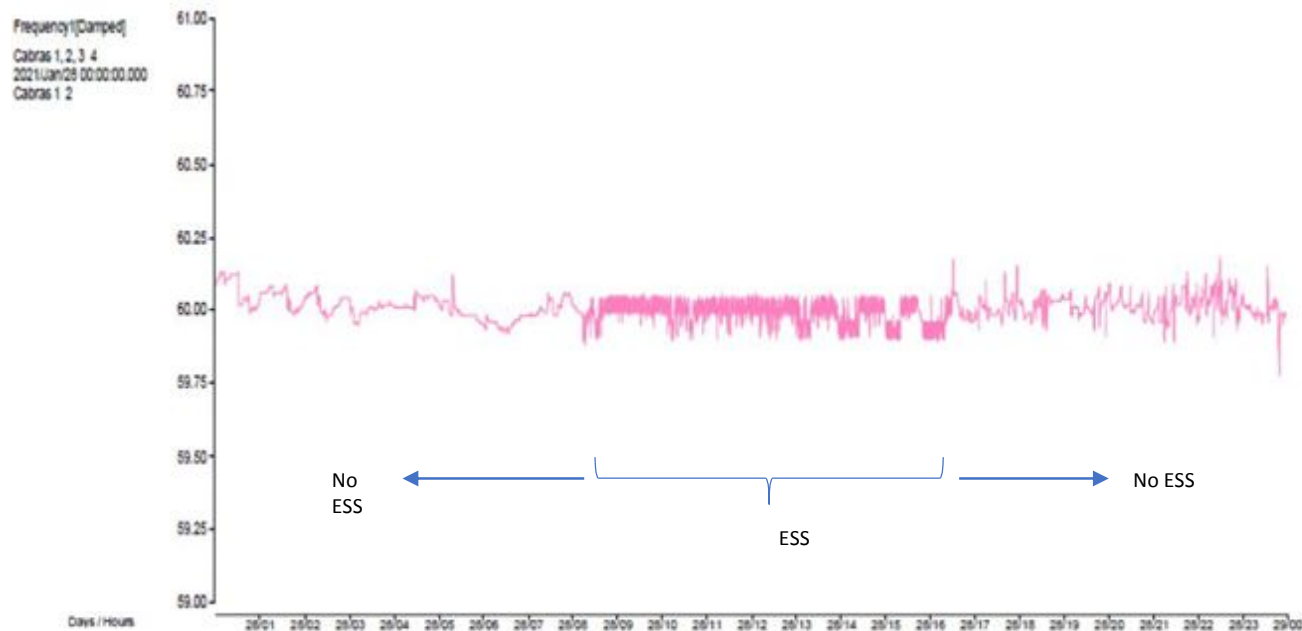
Agana ESS ACTIVATED - January 26, 2021



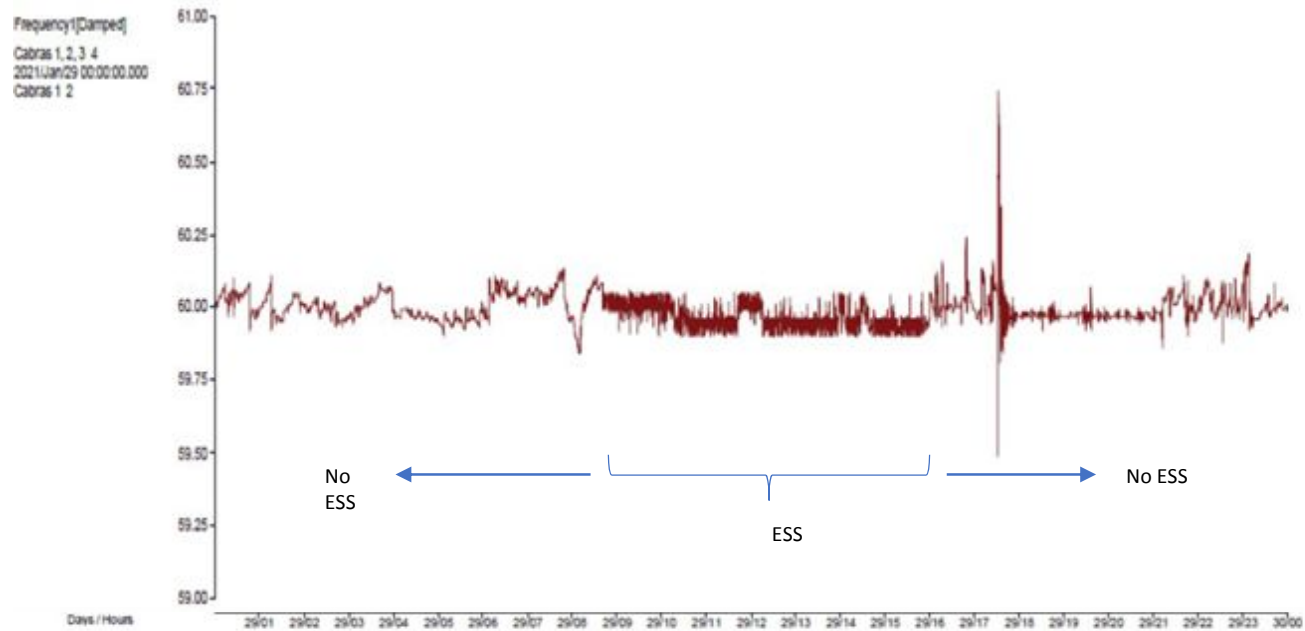
Agana ESS ACTIVATED - January 27, 2021



Agana ESS ACTIVATED - January 28, 2021



Agana ESS ACTIVATED - January 29, 2021

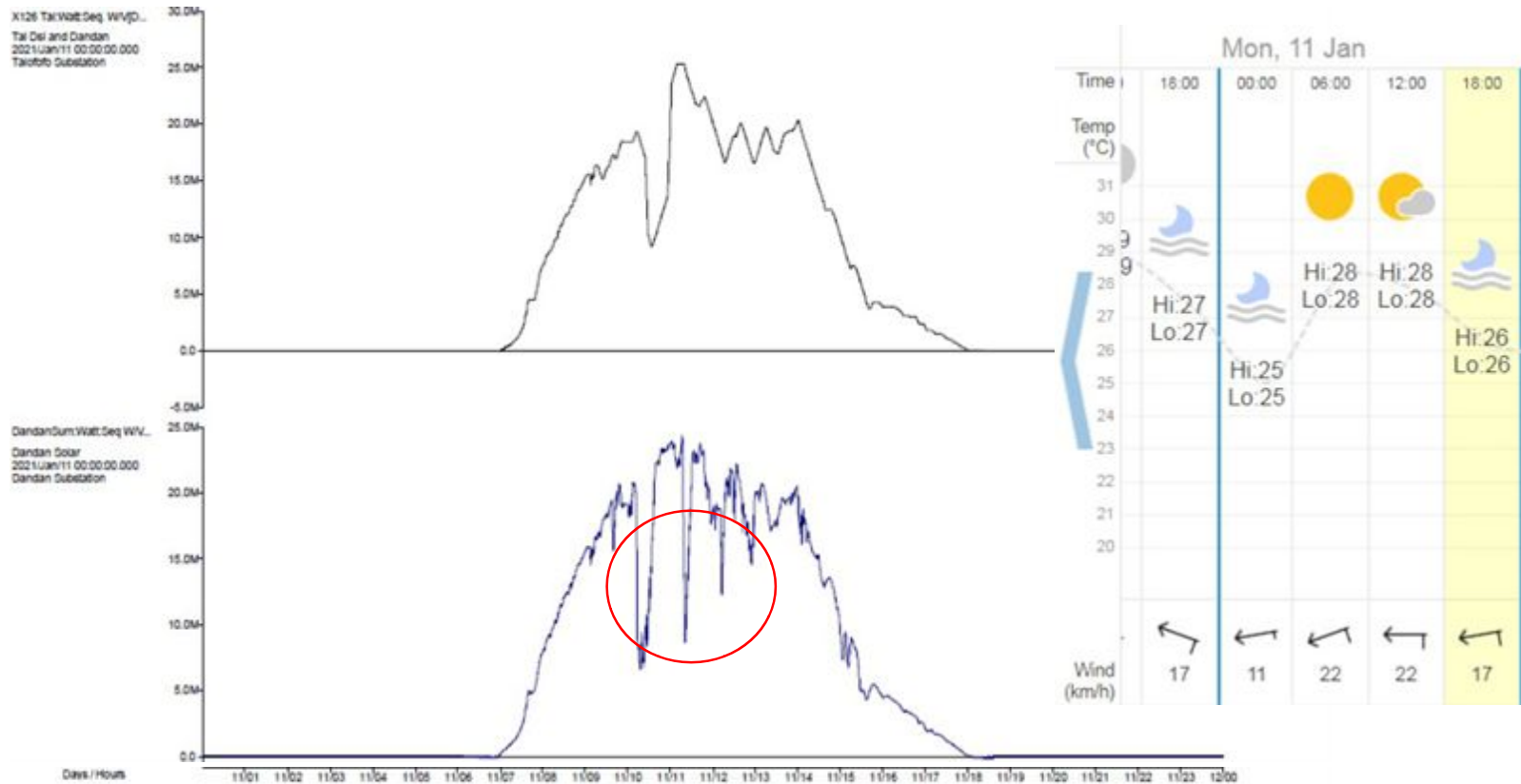


Talofofo ESS Testing Graphs Jan 11 - Jan 22

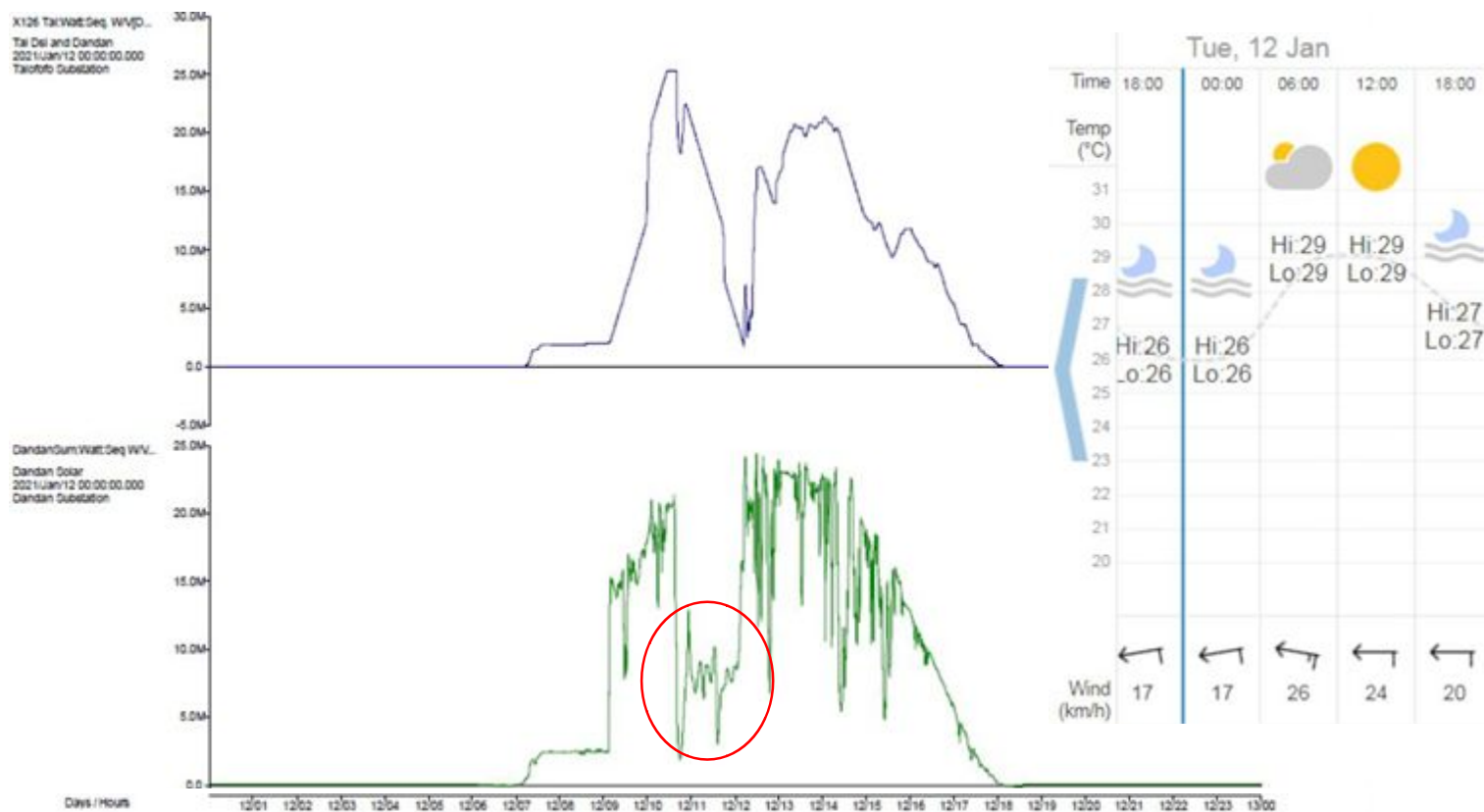
- LG CNS continued testing thru January 2021. Attached are results over a two week period.
- Graphs are from GPA Substation Tesla Recorder Data (GPA Engineering)
- Weather information is from timeanddate.com
(<https://www.timeanddate.com/weather/usa/guam-hagatna/historic>)



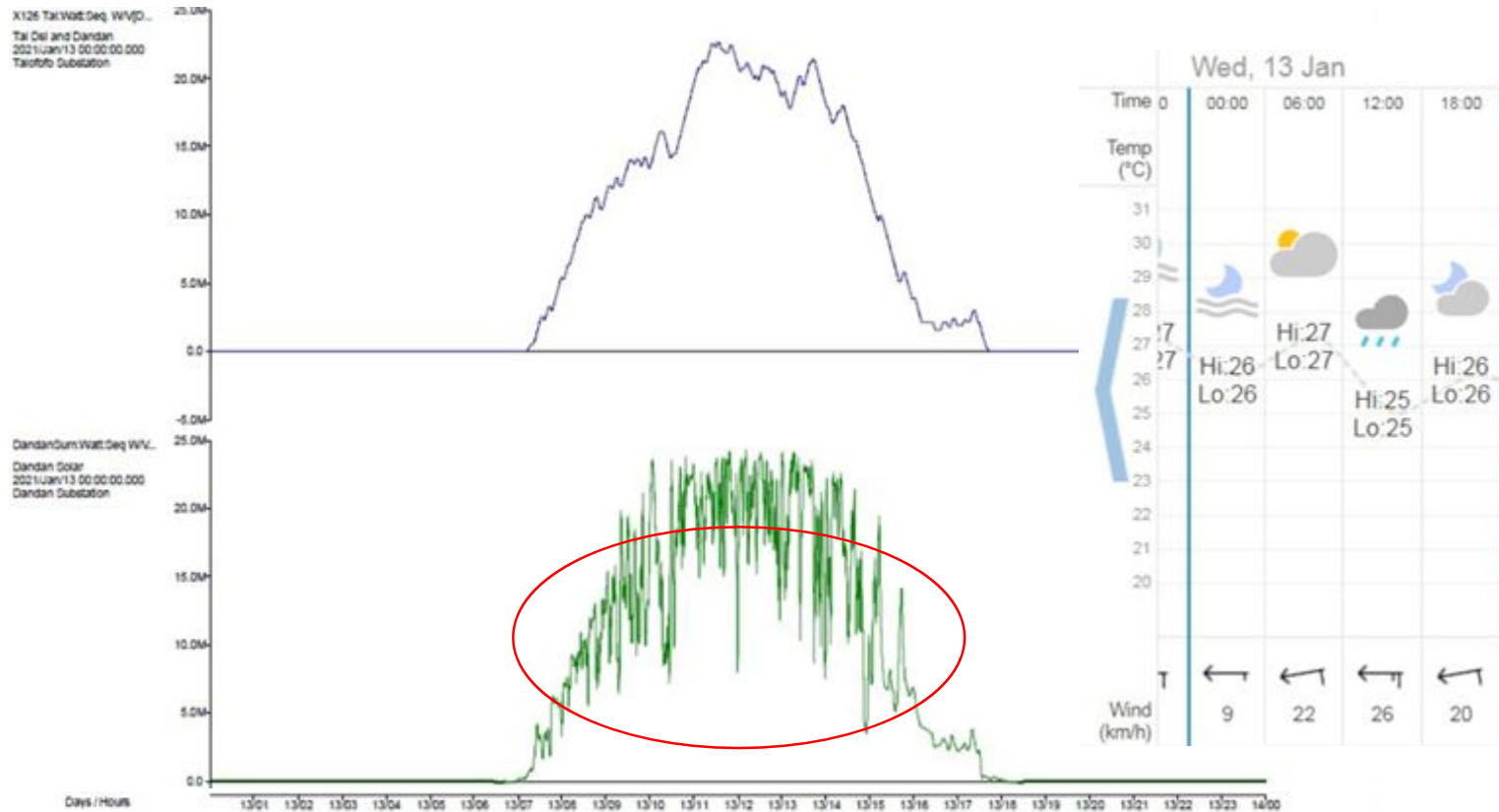
Talofofo ESS ACTIVATED - January 11, 2021



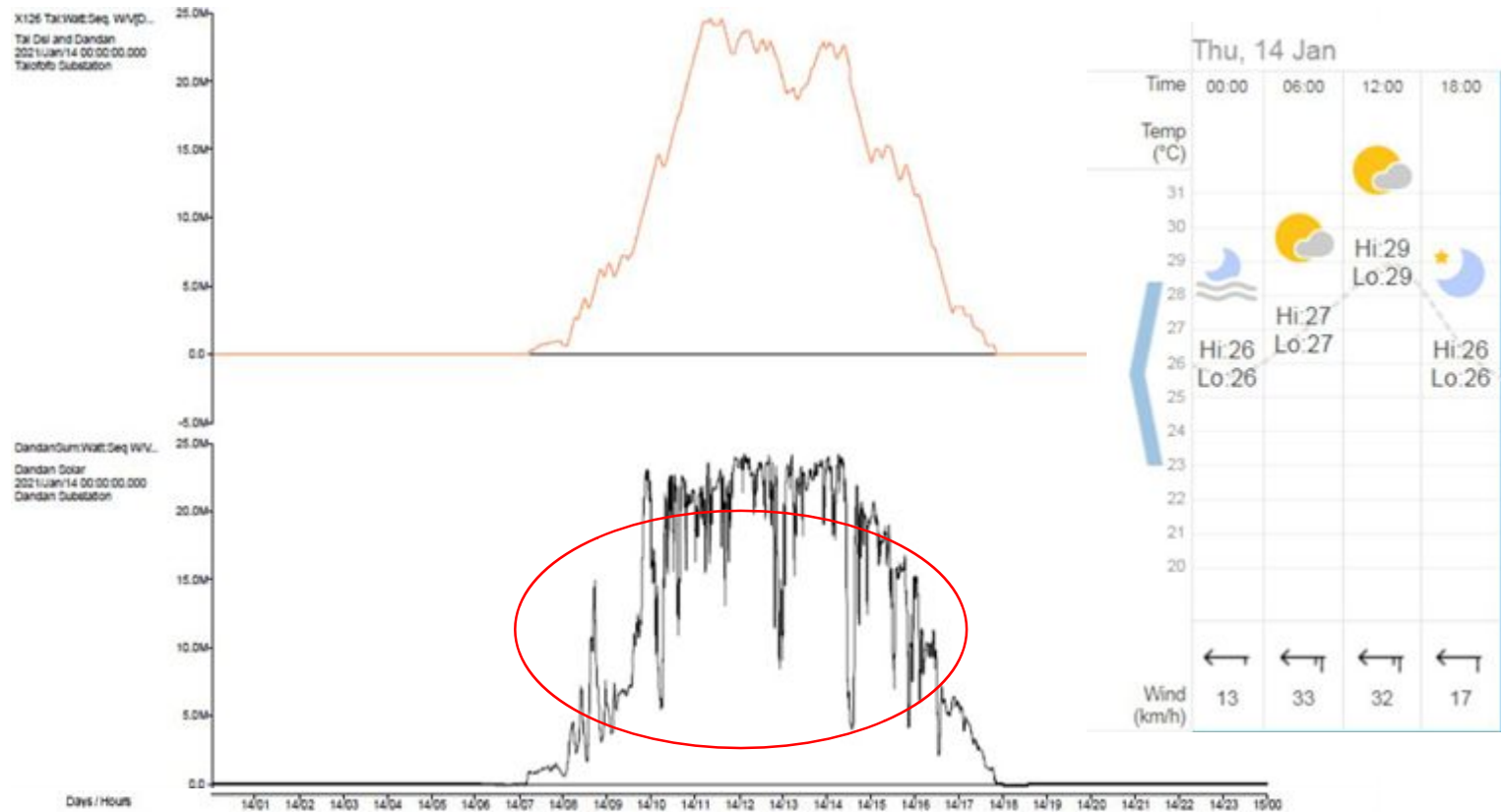
Talofofo ESS ACTIVATED - January 12, 2021



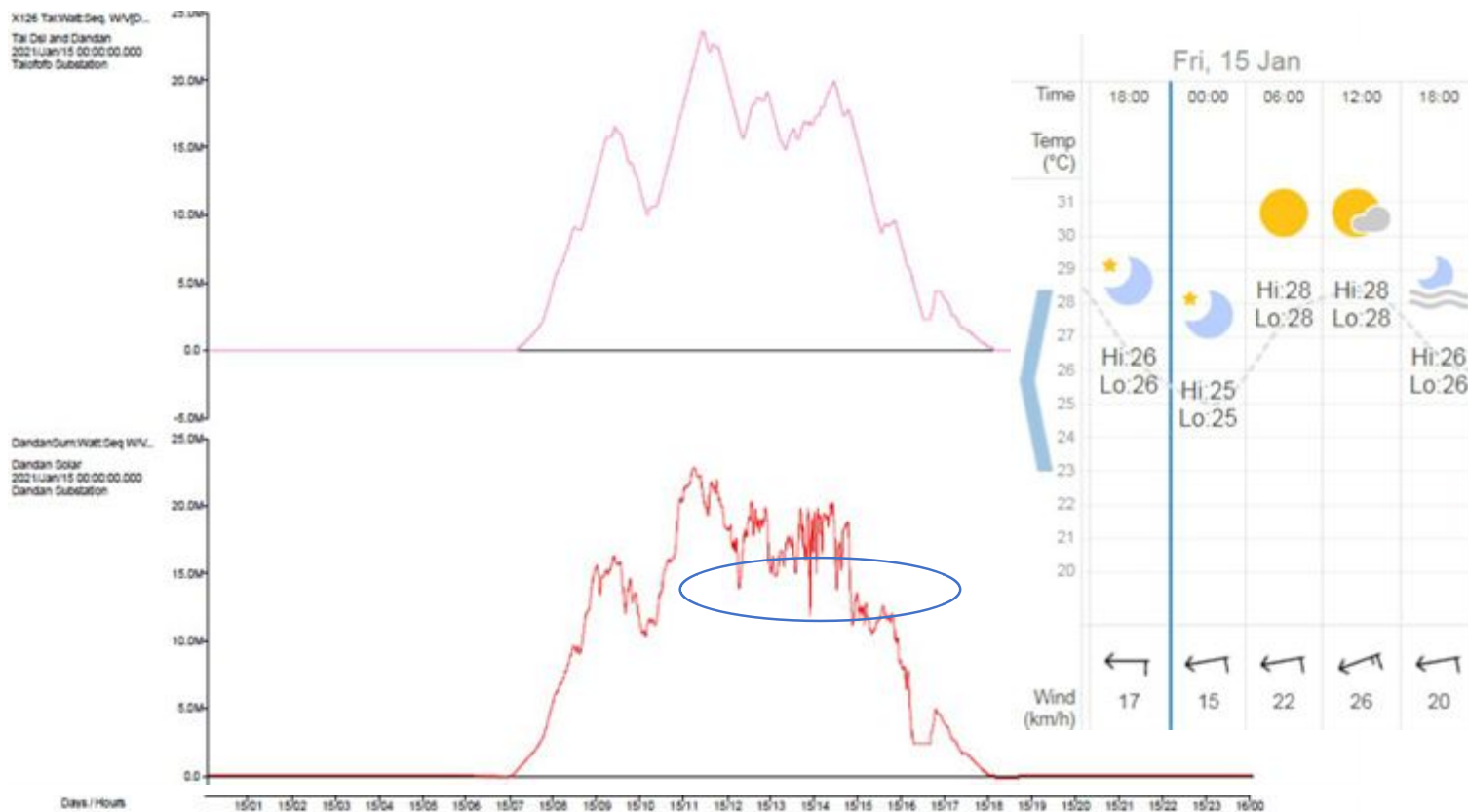
Talofofo ESS ACTIVATED - January 13, 2021



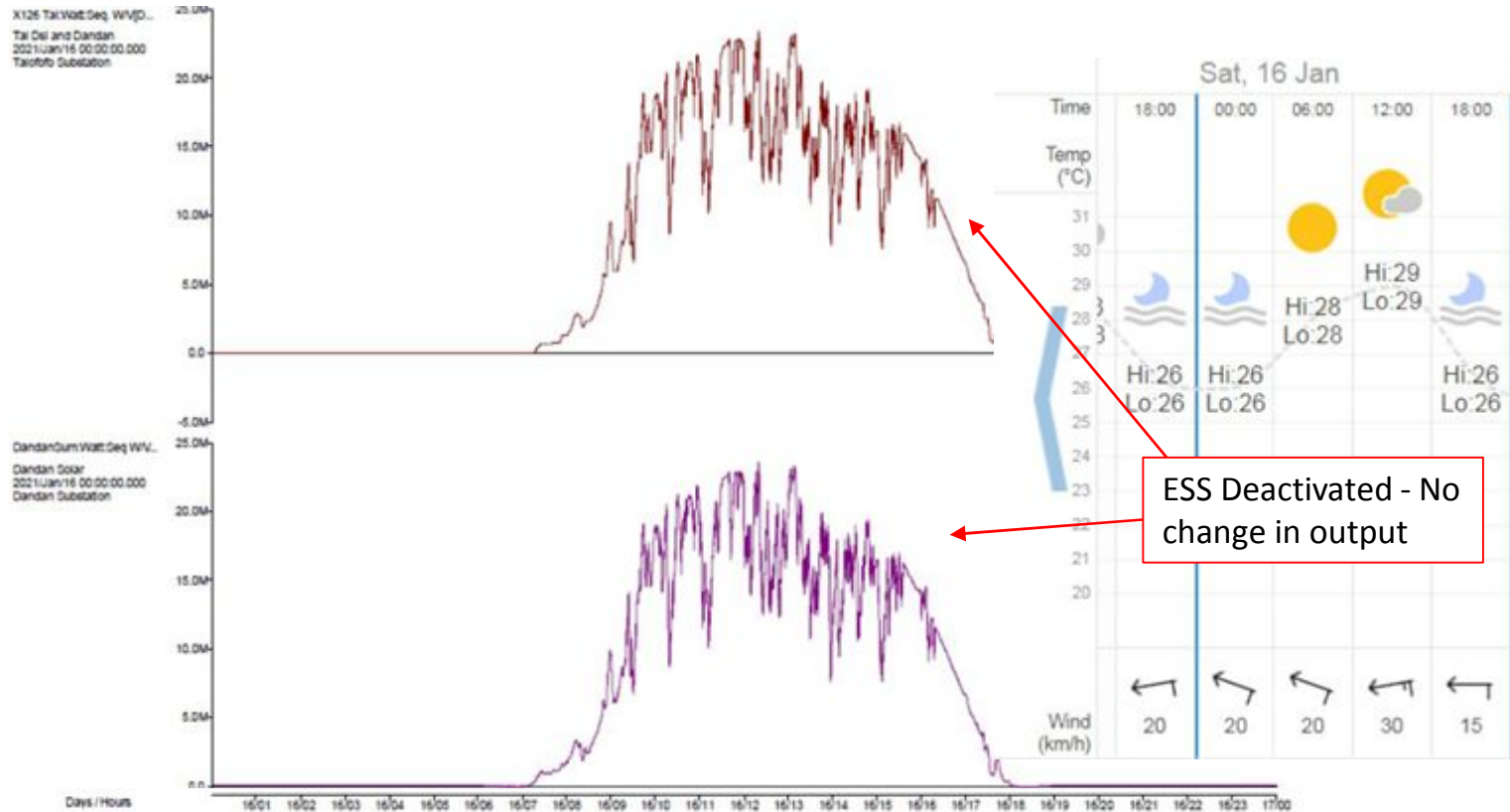
Talofofo ESS ACTIVATED - January 14, 2021



Talofofo ESS ACTIVATED - January 15, 2021

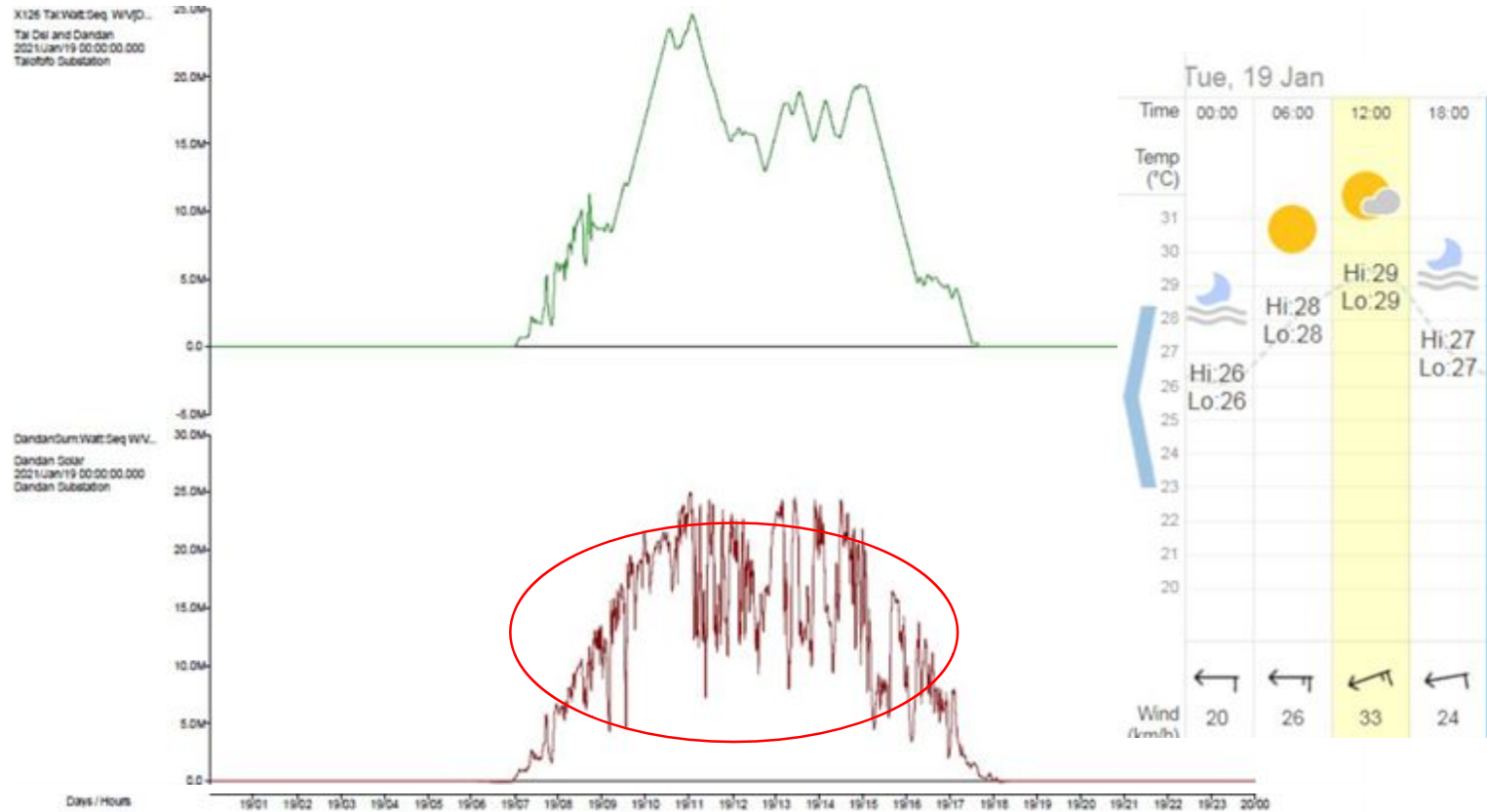


Talofofo ESS **DEACTIVATED** - January 16, 2021

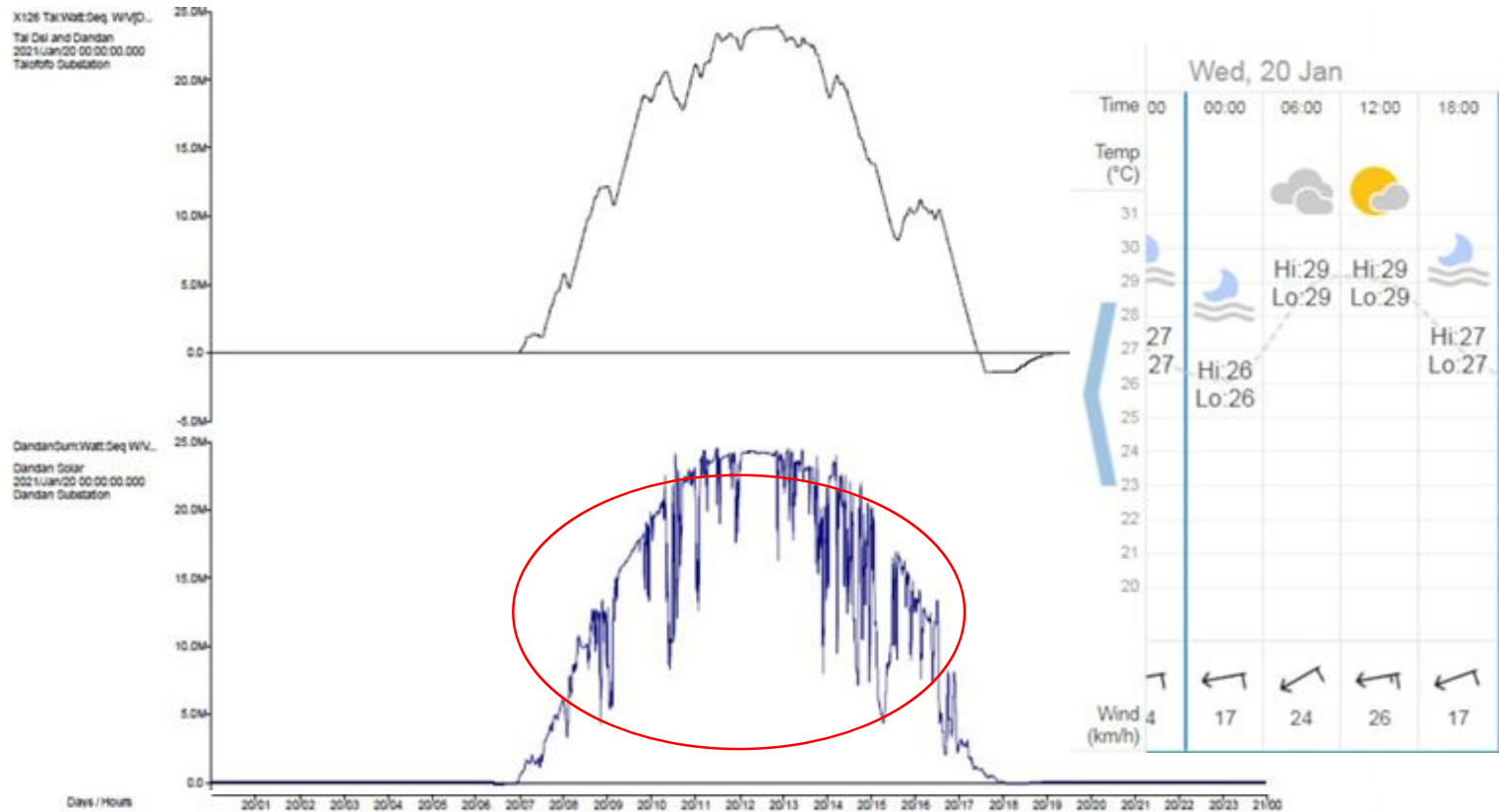


ESS was deactivated from January 16th -18th

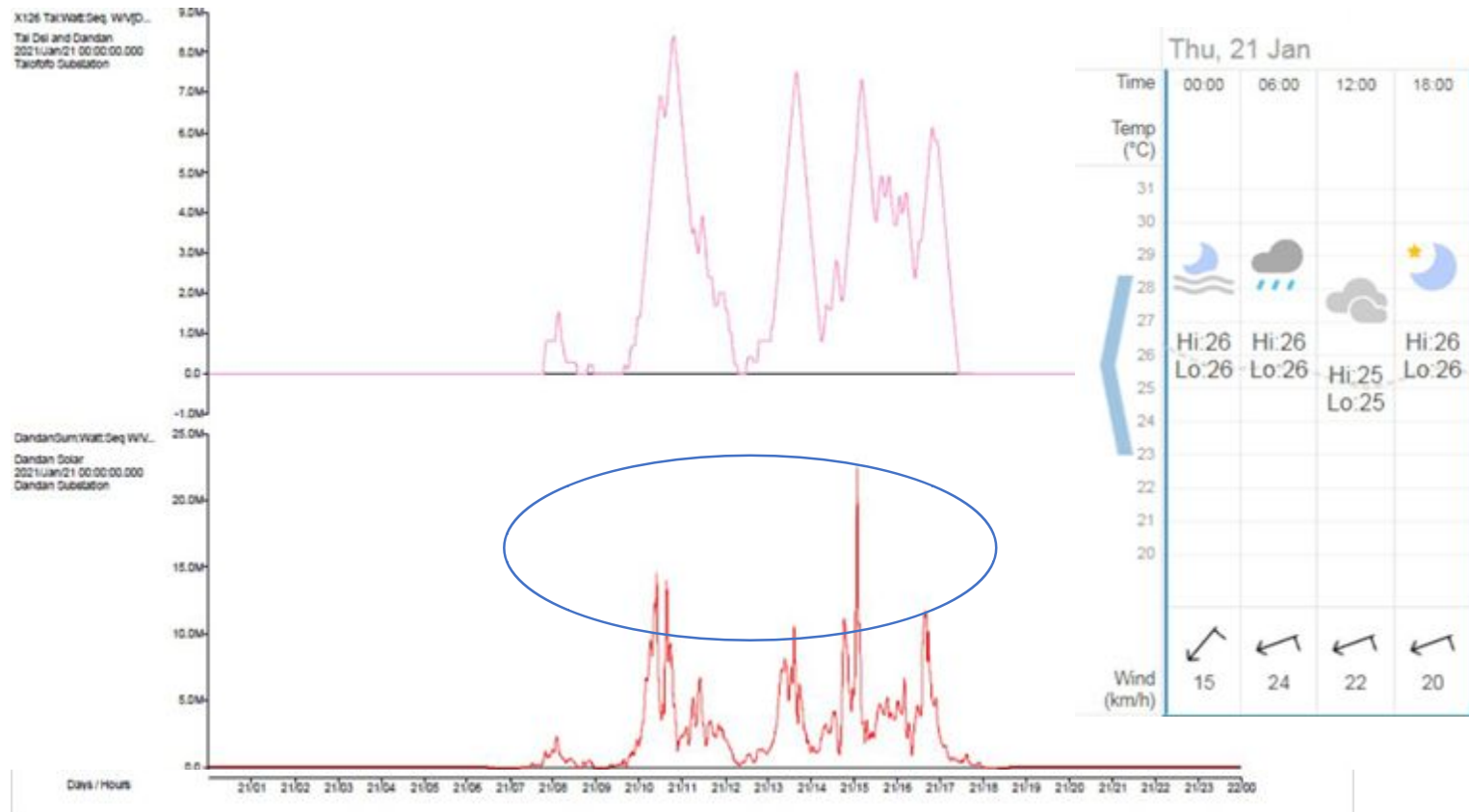
Talofofo ESS ACTIVATED - January 19, 2021



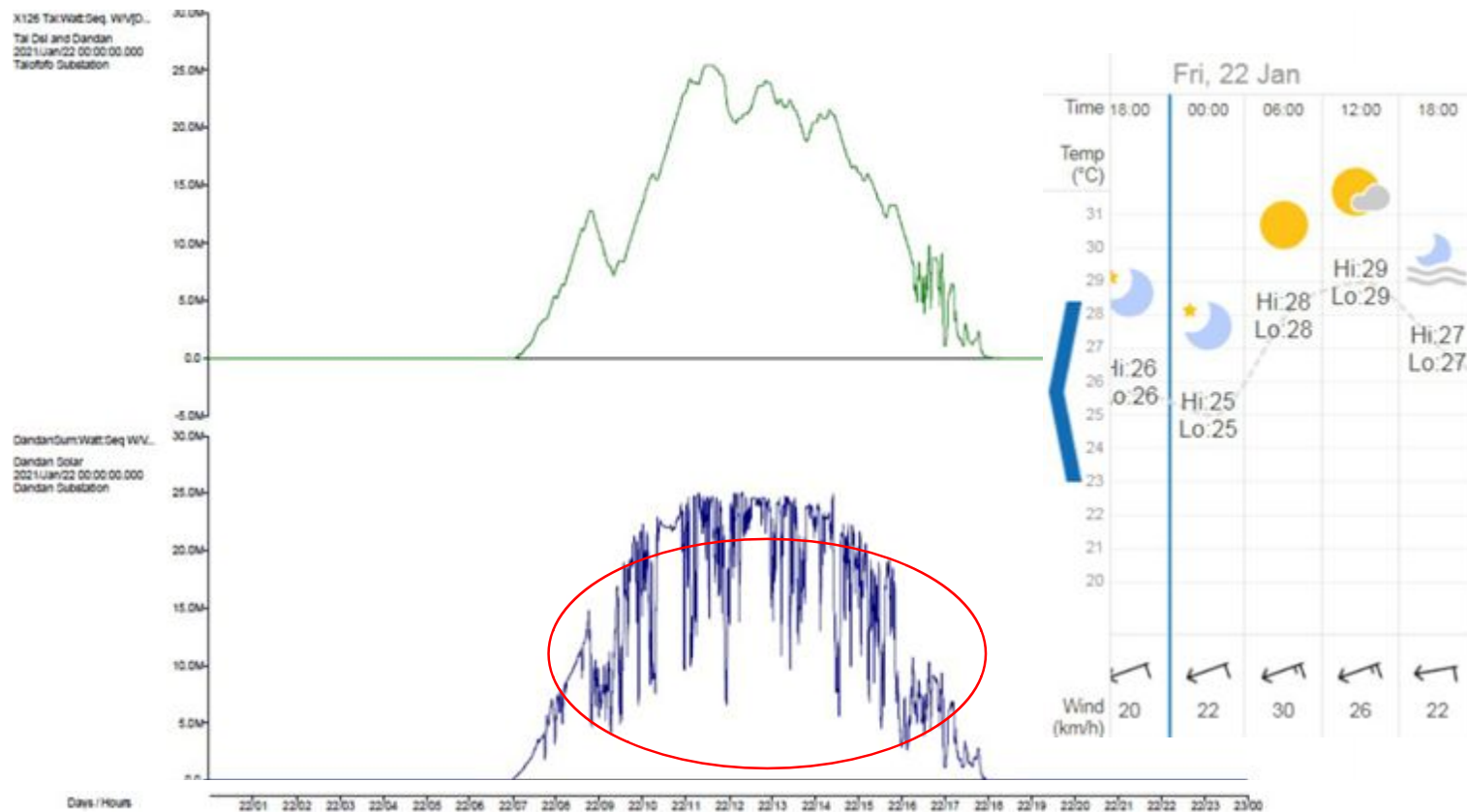
Talofofo ESS ACTIVATED - January 20, 2021



Talofofo ESS ACTIVATED - January 21, 2021



Talofofo ESS ACTIVATED - January 22, 2021

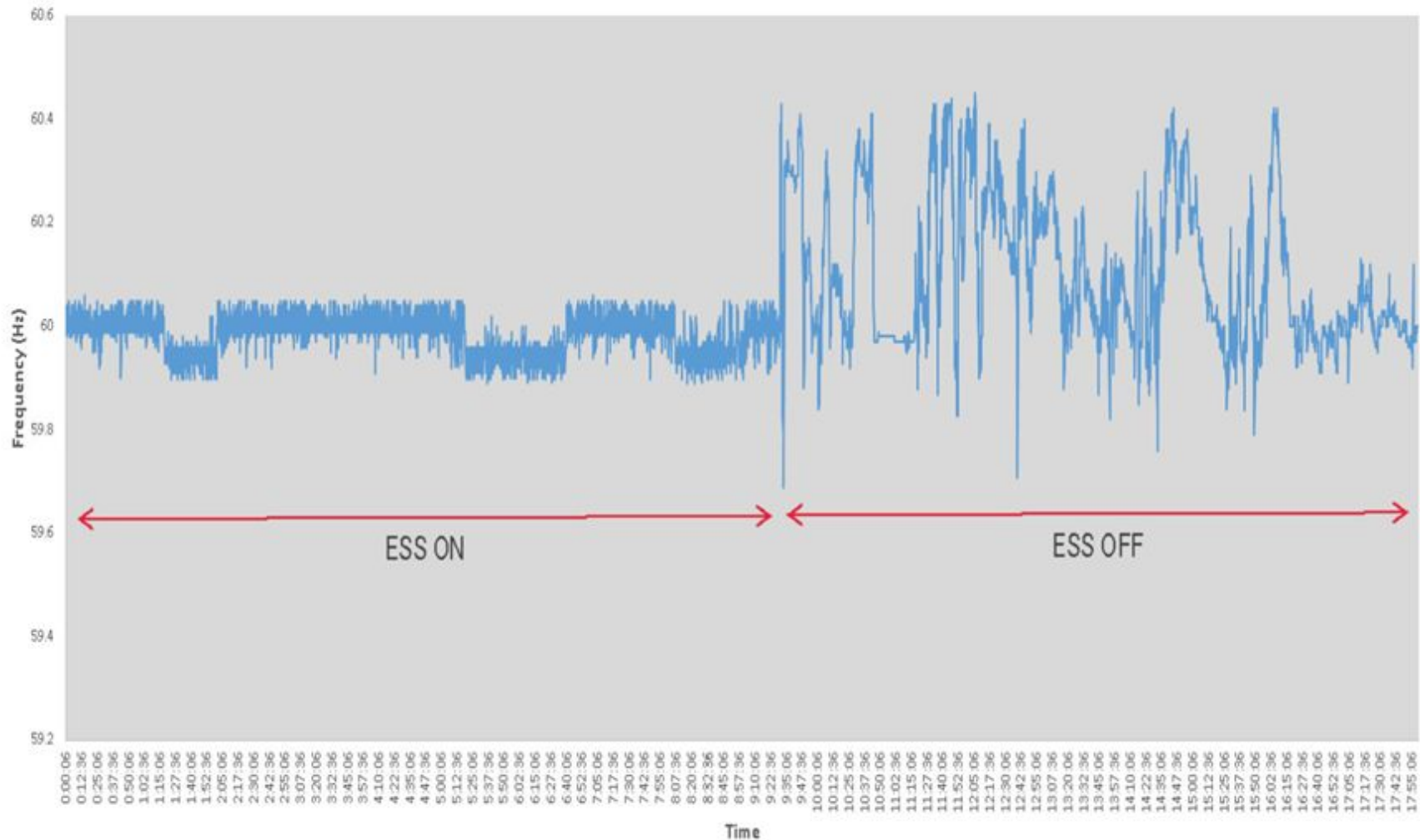


ESS Frequency Regulation Performance

Hagåtña ESS Online; Talofofo ESS Offline

35

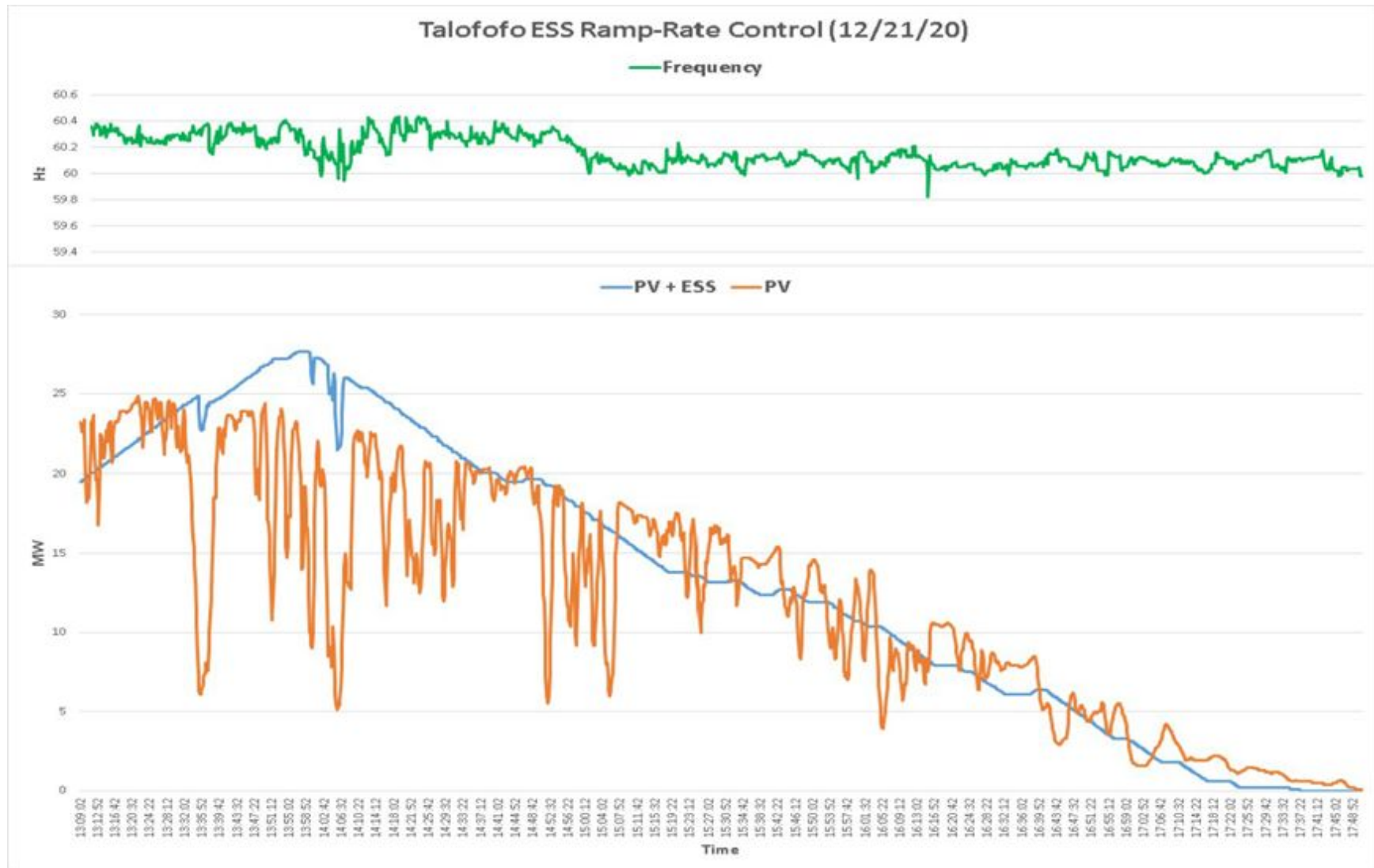
Agana ESS Frequency Regulation (12/31/20)



ESS Frequency Regulation Performance

Talofofo ESS Online; Hagåtña ESS Offline

36



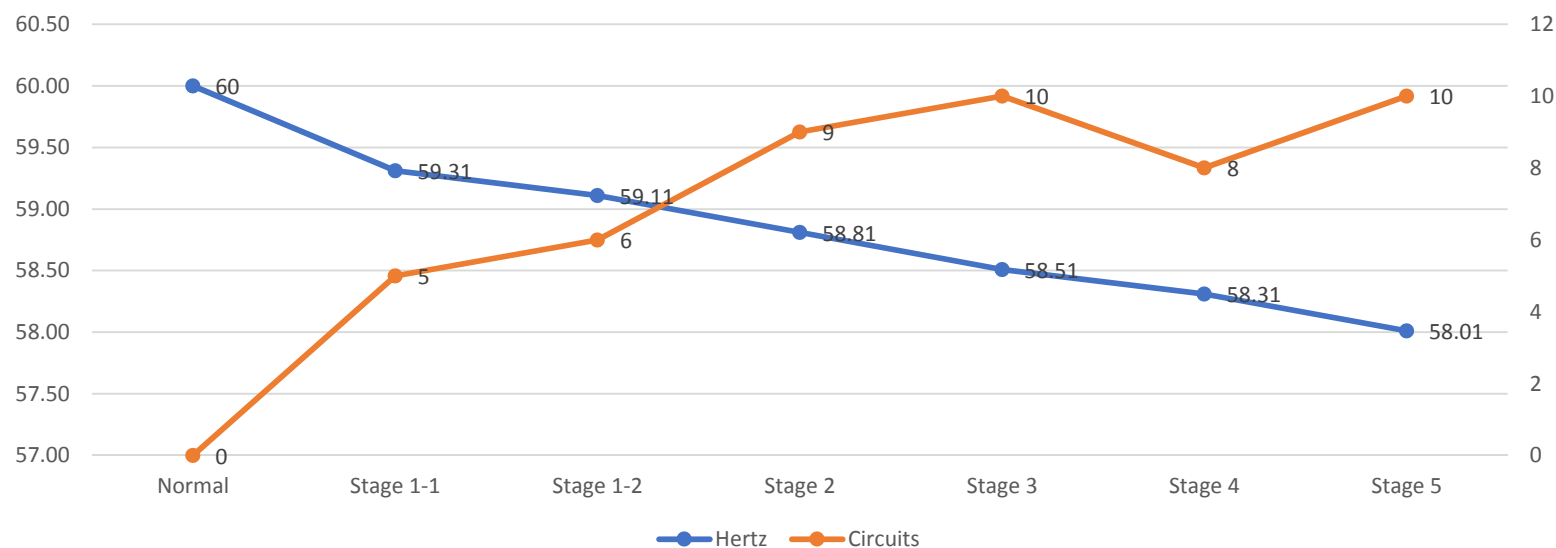
Underfrequency Load Shedding to Avoid Island-Wide Blackout

37

14. System Underfrequency Load Shedding Info:

Frequency	Hertz	Circuits	Min MW	Max MW	Min Cumulative MW	Max Cumulative MW	% of Peak MW
Normal	60	0	0		0	0	0.0%
Stage 1-1	59.31	5	8.17	11.48	8.17	11.48	4.5%
Stage 1-2	59.11	6	8.75	25.08	16.92	36.56	14.3%
Stage 2	58.81	9	17.28	23.78	34.2	60.34	23.6%
Stage 3	58.51	10	18.83	23.07	53.03	83.41	32.6%
Stage 4	58.31	8	16.09	23	69.12	106.41	41.6%
Stage 5	58.01	10	16.36	23.65	85.48	130.06	50.8%

System Underfrequency Load Shedding



General Manager's Report (con't)

38

15. Moody's and S&P Global Ratings:

- On January 25, 2021 *Moody's Investors Service* has completed a periodic review on the rating of GPA's revenue bonds. They maintained GPA's **Baa2** senior lien revenue bonds rating because of GPA's solid projected fixed charge coverage ratios and liquidity levels in fiscal year ending September 30, 2020, despite the impact on operating revenue from the Coronavirus-induced slowdown.
- On February 1, 2021 S&P Global Ratings released its crediting rating on GPA's revenue bonds. S&P Global Ratings' long-term rating and underlying rating on GPA's senior-lien revenue bonds outstanding are 'BBB'. The outlook is stable. In the credit rating agency's opinion, GPA's Enterprise Risk Profile and Financial Risk Profile were rated adequate.

16. Generation KPIs:

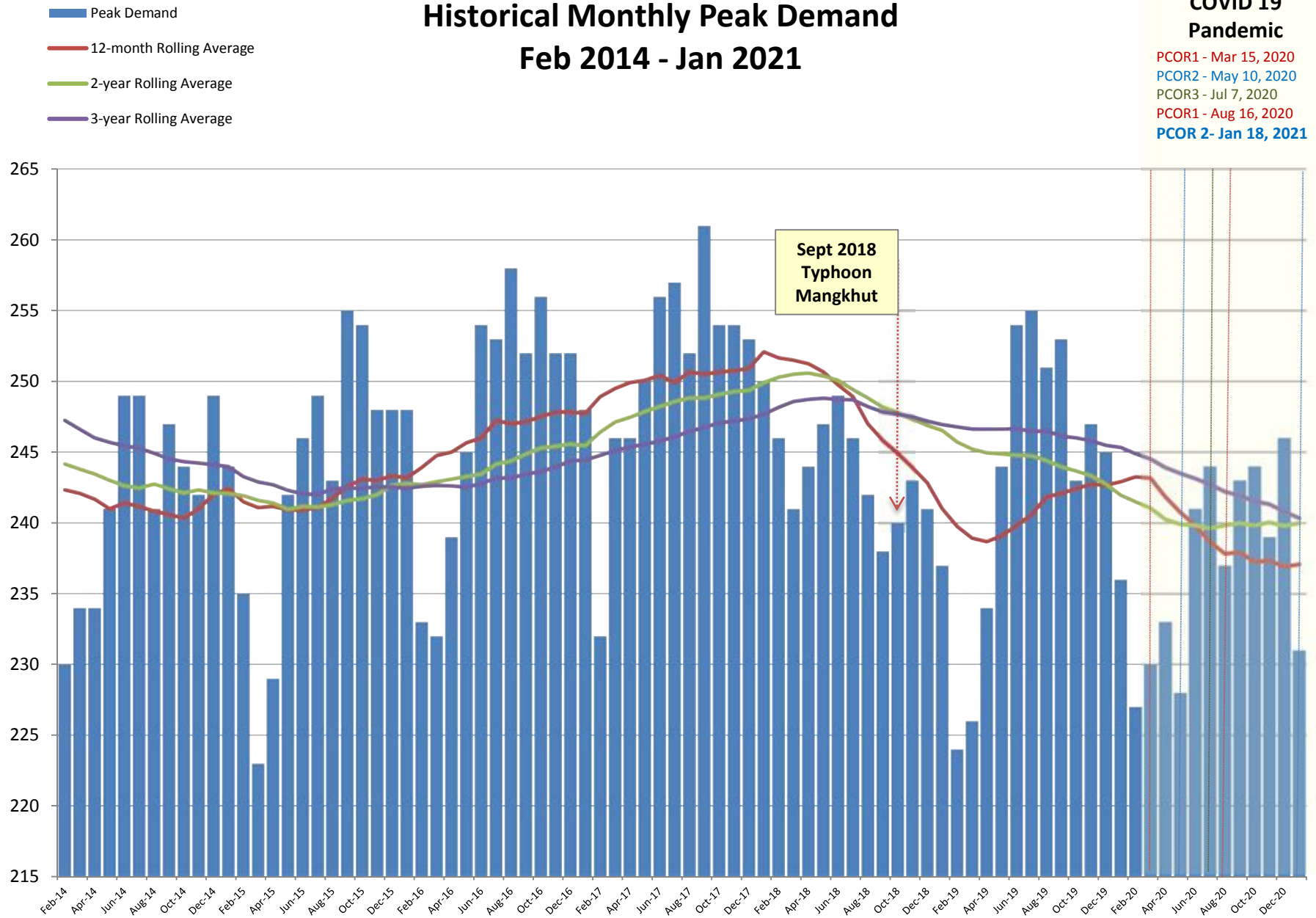
- The following graphs show updated information through January 2021:

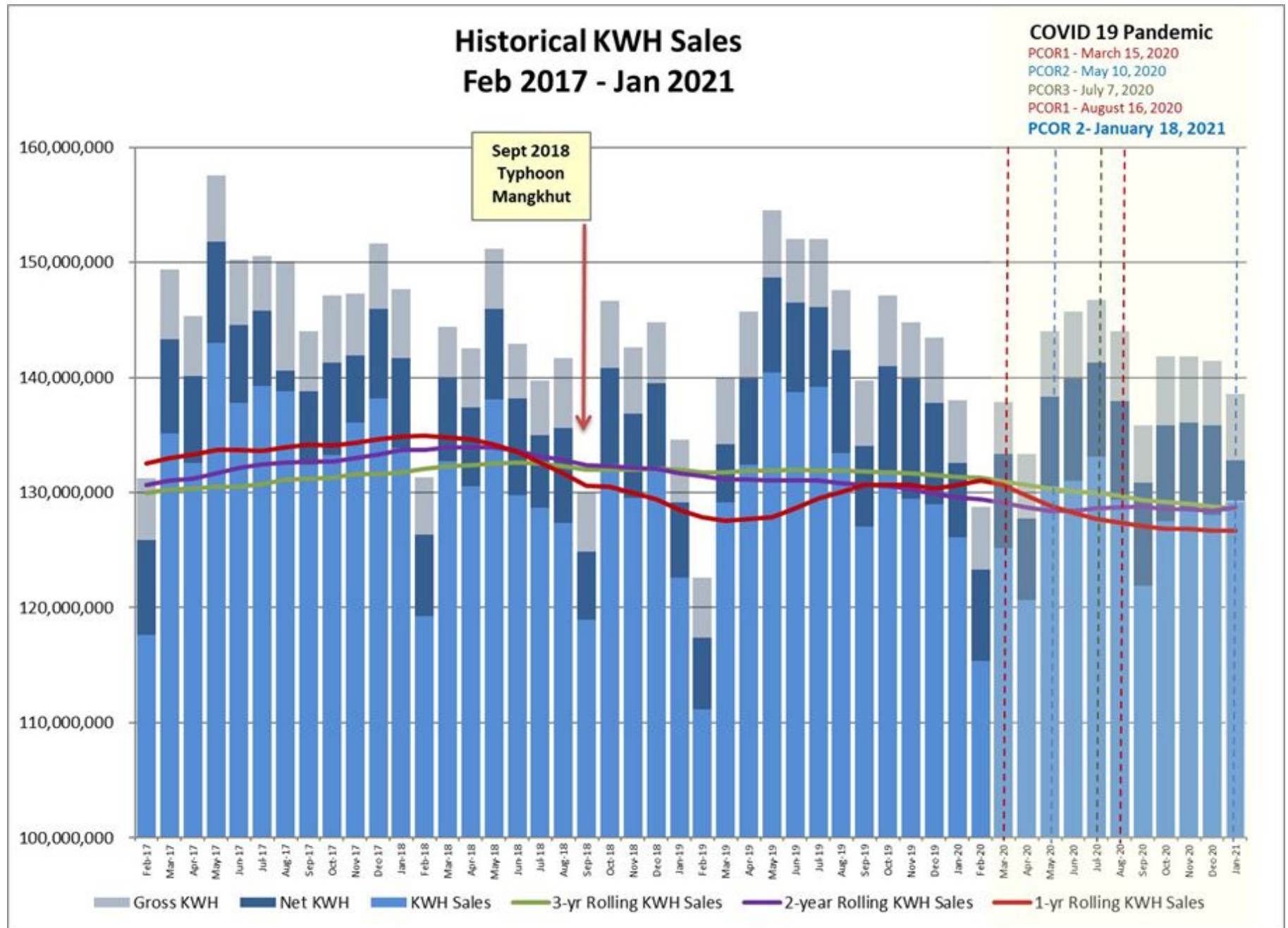


Historical Monthly Peak Demand Feb 2014 - Jan 2021

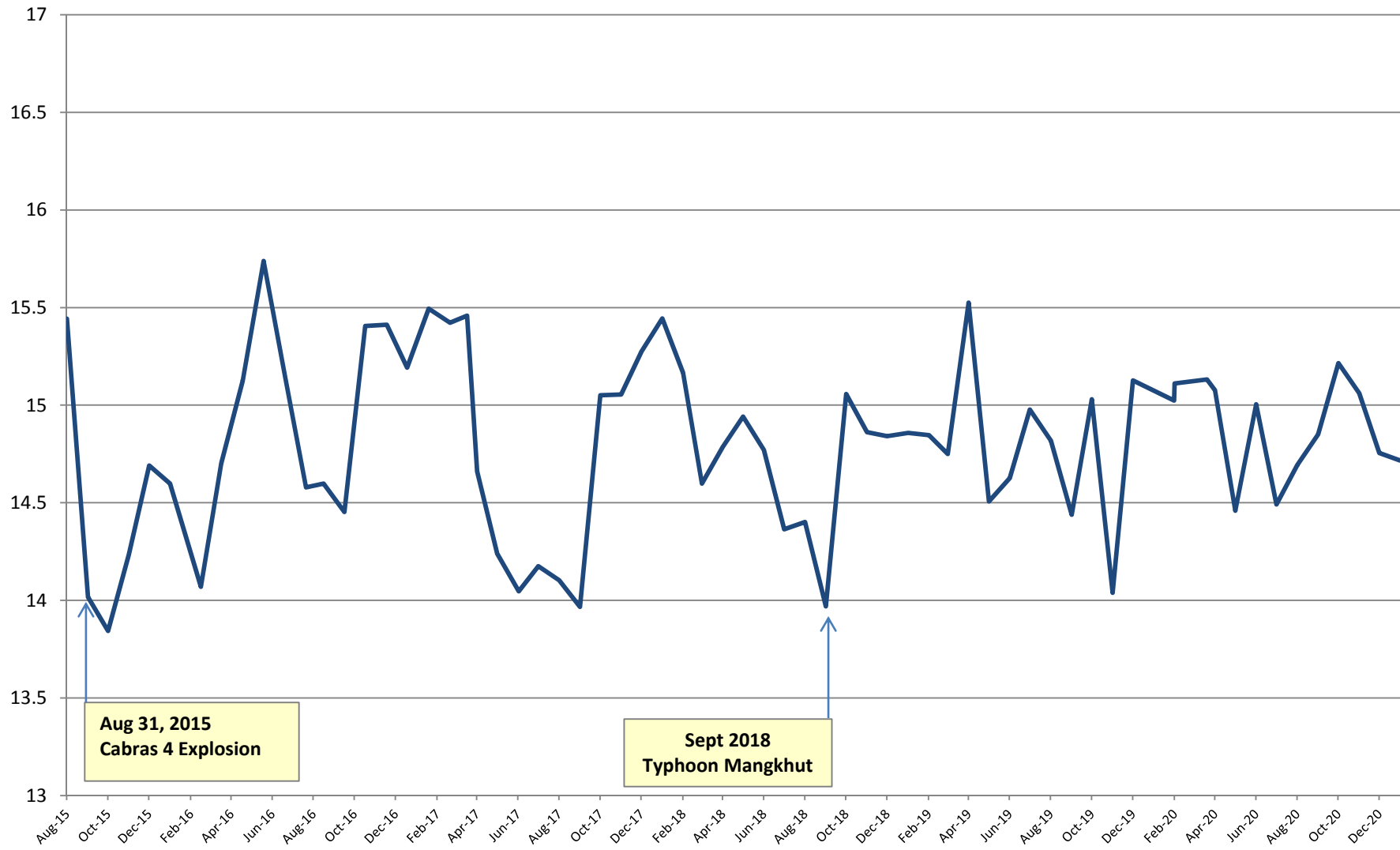
COVID 19 Pandemic

PCOR1 - Mar 15, 2020
PCOR2 - May 10, 2020
PCOR3 - Jul 7, 2020
PCOR1 - Aug 16, 2020
PCOR 2- Jan 18, 2021

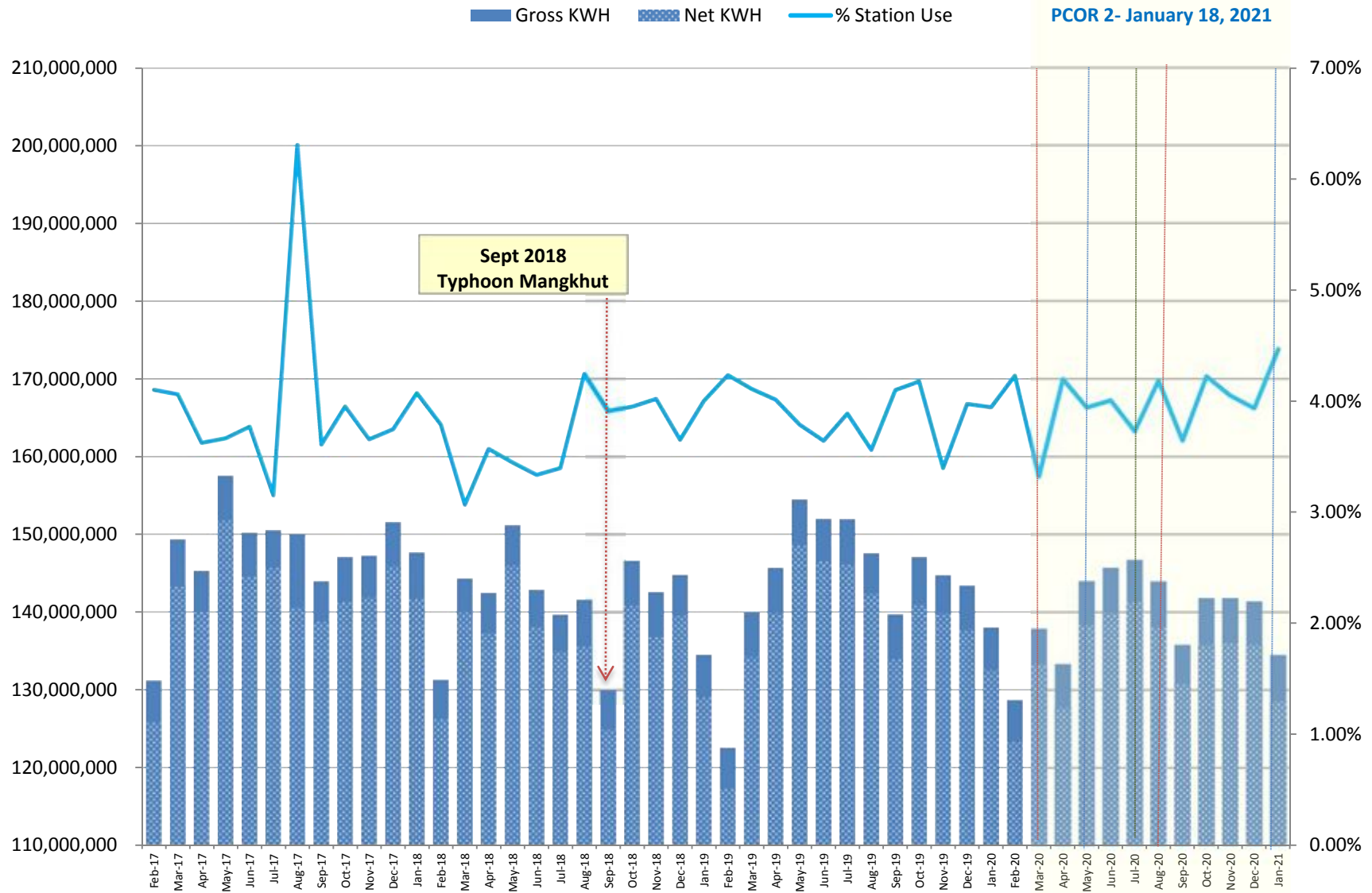




SYSTEM GROSS HEAT RATE (KWH/Gal) Aug 2015 - Jan 2021

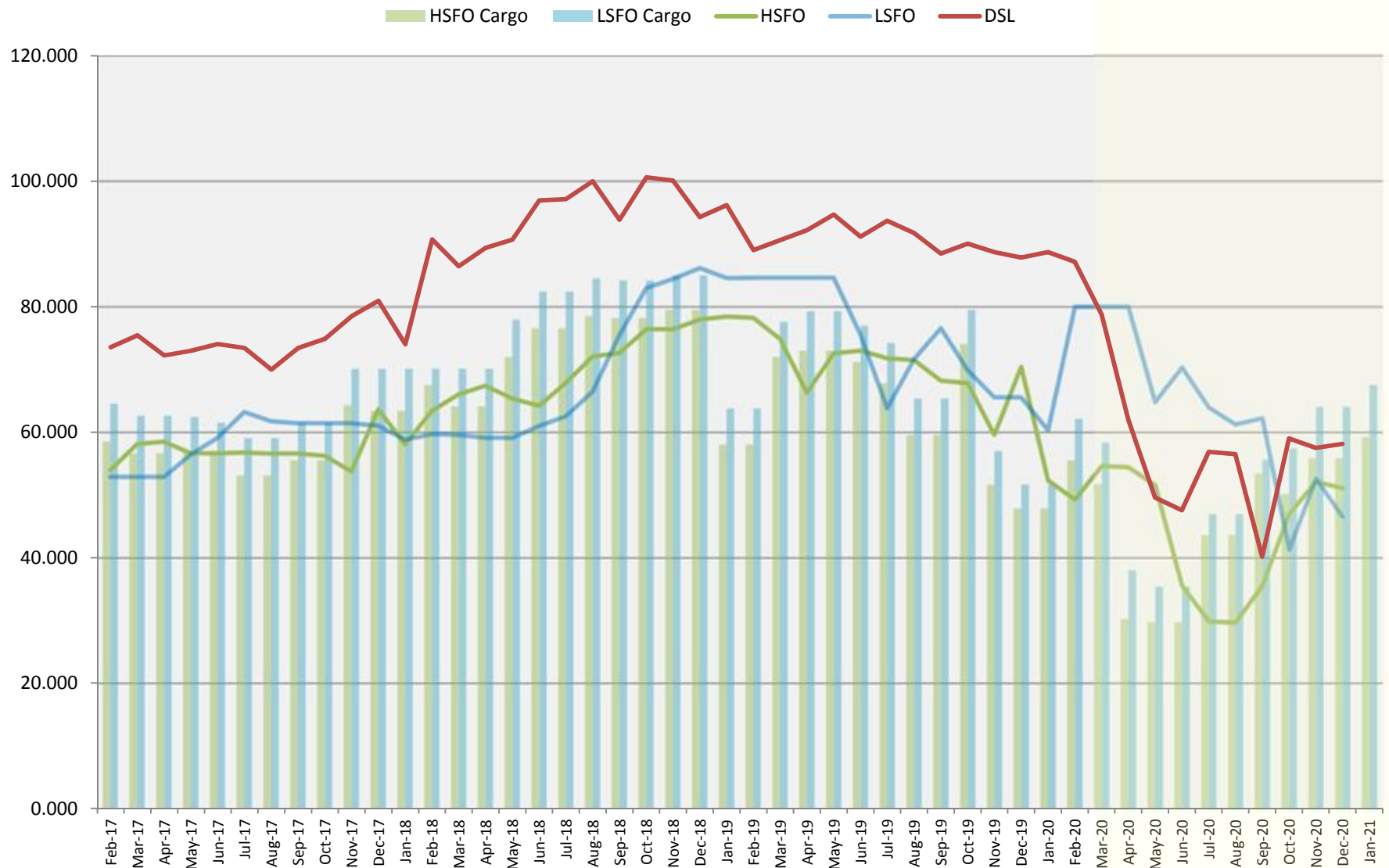


Gross and Net Generation (KWH) Feb 2017 - Jan 2021



Fuel Cargo and Fuel Consumption Costs (\$/bbl) Feb 2017 - Jan 2021

COVID 19 Pandemic

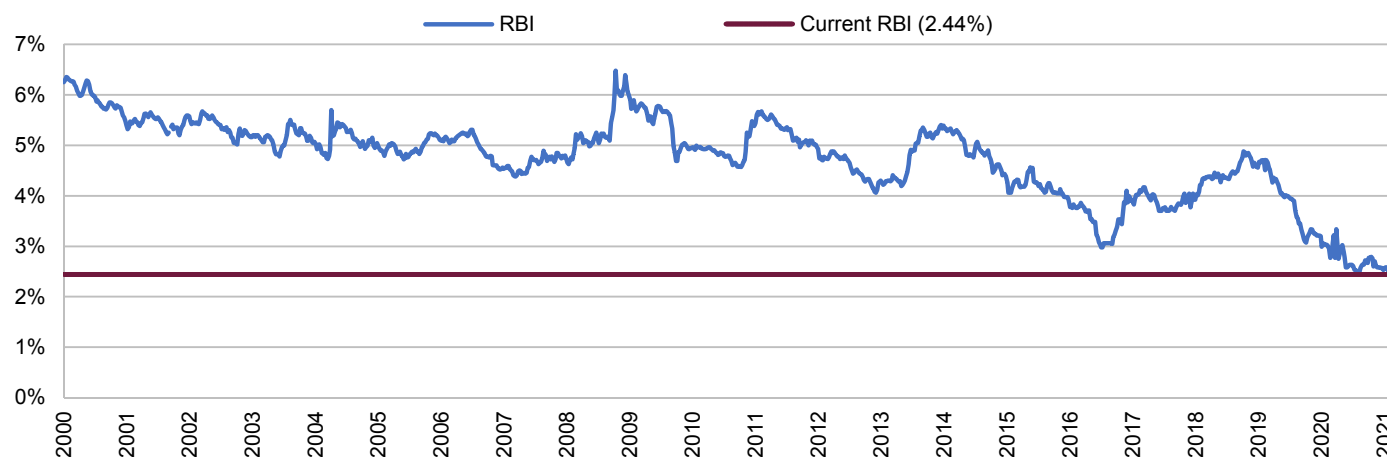


17. BOND REFUNDING



2012 Bond Refunding

Bond Buyer Revenue Bond Index¹

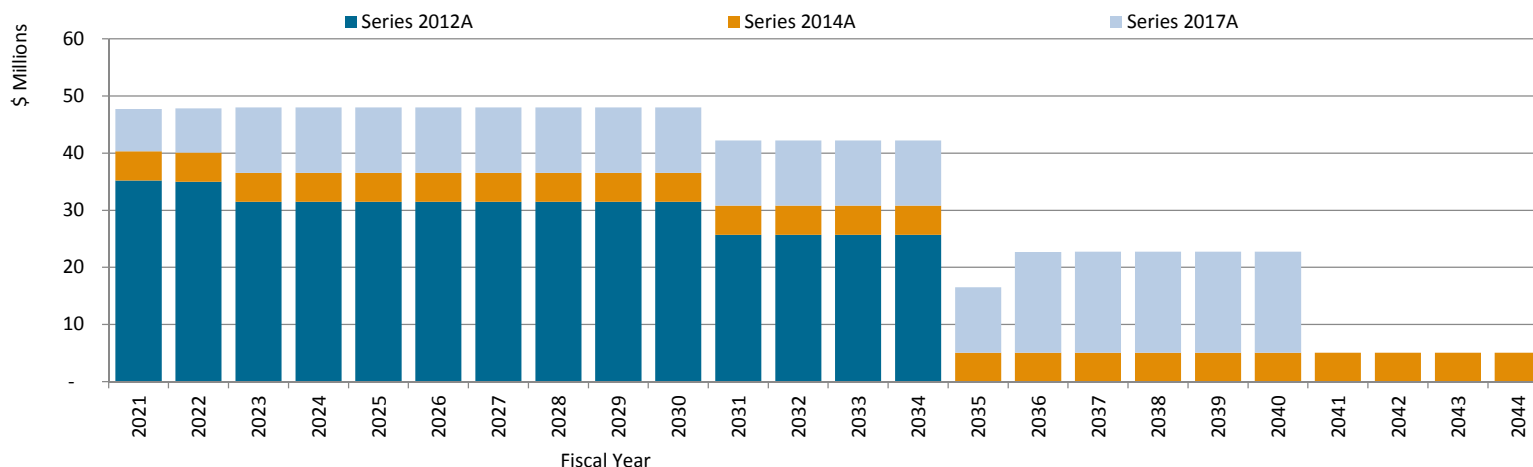


Background:

- GPA's 2012 Series A Bonds are currently outstanding in the principal amount of \$305.74 million at a rate of 5.00%, with \$265.08 million callable beginning October 1, 2022
- Under federal tax law, a tax-exempt refunding of these bonds may close no earlier than 90 days prior to the call date (i.e., early July 2022)
- **Interest rates are at their all-time lows** and importantly are much lower than when GPA issued its 2012 Bonds (see chart at upper right)
- Interest rates can be secured now on a forward-delivery basis for a rate premium of around 5 basis points per month

2012 Bond Refunding (Continued)

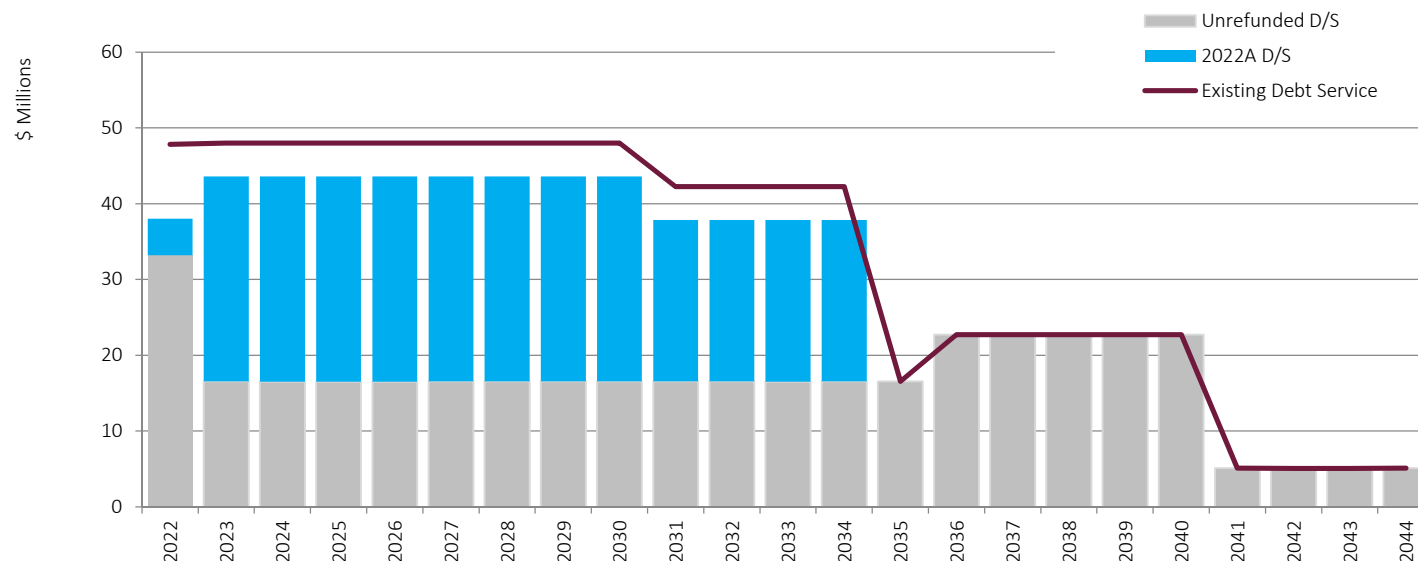
Outstanding Senior Lien Debt Service



- **Opportunity:**
- GPA could take advantage of today's historically low interest rates by executing a tax-exempt refunding now for delivery in July 2022
- **Barclays would use its own balance sheet to purchase the bonds directly from GPA – eliminating the need for a POS, investor road show and marketing program – so GPA achieves better certainty of execution for less effort**
- Interest rate risk removed; rates would be secured in 2021 (after Legislative approval) and fixed for delivery in July 2022
- Savings locked in now
- No need to produce an official statement now (must be produced near delivery in 2022)

2012 Bond Refunding (Continued)

Scenario 1A: Series 2012A Refunding with Level Savings¹



Summary of Refunding Results

Closing Date	7/6/2022
Total New Par Amount	\$228,230,000
Par Refunded	\$285,795,000
All-In TIC of Bond Series	2.30%
Existing Aggregate MADS	\$48.00 million
New Aggregate MADS	\$43.61 million
Debt Service Reserve Fund Release	\$4.39 million
Refunding Statistics	
Avg. Annual Cash Flow Savings, FY 2024-2030	\$4.40 million
PV Savings	\$42.84 million
PV Savings as % of Refunded Par	14.99%

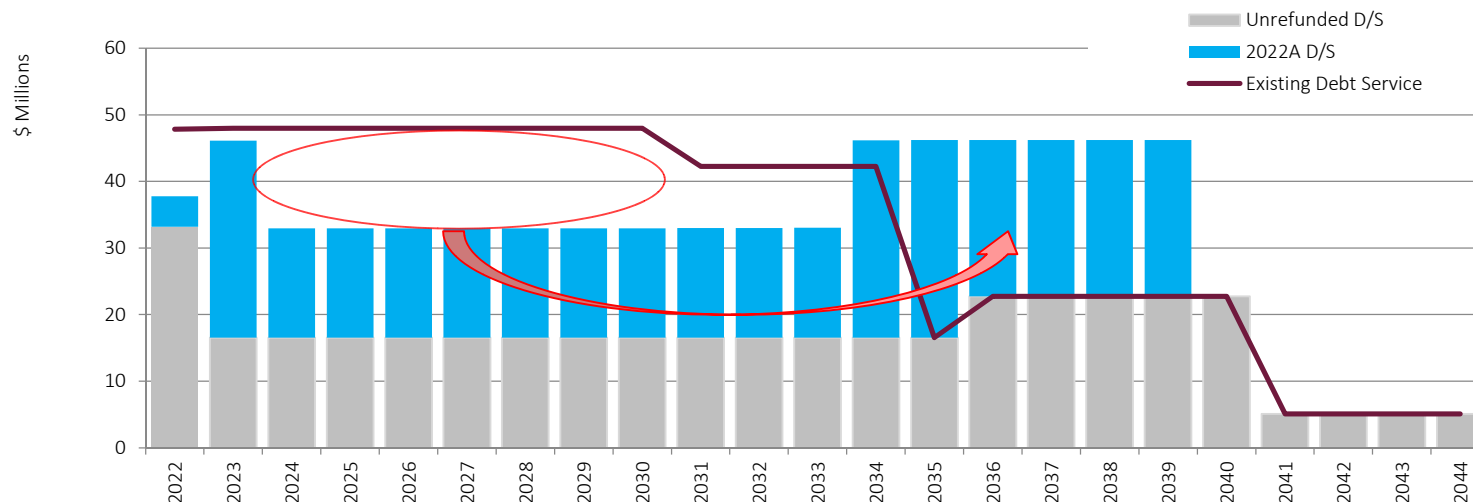


1. Assumes interest rates as of 2/16/2021; preliminary and subject to change. Assumes 1.5% costs of issuance.



2012 Bond Refunding (Continued)

Scenario 2A: Series 2012 Restructuring to Maximize Savings in 2024-2030^{1,2}



Summary of Refunding Results

Closing Date	7/6/2022
Total New Par Amount	\$227,365,000
Par Refunded	\$285,795,000
All-In TIC of Bond Series	2.96%
Existing Aggregate MADS	\$48.00 million
New Aggregate MADS	\$46.21 million
Debt Service Reserve Release	\$1.79 million
Refunding Statistics	
Avg. Annual Cash Flow Savings, FY 2024-2030	\$15.04 million
PV Savings	\$26.21 million
PV Savings as % of Refunded Par	9.17%



1. Assumes interest rates as of 2/16/2021; preliminary and subject to change. Assumes 1.5% costs of issuance.
2. Refunding debt service is structured to produce approximately \$15 million of cash flow savings annually between 2024 and 2030. Other restructuring options are possible based on GPA preferences, subject to tax counsel approval.



2021 Integrated Resource Plan (IRP)

Stakeholder Panel Meetings

- GPA held its Stakeholder meeting kickoff on Jan. 29
 - Attendees included UOG, Navy, Red Cross, and Mayor's Council
 - Presentations and audio files will be provided on website once completed.
 - Meeting dates and times:

Meetings	Date	Topics
1	Friday, January 29, 2021 8:30AM – 11:30AM	KICKOFF Meeting Introduction & Assumptions
2	Friday, March 26, 2021 8:30AM – 11:30AM 1:30PM – 3:30PM	Preliminary Results & Discussions
3	Friday, May 21, 2021 8:30AM – 11:30AM 1:30PM – 3:30PM	Final Results and Conclusions
4	TBD – June Meeting	Final Report Summary

Integrated Resource Plan

- Plan will include the following main topics:

Volume	IRP Scope
1	Generation Expansion Plan
2	Long-Range Transmission Plan
3	Medium Range Distribution Plan
4	Demand-Side Management Plan
5	Environmental Strategic Plan
6	Resiliency Plan (FRONTIER Project)
7	IT Strategic Plan
8	GPA Strategic Plan

Generation Expansion Plan

- Plan will focus on the following areas regarding generation resources:

Task Items	Section	Status	Preliminary Results	Pre-Final Results & Conclusions	Final Document
1	Demand, Energy, and Sales Forecast	UFS Forecast	X	21-May-21	22-Jun-21
2	Fuels Forecast	In Progress (LEIDOS)	26-Mar-21	21-May-21	22-Jun-21
3	Supply-Side Technology Candidates	LEIDOS Report	X	21-May-21	22-Jun-21
4	Existing Unit Characterization (2021 Generation Resource Handbook)	75% Formatted, March 26, 2021	X	21-May-21	22-Jun-21
5	Generation Adequacy Analysis	85%, Rework for new developments	X	21-May-21	22-Jun-21
6	Least-Cost Expansion Plans	In Progress	26-Mar-21	21-May-21	22-Jun-21
7	Conclusions	In Progress	26-Mar-21	21-May-21	22-Jun-21
8	Recommendations	In Progress	26-Mar-21	21-May-21	22-Jun-21

Scenario No.	Scenario	Peak Load Carrying Capability (PLCC) @ one day in 4.5 years LOLE (MW)	Implications Related to Forecast with Datacenter (High Load Case)
1	Phase III Solar PV + ES BESS; Ukudu Diesels Not Relocated	320.20	Meets LOLE standard until 2028 (2034 for Low Load Case)
2	Phase III Solar PV + ES BESS; Ukudu Diesels Relocated	>340.00	Supports System beyond FY 2041; LOLE better than one day in ten years
3	60 MW Solar PV + ES BESS; Phase III; Ukudu Diesels Not Relocated	>340.00	LOLE in 2040 is one day in 6.9 years
4	60 MW Solar PV + ES BESS; Phase III; Ukudu Diesels Relocated	>340.00	Supports System beyond FY 2041; LOLE better than one day in ten years
5	150 MW Solar PV + ES BESS; Phase III; Ukudu Diesels Not Relocated	>340.00	Supports System beyond FY 2041; LOLE better than one day in ten years
6	150 MW Solar PV + ES BESS; Phase III; Ukudu Diesels Relocated	>340.00	Supports System beyond FY 2041; LOLE better than one day in ten years

Results

- Modeling will evaluate various scenarios
- Generation Mix Changes Common to All Scenarios
 - Piti 8&9 Retired
 - Cabras 1&2 Retired
 - Ukudu CC CT online

Long Range Transmission Plan

- Plan will focus on the following studies and their recommendations:

Sections	Section	Status	Final Document
1	Renewable Integration Plan: System Improvement Plan	AEB/EPS Report	June 2018
2	Ukudu CC CT System Impact Study	Stanley/EPS Report	Jan 2020

Medium Range Distribution Plan

- PUC Order Mapping

Sections/ Tasks	Tasks	May 30, 2019 PUC Order Item			
		Item #6	Item #7	Item #8	Item #9
1	One (1) AGA System Assessment	x			
2	Distribution Model Corrections Study (via AGA Network Model Validator)	x			
3	Load Flow Studies (via AGA Asset Loading)	x	x		x
4	Distributed Renewable Energy Intermittency and Voltage Issue Elimination/Management Study (via AGA Planning Case Studies)	x	x		x
5	System Wide Voltage Analysis Study (via AGA Voltage Visualization)	x	x		x
6	Volt/VAR Optimization Study (via AGA Planning Case Studies)	x			x
7	Conservation Voltage Reduction Study (via AGA Capacity Contribution as well as Voltage Visualization and Planning Case Studies)	x			x
8	Demand Response Study (via AGA Capacity Contribution and Planning Case Studies)	x	x	x	x
9	Automated Switching and Communicating Fault Circuit Indicator Study (via GIS model analysis)				x
10	One (1) electronic document that catalogs all distribution design studies that were completed for this SOW and for future reference.	x	x	x	x

Medium Range Distribution Plan

- Initial Batch of Substations to be Analyzed

Substations	Apra	Pagat	Dededo *	San Vitores	Yigo*
Feeders	P-220	P-321	P-87	P-400	P-330
	P-221	P-322	P-88	P-401	P-331
	P-222	P-323	P-89	P-402	P-332
	P-223			P-403	

* Dededo & Yigo Feeders are the fastest NEM growth feeders.

RED Text Feeders chosen specifically for NEM Rate Study

- Project Completion is Five Months
 - Preliminary Results, March 21, 2021
 - Pre-Final Results, May 25, 2021
 - Final Document, June 22, 2021

Demand-Side Management

- IRP will evaluate DSM impact on load and resource requirements

Section Title	Scope	Deliverables	Preliminary Results	Pre-Final Results & Conclusions	Final Document
DSM Program Situation Analysis	Summarizes Current Status and Direction of DSM Programs: Energy Sense Appliance Rebate Program, Utility Energy Services Contracting Program, BEST Schools Program.	Demand-Side Management Situation Analysis Final Draft	26-Mar-21	21-May-21	22-Jun-21
Updated Energy Sense Program Rebate Levels	Review and evaluate Energy Sense Rebate Program. Reset the current rebates levels. Recommend Roadmap for Energy Sense Rebate Program Digital Transformation: Rebate Application Process, Trade Ally Information Management System, and Customer Relationship Management. Create DSM Handbook (May 28, 2020 PUC Order, Docket 20-05, GPA Demand-Side Management, item 8 of Ordering Provisions)	Updated Energy Program Rebate Incentive Levels. DMS Handbook.	26-Mar-21	21-May-21	22-Jun-21
Electric Vehicle Plan	Develop GPA's Guam Transportation Electrification Plan: Light Duty Vehicles, School Buses, Commercial Buses.	GPA Guam Transportation Electrification Plan	26-Mar-21	21-May-21	22-Jun-21
LED Street Light Pilot Program Plan	Develop LED Streetlight Control programs for large Customers (Government of Guam, Navy, AAFB, Marine Base Guam).	LED Streetlight Control Program.	26-Mar-21	21-May-21	22-Jun-21

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Environmental Strategic Plan

- 2019 Environmental Strategic Plan is being updated to reflect updates on:
 - Consent Decree with USEPA
 - State Implementation Plan with GEPA
- Emissions calculations for compliance performed by TRC and P&R considers
 - Retirements
 - Fuel Conversion
 - New Units

FRONTIER Project

- FRONTIER Stands for Framework for Overcoming Natural Threats to Islanded Energy Resilience
- Building Resilient Power for the GPA Grid
- Goals:
 1. Support U.S. Department of Energy and partner-led stakeholder engagement for tool design, testing, and initial deployment
 2. Develop a repeatable, flexible, and scalable method for assessing natural hazard impacts and restoration pathways for island(ed) communities
 3. Simulate direct (damage to electricity systems) and indirect (disruptions resulting from supply chain and interdependency conditions) impacts to utility service territories
 4. Develop methods to estimate the direct and indirect economic and community resilience impacts from power interruptions that will serve as the basis for assessing the costs and benefits of proactive decisions
 5. Building Resilient Power for the GPA Grid
- Two-Year Project
- 100% Federally Funded

FRONTIER Team Composition

- Argonne National Laboratory (ANL)
- Lawrence Berkeley National Laboratory (LBNL)
- Carnegie Mellon University (CMU)
- Northern Arizona University (NAU)
- Guam Power Authority (GPA)
- Alaska Power and Telephone (AP&T)
- University of Guam (UOG)

FRONTIER Local Advisory Group (FLAG)

Name	Title	Organization
Arlene M. Aromin, P.E.	Utilities Director	Naval Facilities Engineering Command, Marianas
Victoria K. Zialcita, P.E.	One-Guam Electric Program Coordinator	Naval Facilities Engineering Command, Marianas
Allison R. Rutter, P.E., C.E.M., C.M.V.P., LEED AP	Regional Energy Program Manager	ARE Department, J4; Joint Region Marianas
Warren White	Installation Energy Manager (IEM)	Naval Base Guam
Donald Tilton, PhD	Installation Energy Manager (IEM)	Anderson Air Force Base
Catherine S. Castro	President	Guam Chamber of Commerce
Mary Rhodes	President	Guam Hotel & Restaurant Association (GHRA)
J. Austin Shelton III, PhD	Executive Director	UOG Center for Island Sustainability Office of Research & Sponsored Programs
Annette T. Santos, DBA	Dean / Associate Professor of Management	School of Business & Public Administration, University of Guam
Rebecca J. Respicio	Director	Guam Energy Office
Mayor Melissa B. Savares	President	Mayors Council of Guam
Ambrosio Constantino,	Disaster Program Manager	American Red Cross Guam Chapter

FRONTIER Project Timeline

Project Milestones	Dates
Establish Project Management	Summer 2020
Initial Stakeholder Engagement	Fall 2020
Data Gathering and Scenario Design	Fall 2020
Electric Grid Disruption Modeling	Fall 2020 / Winter 2021
Power Restoration Modeling	Winter 2021 / Spring 2021
Customer Surveys to Estimate Direct Costs of Power Outages	Summer / Fall 2021
Model Supply Chain Interdependencies and Ancillary Information	Summer / Fall 2021
Create Database of Resilience Options (Costs and Benefits)	Summer / Fall 2021
Develop Community Support Index	Fall 2021
Release of Alpha-version of FRONTIER Tool	Summer 2022

IT Strategic Plan

- Scope
 - Develop an IT Strategic Plan
 - Develop a GPWA IT Integration Plan
 - Analyze and build a framework for Digital Transformation
- Core Team
 - John J. Cruz Jr. , PE, GPA AGMETS
 - Chris Budasi,, GWA AGMA
 - Melvyn Kwek, GCISP/CISP, GPA CITO
 - Manny Apuron, CPM, GWA IT Manager

IT Strategic Plan

Task Items	Section	Status	Preliminary Results	Pre-Final Results & Conclusions	Final Document
1	Interviews with Top Management	Completed	X	X	22-Jun-21
2	Analysis of GPA's Digital Transformation Activities	Completed	X	X	22-Jun-21
3	GWA & GPA IT Integration Plan	Pre-Final Report	X	X	22-Jun-21
4	Plan Socialization	In Progress	26-Mar-21	26-Mar-21	22-Jun-21
5	CCU Review and Approvals	To Be Scheduled	26-Mar-21	26-Mar-21	22-Jun-21

GPA Strategic Plan

Task Items	Section	Status	Preliminary Results	Pre-Final Results & Conclusions	Final Document
1	GPA Draft Strategic Plan	In Review	X	26-Mar-21	22-Jun-21
2	Capital Budget	Dependent on Rest of IRP Studies	X	26-Mar-21	22-Jun-21
3	Final GPA Strategic Plan	In Progress	X	26-Mar-21	22-Jun-21

New Power Plant Update

FEBRUARY 18, 2021



Project Status

2

- **Doosan Heavy Industries and Construction - Engineering & Procurement Contractor (EPC)**
 - Limited Notice to Proceed (LNTP) issued on Jan 8, 2021.
- **Permit Process Ongoing**
 - Air Permit (Minor Source) - Submitted technical data towards minor source application in December to GEPA
 - Environmental Impact Assessment - Draft submitted to GEPA on Dec. 18, 2020
 - Biological Survey - Completed and submitted to USFWS on Feb. 4, 2021. Initial comments received and being addressed by KEPCO team.
 - Wetland Survey - Survey completed and circulated for Guam EPA, Dept. of Agriculture and Army Corps of Engineers (ACOE) review.
 - Cultural Survey (GPA Scope) - Fuel Pipeline, Waterline & Transmission Line Boring Scope Research Design submitted to GHPO on 1/19/21 is pending review and approval.
- **ECA Amendment - Relocation of Emergency Diesel Units/Minor Source Air Permitting**
 - CCU Resolution 2021-02 approves ECA amendment and petition for PUC approval on Jan. 26, 2021
 - PUC issued Request for Information on Feb. 11, 2021 on petition for ECA Amendment Approval.



Ongoing / Completed Activities

3

KEPCO-EWP/Doosan

- Negotiations underway with KEPCO-EWP team for LTP (long-term program) contract with Siemens for gas turbine maintenance.
- Water Supply and Discharge Agreement draft being reviewed by GPA.
- Completed ECA Amendment Draft
- Air Permit modeling ongoing
- Submitted biological assessment survey and mitigation measures for review to USFWS
- Submitted wetland survey for review to GEPA, Dept. of Agriculture, Army Corps of Engineers (ACOE)
- Finance planning and discussions ongoing with potential lenders



Upcoming Activities

4

KEPCO-EWP/Doosan

- Complete Siemens negotiations and finalize contract
- Continue with air permit modeling and permit submission to GEPA
- Address any USFWS concerns and mitigation measures on biological survey
- Address any concerns with ACOE on wetland mitigation measures
- Initiate EIA/Permit for new Diesel Generator Plant (Piti)
- Address phosphate treatment proposal from GPA/Stanley for pretreatment of wastewater discharged to GWA.
- Discuss Water Supply and Discharge Agreement



GPA Activities

5

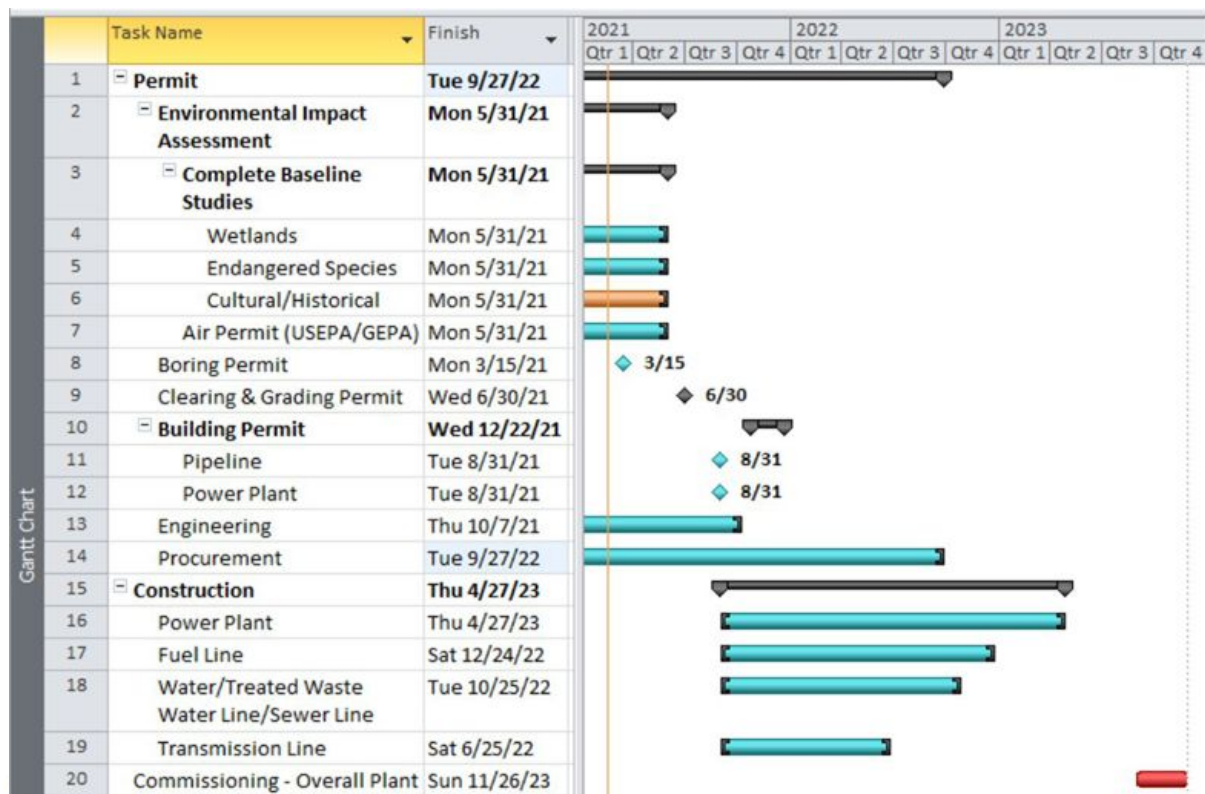
- **Completed**
 - Submitted Research Design for boring scope submitted to GHPO on 1/19/21.
 - ECA amendment review and submittal for approval
- **Ongoing / Pending**
 - Project Status
 - Water Supply and Discharge Agreement Review
 - Section 106 Process for cultural survey on Navy Properties (bull cart trails along pipeline route and Harmon Substation)
 - Cultural Survey for boring scope for all project areas outside the plant site boundary
 - Cultural Survey for construction area. Pending Section 106 process resolution
 - Coordinate with GWA on Change of Law issues due to update NPDES permit affecting discharge of wastewater from cooling system
 - Follow-up with KEPCO-EWP/Doosan on phosphate treatment proposal to address change in law issue.
 - Cultural survey and boring for proposed site in Piti for diesel generator relocation



Project Schedule

6

Major Milestones for Target Completion of November 2023



Notes:

1. Summary of 1/1/21 Project Schedule from Doosan.
2. Assumptions on completion of cultural survey need to be addressed with GHPO.
3. All construction activities shown assume start upon permit issue
4. Pre-commissioning activities for each CT, ST, and other Balance of Plant Equipment are done prior to Overall Plant Commissioning.

Critical Path & Risk Items

7

- Cultural Survey
 - ~ 17 Mile of pipeline will requires approval for boring and construction excavation.
 - Navy properties requiring Section 106 process
- Delays on permit approvals
- Mitigation for any wetland, biological, cultural or other findings during construction (unknowns)



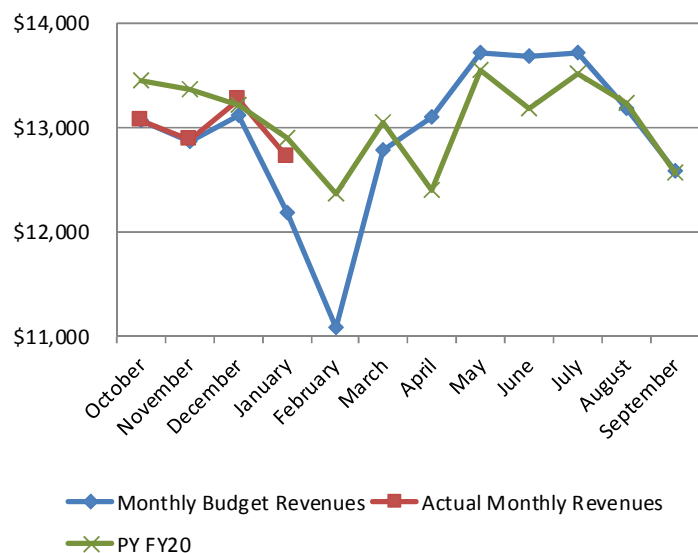
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FINANCIAL HIGHLIGHTS

January 2021

January 2021 Monthly Financial Highlights

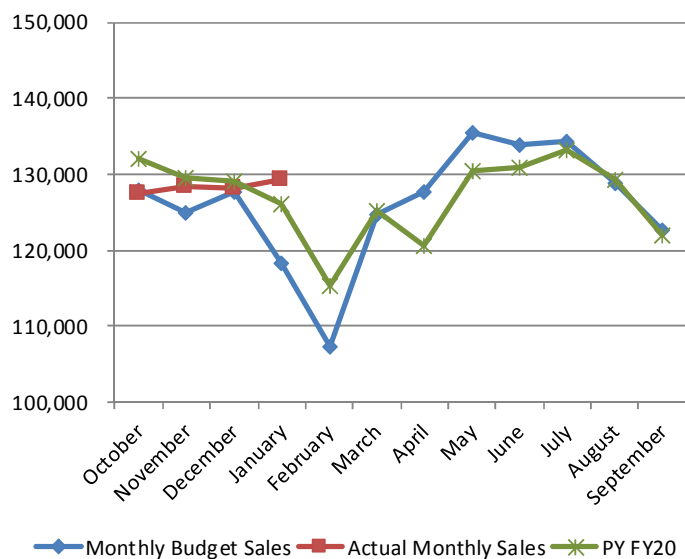
Base Rate Revenue \$000



Through January 31, 2021

	Monthly Budget Revenues \$000	Actual Monthly Revenues	Variance		PY FY20	CY vs PY Variance	
October	\$ 13,064	13,053	\$ (11)	↓	\$ 13,440	\$ (386)	↓
November	12,857	12,869	\$ 12	↑	13,358	\$ (489)	↓
December	13,106	13,254	\$ 148	↑	13,216	\$ 38	↑
January	12,174	12,712	\$ 538	↑	12,888	\$ (176)	↓
February	11,078				12,357		
March	12,780				13,039		
April	13,085				12,385		
May	13,712				13,550		
June	13,682				13,176		
July	13,708				13,514		
August	13,180				13,220		
September	12,574				12,567		
Total	\$ 155,000	\$ 51,888	\$ 687		\$ 156,709	\$ (1,014)	

MWh Sales



Through January 31, 2021

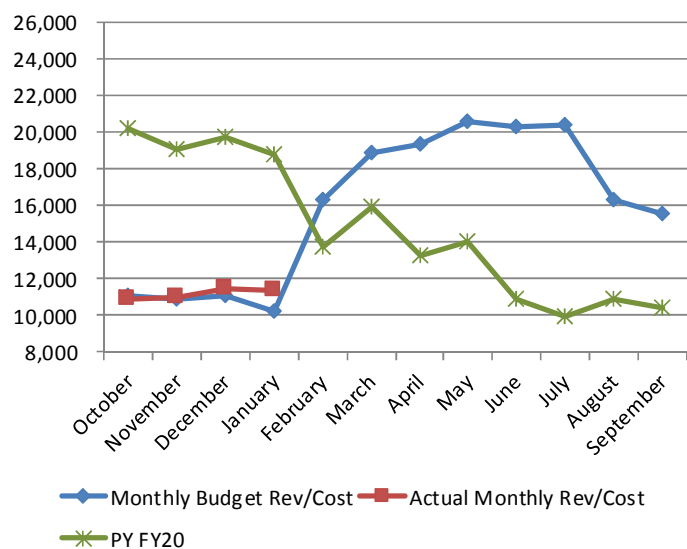
	Monthly Budget Sales mwh	Actual Monthly Sales	Variance		PY FY20	CY vs PY Variance	
October	127,852	127,515	(337)	↓	131,953	(4,438)	↓
November	125,004	128,440	3,437	↑	129,421	(981)	↓
December	127,563	128,053	489	↑	128,958	(905)	↓
January	118,299	129,208	10,909	↑	126,130	3,078	↑
February	107,268				115,346		
March	124,649				125,185		
April	127,762				120,688		
May	135,527				130,531		
June	133,849				130,987		
July	134,332				133,116		
August	128,752				129,337		
September	122,569				121,927		
Total	1,513,426	513,216	14,498		1,523,579	(3,246)	



January 2021 Monthly Financial Highlights (Continued)

3

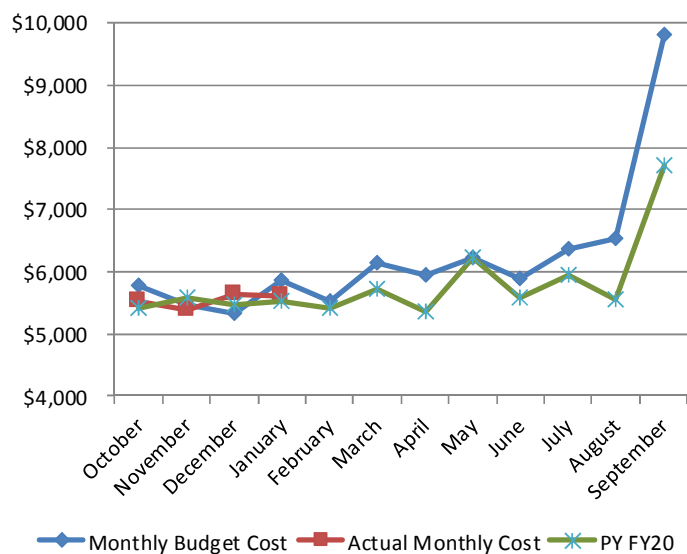
Fuel Revenue/ Cost \$000



Through January 31, 2021

	Monthly Budget \$000 Rev/Cost	Actual Monthly Rev/Cost	Variance		PY FY20	CY vs PY Variance	
October	11,098	10,910	\$ (187)	↓	\$ 20,165	\$ (9,255)	↓
November	10,850	10,984	\$ 134	↑	19,088	\$ (8,104)	↓
December	11,072	11,435	\$ 362	↑	19,697	\$ (8,262)	↓
January	10,268	11,335	\$ 1,067	↑	18,820	\$ (7,485)	↓
February	16,274				13,701		
March	18,911				15,968		
April	19,383				13,254		
May	20,561				14,001		
June	20,307				10,867		
July	20,380				9,935		
August	16,352				10,925		
September	15,566				10,438		
Total	\$ 191,023	\$ 44,664	\$ 1,375		\$ 176,860	\$ (33,106)	

O&M Cost \$000



Through January 31, 2021

	Monthly Budget \$000 Cost	Actual Monthly Cost	Variance		PY FY20	CY vs PY Variance	
October	\$ 5,790	5,515	275	↑	5,421	(94)	↓
November	5,469	5,389	80	↑	5,572	184	↑
December	5,334	5,645	(311)	↓	5,460	(185)	↓
January	5,857	5,620	237	↑	5,521	(99)	↓
February	5,530				5,417		
March	6,143				5,723		
April	5,956				5,357		
May	6,211				6,215		
June	5,889				5,578		
July	6,363				5,957		
August	6,543				5,539		
September	9,806				7,700		
Total	\$ 74,892	\$ 22,169	\$ 281		\$ 69,461	\$ (195)	



January 2021 Monthly Financial Highlights (Continued)

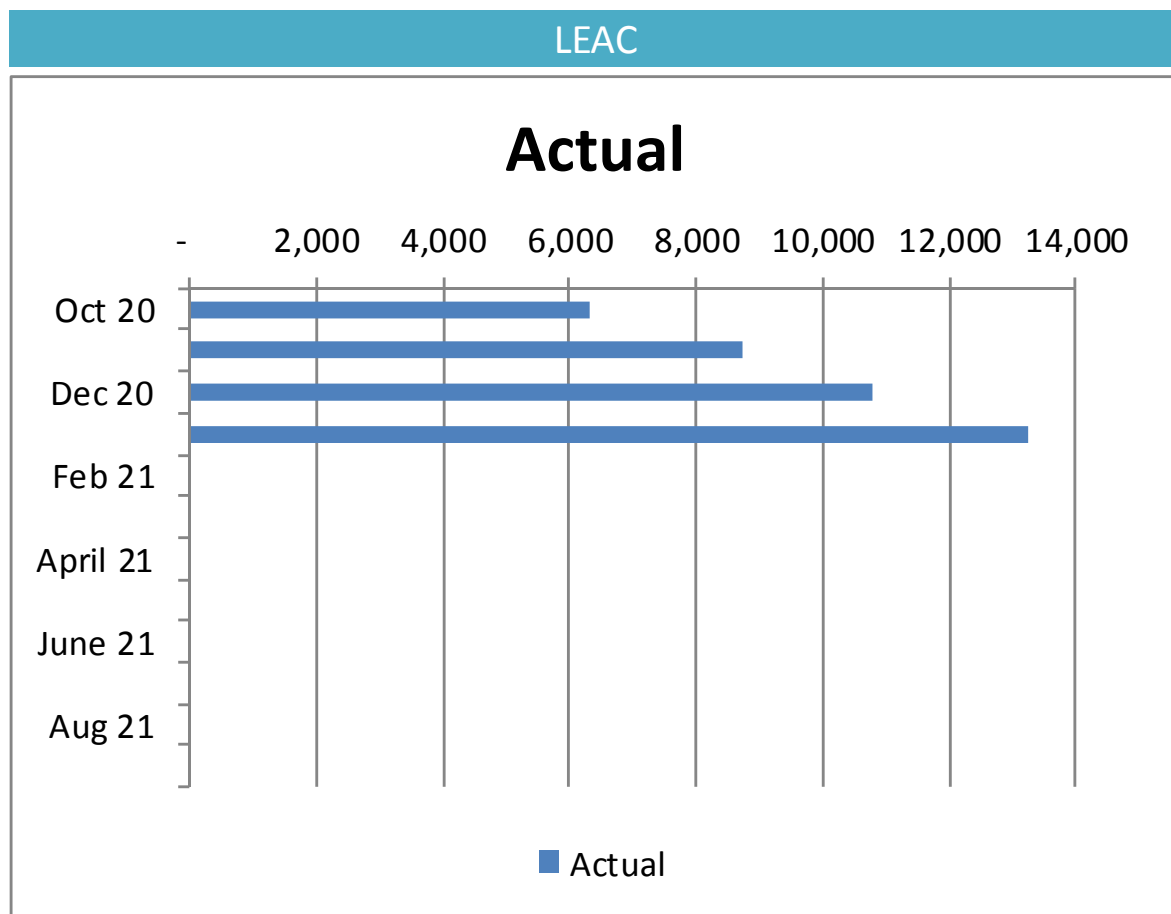
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Through January 31, 2021										
	4Q2018	1Q2019	2Q2019	3Q2019	4Q2019	1Q2020	2Q2020	3Q2020	4Q2020	1Q2021
Residential	43,887	43,920	44,144	44,329	44,479	44,203	44,509	45,069	44,191	44,503
Commercial	5,261	5,273	5,291	5,303	5,289	5,154	5,352	5,309	5,366	5,301
Government	1,077	1,090	1,074	1,075	1,070	1,072	1,059	1,061	1,081	1,063
Streetlights	1,152	1,151	1,152	1,138	1,138	1,135	1,128	1,139	1,132	1,133
Navy	1	1	1	1	1	1	1	1	1	1
Total	51,378	51,435	51,662	51,846	51,977	51,565	52,049	52,579	51,771	52,001

Debt service coverage (DSC) calculation-indenture	2015	2016	2017	2018	2019	2020	2021
Senior lien coverage	3.62	3.28	2.65	2.53	1.97	1.67	1.70
Aggregate debt service coverage	2.62	3.28	2.65	2.53	1.97	1.67	1.70
Debt service coverage (DSC) calculation-IPP as O&M							
Senior lien coverage	2.56	2.45	1.79	1.65	1.64	1.48	1.56
Aggregate debt service coverage	1.85	2.45	1.79	1.65	1.64	1.48	1.56

January 2021 Monthly Financial Highlights (Continued)

5



LEAC	
(Unearned)/ Under Recovered	'000 Actual
Oct 20	6,297
Nov 20	8,733
Dec 20	10,797
Jan 21	13,231
Feb 21	
March 21	
April 21	
May 21	
June 21	
July 21	
Aug 21	
Sept 21	

January 2021 Monthly Financial Highlights (Continued)

6

Date	# Prepaid Customers	Balance in arrear	Payment Plan	Total
July 31, 2020	951	\$ 579,651	\$ 98,276	\$ 677,927
Aug .31, 2020	955	\$ 133,710	\$ 565,383	\$ 699,093
Sept. 30, 2020	996	\$ 360,861	\$ 546,949	\$ 907,810
Oct. 31, 2020	1000	\$ 534,346	\$ 544,028	\$ 1,078,374
Nov. 30, 2020	988	\$ 688,253	\$ 527,062	\$ 1,215,315
Dec. 31, 2020	1002	\$ 802,879	\$ 514,058	\$ 1,316,937
Feb. 1, 2021	976	\$ 820,310	\$ 483,191	\$ 1,303,501
Feb. 18, 2021	912	\$ 103,903	\$ 1,160,554	\$ 1,264,457



GUAM POWER AUTHORITY

ATURIDAT ILEKTRESEDAT GUAHAN
P O BOX 2977, AGANA, GUAM 96932-2977
Telephone: (671) 648-3066 Fax: (671) 648-3168

GUAM POWER AUTHORITY FINANCIAL STATEMENT OVERVIEW January 2021

Attached are the financial statements and supporting schedules for the month and fiscal year ended January 31, 2021.

Summary

The increase in net assets for the month ended was \$1.6 million as compared to the anticipated net decrease of \$0.3 million projected at the beginning of the year. The total kWh sales for the month were 9.22% more than projected and non-fuel revenues were \$538 thousand more than the estimated amounts. O & M expenses for the month were \$5.6 million which was \$0.2million over our projections for this year. Other expenses for the month such as interest expense, IPP costs, (net of interest income and other income) totaled to \$3.1 million, which was \$0.1million less than the projected amounts. There were no other significant departures from the budget during the period.

Analysis

Description	Previous Month	Current Month	Target
Quick Ratio	3.40	3.19	2
Days in Receivables	47	50	52
Days in Payables	17	17	30
LEAC (Over)/Under Recovery Balance -YTD	\$10,796,841	\$13,230,995	\$16,961,888
T&D Losses	5.61%	5.44%	<7.00%
Debt Service Coverage	1.53	1.56	1.75
Long-term equity ratio	3.05%	3.37%	30 – 40%
Days in Cash	314	305	60

The Quick Ratio has been a challenge for GPA historically. However, the influx of cash from insurance proceeds continues to improve this ratio. GPA has current obligations of approximately \$57 million and approximately \$182 million in cash and current receivables. The LEAC under-recovery for the month was \$2.4 million. Debt Service Coverage ratio is calculated using the methodology in use before the Fiscal Year 2002 change in accounting practice.

Financial Statements
January 2021

Significant Assumptions

The significant assumptions in the financial statements are as follows:

- Accrual cutoff procedures were performed at month end
- An inventory valuation is performed at year-end only
- Accounts Receivable includes accruals based on prior months' usage.

Prepared by:

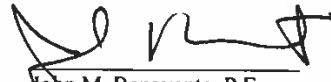


Lenora M. Sanz
Controller

Reviewed by:


John J.E. Kim
Chief Financial Officer

Approved by:



John M. Benavente, P.E.
General Manager

GUAM POWER AUTHORITY (A COMPONENT UNIT OF THE GOVERNMENT OF GUAM) Statements of Net Position January 31, 2021 and September 30, 2020			
	Unaudited January 2021	Unaudited September 2020	Change from Sept 30 2020
ASSETS AND DEFERRED OUTFLOWS OF RESOURCES			
Current assets:			
Cash and cash equivalents:			
Held by trustee for restricted purposes:			
Interest and principal funds	\$ 19,845,754	\$ 38,059,527	\$ (18,213,773)
Bond indenture funds	21,050,644	22,590,787	(1,540,143)
Held by Guam Power Authority:			
Bond indenture funds	140,607,141	175,309,549	(34,702,408)
Self insurance fund-restricted	19,470,961	19,469,799	1,162
Energy sense fund	829,981	261,171	568,810
Total cash and cash equivalents	201,804,481	255,690,833	(53,886,352)
Accounts receivable, net	39,330,471	35,364,783	3,965,688
Total current receivables	39,330,471	35,364,783	3,965,688
Materials and supplies inventory	14,064,656	14,501,590	(436,934)
Fuel inventory	35,994,476	32,346,582	3,647,894
Prepaid expenses	7,965,989	1,876,268	6,089,721
Total current assets	299,160,073	339,780,056	(40,619,983)
Utility plant, at cost:			
Electric plant in service	1,098,545,357	1,097,908,313	637,044
Construction work in progress	49,204,538	46,936,698	2,267,840
Total	1,147,749,895	1,144,845,011	2,904,884
Less: Accumulated depreciation	(680,636,190)	(669,124,765)	(11,511,425)
Total utility plant	467,113,705	475,720,246	(8,606,541)
Other non-current assets:			
Investment - bond reserve funds held by trustee	48,498,583	48,532,630	(34,047)
Unamortized debt issuance costs	1,863,368	1,952,816	(89,448)
Total other non-current assets	50,361,951	50,485,446	(123,495)
Total assets	816,635,729	865,985,748	(49,350,019)
Deferred outflow of resources:			
Deferred fuel revenue	13,230,995	5,137,018	8,093,977
Unamortized loss on debt refunding	21,692,624	22,452,744	(760,120)
Pension	12,264,214	12,264,214	0
Other post employment benefits	19,869,789	19,869,789	0
Unamortized forward delivery contract costs	106,158	159,278	(53,120)
Total deferred outflows of resources	67,163,780	59,883,043	7,280,737
	\$883,799,509	\$925,868,791	\$ (42,069,282)

GUAM POWER AUTHORITY (A COMPONENT UNIT OF THE GOVERNMENT OF GUAM) Statement of Net Position, Continued January 31, 2021 and September 30, 2020			
	Unaudited January 2021	Unaudited September 2020	Change from Sept 30 2020
LIABILITIES, DEFERRED INFLOWS OF RESOURCES AND NET POSITION			
Current liabilities:			
Current maturities of long-term debt	\$ 21,540,000	\$ 20,515,000	\$ 1,025,000
Current obligations under capital leases	6,166	2,226,222	(2,220,056)
Accounts payable			
Operations	10,084,711	28,907,900	(18,823,189)
Others	1,949,116	830,203	1,118,913
Accrued payroll and employees' benefits	1,609,737	2,464,369	(854,632)
Current portion of employees' annual leave	3,269,385	2,828,972	440,413
Interest payable	9,569,143	14,417,948	(4,848,805)
Customer deposits	8,870,820	8,729,186	141,634
Total current liabilities	56,899,078	80,919,800	(24,020,722)
Regulatory liabilities:			
Provision for self insurance	19,345,291	19,345,291	0
Total regulatory liabilities	19,345,291	19,345,291	0
Long term debt, net of current maturities	537,799,590	560,599,190	(22,799,600)
Obligations under capital leases, net of current portion	0	0	0
Net Pension liability	77,062,186	78,277,138	(1,214,952)
Other post employment benefits liability	120,278,682	120,278,682	0
DCRS sick leave liability	1,331,151	1,331,151	0
Employees' annual leave net of current portion	1,204,085	1,204,085	0
Customer advances for construction	428,111	425,814	2,297
Total liabilities	814,348,174	862,381,151	(48,032,977)
Deferred inflows of resources:			
Unearned forward delivery contract revenue	389,346	584,018	(194,672)
Pension	2,371,109	2,371,109	0
Other post employment benefits	49,240,169	49,240,169	0
Total deferred inflows of resources	52,000,624	52,195,296	(194,672)
Commitments and contingencies			
Net Position:			
Net investment in capital assets	(17,173,102)	(36,922,563)	19,749,462
Restricted	40,462,963	57,080,028	(16,617,065)
Unrestricted	(5,839,151)	(8,865,122)	3,025,971
Total net position	17,450,710	11,292,344	6,158,368
	\$883,799,509	\$925,868,791	\$ (42,069,282)

GUAM POWER AUTHORITY (A COMPONENT UNIT OF THE GOVERNMENT OF GUAM) Statement of Revenues, Expenses and Changes in Net Assets						
	January 31		% of change Inc (dec)	Four Months Ended January 31		% of change Inc (dec)
	Unaudited 2021	Unaudited 2020		Unaudited 2021	Unaudited 2020	
Revenues						
Sales of electricity	\$ 24,047,000	\$ 31,707,692	(24)	\$ 96,552,313	\$ 130,671,688	(26)
DSM-Rebates	309,038	-	0	1,245,748	-	0
Miscellaneous	43,207	529,316	(92)	524,215	753,035	(30)
Total	24,399,245	32,237,008	(24)	98,322,276	131,424,723	(25)
Bad debt expense	(87,083)	(90,917)	(4)	(348,332)	(363,668)	(4)
Total revenues	24,312,162	32,146,091	(24)	97,973,944	131,061,055	(25)
Operating and maintenance expenses						
Production fuel	11,334,906	18,820,283	(40)	44,664,116	77,770,775	(43)
Other production	1,398,710	1,408,294	(1)	4,859,667	5,299,194	(8)
	12,733,616	20,228,577	(37)	49,523,783	83,069,969	(40)
Depreciation	3,180,424	3,321,952	(4)	12,907,652	12,438,436	4
Energy conversion cost	829,441	1,243,219	(33)	4,071,335	4,274,132	(5)
Transmission & distribution	1,155,235	1,196,538	(3)	4,735,839	4,350,368	9
Customer accounting	541,906	423,436	28	1,730,701	1,748,819	(1)
Administrative & general	2,523,992	2,404,575	5	10,842,599	10,208,817	6
Total operating and maintenance expenses	20,964,614	28,818,297	(27)	83,811,909	116,090,541	(28)
Operating income	3,347,548	3,327,794	1	14,162,035	14,970,514	(5)
Other income (expenses)						
Interest income	56,228	269,202	(79)	202,849	1,145,184	(82)
Interest expense and amortization	(2,182,980)	(2,326,215)	(6)	(8,783,666)	(9,285,110)	(5)
Bond issuance costs	89,228	89,228	0	356,912	356,912	0
Allowance for funds used during constructio	359,201	-	0	359,201	-	0
Pandemic-COVID19	(16,575)	-	0	(112,351)	-	0
Losses due to typhoon	(9,443)	(92,167)	0	(9,443)	(164,813)	0
Bid bond forfeiture	-	-	0	-	-	0
Other expense	(4,290)	(4,291)	(0)	(17,171)	(17,164)	0
Total other income (expenses)	(1,708,631)	(2,064,243)	(17)	(8,003,669)	(7,964,991)	0
Income (loss) before capital contributions	1,638,917	1,263,551	30	6,158,366	7,005,523	(12)
Capital contributions	-	-	0	-	-	0
Increase (decrease) in net assets	1,638,917	1,263,551	30	6,158,366	7,005,523	(12)
Total net assets at beginning of period	15,811,793	8,883,567	78	11,292,345	3,141,595	259
Total net assets at end of period	\$ 17,450,710	\$ 10,147,118	72	\$ 17,450,710	\$ 10,147,118	72

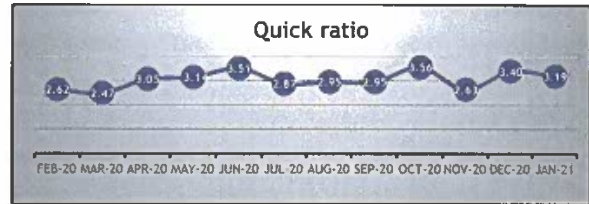
GUAM POWER AUTHORITY (A COMPONENT UNIT OF THE GOVERNMENT OF GUAM) Statements of Cash Flows Period Ended January 31, 2021		
	Month Ended 1/31/2021	YTD Ended 1/31/2021
Increase(decrease) in cash and cash equivalents		
Cash flows from operating activities:		
Cash received from customers	\$ 22,687,116	\$ 94,042,167
Cash payments to suppliers and employees for goods and services	23,073,511	106,805,988
Net cash provided by operating activities	\$ (386,395)	\$ (12,763,821)
Cash flows from investing activities:		
Interest and dividends on investments and bank accounts	56,228	202,849
Net cash provided by investing activities	56,228	202,849
Cash flows from non-capital financing activities		
Interest paid on short term debt	(222,637)	(329,176)
Provision for self insurance funds	1,953	(1,162)
Net cash provided by noncapital financing activities	(220,684)	(330,338)
Cash flows from capital and related financing activities		
Acquisition of utility plant	(1,890,550)	(4,301,111)
Principal paid on bonds and other long-term debt	-	(20,515,000)
Interest paid on bonds(net of capitalized interest)	454,977	(13,251,549)
Interest paid on capital lease obligations	-	(51,745)
Interest & principal funds held by trustee	(3,977,992)	18,213,773
Reserve funds held by trustee	(2,347)	34,047
Bond funds held by trustee	320,236	1,540,143
Principal payment on capital lease obligations	-	(2,220,056)
Debt issuance costs/loss on defeasance	(314,900)	(1,259,600)
Net cash provided by (used in) capital and related financing activities	(5,410,576)	(21,811,098)
Net (decrease) increase in cash and cash equivalents	(5,961,427)	(34,702,408)
Cash and cash equivalents, beginning	146,568,567	175,309,549
Cash and cash equivalents-Funds held by GPA, January 31, 2021	\$ 140,607,141	\$ 140,607,141

GUAM POWER AUTHORITY (A COMPONENT UNIT OF THE GOVERNMENT OF GUAM) Statements of Cash Flows, continued Period Ended January 31, 2021		
	Month Ended 1/31/2021	YTD Ended 1/31/2021
Reconciliation of operating earnings to net cash provided by operating activities:		
Operating earnings net of depreciation expense and excluding interest income	\$ 3,347,315	\$ 14,162,035
Adjustments to reconcile operating earnings to net cash provided by operating activities:		
Depreciation and amortization	3,180,424	12,907,652
Other expense	322,345	577,148
(Increase) decrease in assets:		
Accounts receivable	(1,644,861)	(3,965,688)
Materials and inventory	202,791	436,934
Fuel inventory	(3,728,463)	(3,647,894)
Prepaid expenses	582,538	(6,089,721)
Unamortized debt issuance cost	22,362	89,448
Deferred fuel revenue	(2,434,154)	(8,093,977)
Unamortized loss on debt refunding	190,030	760,120
Unamortized forward delivery contract costs	13,280	53,120
Increase (decrease) in liabilities:		
Accounts payable-operations	(626,461)	(18,823,189)
Accounts payable-others	410,321	550,103
Accrued payroll and employees' benefits	227,169	(854,632)
Net pension liability	(403,573)	(1,214,952)
Employees' annual leave	96,778	440,413
Customers deposits	(95,568)	141,634
Customer advances for construction	-	2,297
Unearned forward delivery contract revenue	(48,668)	(194,672)
Net cash provided by operating activities	\$ (386,395)	\$ (12,763,821)

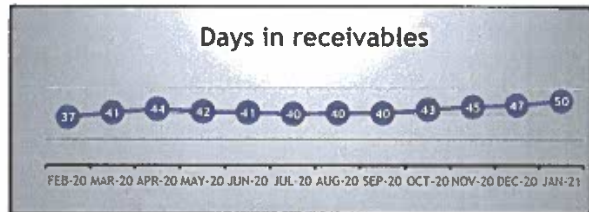
**Guam Power Authority
Financial Analysis
01/31/21**

Quick Ratio

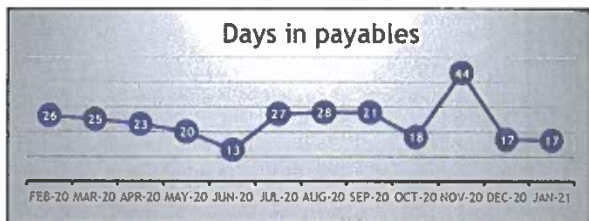
A	Reserve Funds Held by GPA	140,607,141
B	Current Accounts Receivable	41,110,389
C	Total Cash and A/R (A+B)	181,717,530
D	Total Current Liabilities	56,899,078
E	Quick Ratio (F/G)	3.19

**Days in Receivables**

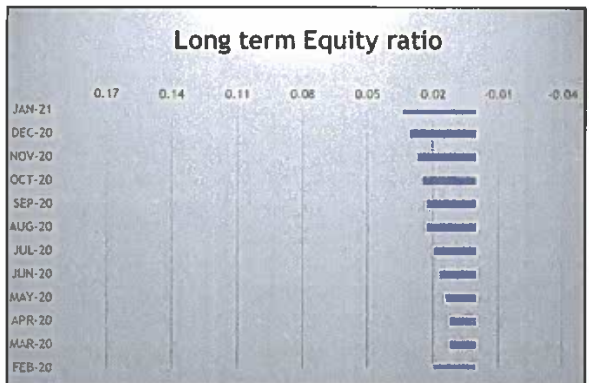
A	FY 21 Moving 12 Mos.-Actual	299,447,748
B	No. of Days	365
C	Average Revenues per day (A/B)	820,405
D	Current Accounts Receivable	41,110,389
E	Days in Receivables (D/C)	50

**Days in Payables**

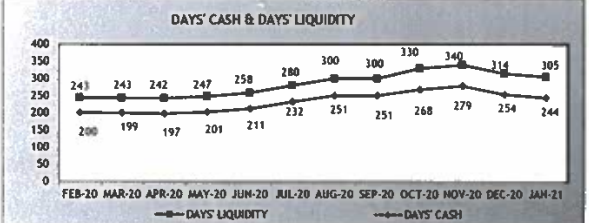
A	FY 21 Moving 12 Months-Actual	264,368,621
B	No. of Days	365
C	Average Payables per day (A/B)	724,298
D	Current Accounts Payables	12,033,827
E	Days in Payables (D/C)	17

**Long term equity ratio**

A	Equity	\$ 17,450,710.00
B	Total Long term Liability	\$ 500,570,562.00
C	Total Equity and liability	\$ 518,021,272.00
D	Long term equity ratio (A/C)	3.37%

**Days cash on hand**

A	Unrestricted cash & cash equivalents	140,607
B	No. of Days -YTD	123
C	A x B	17,294,678
D	Total Operating expenses excluding depreciation	70,904
E	Days cash on hand	244



GPA 302

11-Feb-21

**GUAM POWER AUTHORITY
ACCRUED REVENUE
JANUARY 2021**

	FOR THE MONTH ENDED JANUARY		FOUR MONTHS ENDED JANUARY	
	2021	2020	2021	2020
KWH SALES:				
Residential	49,701,539	38,780,579	191,750,789	163,759,799
Small Gen. Non Demand	5,647,220	5,360,912	22,504,808	21,472,285
Small Gen. Demand	14,940,853	16,008,372	61,476,614	64,756,643
Large General	17,811,468	24,478,138	74,240,055	99,885,421
Independent Power Producer	35,152	29,711	178,323	127,053
Private St. Lights	34,202	34,228	133,409	133,582
Sub-total	88,170,433	84,691,941	350,283,998	350,134,783
Government Service:				
Small Non Demand	798,105	688,336	3,207,085	2,938,961
Small Demand	8,032,905	8,429,943	31,885,999	34,258,427
Large	4,651,006	5,741,099	19,428,347	24,163,580
Street Lighting	557,750	615,219	2,384,654	2,403,244
Sub-total	14,039,765	15,474,596	56,906,085	63,764,212
Total	102,210,199	100,166,537	407,190,083	413,898,994
U. S. Navy	26,998,129	25,963,769	106,025,796	102,562,895
GRAND TOTAL	129,208,328	126,130,305	513,215,879	516,461,889
REVENUE:				
Residential	8,731,054	9,600,770	34,183,838	40,920,089
Small Gen. Non Demand	1,246,825	1,582,611	5,076,948	6,370,771
Small Gen. Demand	3,009,490	4,444,883	12,357,951	17,880,905
Large General	3,446,715	6,364,878	14,189,620	25,755,109
Independent Power Producer	8,477	7,776	30,446	34,117
Private St. Lights	23,434	25,787	94,119	102,870
Sub-total	16,465,995	22,026,703	65,932,922	91,063,859
Government Service:				
Small Non Demand	197,714	221,791	790,236	936,696
Small Demand	1,761,409	2,445,544	6,949,093	9,868,373
Large	971,980	1,608,235	4,058,139	6,714,265
Street Lighting	387,724	438,899	1,571,817	1,743,692
Sub-total	3,318,827	4,714,468	13,369,285	19,263,026
Total	19,784,822	26,741,172	79,302,207	110,326,885
U. S. Navy	4,262,178	4,966,520	17,250,106	20,344,802
GRAND TOTAL	24,047,000	31,707,692	96,552,313	130,671,688
NUMBER OF CUSTOMERS:				
Residential	44,503	44,755	44,330	44,536
Small Gen. Non Demand	4,381	4,115	4,379	4,063
Small Gen. Demand	821	1,098	821	1,086
Large General	97	121	96	121
Independent Power Producer	515	2	2	2
Private St. Lights	2	510	515	515
Sub-total	50,319	50,601	50,144	50,322
Government Service:				
Small Non Demand	682	650	682	646
Small Demand	350	385	357	384
Large	31	44	37	44
Street Lighting	618	616	618	618
Sub-total	1,681	1,695	1,694	1,691
Total	52,000	52,296	51,837	52,013
US Navy	1	1	1	1
	52,001	52,297	51,838	52,014

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GUAM POWER AUTHORITY
ACCURED REVENUE

	TWELVE MONTHS ENDED	JANUARY 2021	DECEMBER 2020	NOVEMBER 2020	OCTOBER 2020	SEPTEMBER 2020	AUGUST 2020	JULY 2020	JUNE 2020	MAY 2020	APRIL 2020	MARCH 2020	FEBRUARY 2020
KWH SALES:													
Residential	860,229,570	49,791,539	47,107,600	47,924,569	47,017,061	46,940,702	46,488,288	49,353,582	49,186,510	50,104,381	46,696,441	43,676,314	36,110,181
Small General Non Demand	62,300,749	6,846,321	5,490,913	5,490,913	5,722,253	5,245,960	6,102,926	6,435,917	6,162,411	4,878,549	4,176,437	6,016,822	4,778,920
Small General Demand	177,735,042	14,940,853	15,180,559	15,180,559	14,642,313	14,377,516	14,642,313	15,197,638	14,741,087	14,574,000	13,085,335	14,883,043	14,767,497
Large General	233,860,945	17,811,468	19,116,309	19,776,244	18,536,035	17,253,957	20,246,005	20,805,621	19,721,335	19,502,429	18,150,138	21,597,825	22,344,590
Private Outdoor Lighting	396,707	34,202	33,159	33,159	34,037	33,040	33,040	33,276	34,682	31,190	33,892	31,198	32,183
Independent Power Producer	436,142	35,152	35,152	74,692	33,326	32,898	31,941	29,903	27,636	37,503	28,802	29,018	40,116
Sub-Total	1,034,959,165	88,170,433	87,541,022	87,479,256	87,093,287	83,885,069	88,543,514	90,855,918	88,885,660	89,128,062	81,170,246	85,133,221	77,063,477
Government Service:													
Small Non Demand	8,641,272	798,105	796,758	785,007	827,215	886,811	712,443	719,063	688,682	667,442	614,102	667,442	689,890
Small Demand	8,032,906	8,032,906	8,233,889	7,754,438	7,864,767	7,885,747	8,085,781	8,246,957	7,875,765	8,146,981	7,767,273	8,360,160	8,085,904
Large	60,505,775	4,651,066	4,789,294	4,826,828	5,181,422	5,035,602	5,181,440	5,281,556	4,947,321	5,002,187	4,644,794	5,578,414	5,396,114
Street Lighting (Agencies)	7,024,355	557,750	634,577	634,577	634,577	682,996	571,642	617,089	578,122	657,584	634,494	640,956	576,839
Sub-Total	172,377,349	14,039,765	14,434,528	13,923,762	14,508,029	13,985,156	14,561,308	14,862,665	14,189,891	14,373,658	13,650,663	16,146,371	14,701,547
Total	1,207,337,104	102,210,199	101,976,550	101,403,018	101,601,316	97,870,225	103,104,820	105,728,582	103,075,551	103,501,717	94,820,909	100,280,192	91,765,024
U.S. Navy	312,816,082	26,998,129	26,077,078	27,037,233	26,913,357	23,875,625	26,232,462	27,387,340	27,913,363	27,028,828	25,867,180	24,905,070	23,581,439
Grand Total	1,520,152,186	129,208,328	128,052,627	128,440,251	127,514,673	121,746,850	129,337,281	133,115,922	130,986,913	130,530,546	120,688,068	125,185,282	115,346,464
REVENUE:													
Residential	105,247,787	6,731,054	6,451,276	6,581,889	6,439,520	6,393,434	6,672,639	6,773,199	6,714,601	6,792,144	6,309,887	10,095,652	7,812,393
Small General Non Demand	14,798,480	1,248,825	1,281,222	1,242,336	1,306,566	1,201,673	1,150,148	1,239,083	1,044,284	1,268,804	1,024,880	1,415,097	1,285,574
Small General Demand	38,008,425	3,009,490	3,144,237	3,031,479	3,172,745	2,979,655	2,971,923	3,105,577	2,846,493	3,427,016	2,911,833	3,842,007	3,683,368
Large General	48,384,207	3,446,716	3,673,430	3,471,380	3,595,095	3,376,106	3,545,820	3,685,239	3,769,470	4,394,446	4,024,701	5,286,941	5,323,864
Private Outdoor Lighting	286,602	23,434	22,998	23,400	24,267	23,624	23,615	23,702	24,011	23,682	24,176	24,414	25,151
Sub-Total	206,799,654	16,465,995	16,579,946	16,339,223	16,547,758	15,982,813	16,784,897	17,212,527	15,954,415	19,415,530	16,802,039	20,683,825	18,130,996
Government Service:													
Small Non Demand	2,244,443	197,714	196,477	192,813	203,322	173,827	176,557	177,715	169,968	184,693	169,314	201,532	200,103
Small Demand	22,244,967	1,761,409	1,777,806	1,687,089	1,722,780	1,682,605	1,764,894	1,794,264	1,732,843	2,004,367	1,895,149	2,256,934	2,164,921
Large	13,614,067	971,980	982,731	1,003,746	1,099,683	1,071,629	1,101,797	1,115,547	1,056,309	1,214,020	1,129,057	1,461,575	1,404,954
Street Lighting (Agencies)	4,797,773	387,734	398,184	387,718	388,191	388,439	396,843	396,843	391,487	402,336	414,838	412,539	419,653
Sub-Total	42,891,252	3,316,827	3,355,197	3,271,376	3,423,865	3,316,400	3,432,861	3,485,366	3,350,607	3,805,415	3,608,857	4,332,379	4,189,680
Total	249,690,917	19,784,822	19,935,143	19,610,598	19,971,643	19,299,213	20,217,758	20,697,893	19,305,022	23,220,945	20,410,896	25,016,404	22,320,576
U.S. Navy	48,756,831	4,262,178	4,753,332	4,242,586	3,992,010	3,805,204	3,926,923	2,760,547	4,738,465	4,330,382	6,226,189	3,990,333	3,736,819
Grand Total	298,447,748	24,047,000	24,688,476	23,853,184	23,963,653	23,004,417	24,144,681	23,448,443	24,043,481	27,551,306	25,639,065	29,006,637	26,067,395
NUMBER OF CUSTOMERS:													
Residential	44,351	44,503	44,345	44,271	44,202	44,191	44,854	44,773	44,166	43,948	43,707	44,509	44,748
Small General Non Demand	4,296	4,381	4,378	4,380	4,376	4,364	4,289	4,252	4,246	4,255	4,245	4,233	4,166
Small General Demand	915	821	821	823	820	880	929	940	942	946	948	988	1,109
Large General	112	97	97	97	94	120	120	120	119	120	120	119	120
Private Outdoor Lighting	473	2	517	517	517	520	515	521	522	512	511	512	512
Independent Power Producer	45	515	2	2	2	2	2	2	2	2	2	2	2
Sub-Total	50,192	50,319	50,160	50,090	50,011	50,077	50,709	50,608	49,997	49,783	49,533	50,373	50,647
Government Service:													
Small Non Demand	682	682	685	684	678	683	635	635	633	634	636	630	643
Small Demand	376	350	349	365	373	386	386	385	384	385	385	385	385
Large	41	31	34	40	41	42	43	43	44	45	45	44	44
Street Lighting (Agencies)	617	618	618	618	618	618	618	618	618	618	616	616	616
Sub-Total	1,717	1,881	1,686	1,697	1,710	1,689	1,682	1,678	1,678	1,680	1,682	1,675	1,688
Total	51,909	52,000	51,846	51,787	51,721	51,776	52,391	52,289	51,675	51,463	51,215	52,048	52,335
U.S. Navy	1	1	1	1	1	1	1	1	1	1	1	1	1
Grand Total	51,910	52,001	51,847	51,788	51,722	51,777	52,392	52,290	51,676	51,464	51,216	52,049	52,336

**GUAM POWER AUTHORITY
ACCURED REVENUE
JANUARY 2021**

RATE	NUMBER OF CUSTOMERS	KWH SALES	TOTAL REVENUE		BASE RATE REVENUE		AVERAGE PER CUSTOMER		NON-FUEL		FUEL RATE	OIL	
			AMOUNT	CKWH	AMOUNT	CKWH	REVENUE	KWH	AMOUNT	CKWH			
Month													
R Residential	44,503	49,701,539	\$ 8,731,054	\$ 17,5670	\$ 17,56697	\$ 8,731,054	1,117	\$ 186	\$ 0.063691	\$ 4,571,482	\$ 8,3691	\$ 4,159,572	
G Small Gen. Non Demand	4,381	5,647,220	\$ 1,246,825	\$ 22,0786	\$ 22,07856	\$ 1,246,825	1,289	\$ 366	\$ 13.7095	\$ 774,203	\$ 8,3691	\$ 472,621	
J Small Gen. Demand	821	18,940,653	\$ 3,009,490	\$ 20,1427	\$ 20,14269	\$ 3,009,490	18,198	\$ 3,666	\$ 11.7776	\$ 1,759,674	\$ 8,3651	\$ 1,248,817	
P Large General	97	17,811,468	\$ 3,446,715	\$ 19,3511	\$ 19,35110	\$ 3,446,715	183,623	\$ 35,533	\$ 15.0299	\$ 1,964,563	\$ 8,3212	\$ 1,482,132	
I Independent Power Producer	515	35,152	\$ 8,477	\$ 24,1169	\$ 24,11688	\$ 8,477	68	\$ 16	\$ 16.0429	\$ 5,639	\$ 8,0740	\$ 2,938	
H Private St. Lights	2	34,202	\$ 23,434	\$ 68,5160	\$ 68,51600	\$ 23,434	17,101	\$ 11,717	\$ 60.1469	\$ 20,571	\$ 8,3691	\$ 2,862	
Sub-Total	50,319	88,170,433	\$ 16,465,965	\$ 18,6752	\$ 18,67519	\$ 16,465,965	1,752	\$ 327	\$ 10.3166	\$ 9,098,153	\$ 8,3586	\$ 7,369,842	
Government Service:													
S Small Non Demand	682	798,105	\$ 197,714	\$ 24,7729	\$ 24,7729	\$ 197,714	1,170	\$ 290	\$ 16.4038	\$ 130,920	\$ 8,3691	\$ 66,794	
K Small Demand	350	8,032,905	\$ 1,761,409	\$ 21,9274	\$ 21,9274	\$ 1,761,409	22,951	\$ 5,033	\$ 13.5583	\$ 1,089,127	\$ 8,3691	\$ 672,282	
L Large	31	4,651,006	\$ 971,980	\$ 20,6883	\$ 20,6883	\$ 971,980	150,032	\$ 31,354	\$ 12.6332	\$ 587,569	\$ 8,2651	\$ 384,410	
F Street Lighting (Agencies)	618	557,750	\$ 387,724	\$ 68,5158	\$ 68,5158	\$ 387,724	903	\$ 627	\$ 61.1487	\$ 341,046	\$ 8,3691	\$ 46,679	
Sub-Total	1,681	14,039,765	\$ 3,318,827	\$ 23,6388	\$ 23,6388	\$ 3,318,827	8,352	\$ 1,974	\$ 15.3041	\$ 2,148,662	\$ 8,3346	\$ 1,170,165	
U.S. Navy	52,000	102,210,199	\$ 19,784,822	\$ 18,3570	\$ 18,3570	\$ 19,784,822	1,966	\$ 380	\$ 11.0017	\$ 11,244,815	\$ 8,3553	\$ 8,540,007	
Sub-Total	1	26,988,129	\$ 4,262,178	\$ 15,7869	\$ 15,7869	\$ 4,262,178	2,485	\$ 462	\$ 5.4347	\$ 1,467,279	\$ 10.3522	\$ 2,794,699	
TOTAL	52,001	129,208,328	\$ 24,047,000	\$ 18,6110	\$ 18,6110	\$ 24,047,000	2,485	\$ 462	\$ 9.8384	\$ 12,712,094	\$ 8,7726	\$ 11,334,906	
Four Months Ended January 2021													
R Residential	44,330	191,750,789	\$ 34,183,838	\$ 17,8272	\$ 17,8272	\$ 34,183,838	4,326	\$ 771	\$ 9.4581	\$ 18,136,023	\$ 8,3691	\$ 16,047,815	
G Small Gen. Non Demand	4,379	22,504,608	\$ 5,076,948	\$ 22,5594	\$ 22,5594	\$ 5,076,948	5,140	\$ 1,159	\$ 14.1903	\$ 3,193,498	\$ 8,3691	\$ 1,883,450	
J Small Gen. Demand	821	61,476,614	\$ 12,357,951	\$ 20,1019	\$ 20,1019	\$ 12,357,951	74,857	\$ 15,048	\$ 11.7343	\$ 7,213,878	\$ 8,3675	\$ 5,144,074	
P Large General	96	74,240,055	\$ 14,189,620	\$ 19,1132	\$ 19,1132	\$ 14,189,620	171,325	\$ 147,425	\$ 10.7630	\$ 7,990,435	\$ 8,3502	\$ 6,199,185	
I Independent Power Producer	2	178,323	\$ 30,446	\$ 17,0735	\$ 17,0735	\$ 30,446	89,162	\$ 15,223	\$ 8.8142	\$ 15,718	\$ 8,2592	\$ 14,728	
H Private St. Lights	515	133,409	\$ 94,119	\$ 70,5490	\$ 70,5490	\$ 94,119	259	\$ 183	\$ 62.1799	\$ 82,954	\$ 8,3691	\$ 11,165	
Sub-Total	50,144	350,283,998	\$ 65,932,922	\$ 18,8227	\$ 18,8227	\$ 65,932,922	6,986	\$ 1,315	\$ 10.4579	\$ 36,632,506	\$ 8,3648	\$ 29,300,417	
Government Service:													
S Small Non Demand	682	3,207,085	\$ 790,236	\$ 24,6403	\$ 24,6403	\$ 790,236	4,701	\$ 1,158	\$ 16.2712	\$ 521,832	\$ 8,3691	\$ 268,404	
K Small Demand	357	31,885,998	\$ 6,949,093	\$ 21,7936	\$ 21,7936	\$ 6,949,093	89,379	\$ 19,479	\$ 13.4245	\$ 4,260,522	\$ 8,3691	\$ 2,668,571	
L Large	37	19,428,347	\$ 4,058,139	\$ 20,8877	\$ 20,8877	\$ 4,058,139	532,283	\$ 111,162	\$ 12.5656	\$ 2,441,286	\$ 8,3221	\$ 1,616,853	
F Street Lighting (Agencies)	618	2,384,654	\$ 1,571,817	\$ 65,9138	\$ 65,9138	\$ 1,571,817	3,859	\$ 2,543	\$ 57.5447	\$ 1,372,243	\$ 8,3691	\$ 199,574	
Sub-Total	1,694	56,906,085	\$ 13,369,285	\$ 23,4936	\$ 23,4936	\$ 13,369,285	33,603	\$ 7,894	\$ 15.1405	\$ 8,615,882	\$ 8,3531	\$ 4,753,403	
U.S. Navy	1	106,025,796	\$ 17,250,106	\$ 16,2697	\$ 16,2697	\$ 17,250,106	9,900	\$ 1,863	\$ 6.2624	\$ 6,639,809	\$ 10.0073	\$ 10,610,297	
TOTAL	51,838	513,215,679	\$ 96,652,313	\$ 18,8132	\$ 18,8132	\$ 96,652,313	9,900	\$ 1,863	\$ 10.1104	\$ 51,888,197	\$ 8.7028	\$ 44,664,116	
Twelve Months Ended January 2021													
R Residential	44,351	560,228,570	\$ 105,247,787	\$ 18,7865	\$ 18,7865	\$ 105,247,787	12,632	\$ 2,373	\$ 9.5165	\$ 53,314,382	\$ 9,2700	\$ 51,933,405	
G Small Gen. Non Demand	4,296	62,300,749	\$ 14,786,480	\$ 23,7340	\$ 23,7340	\$ 14,786,480	14,501	\$ 3,442	\$ 14.4501	\$ 9,002,536	\$ 9,2839	\$ 5,763,944	
J Small Gen. Demand	915	177,735,042	\$ 38,006,425	\$ 21,3838	\$ 21,3838	\$ 38,006,425	194,299	\$ 41,548	\$ 11.9891	\$ 21,308,796	\$ 9,3947	\$ 16,697,629	
P Large General	112	233,860,945	\$ 48,384,207	\$ 20,6893	\$ 20,6893	\$ 48,384,207	2,089,599	\$ 432,324	\$ 11.0428	\$ 25,824,893	\$ 9,6465	\$ 22,559,314	
I Independent Power Producer	45	436,142	\$ 86,264	\$ 20,2375	\$ 20,2375	\$ 86,264	9,746	\$ 1,972	\$ 10.8882	\$ 47,488	\$ 9,3493	\$ 40,776	
H Private St. Lights	473	396,707	\$ 286,502	\$ 72,2201	\$ 72,2201	\$ 286,502	838	\$ 605	\$ 62.5732	\$ 246,232	\$ 9,6469	\$ 38,270	
Sub-Total	50,192	1,034,959,155	\$ 206,799,664	\$ 19,9814	\$ 19,9814	\$ 206,799,664	20,820	\$ 4,120	\$ 10.6039	\$ 109,746,326	\$ 9,3775	\$ 97,053,336	
Government Service:													
S Small Non Demand	682	8,641,272	\$ 2,244,443	\$ 25,8735	\$ 25,8735	\$ 2,244,443	12,666	\$ 3,290	\$ 16.3657	\$ 1,414,206	\$ 9,6076	\$ 830,237	
K Small Demand	376	98,206,517	\$ 22,244,969	\$ 23,1221	\$ 23,1221	\$ 22,244,969	256,096	\$ 59,215	\$ 13.4313	\$ 12,921,751	\$ 9,6908	\$ 9,323,218	
L Large	41	60,505,775	\$ 13,614,067	\$ 22,5004	\$ 22,5004	\$ 13,614,067	11,380	\$ 7,757	\$ 12.8543	\$ 7,777,582	\$ 9,6462	\$ 5,836,486	
F Street Lighting (Agencies)	617	7,024,355	\$ 4,767,773	\$ 68,1596	\$ 68,1596	\$ 4,767,773	1,390	\$ 1,409	\$ 58.5089	\$ 4,109,874	\$ 9,6507	\$ 677,898	
Sub-Total	1,717	172,337,949	\$ 42,891,252	\$ 24,8821	\$ 24,8821	\$ 42,891,252	100,424	\$ 24,988	\$ 15.2127	\$ 26,223,413	\$ 9,6694	\$ 16,667,840	
U.S. Navy	51,909	1,207,337,104	\$ 249,690,917	\$ 20,6811	\$ 20,6811	\$ 249,690,917	23,259	\$ 4,810	\$ 11.2620	\$ 135,969,739	\$ 9,4192	\$ 113,721,177	
Sub-Total	1	312,815,082	\$ 49,756,831	\$ 15,9061	\$ 15,9061	\$ 49,756,831	49,756	\$ 6,305	\$ 19.7251	\$ 9,6005	\$ 30,031,712	\$ 9,4565	\$ 143,752,899
TOTAL	51,910	1,520,152,186	\$ 299,447,748	\$ 19,6885	\$ 19,6885	\$ 299,447,748	29,285	\$ 5,769	\$ 10.2421	\$ 155,694,858	\$ 9.4565	\$ 143,752,899	

ENERGY ACCOUNT
FY 2021 Versus FY 2020

FOR INTERNAL USE ONLY

GPA-318
318Jan21

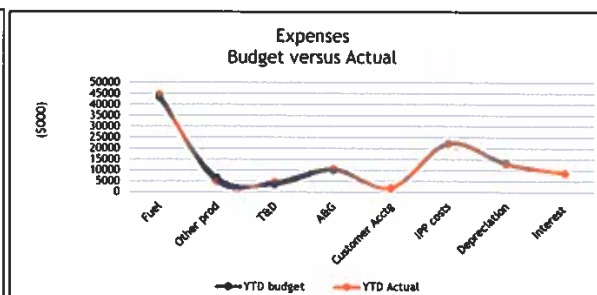
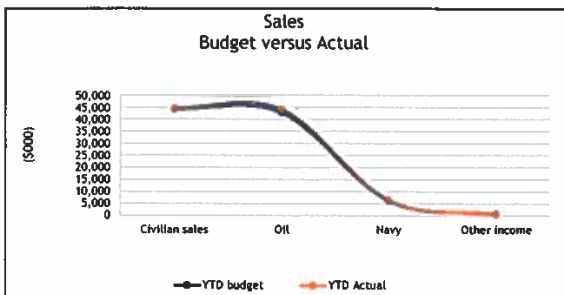
Gross Generation Number of days in Period Peak demand Date	January 2021		January 2020		YTD 2021		YTD 2020		MOVING TWELVE MONTHS	
	KWH		KWH		KWH		KWH		KWH	
	% change		% change		% change		% change		% change	
Energy Account:										
Kilowatt hours GPA:										
Cabera 1 & 2	69,495,000	31	53,873,000	0	260,570,000	123	219,901,000	0	741,447,000	366
Cabera No. 3	0	0	0	0	0	239	0	0	0	247
Cabera No. 4	0	0	0	0	0	0	0	0	0	0
MEC (ENRON) Pkt 8 (IPP)	25,185,900	229	30,604,300	0	99,218,500	123	114,638,800	0	315,864,300	366
MEC (ENRON) Pkt 9 (IPP)	27,094,000	229	25,400,400	0	107,093,800	239	109,346,600	0	306,381,300	366
TEMES Pkt 7 (IPP)	799,451	01/18/21	856,760	0	6,119,314	102/29/21	18,707,810	0	17,662,243	102/31/19
Tanguisson 2	0	0	0	0	0	0	0	0	0	0
Tanguisson 1	0	0	0	0	0	0	0	0	0	0
Diesels/CT's & Others:										
MDI 10MW	9,087	0	11,229	0	15,249	0	112,965	0	32,214	0
NRG Solar Dandan	4,344,590	0	3,811,019	0	15,894,093	0	15,439,704	0	50,159,335	0
Dededeo CT #1	36,570	0	0	0	361,080	0	1,376,910	0	780,340	0
Dededeo CT #2	23,630	0	116,040	0	496,500	0	2,587,320	0	1,529,900	0
Macheche CT	3,245,255	0	4,934,096	0	13,687,283	0	21,552,254	0	44,622,174	0
Yigo CT (Leased)	67,487	0	4,144,896	0	9,059,896	0	17,591,432	0	37,848,700	0
Tenjo	35,680	0	4,466,550	0	5,089,380	0	18,915,740	0	22,343,540	0
Talefofo 10 MW	8,523,023	0	39,710	0	5,750	0	1,098,730	0	46,730	0
Aggreko	0	0	9,667,582	0	44,241,795	0	28,848,807	0	139,250,723	0
Wind Turbine*	0	0	24,365	0	0	0	36,586	0	133,994	0
Orole	0	0	0	0	0	0	0	0	0	0
Marbo	0	0	0	0	0	0	0	0	0	0
Ratio to last year	138,859,673	100.66	137,949,947	102.28	561,852,639	98.54	570,154,658	99.92	1,678,302,493	97.17
Station use	6,010,416	4.33	5,386,600	3.90	23,129,661	4.12	21,869,021	3.84	66,747,459	3.98
Ratio to Gross generation	132,849,257	100.22	132,563,347	102.38	538,722,978	98.26	548,285,637	99.93	1,611,555,034	97.06
Net send out	132,849,257	100.22	132,563,347	102.38	538,722,978	98.26	548,285,637	99.93	1,611,555,034	97.06
Ratio to last year	132,849,257	100.22	132,563,347	102.38	538,722,978	98.26	548,285,637	99.93	1,611,555,034	97.06
KWH deliveries:										
Sales to Navy (234.5kv)	26,998,129	103.98	25,963,769	105.90	106,025,797	103.38	102,562,895	100.05	312,815,084	99.67
Ratio to last year	26,998,129	103.98	25,963,769	105.90	106,025,797	103.38	102,562,895	100.05	312,815,084	99.67
GPA-metered										
Ratio to last year	105,851,128	99.30	106,599,578	101.56	432,697,181	97.08	445,722,742	99.90	1,298,739,950	96.45
Power factor adj	0	0	0	0	0	0	0	0	0	0
Adjusted	105,851,128	99.30	106,599,578	101.56	432,697,181	97.08	445,722,742	99.90	1,298,739,950	96.45
GPA KWH Accountability:										
Sales to civilian customers-	102,210,199	102.04	100,166,537	102.14	407,190,083	98.38	413,898,994	99.90	1,207,337,106	96.27
accretal basis	102,210,199	102.04	100,166,537	102.14	407,190,083	98.38	413,898,994	99.90	1,207,337,106	96.27
Ratio to last year	102,210,199	102.04	100,166,537	102.14	407,190,083	98.38	413,898,994	99.90	1,207,337,106	96.27
GPA use-KWH	332,790	3.13	337,588	5.72	1,309,488	5.59	1,373,603	6.83	3,988,025	6.73
Unaccounted For	3,308,139	2.38	6,095,453	4.42	24,197,610	4.31	30,450,145	5.55	87,414,819	5.21
Ratio to deliveries	3,308,139	2.38	6,095,453	4.42	24,197,610	4.31	30,450,145	5.55	87,414,819	5.21
Ratio to Gross Generation	3,308,139	2.38	6,095,453	4.42	24,197,610	4.31	30,450,145	5.55	87,414,819	5.21
Ratio to Net Send Out	3,308,139	2.50	6,095,453	4.60	24,197,610	4.49	30,450,145	5.55	87,414,819	5.44

GPA-317Jan21

**Guam Power Authority
Fuel Consumption
FY 2021**

Description	January 2021		YEAR-TO-DATE		MOVING 12 MONTHS	
	BARRELS	AMOUNT	BARRELS	AMOUNT	BARREL S	AMOUNT
FUEL FURNISHED:						
NAVY:						
Diesel	0	0	0	0	0	0
Low Sulfur	0	0	0	0	0	0
	0	0	0	0	0	0
GPA:						
RFO	182,656	\$10,231,778	649,177	\$ 33,709,084	1,746,562	\$ 80,825,055
Diesel	25,270	\$1,588,138	161,525	\$ 9,515,585	539,826	\$ 33,574,307
Low Sulfur	7,045	\$327,624	76,951	\$ 3,275,776	385,242	\$ 21,299,278
Deferred Fuel Costs	0	-\$2,434,154	0	\$(8,093,977)	0	\$(11,037,378)
Fuel Adjustments	0	\$0	0	\$(16,717)	0	\$(203,190)
Fuel Handling Costs	0	\$1,621,521	0	\$ 6,274,366	0	\$ 19,294,820
	214,971	\$11,334,906	887,653	\$ 44,664,116	2,671,630	\$ 143,752,893
IWPS:						
GPA RFO	182,656	\$10,231,778	649,177	\$ 33,709,084	1,746,562	\$ 80,825,055
Diesel	25,270	\$1,588,138	161,525	\$ 9,515,585	539,826	\$ 33,574,307
Low Sulfur	7,045	\$327,624	76,951	\$ 3,275,776	385,242	\$ 21,299,278
Deferred Fuel Costs	0	-\$2,434,154	0	\$(8,093,977)	0	\$(11,037,378)
Fuel Variance	0	\$0	0	\$(16,717)	0	\$(203,190)
Fuel Handling Costs	0	\$1,621,521	0	\$ 6,274,366	0	\$ 19,294,820
	214,971	\$11,334,906	887,653	\$ 44,664,116	2,671,630	\$ 143,752,893
AVERAGE COST/Bbl.						
GPA RFO		\$56.02		\$51.93		\$46.28
Diesel		\$62.85		\$58.91		\$62.19
Low Sulfur		\$46.51		\$42.57		\$55.29
AS BURNED						
Cabras 1 & 2						
RFO	113,651	\$ 6,390,105	395,776	\$ 20,680,836	1,089,490	\$ 50,553,339
Low Sulfur	4,973	\$ 231,263	47,881	\$ 2,068,902	192,380	\$ 10,272,896
Diesel	12	\$ 906	578	\$ 50,726	878	\$ 78,351
	118,636	\$ 6,622,273	444,234	\$ 22,800,464	1,282,749	\$ 60,904,587
Cabras 3 & 4						
RFO	0	\$ -	0	\$ -	0	\$ -
Low Sulfur	0	\$ -	0	\$ -	0	\$ -
Diesel	0	\$ -	0	\$ -	0	\$ -
	0	\$ -	0	\$ -	0	\$ -
MEC (Piti Units 8&9)						
RFO	69,005	\$ 3,841,673	253,401	\$ 13,028,248	657,072	\$ 30,271,716
Low Sulfur	2,072	\$ 96,361	29,071	\$ 1,206,873	192,861	\$ 11,026,381
Diesel	5	\$ 424	9	\$ 816	58	\$ 4,275
	71,082	\$ 3,938,458	282,481	\$ 14,235,937	849,991	\$ 41,302,372
Diesel & CT's - GPA:						
MDI Dsl	41	\$ 3,848	51	\$ 4,788	74	\$ 7,003
Macheche CT	7,531	\$ 458,543	30,492	\$ 1,728,131	99,550	\$ 5,872,295
Yigo CT	185	\$ 10,554	20,154	\$ 1,114,881	83,908	\$ 4,894,867
Talofofo 10 MW	0	\$ -	10	\$ 854	78	\$ 6,781
Aggreko	15,083	\$ 973,441	81,646	\$ 4,622,108	258,557	\$ 15,577,540
Tenjo	60	\$ 5,549	8,930	\$ 820,445	39,024	\$ 3,564,514
TEMES (IPP)	2,280	\$ 128,980	17,020	\$ 952,018	50,079	\$ 2,912,463
GWA Generators	6	\$ 764	42	\$ 5,648	71	\$ 9,693
	25,254	\$ 1,586,808	160,938	\$ 9,464,042	538,889	\$ 33,491,681
Deferred Fuel Costs	0	\$(2,434,154)	0	\$(8,093,977)	0	\$(11,037,378)
Adjustment	0	\$ -	0	\$(16,717)	0	\$(203,190)
Fuel Handling Costs	0	\$ 1,621,521	0	\$ 6,274,366	0	\$ 19,294,820
TOTAL	214,971	\$ 11,334,906	887,653	\$ 44,664,116	2,671,630	\$ 143,752,893

Statement of operations Comparison-Budget versus Actual For the month and year to date ended January 31, 2021						
	Budget	Actual January-21	Variance	YTD Budget	YTD Actual	Variance
KwH Sales-Civilian	94,639	102,210	(7,571)	399,796	407,190	(7,394)
Non-fuel yield	\$ 0.112730	\$ 0.110019	\$ 0.002711	\$ 0.112326	\$ 0.111125	\$ 0.001201
KwH Sales-Navy	23,660	23,876	(216)	98,922	106,025	(7,103)
Non-fuel yield	\$ 0.063624	\$ 0.054337	\$ 0.009286	\$ 0.063624	\$ 0.062617	\$ 0.001006
Operating revenue						
Civilian sales	\$ 10,669	\$ 11,245	\$ (576)	\$ 44,907	\$ 45,249	\$ (342)
Oil	10,268	11,335	(1,067)	43,289	44,664	(1,375)
Navy	1,505	1,467	38	6,294	6,639	(345)
DSM-Rebates	-	309	(309)	-	1,246	(1,246)
Other income	180	43	137	720	524	196
	22,622	24,399	(1,777)	95,210	98,322	(3,112)
Bad debts expense	87	87	0	348	348	0
Total operating revenues	\$ 22,535	\$ 24,312	\$ (1,777)	\$ 94,862	\$ 97,974	\$ (3,112)
Operating expenses:						
Production fuel	\$ 10,268	\$ 11,335	\$ (1,067)	\$ 43,289	\$ 44,664	\$ (1,375)
O & M expenses:						
Other production	1,720	1,399	321	6,648	4,860	1,788
Transmission distribution	1,040	1,155	(115)	3,672	4,736	(1,064)
Administrative expense	2,615	2,524	91	10,336	10,843	(506)
Customer accounting	482	542	(60)	1,794	1,731	63
	5,857	5,620	237	22,450	22,169	281
IPP costs	1,383	829	553	5,530	4,071	1,459
Depreciation	3,291	3,180	110	13,163	12,908	256
	20,799	20,965	(166)	84,432	83,812	620
Operating income	1,736	3,348	(1,611)	10,430	14,162	(3,732)
Other revenue (expenses):						
Investment income	83	56	27	333	203	130
Interest expense	(2,185)	(2,183)	(2)	(8,741)	(8,784)	43
Allowance for funds used during construction	-	359	(359)	-	359	(359)
Pandemic -COVID19	-	(17)	17	-	(112)	112
Losses due to typhoon	-	(9)	9	-	(9)	9
Bond issuance costs/Other expenses	89	85	4	357	340	17
Net income before capital contribution	(276)	1,639	(1,915)	2,379	6,158	(3,781)
Grants from the U.S. Government	-	-	-	-	-	-
Increase (decrease) in net assets	\$ (276)	\$ 1,639	\$ (1,915)	\$ 2,379	\$ 6,158	\$ (3,781)

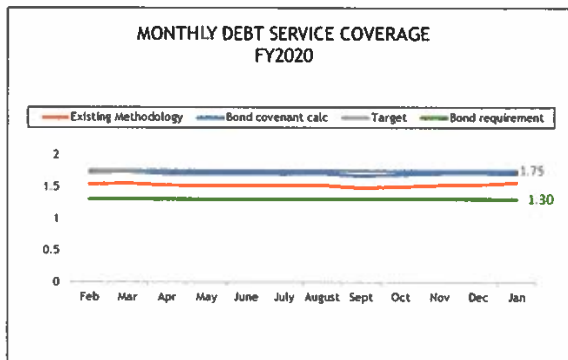


Guam Power Authority
Debt service coverage
January 31, 2021

	Restated 2017	Audited 2018	Audited 2019	Unaudited 2020	YTD Unaudited 2021
Funds Available for Debt Service					
Earnings from Operations	\$ 36,522	\$ 38,164	\$ 39,053	\$ 39,440	\$ 14,162
Interest Income	122	620	2,746	2,377	(10)
Depreciation Expense	44,292	37,184	36,999	37,958	12,908
Balance Available for Debt Service	\$ 80,936	\$ 75,968	\$ 78,798	\$ 79,776	\$ 27,060
IPP - Capital Costs					
Principal	\$ 20,796	\$ 23,210	\$ 13,470	\$ 8,399	\$ 2,217
Interest	5,609	3,159	1,068	531	28
Total IPP Payments	\$ 26,405	\$ 26,369	\$ 14,538	\$ 8,930	\$ 2,245
Bond Debt Service					
Principal (1993 & 1999 Revenue Bond)	\$ -	\$ -	\$ -	\$ -	\$ -
Interest (1993 & 1999 Revenue Bond)	-	-	-	-	-
Principal and Interest (2010 Subordinate Bond)	-	-	-	-	-
Principal and Interest (2010 Senior TE Bond)	7,999	2,000	-	-	-
Principal and Interest (2012 Senior TE Bond)	17,449	17,086	31,467	35,232	11,744
Principal and Interest (2014 Senior TE Bond)	5,084	5,083	5,084	5,087	1,696
Principal and Interest (2017 Senior TE Bond)	-	5,916	7,607	7,418	2,472
Total	\$ 30,532	\$ 30,086	\$ 44,158	\$ 47,737	\$ 15,912
Debt Service Coverage (DSC) Calculation					
Existing DSC Methodology (Senior)	1.79 x	1.65 x	1.46 x	1.48 x	1.56 x
Existing DSC Methodology (Senior+Subordinate)	1.79 x	1.65 x	1.46 x	1.48 x	1.56 x
Bond Covenant DSC	2.65 x	2.53 x	1.78 x	1.67 x	1.70 x
Debt Service Coverage Requirements					
Existing Ratemaking DSC Target	1.75 x	1.75 x	1.75 x	1.75 x	1.75 x
Minimum Bond Covenant Requirement (Senior Bond)	1.30 x	1.30 x	1.30 x	1.30 x	1.30 x
Minimum Bond Covenant Requirement (Subordinate Bond)	1.20 x	1.20 x	1.20 x	1.20 x	1.20 x

Notes:

- (1) Source: Guam Power Authority, 2017 - 2019 Audited Financial Statements and 2020-2021 Unaudited Financial Statements
- (2) Interest income is net of interest earnings in the Construction Fund and the amortization of deferred credit
- (3) Existing DSC Methodology (Rating Agency Method):
(Operating Earnings + Depreciation Expense - IPP Principal & Interest Payments)/
(Senior and Subordinate Bond Principal & Interest Payments)
- (4) Bond Covenant DSC Methodology: (Operating Earnings + Depreciation Expense)/
(Senior and Subordinate Bond Principal & Interest Payments)

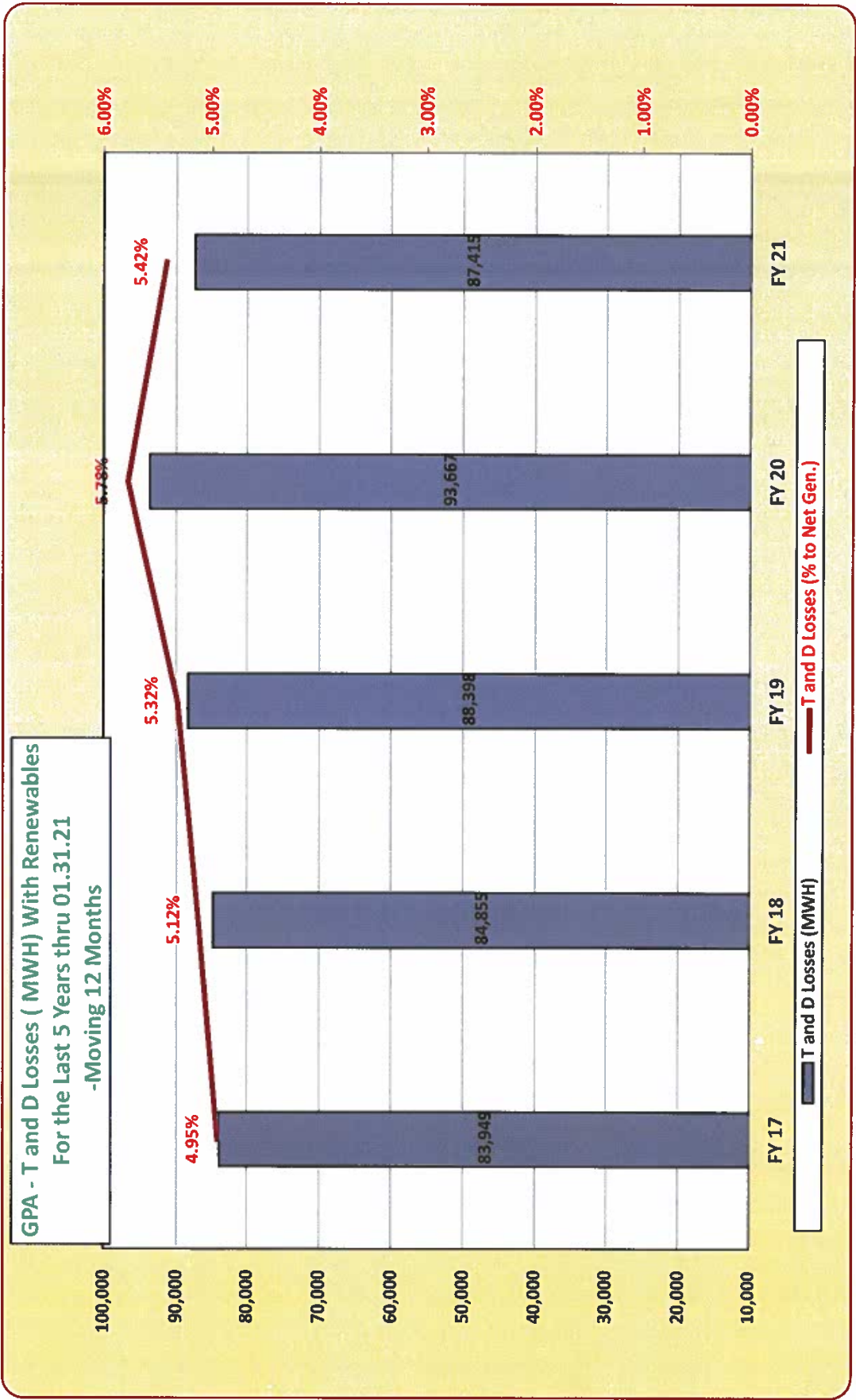


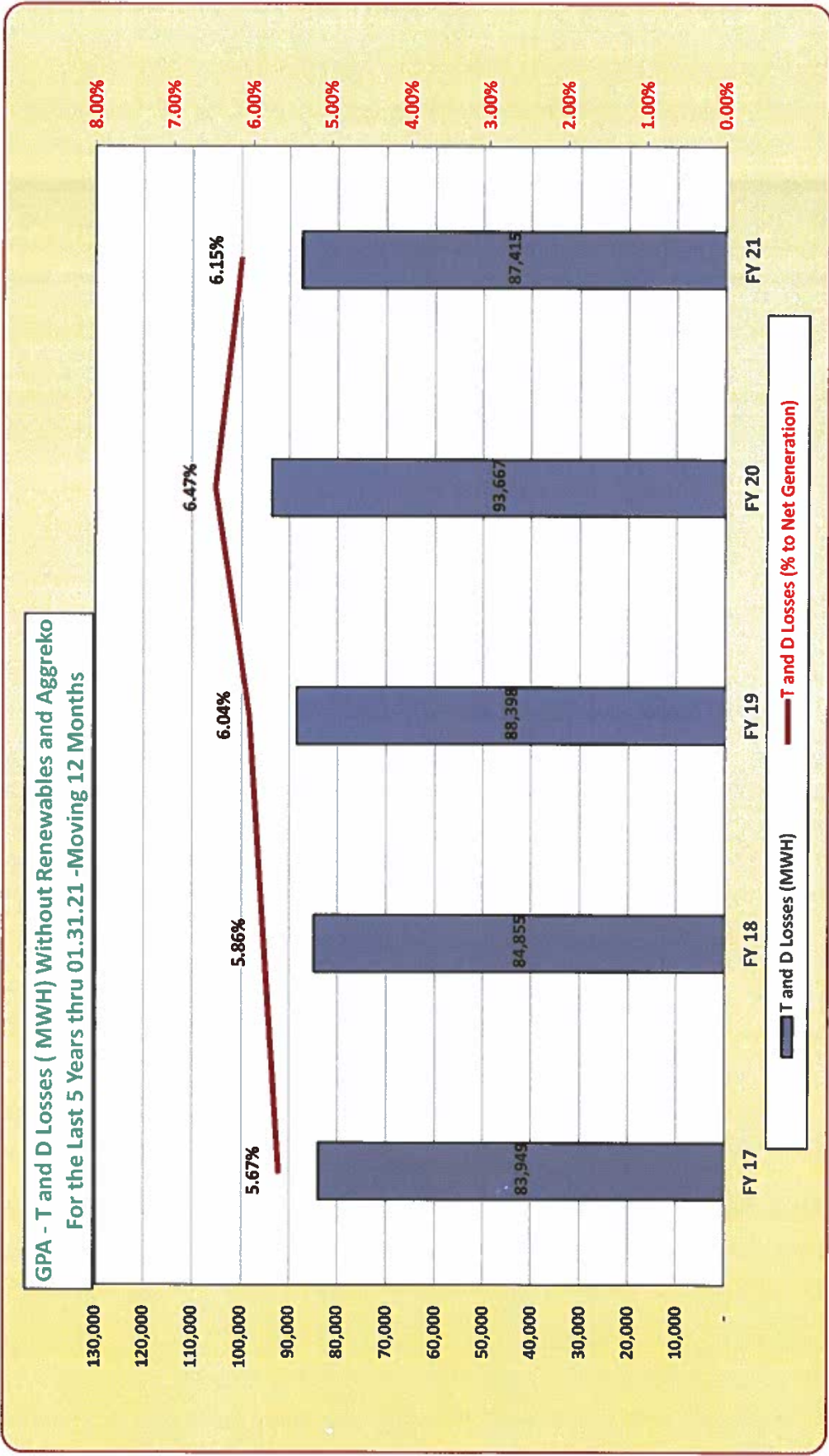
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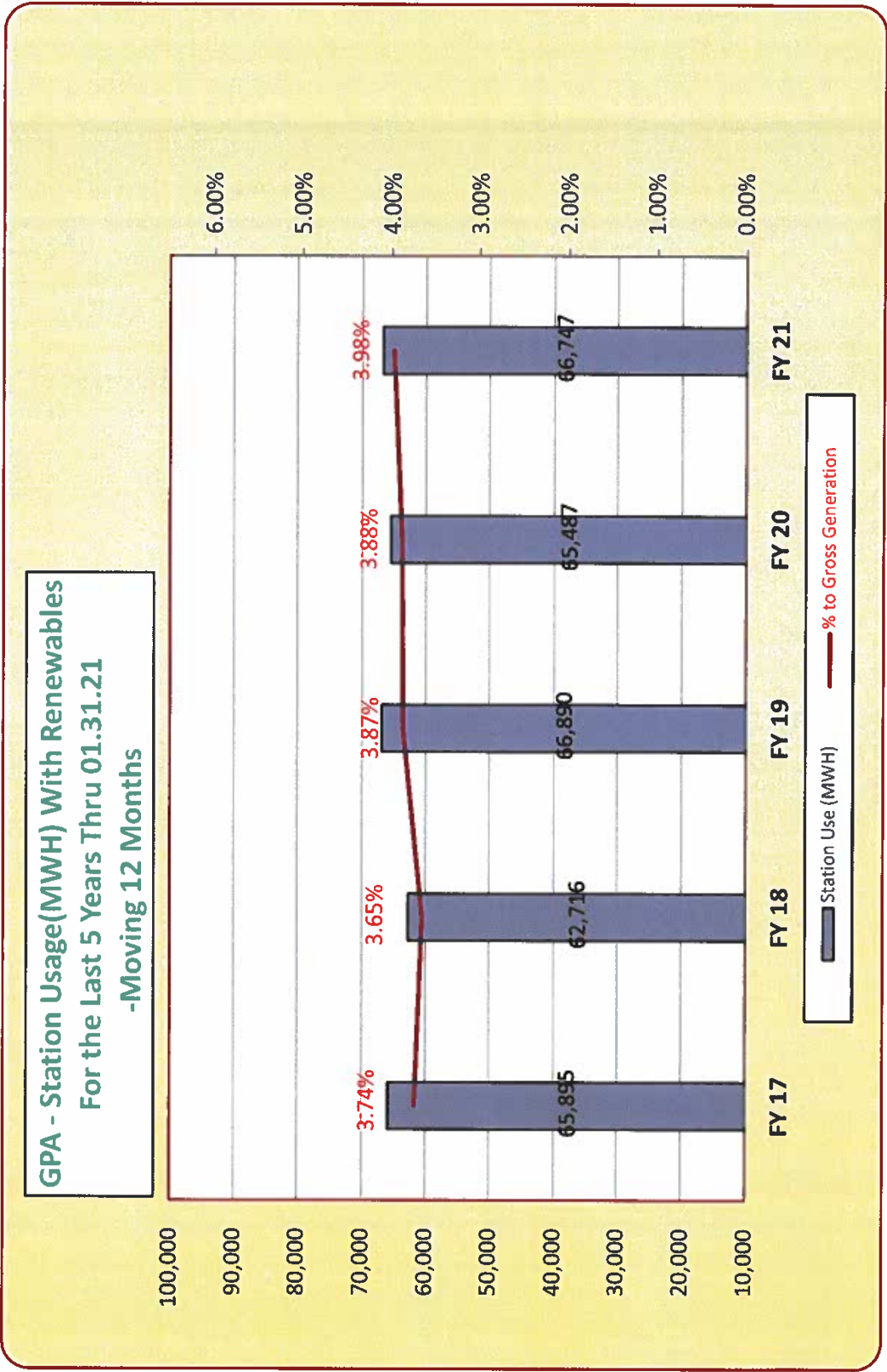
REVENUES-ACTUAL VS PROJECTIONS								
MONTHLY - JANUARY 2021					YTD THRU 01/31/21			
	PROJECTIONS	ACTUAL	VARIANCE	% VARIANCE	PROJECTIONS	ACTUAL	VARIANCE	% VARIANCE
KWH								
Residential	35,378,072	49,701,539	14,323,467	40.49%	155,650,190	191,750,789	36,100,599	23.19%
Small General-Non-Demand	6,033,822	5,647,220	(386,602)	-6.41%	25,692,832	22,504,808	(3,187,824)	-12.41%
Small General-Demand	14,403,642	14,940,853	537,211	3.73%	58,902,368	61,478,614	2,576,246	4.37%
Large	23,976,870	17,811,488	(6,165,402)	-25.71%	98,092,057	74,240,055	(23,852,002)	-24.32%
Independent Power Producers	34,853	35,152	298	0.86%	126,419	178,323	51,904	41.08%
Private St. Lites	31,728	34,202	2,474	7.80%	128,111	133,409	5,298	3.33%
Sub-total	79,858,986	88,170,433	8,311,447	10.41%	338,592,777	350,283,998	11,691,221	3.45%
Government								
Small_Non Demand	1,029,192	798,105	(231,087)	-22.45%	4,452,372	3,207,085	(1,245,287)	-27.97%
Small-Demand	7,481,293	8,032,905	551,611	7.37%	30,594,970	31,885,999	1,291,028	4.22%
Large	5,580,014	4,651,006	(929,008)	-16.65%	23,378,256	19,428,347	(3,949,908)	-16.90%
Public St. Lites	689,912	557,750	(132,162)	-19.16%	2,777,520	2,384,654	(392,866)	-14.14%
Sub-total	14,780,410	14,038,765	(740,645)	-5.01%	61,203,118	56,906,085	(4,297,032)	-7.02%
Total-Civilian	94,639,397	102,210,199	7,570,802	8.00%	399,795,895	407,190,083	7,394,188	1.85%
USN	23,659,533	26,998,129	3,338,596	14.11%	98,921,514	106,025,796	7,104,282	7.18%
Grand Total	118,298,930	129,208,328	10,909,398	9.22%	498,717,409	513,215,879	14,498,470	2.91%
Non-Oil Yield								
Residential	0.096307	0.091979	(0.004329)	-4.49%	0.096307	0.094581	(0.001726)	-1.79%
Small General-Non-Demand	0.138862	0.137095	(0.001767)	-1.27%	0.138862	0.141903	0.003041	2.19%
Small General-Demand	0.120116	0.117776	(0.002340)	-1.95%	0.120116	0.117343	(0.002773)	-2.31%
Large	0.103865	0.110299	0.006434	6.19%	0.103865	0.107630	0.003765	3.62%
Independent Power Producers	0.624112	0.160429	(0.463682)	0.00%	0.624112	0.088142	(0.535969)	0.00%
Private St. Lites	0.128477	0.601469	0.472992	368.15%	0.128477	0.621799	0.493322	383.98%
Sub-total	0.106329	0.103166	(0.003164)	-2.98%	0.106077	0.104579	(0.001498)	-1.41%
Government								
Small_Non Demand	0.152623	0.164038	0.011415	7.48%	0.152623	0.162712	0.010090	6.61%
Small-Demand	0.133106	0.135583	0.002477	1.86%	0.133106	0.134245	0.001138	0.88%
Large	0.124944	0.126332	0.001388	1.11%	0.124944	0.125856	0.000912	0.57%
Public St. Lites	0.474388	0.611467	0.137079	28.90%	0.474388	0.575447	0.101059	21.30%
Sub-total	0.147314	0.153041	0.005727	3.89%	0.146896	0.151405	0.004509	3.07%
Total-Civilian	0.112730	0.110017	(0.002713)	-2.41%	0.088800	0.111124	0.024324	28.02%
USN	0.063624	0.054347	(0.009276)	-14.58%	0.063624	0.062624	(0.000999)	-1.57%
Grand Total	0.102909	0.098384	(0.004524)	-4.40%	0.102666	0.101104	(0.001562)	-1.52%
Non-Oil Revenues								
Residential	3,407,173	4,571,482	1,164,310	34.17%	14,990,276	18,136,023	3,145,747	20.99%
Small General-Non-Demand	837,866	774,203	(63,663)	-7.60%	3,567,720	3,193,498	(374,222)	-10.49%
Small General-Demand	1,730,114	1,759,874	29,580	1.71%	7,075,141	7,213,878	138,737	1.96%
Large	2,490,361	1,964,583	(525,778)	-21.11%	10,188,345	7,950,435	(2,187,910)	-21.57%
Independent Power Producers	21,752	5,839	(16,113)	-74.07%	78,900	15,718	(63,182)	-80.08%
Private St. Lites	4,076	20,571	16,495	404.66%	18,588	82,954	64,366	400.09%
Sub-total	8,491,342	9,096,153	604,811	7.12%	35,916,970	36,632,506	715,536	1.99%
Government								
Small_Non Demand	157,078	130,920	(26,158)	-16.65%	678,532	521,832	(157,701)	-23.21%
Small-Demand	995,806	1,089,127	93,321	9.37%	4,072,379	4,280,522	208,143	5.11%
Large	697,188	587,569	(109,619)	-15.72%	2,920,967	2,441,286	(479,681)	-16.42%
Public St. Lites	327,288	341,046	13,760	4.20%	1,317,821	1,372,243	54,821	4.15%
Sub-total	2,177,358	2,148,662	(28,696)	-1.32%	8,990,499	8,615,882	(374,617)	-4.17%
Total-Civilian	10,668,700	11,244,815	576,115	5.40%	44,907,469	45,248,388	340,919	0.76%
USN	1,505,306	1,467,279	(38,026)	-2.53%	6,293,746	6,639,809	346,063	5.50%
Grand Total	12,174,005	12,712,094	538,089	4.42%	51,201,215	51,888,197	686,982	1.34%
% of Total Revenues	54.25%	52.86%			54.19%	53.74%		
Oil Revenues								
Residential	3,070,817	4,159,572	1,088,755	35.45%	13,510,437	16,047,815	2,537,379	18.78%
Small General-Non-Demand	523,736	472,621	(51,114)	-9.76%	2,230,120	1,883,450	(346,671)	-15.54%
Small General-Demand	1,250,236	1,249,817	(419)	0.03%	5,112,726	5,144,074	31,348	0.61%
Large	2,081,192	1,482,132	(599,060)	-28.78%	8,514,391	6,199,185	(2,315,206)	-27.19%
Independent Power Producers	3,025	2,838	(187)	-6.19%	10,973	14,728	3,755	34.22%
Private St. Lites	2,754	2,962	208	3.94%	11,207	11,165	(42)	-0.37%
Sub-total	6,931,760	7,369,842	438,082	6.32%	29,389,853	29,300,417	(89,436)	-0.30%
Government								
Small_Non Demand	89,334	66,794	(22,540)	-25.23%	386,466	288,404	(98,062)	-25.38%
Small-Demand	649,376	672,282	22,906	3.53%	2,855,643	2,668,571	(187,072)	-6.55%
Large	484,345	384,410	(99,935)	-20.63%	2,029,233	1,618,853	(410,380)	-20.32%
Public St. Lites	59,884	46,679	(13,206)	-22.05%	241,089	199,574	(41,515)	-17.22%
Sub-total	1,282,940	1,170,165	(112,775)	-8.79%	5,312,431	4,753,403	(559,028)	-10.52%
Total-Civilian	8,214,700	8,540,007	325,308	3.96%	34,702,284	34,053,819	(648,464)	-1.87%
USN	2,053,647	2,794,899	741,251	36.09%	8,596,387	10,610,297	2,023,909	23.57%
Grand Total	10,268,347	11,334,906	1,066,559	10.39%	43,298,671	44,664,116	1,375,445	3.18%
% of Total Revenues	45.75%	47.14%			45.81%	46.26%		
Grand Total								
Residential	6,477,989	8,731,054	2,253,064	34.78%	28,500,712	34,183,838	5,683,126	19.94%
Small General-Non-Demand	1,361,802	1,246,825	(114,777)	-8.43%	5,797,841	5,076,948	(720,893)	-12.43%
Small General-Demand	2,960,350	3,009,490	29,140	0.98%	12,187,867	12,357,951	170,085	1.40%
Large	4,571,553	3,446,715	(1,124,838)	-24.61%	18,702,735	14,189,620	(4,513,115)	-24.13%
Independent Power Producers	24,778	8,477	(16,300)	-65.79%	89,873	30,446	(59,427)	-66.12%
Private St. Lites	6,830	23,434	16,604	243.09%	27,795	94,119	66,324	238.62%
Sub-total	15,423,102	16,465,995	1,042,893	6.76%	65,306,823	65,932,922	626,100	0.96%
Government								
Small_Non Demand	248,412	197,714	(48,698)	-19.76%	1,065,998	790,236	(275,762)	-25.87%
Small-Demand	1,645,182	1,761,409	116,227	7.06%	6,728,022	6,949,093	221,071	3.29%
Large	1,181,533	971,980	(209,553)	-17.74%	4,950,200	4,058,139	(892,060)	-18.02%
Public St. Lites	387,170	387,724	554	0.14%	1,558,710	1,571,817	13,107	0.84%
Sub-total	3,460,297	3,318,827	(141,470)	-4.09%	14,302,930	13,369,285	(933,645)	-6.53%
Total-Civilian	18,883,399	19,784,822	901,423	4.77%	79,609,753	79,302,207	(307,546)	-0.39%
USN	3,558,953	4,262,178	703,225	19.76%	14,880,134	17,250,106	2,369,972	15.93%
Grand Total	22,442,352	24,047,000	1,604,648	7.15%	94,489,886	96,552,313	2,062,427	2.18%

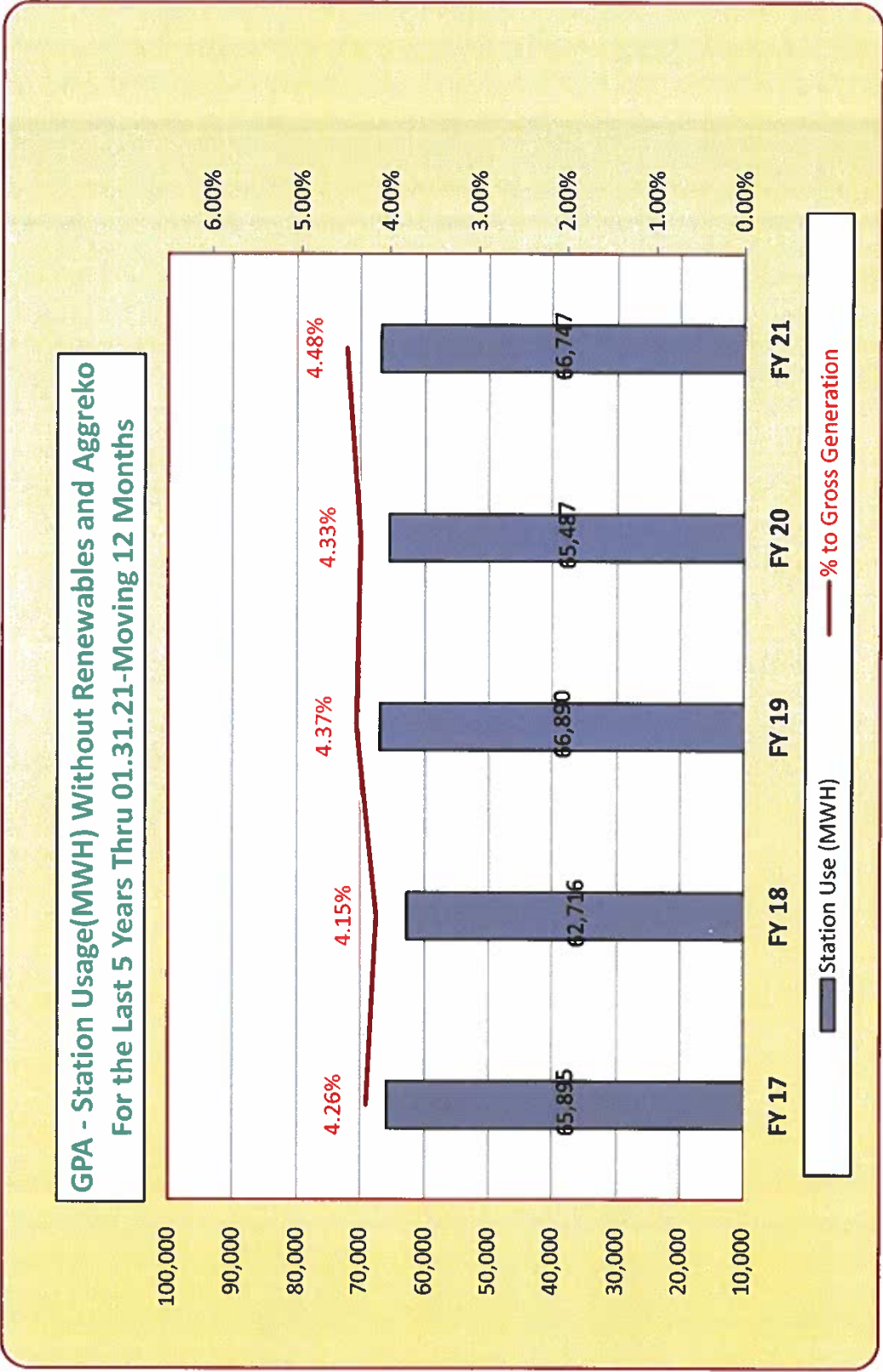
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YTD REVENUES - CURRENT YEAR VS PRIOR YEAR					MTD REVENUES - CURRENT YEAR VS PRIOR YEAR				
ACTUALS - 4 MONTHS ENDED JANUARY 31					ACTUALS - MONTH ENDED DECEMBER 31				
	2021	2020	VARIANCE	% VARIANCE	2021	2020	VARIANCE	% VARIANCE	
KWH									
Residential	191,750,789	163,759,799	27,990,990	17.09%	49,701,539	38,780,579	10,920,960	28.16%	
Small General-Non-Demand	22,504,808	21,472,285	1,032,523	4.81%	5,847,220	5,360,912	286,308	5.34%	
Small General-Demand	61,476,614	64,756,643	(3,280,028)	-5.07%	14,940,853	16,008,372	(1,067,519)	-6.67%	
Large	74,240,055	98,885,421	(25,645,366)	-25.87%	17,811,468	24,478,138	(6,666,671)	-27.24%	
Independent Power Producers	178,323	127,053	51,270	40.35%	35,152	29,711	5,441	18.31%	
Private St. Lites	133,409	133,582	(173)	-0.13%	34,202	34,228	(27)	-0.08%	
Sub-total	350,283,998	350,134,783	149,216	0.04%	88,170,433	84,691,941	3,478,493	4.11%	
Government									
Small Non Demand	3,207,085	2,938,981	268,124	9.12%	798,105	888,336	(109,769)	-15.95%	
Small-Demand	31,885,999	34,258,427	(2,372,428)	-6.93%	8,032,905	8,429,943	(397,038)	-4.71%	
Large	19,428,347	24,163,580	(4,735,232)	-19.60%	4,851,006	5,741,099	(1,090,093)	-18.99%	
Public St. Lites	2,384,654	2,403,244	(18,590)	-0.77%	557,750	615,219	(57,468)	-9.34%	
Sub-total	56,906,085	63,764,212	(6,858,126)	-10.76%	14,039,765	15,474,596	(1,434,830)	-9.27%	
Total-Civilian	407,190,083	413,898,994	(6,708,911)	-1.62%	102,210,199	100,168,537	2,043,662	2.04%	
USN	106,025,796	102,582,895	3,462,901	3.38%	26,998,129	25,983,789	1,034,360	3.98%	
Grand Total	513,215,879	516,461,889	(3,246,010)	-0.63%	129,208,328	126,130,305	3,078,022	2.44%	
Non-Oil Yield									
Residential	0.094581	0.095837	-0.001056	-1.10%	0.091979	0.093324	-0.001346	-1.44%	
Small General-Non-Demand	0.141903	0.142455	-0.000552	-0.39%	0.137095	0.140971	-0.003876	-2.75%	
Small General-Demand	0.117343	0.121951	-0.004608	-3.78%	0.117776	0.123483	-0.005707	-4.62%	
Large	0.107630	0.104321	0.003309	3.17%	0.110299	0.106480	0.003819	3.59%	
Independent Power Producers	0.088142	0.119544	-0.031402	-26.27%	0.160429	0.112587	0.047842	42.49%	
Private St. Lites	0.021799	0.015844	0.005955	0.97%	0.014069	0.009125	0.004944	0.39%	
Sub-total	0.104579	0.106059	-0.001480	-1.40%	0.103166	0.106054	-0.002889	-2.72%	
Government									
Small Non Demand	0.162712	0.164475	-0.001763	-1.07%	0.164038	0.167971	-0.003933	-2.34%	
Small-Demand	0.134245	0.133815	0.000430	0.32%	0.135583	0.135860	-0.000277	-0.20%	
Large	0.125856	0.125527	0.000329	0.10%	0.126332	0.127851	-0.001519	-1.19%	
Public St. Lites	0.057447	0.0571316	0.000316	0.72%	0.055916	0.055916	0.000000	0.00%	
Sub-total	0.151405	0.148577	0.002828	1.90%	0.153041	0.151146	0.001895	1.25%	
Total-Civilian	0.111124	0.112609	-0.001485	-1.32%	0.110017	0.113021	-0.003004	-2.66%	
USN	0.062624	0.061348	0.001277	2.08%	0.054347	0.060335	-0.005988	-9.92%	
Grand Total	0.101104	0.102429	-0.001325	-1.29%	0.098384	0.102175	-0.003791	-3.71%	
Non-Oil Revenues									
Residential	18,138,023	15,661,450	2,476,573	15.80%	4,571,482	3,619,175	952,307	26.31%	
Small General-Non-Demand	3,193,498	3,058,843	134,656	4.40%	774,203	755,733	18,471	2.44%	
Small General-Demand	7,213,878	7,897,147	(683,269)	-8.65%	1,759,674	1,976,781	(217,067)	-10.98%	
Large	7,990,435	10,420,135	(2,429,700)	-23.32%	1,964,583	2,606,430	(641,847)	-24.63%	
Independent Power Producers	15,718	15,188	529	3.49%	5,639	3,345	2,294	68.59%	
Private St. Lites	82,954	82,296	658	0.84%	20,571	20,507	64	0.31%	
Sub-total	36,632,506	37,135,028	(502,523)	-1.35%	9,096,153	8,981,952	114,202	1.27%	
Government									
Small Non Demand	521,832	483,385	38,447	7.95%	130,920	115,820	15,299	13.23%	
Small-Demand	4,280,522	4,584,284	(303,763)	-6.63%	1,089,127	1,145,293	(56,166)	-4.90%	
Large	2,441,286	3,033,189	(591,903)	-19.51%	587,569	734,005	(146,436)	-19.95%	
Public St. Lites	1,372,243	1,373,011	(768)	-0.06%	341,046	344,006	(2,960)	-0.86%	
Sub-total	8,615,882	9,473,869	(857,987)	-9.06%	2,148,662	2,338,925	(190,263)	-8.13%	
Total-Civilian	45,248,388	46,608,898	(1,360,510)	-2.92%	11,244,815	11,320,876	(76,061)	-0.67%	
USN	6,639,809	6,292,013	347,796	5.53%	1,487,279	1,568,532	(81,253)	-5.19%	
Grand Total	51,888,197	52,900,911	(1,012,714)	-1.91%	12,732,094	12,889,408	(157,314)	-1.21%	
% of Total Revenues									
Oil Revenues									
Residential	16,047,815	25,258,639	(9,210,824)	-36.47%	4,159,572	5,981,594	(1,822,023)	-30.46%	
Small General-Non-Demand	1,883,450	3,311,928	(1,428,478)	-43.13%	472,621	826,878	(354,256)	-42.84%	
Small General-Demand	5,144,074	9,983,758	(4,839,685)	-48.48%	1,249,817	2,468,122	(1,218,305)	-49.36%	
Large	6,199,185	15,334,973	(9,135,789)	-59.57%	1,482,132	3,758,448	(2,276,316)	-60.57%	
Independent Power Producers	14,728	18,928	(4,200)	-22.19%	2,838	4,430	(1,592)	-35.94%	
Private St. Lites	11,165	20,004	(8,839)	-44.19%	2,862	5,279	(2,417)	-45.78%	
Sub-total	29,300,417	53,928,831	(24,628,414)	-45.67%	7,369,842	13,044,752	(5,674,910)	-43.50%	
Government									
Small Non Demand	268,404	453,311	(184,907)	-40.79%	66,794	106,170	(39,376)	-37.09%	
Small-Demand	2,668,571	5,284,088	(2,615,517)	-49.50%	672,282	1,300,251	(627,969)	-48.30%	
Large	1,616,853	3,681,076	(2,064,223)	-56.06%	384,410	874,230	(489,819)	-56.03%	
Public St. Lites	199,574	370,681	(171,107)	-46.16%	46,679	94,893	(48,214)	-50.81%	
Sub-total	4,753,403	9,789,157	(5,035,754)	-51.44%	1,170,165	2,375,544	(1,205,379)	-50.74%	
Total-Civilian	34,053,819	63,717,987	(29,664,168)	-46.56%	8,540,007	15,420,295	(6,880,288)	-44.62%	
USN	10,810,297	14,052,789	(3,242,492)	-23.09%	2,794,899	3,399,988	(605,089)	-17.80%	
Grand Total	44,864,116	77,770,776	(33,106,660)	-42.57%	11,334,906	18,820,283	(7,485,377)	-39.77%	
% of Total Revenues									
Grand Total									
Residential	34,163,836	40,920,089	(6,756,253)	-16.49%	8,731,054	9,800,770	(1,069,716)	-10.91%	
Small General-Non-Demand	5,076,946	6,370,771	(1,293,825)	-20.31%	1,246,825	1,582,811	(335,986)	-21.22%	
Small General-Demand	12,357,951	17,880,905	(5,522,953)	-30.89%	3,009,490	4,444,883	(1,435,393)	-32.29%	
Large	14,189,820	25,755,108	(11,565,288)	-44.91%	3,446,715	6,364,878	(2,918,163)	-45.85%	
Independent Power Producers	30,446	34,117	(3,671)	-10.76%	8,477	7,776	702	9.03%	
Private St. Lites	84,119	102,870	(18,751)	-18.29%	23,434	25,787	(2,353)	-9.12%	
Sub-total	65,932,922	91,063,859	(25,130,937)	-27.60%	16,465,995	22,026,703	(5,560,708)	-25.25%	
Government									
Small Non Demand	790,236	936,696	(146,461)	-15.64%	197,714	221,791	(24,077)	-10.86%	
Small-Demand	6,949,093	9,888,373	(2,939,280)	-29.58%	1,761,409	2,445,544	(684,135)	-27.97%	
Large	4,058,139	6,714,265	(2,656,126)	-39.56%	971,980	1,608,235	(636,255)	-39.56%	
Public St. Lites	1,571,817	1,743,692	(171,875)	-9.86%	387,724	438,899	(51,174)	-11.66%	
Sub-total	13,369,285	19,283,026	(5,913,741)	-30.60%	3,318,827	4,714,468	(1,395,641)	-29.60%	
Total-Civilian	79,302,207	110,326,885	(31,024,678)	-28.12%	19,784,822	26,741,172	(6,956,349)	-26.01%	
USN	17,250,106	20,344,802	(3,094,697)	-15.21%	4,262,178	4,966,520	(704,342)	-14.18%	
Grand Total	96,552,313	130,671,688	(34,119,375)	-26.11%	24,047,000	31,707,692	(7,660,692)	-24.16%	



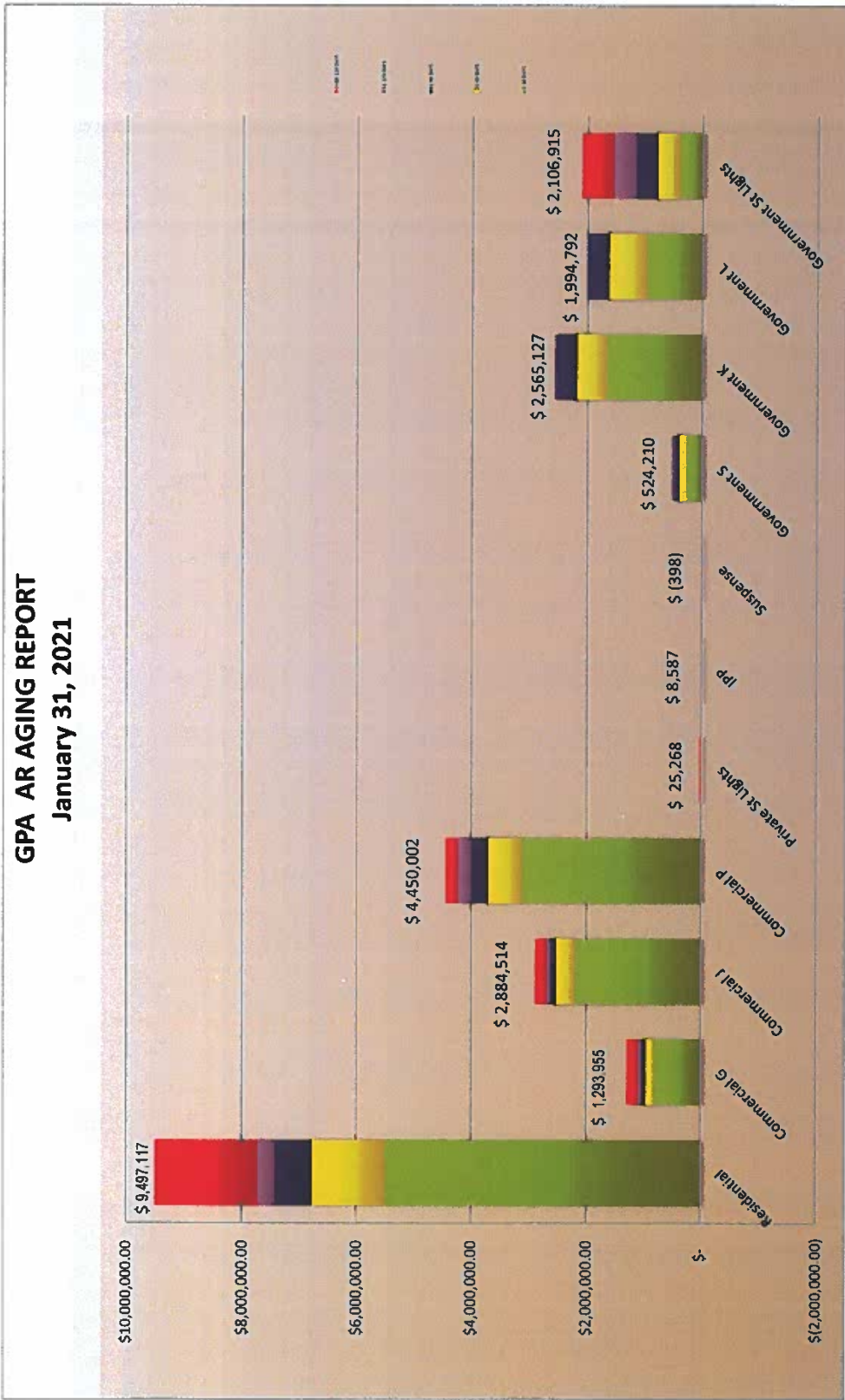






ACCOUNTS RECEIVABLE BY RATE - ACTIVE
 AR AGING REPORT
 AS OF January 31, 2021

GL ACCOUNT	RATE	TOTAL DUE	0-30 DAYS	31-60 DAYS	61-90 DAYS	91-120 DAYS	OVER 120 DAYS
1000.142000.10	Residential	\$ 8,777,399.23	5,456,170	1,238,815	616,474	286,475	1,169,466
1000.142000.11	Residential	\$ 719,717.91	48,706.49	17,994.75	42,161.42	10,507.21	600,348.04
1000.142000.12	Commercial G	\$ 1,293,955.47	804,922.69	157,922.18	82,432.23	42,710.99	205,967.38
1000.142000.13	Commercial J	\$ 2,884,513.58	2,198,956.24	330,256.84	98,656.53	51,569.73	205,074.24
1000.142000.14	Commercial P	\$ 4,450,001.83	3,110,382.09	589,642.62	303,276.81	223,084.33	223,615.98
1000.142000.15	Private St Lights	\$ 25,267.77	14,430.83	2,291.20	1,099.18	497.33	6,949.23
1000.142000.16	IPP	\$ 8,586.73	2,649.30	313.81	5,623.62	-	-
1000.142000.98	Suspense	\$ (398.29)	(398.29)	-	-	-	-
	TOTAL PRIVATE	\$ 18,159,044.23	\$ 11,635,819.36	\$ 2,337,236.39	\$ 1,149,723.47	\$ 624,844.20	\$ 2,411,420.81
1000.142000.19	Government S	\$ 524,210.39	\$ 245,996.04	\$ 138,113.11	\$ 81,599.82	\$ 44,281.02	\$ 14,220.40
1000.142000.20	Government K	\$ 2,565,127.23	\$ 1,670,875.04	\$ 512,225.61	\$ 346,138.50	\$ 35,888.08	\$ -
1000.142000.21	Government L	\$ 1,994,792.43	\$ 963,819.34	\$ 684,795.66	\$ 360,526.19	\$ 5,651.24	\$ -
1000.142000.22	Government St Lights	\$ 2,106,915.49	\$ 389,435.77	\$ 395,013.93	\$ 380,272.86	\$ 390,427.04	\$ 551,765.89
	TOTAL GOVERNMENT	\$ 7,191,045.54	\$ 3,270,126.19	\$ 1,710,148.31	\$ 1,168,537.37	\$ 476,247.38	\$ 565,986.29
	GRAND TOTAL	\$ 25,350,089.77	\$ 14,905,945.55	\$ 4,047,384.70	\$ 2,318,260.84	\$ 1,101,091.58	\$ 2,977,407.10
		\$ 9,497,117.14	\$ 5,504,876.50	\$ 1,256,809.74	\$ 658,635.10	\$ 306,981.82	\$ 1,769,813.98



GUAM POWER AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

MANAGERS

NAME OF EMPLOYEE	John M. Benavente, P.E.
POSITION TITLE	General Manager
DIVISION	General Manager
DEPARTMENT	Executive
EVALUATION PERIOD	

NAME OF DIRECT SUPERVISOR	CCU
POSITION TITLE	CCU
DIVISION	
DEPARTMENT	
EVALUATION PERIOD	

INTRODUCTION

Whilst this form provides a structured framework for documenting and assessing work performance its success as a management / supervisory tool is to facilitate an open and honest discussion on performance. Whilst ongoing performance feedback, particularly against the key performance indicators (KPI's) outlined in Section A should be occurring on a regular basis (throughout the review period) the benefits of positive and constructive feedback are well documented, and with this in mind, it is important to ensure that the agreed ratings are an accurate reflection of the employees' performance over the review period. Inaccurate assessments are counter-productive (for both the company and the employee) as both the link to training and development and compensation becomes distorted and the implications far reaching, not only internally but externally in terms of the company's ability to consistently meet the expectations of customers.

Rating Scale

5	Significantly Exceeds Expectations / Outstanding
	Performance significantly exceeds expectations in all essential areas of responsibility. An outstanding result qualified by an exceptional or unique contribution in support of the section, department or division or the successful completion of a major goal or project. This rating is achievable by any employee although given infrequently. Note : a rating of 5 requires qualification.
4	Exceeds Expectations / Above Satisfactory
	Above standard performance with results exceeding expectations in all essential areas of responsibility.
3	Meets Expectations / Satisfactory
	Performance consistently meets expectations in all essential areas of responsibility.
2	Inconsistently Meets Expectations / Marginal
	Performance inconsistently meets expectations in one or more essential areas of responsibility. A less than satisfactory result requiring improvement(s) to come up to standard.

1	Fails To Meet Expectations / Unsatisfactory	
	Performance consistently below expectations. Significant improvement is needed in one or more essential areas. Results may also reflect / demonstrate counter-productive behaviors that have negative outcomes or consequences. A plan to correct performance, including timelines, must be developed and monitored to improve and measure progress. Note : a rating of 1 requires qualification.	
SECTION A		KEY PERFORMANCE INDICATORS (KPI's)

Overview

Research has shown that the functions managers undertake can be grouped into four key generic roles : Managing Operations, Managing Finance, Managing People and Managing Information. Within each role a small number of agreed KPI's should be identified (where possible) as a basis for assessing and improving the performance of managers on an annual basis. Please note that the identification of KPI's may be difficult with some positions resulting in broader job statements or job standards being documented. This however should not detract from the primary goal of quantifying the work required wherever possible. In brief, the KPI's refer to personal targets for managers to focus their performance (i.e. over the review period) in order to fulfill their responsibilities and to maximize their contribution to the organization.

Performance Allocation

Performance against the key roles (see below) accounts for 70% of the total performance score :

1.0	Managing Operations	30% of total performance score
2.0	Managing Finance	15% of total performance score
3.0	Managing People	15% of total performance score
4.0	Managing Information	10% of total performance score

Rating

Please use the rating scale provided to rate the employee and mark the rating in the box provided.

Key Performance Indicators (KPI's)

1.0	Managing Operations	30% of total performance score
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Annual Rating Score

1.1	Maintain reliability of the Island Wide Power System (IWPS)
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1.1.1	Administer the daily business affairs to ensure electricity customers are receiving the highest level of service at an affordable cost.	
1.1.2	Lower fuel and Energy costs; Identify improvements to eliminate waste and inefficiencies	
1.1.3	Set annual short-term goals and objectives in order to constantly improve the efficiency, reliability, and customer satisfaction of all services.	
1.1.4	Define GPA's visionary position by managing all planning functions and/or developing and pursuing new business strategies and defining key strategic initiatives for long term growth, financial security, technology optimization , safety, efficiency and reliability of all GPA operations.	
1.1.5	Comply with all federal and local laws and rules and regulations relating to Guam Power Authority	

Annual Rating

1.2	Attend all CCU and PUC meetings
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1.2.1	Prepare and present general and/or specialized reports of the affairs of the Guam Power Authority	
1.2.2		

Annual Rating

1.3	Plan and develop the structure of the Authority's organization and provide for its staffing by qualified individuals.
------------	--

1.3.1	Administer and approve all employee recruitment, reclassifications, terminations and promotions.	
1.3.2	Establish and preserve working conditions which are conducive to the health, safety and productive motivation of all Authority's personnel.	
1.3.3		

Annual Rating

1.4	Provide for the determination of the Authority's costs of electric services.
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1.4.1	Recommends compensatory and competitive rates and service regulations to the Board.	
1.4.2		

Annual Rating

1.5	Devote entire time to the business of the Authority.	

2.0	Managing Finance	15% of total performance score
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Annual Rating

2.1	Maintain financial solvency to meet operational capacity	
2.2.	Manage operational expenses to meet budgeted targets/levels	
2.3	Provide for the development of the Authority's financing program and present to the Board recommendations for the sale of bonds, the use of bonds proceeds and the investments of surplus funds.	
2.4	Makes oral and written reports periodically to the Board concerning the operating and financial results of the Authority.	
2.5	Publish a financial report within 120 days from the end of the fiscal year on the financial status of the Authority.	
2.6	Review the financial and system operational reports to ensure the integrity of GPA assets, their protection and ensure the IWPS is functioning safely and to the highest efficiency and effectiveness possible.	

3.0	Managing People	15% of total performance score
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Annual Rating

3.1	Develop Sustainable workforce and leadership	
3.1.1	Implement succession planning program	

3.1.2	Implement a structured leadership and workforce training	
3.1.3	Achieve Safety Awareness & Enhanced Safety Practices	
3.1.4	Enhance Employee Satisfaction	
3.2	Define performance targets and conduct performance monitoring against performance targets or standards regularly.	
3.3	Conducts supervisory reviews and performance evaluations for Executive staff.	

4.0	Managing Information	10% of total performance score
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Annual Rating

4.1	Attends all meetings of the Board and submit a general report of the affairs of the Authority. Maintain/improve management reporting to the CCU.	
4.2	Advises the Board as to the needs of the Authority and approve demands for the payment of obligations of the Authority within the purposes and amounts authorized by the Board.	
4.3	Provide for transparency on all GPA operations and improve accuracy of public/media communications	
4.4	Meet all required deadlines for filings, compliance reporting and public reporting (PUC filing, Consent decree, Annual report, Citizen Centric report, etc.)	
4.5		

SECTION B	PERSONAL COMPETENCIES
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Overview

The personal competencies listed below are those used by effective managers to make decisions and achieve results and can be observed through the key behaviors outlined. The competencies work together to achieve results. One competency may be dominant in a particular situation or event, but it will usually be supported by other competencies. As the event unfolds, another competency will become dominant. Some competencies are about independent action, others are about working closely with colleagues, some call for analytical and logical thinking, whilst others are about creativity.

It is important to remember that the behaviors and competencies outlined are not valuable on their own. They are valuable only insofar as they help managers achieve results. Effective managers use their judgment to apply the right competency at the right time although they tend not to be strong in every competency but display a variety of different profiles with regards strengths, styles and preferences. Across management teams it is valuable to understand the profiles of individual team members and exploit those skills accordingly.

Performance Allocation

Performance against the key personal competencies (see below) accounts for 30% of the total performance score :

1.0	Strategic Perspective	5% of total performance score
2.0	Building Teams	5% of total performance score
3.0	Communication	5% of total performance score
4.0	Information Search	5% of total performance score
5.0	Achievement Focus	5% of total performance score
6.0	Judgment	5% of total performance score

Rating

Please use the rating scale provided to rate the employee and mark the rating in the box provided.

1.0	Strategic Perspective	5% of total performance score	
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This competence concerns the manager being able to place immediate goals and activities in a strategic context. This involves seeing how one area of activity is affected by, and affects, other parts of the organization or its environment. The competence involves taking a longer term perspective, considering what will happen several years hence, and establishing a vision of the future. An important part of the competence lies in managers setting out their vision of the future to others in such a way as to gain acceptance and support.

Behavior Indicators - An Effective Manager:

- works towards a vision of the future based on a strategic perspective
- acts with good understanding of how different parts, needs or functions of the organization and its environment fit together
- clearly relates goals and actions to the strategic aims of the business
- takes opportunities when they arise to achieve longer term aims or needs
- demonstrates competence in goal setting, identifying possible courses of action, implementing and monitoring them
- can disseminate strategic goals into KPI's for subordinate staff
- has highly developed skills in analyzing and interpreting data and situations
- is very competent at diagnosing problems and identifying causal factors
- demonstrates foresight (predicting / forecasting)

Annual Rating

2.0	Building Teams	5% of total performance score	
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This competence concerns working effectively with others at the same level or more junior level with the organization. The manager may use the key behavior in the context of a loose team or a coalition of peers from other parts of the organization and/or in the context of an immediate group of direct reports. The first two behaviors are about encouraging co-operative working. Depending on the circumstances, this can be achieved either formally or informally and the team may be well defined and established or a loose group of managers who do not necessarily see themselves as a "team". The third behavior is an aspect of empowerment, where the manager involves others in the process of making difficult decisions, and takes time to involve others in order to explore the problem and to contribute solutions. The final behavior is about evaluating the capabilities of the people who report to the manager.

Behavior Indicators - An Effective Manager :

- keeps others informed about plans and progress
- builds a desire to work together and builds co-operation within a team
- builds ownership of controversial decisions by involving others in the decision making process
- evaluates people's capability to do the job and takes action
- is very capable of balancing self and team interests to meet collective goals
- contributes positively by sharing information and listening and accepting others' points of view
- respects the thoughts and opinions of other team members
- positively influences the way the team works together
- facilitates and influences positive outcomes that focus on organizational goals
- recognizes conflicts that arise within the team and acts to bring these out into the open

Annual Rating

3.0	Communication	5% of total performance score	
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This competence concerns communicating clearly with others. It may be used in a wide range of circumstances, from formal presentations to day-to-day meetings. A feature of managers with this competence is that they carefully consider what message they wish to communicate and then decide how best to do so. This may involve thorough planning of a presentation, the use of different media to reinforce a message, or even the establishment of systems to ensure good communication within the department or organization. Effective managers use this competence to achieve results. They communicate to inform, instruct, persuade and encourage others to communicate with them. Managers who are particularly competent in this area exhibit conviction and belief in what they have to say, which is closely linked to the self-confidence competency.

Behavior Indicators - An Effective Manager :

- conveys difficult ideas and problems in a way that aids understanding
- recognizes and responds to the needs and feelings of others
- demonstrates excellent verbal and written communication skills
- is very confident and competent in describing situations and actions
- effectively conveys and receives ideas, information and directions
- receives, interprets, understands and responds very well to verbal messages and other cues
- is assertive while being open minded and adaptable to difference of opinions
- has the ability to be very concise and clear when communicating
- confronts difficult issues openly

Annual Rating

4.0	Information Search	5% of total performance score	
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This competence concerns gathering information to inform decision making. Effective managers seek facts and informed opinion in order to understand new or complex situations. Sometimes the manager will remain open-minded and suspend judgment until all the relevant facts are known. In other cases, the manager reaches a conclusion on the basis of an insight or limited personal knowledge, and then seeks more factual data to confirm or refute this conclusion.

Behavior Indicators - An Effective Manager :

- pushes for concrete information in an ambiguous situation
- seeks information from multiple sources to clarify a situation
- checks validity of own thinking with others
- excellent at gathering and assessing information to determine the optimum way to perform
- is very competent with personal planning and organizational skills
- has highly developed skills at analyzing and interpreting data and situations
- is very competent at diagnosing problems and identifying causal factors

Annual Rating

5.0	Achievement Focus	5% of total performance score	
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Managers with this competence are geared towards achieving results and they will set ambitious goals and objectives for themselves and others. They will also deal with problems as they arise, and take advantage of any emerging opportunities. Recognizing and evaluating the risks that may lie ahead, and then taking firm action, is an aspect of this competence.

Behavior Indicators - An Effective Manager :

- sets high quality goals that are demanding of self and others
- sets key performance indicators and priorities in uncertain and complex situations
- tackles problems or takes advantage of opportunities as they arise
- calculates risks and takes decisive action
- focuses personal attention on specific details that are critical to the success of a key event
- is an energetic self-starter, highly motivated and results driven
- generates enthusiasm and energy by maintaining a positive attitude
- expresses confidence in the success of plans or initiatives (this includes showing commitment to a course of action)
- takes personal responsibility for making things happen
- is persistent in pursuing goals despite obstacles and setbacks
- is very competent with personal planning and organizational skills
- is very capable at gathering and assessing information to determine the optimum way to perform
- uses time and resources very effectively

Annual Rating

6.0	Judgment	5% of total performance score	
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This competence concerns using a range of skills to evaluate situations and people and to develop plans and approaches for actions. Effective managers use analytical and logical approaches to understand people and events and to establish priorities and connections. They also use creative and intuitive approaches to assessing situations and problems and to producing solutions. Effective managers may demonstrate different profiles within this competence, some being more creative and intuitive, or they may be strong in all aspects.

Behavior Indicators - An Effective Manager :

- identifies the most important issues in a complex situation
- identifies implications, consequences or casual relationships in a situation
- uses a range of ideas to explain the actions, needs and motives of others
- focuses on facts, problems and solutions when handling an emotional situation
- approaches the decision making process with a positive attitude and views the situation as an opportunity / challenge
- can explain decision(s) to those involved and affected and will follow up to ensure implementation
- uses instinct and intuition to assess situations and people
- identifies new patterns and interprets events in new ways

- has an excellent understanding of processes and quality improvement
- can prioritize problems and deal with them one at a time

SECTION C	PERFORMANCE COMMENTS
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Note : In Sections A & B all performance ratings of 1 or 5 must be individually substantiated with comments. This section can also be used for general comments concerning the employee's performance.

Section

SECTION D	DEVELOPMENTAL RECOMMENDATIONS

Use this section to record training and development goals over the next review period

SECTION E	PERSONAL DEVELOPMENT
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Overview

Personal development focuses on initiatives taken by the employee or with the Authority's support that demonstrates a positive and proactive approach to personal growth and development. The intent here is to both recognize and reward employees for relevant achievements in excess of the minimum educational requirements of the position e.g. this may be in the form of a higher educational qualification(s), professional qualification(s), certification(s), license(s) etc.

Performance Allocation

Having achieved higher educational qualification(s), professional qualification(s), certification(s), license(s) etc (in excess of the minimum educational requirements of the position) the financial benefits (see table example below) will take the form of additional sub-steps being awarded in excess of those received from this appraisal process.

Please note that where the Authority's compensation model is being adjusted to a higher market percentile(s) the additional sub-steps awarded in this section will be applied with each adjustment and will continue until such time the Authority has reached its targeted position in the market.

Number of additional sub-steps awarded	EXAMPLE
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3	The achievement of : Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc that take in excess of two (2) years to obtain
2	The achievement of : Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc that take one (1) to two (2) years to obtain
1	The achievement of : Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc that take two (2) to twelve (12) months to obtain

Notes :

The awarding of sub-step(s) following the attainment of multiple achievements or individual achievements taking less than two (2) months to obtain or any decision to include a particular achievement will be at the discretion of the General Manager.

All achievements must be current and valid (where required) for the additional sub-step(s) to be awarded.

Where progression towards a higher qualification sees an employee firstly achieving an interim qualification e.g. Engineer In Training (EIT) and then goes on to pass the Professional Engineer (PE) qualification the employee will be awarded the appropriate sub-steps for achieving the EIT qualification and then the balance of the sub-steps for achieving the PE.

Rating

Human Resources will initially assess (and score in the space provided) the proposed number of sub-steps awarded for higher educational qualification(s), professional qualification(s), certification(s), license(s) etc achieved in excess of the minimum required of the position. Endorsement of this score (or otherwise) will be made by the General Manager (subject to discretionary and budget constraints) in reviewing the results of this form.

Personal Achievements

Please indicate below all relevant educational qualification(s), professional qualification(s), certification(s), license(s) etc achieved in excess of the minimum required of the position. Please note that these will be subject to verification if no record of their achievement is included in the employee's personal file held with Human Resources.

	Personal Achievements	Authorizing Institution	Pass Grade (where provided)
1.0			
2.0			
3.0			
4.0			
5.0			
6.0			
7.0			
8.0			
9.0			
10.0			

Proposed Increase (number of sub-steps)

(CCU to Complete)

SECTION F	CONFIRMATION / SIGNATURES
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Conclusion of Evaluation

To the Employee : I have reviewed this performance evaluation on the date indicated below and have had the opportunity to discuss it with my supervisor. My signature does not necessarily mean that I agree with the rating.

Employee :Name : _____ Signature : _____ Date : _____

CCU

CCU: _____ Date: _____
(authorization) CCU Chairperson

Comments :

Employee : (amendments sighted)Signature : _____ Date : _____

GUAM WATERWORKS AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

EXECUTIVE MANAGEMENT

NAME OF EMPLOYEE	
POSITION TITLE	General Manager
DIVISION	GM's Office
DEPARTMENT	
EVALUATION PERIOD	

NAME OF DIRECT SUPERVISOR	Joseph T. Duenas
POSITION TITLE	Chairman
DIVISION	Consolidated Commission on Utilities
DEPARTMENT	
EVALUATION PERIOD	

INTRODUCTION

Whilst this form provides a structured framework for documenting and assessing work performance its success as a management / supervisory tool is to facilitate an open and honest discussion on performance. Whilst ongoing performance feedback, particularly against the key performance indicators (KPI's) outlined in Section A should be occurring on a regular basis (throughout the review period) the benefits of positive and constructive feedback are well documented, and with this in mind, it is important to ensure that the agreed ratings are an accurate reflection of the employees' performance over the review period. Inaccurate assessments are counter-productive (for both the company and the employee) as both the link to training and development and compensation becomes distorted and the implications far reaching, not only internally but externally in terms of the company's ability to consistently meet the expectations of customers.

Rating Scale

5	Significantly Exceeds Expectations / Outstanding
	Performance significantly exceeds expectations in all essential areas of responsibility. An outstanding result qualified by an exceptional or unique contribution in support of the section, department or division or the successful completion of a major goal or project. This rating is achievable by any employee although given infrequently. Note : a rating of 5 requires qualification.
4	Exceeds Expectations / Above Satisfactory
	Above standard performance with results exceeding expectations in all essential areas of responsibility.
3	Meets Expectations / Satisfactory
	Performance consistently meets expectations in all essential areas of responsibility.
2	Inconsistently Meets Expectations / Marginal
	Performance inconsistently meets expectations in one or more essential areas of responsibility. A less than satisfactory result requiring improvement(s) to come up to standard.
1	Fails To Meet Expectations / Unsatisfactory
	Performance consistently below expectations. Significant improvement is needed in one or more essential areas. Results may also reflect / demonstrate counter-productive behaviors that have negative outcomes or consequences. A plan to correct performance, including timelines, must be developed and monitored to improve and measure progress. Note : a rating of 1 requires qualification.

SECTION A	KEY PERFORMANCE INDICATORS (KPI's)
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Overview

Research has shown that the functions managers undertake can be grouped into four key generic roles : Managing Operations, Managing Finance, Managing People and Managing Information. Within each role a small number of agreed KPI's should be identified (where possible) as a basis for assessing and improving the performance of managers on an annual basis. Please note that the identification of KPI's may be difficult with some positions resulting in broader job statements or job standards being documented. This however should not detract from the primary goal of quantifying the work required wherever possible. Please note that the review period may eventually be reduced to six-monthly or even quarterly. In brief, the KPI's refer to personal targets for managers to focus their performance (i.e. over the review period) in order to fulfill their responsibilities and to maximize their contribution to the organization.

Performance Allocation

Performance against the key roles (see below) accounts for 70% of the total performance score :

1.0	Managing Operations	30% of total performance score
2.0	Managing Finance	15% of total performance score
3.0	Managing People	15% of total performance score
4.0	Managing Information	10% of total performance score

Rating

Please use the rating scale provided to rate the employee and mark the rating in the box provided.

Key Performance Indicators (KPI's)

1.0	Managing Operations	30% of total performance score
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Annual Rating

1.1	Reliability of Water and Wastewater Systems	
1.1.1	Reduction in frequency and duration of water service outages	
1.1.2	Improvement in water pump station reliability	
1.1.3	Reduction in frequency and duration of SSOs	
1.1.4	Improvement in wastewater pump station reliability	
1.1.5	Improve/maintain WTP/Wells reliability	
1.1.6	Improve/maintain WWTP reliability	
1.1.7	Maintain minimum/maximum service pressure levels (water)	

Annual Rating

1.2	Compliance of Water and Wastewater Systems
-----	--

1.2.1	Maintain compliance with drinking water quality standards
1.2.2	Maintain compliance with wastewater effluent permit requirements
1.2.3	Maintain internal QA/QC process
1.2.4	Improve customer compliance programs (cross-connection, source control)
1.2.5	Meet Court Order and Consent Decree requirements

Annual Rating

1.3	Systems Safety, Security, and Resiliency
-----	--

1.3.1	Improve systems physical security
1.3.2	Improve systems cybersecurity
1.3.3	Ensure safe work environment
1.3.4	Maintain Emergency Response Plan and readiness
1.3.5	Maintain Continuity of Operations Plan and readiness
1.3.6	Improve water resources/aquifer protection

Annual Rating

1.4	Capital Improvement Program (CIP) / System Renewals
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1.4.1	Update/maintain Water Resources Master Plan and 5-Year CIP
1.4.2	Achieve target CIP spending plan / annual renewals
1.4.3	Achieve water system expansion goals
1.4.4	Achieve wastewater system expansion goals
1.4.5	Achieve NRW / water loss reduction goals

Annual Rating

1.5	Long Term Strategic Objectives
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1.5.1	Advance GWA/DoD System Integration
1.5.2	Improve/maintain investment-grade credit ratings
1.5.3	Balance long-term debt financing and revenue financing

1.5.4	Improve/maintain affordability of service	
1.5.5	Improve/maintain liquidity and reserves	
1.5.6	Achieve personnel compensation migration (percentile) objectives	

2.0	Managing Finance	15% of total performance score
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Annual Rating

2.1	Maintain financial capacity to meet operational needs	
2.2	Manage operational expenses to meet budgeted levels	
2.3	Meet/exceed minimum debt service coverage ratio requirements/targets	
2.4	Maintain all cash reserve fund requirements/targets	
2.5	Identify cost efficiencies / eliminate waste	

3.0	Managing People	15% of total performance score
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Quarterly Rating

3.1	Improve recruitment and retention of qualified staff	
3.2	Improve/maintain succession planning for management/supervisory personnel	
3.3	Improve employee satisfaction and pride	
3.4	Enhance employee training and development programs	
3.5		

4.0	Managing Information	10% of total performance score
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Annual Rating

2.1	Meet publication deadlines for all required public report filings (Annual Report, EPA Annual WQR, Citizen Centric Report, etc.)	
2.2	Improve accuracy of public / media communications	
2.3	Broaden public outreach for GWA CIP and System Improvements	
2.4	Maintain/enhance management reporting to CCU	

2.5	Meet all compliance reporting requirements (Court Order, Consent Decree)	
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SECTION B	PERSONAL COMPETENCIES
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Overview

The personal competencies listed below are those used by effective managers to make decisions and achieve results and can be observed through the key behaviors outlined. The competencies work together to achieve results. One competency may be dominant in a particular situation or event, but it will usually be supported by other competencies. As the event unfolds, another competency will become dominant. Some competencies are about independent action, others are about working closely with colleagues, some call for analytical and logical thinking, whilst others are about creativity.

It is important to remember that the behaviors and competencies outlined are not valuable on their own. They are valuable only insofar as they help managers achieve results. Effective managers use their judgment to apply the right competency at the right time although they tend not to be strong in every competency but display a variety of different profiles with regards strengths, styles and preferences. Across management teams it is valuable to understand the profiles of individual team members and exploit those skills accordingly.

Performance Allocation

Performance against the key personal competencies (see below) accounts for 30% of the total performance score :

1.0	Strategic Perspective	5% of total performance score
2.0	Building Teams	5% of total performance score
3.0	Communication	5% of total performance score
4.0	Information Search	5% of total performance score
5.0	Achievement Focus	5% of total performance score
6.0	Judgment	5% of total performance score

Rating

Please use the rating scale provided to rate the employee and mark the rating in the box provided.

Annual **Quarterly****Rating**

1.0	Strategic Perspective	5% of total performance score	
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This competence concerns the manager being able to place immediate goals and activities in a strategic context. This involves seeing how one area of activity is affected by, and affects, other parts of the organization or its environment. The competence involves taking a longer term perspective, considering what will happen several years hence, and establishing a vision of the future. An important part of the competence lies in managers setting out their vision of the future to others in such a way as to gain acceptance and support.

Behavior Indicators - An Effective Manager :

- works towards a vision of the future based on a strategic perspective
- acts with good understanding of how different parts, needs or functions of the organization and its environment fit together
- clearly relates goals and actions to the strategic aims of the business
- takes opportunities when they arise to achieve longer term aims or needs
- demonstrates competence in goal setting, identifying possible courses of action, implementing and monitoring them
- can disseminate strategic goals into KPI's for subordinate staff
- has highly developed skills in analyzing and interpreting data and situations
- is very competent at diagnosing problems and identifying causal factors
- demonstrates foresight (predicting / forecasting)

Annual Rating

2.0	Building Teams	5% of total performance score	
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This competence concerns working effectively with others at the same level or more junior level with the organization. The manager may use the key behavior in the context of a loose team or a coalition of peers from other parts of the organization and/or in the context of an immediate group of direct reports. The first two behaviors are about encouraging co-operative working. Depending on the circumstances, this can be achieved either formally or informally and the team may be well defined and established or a loose group of managers who do not necessarily see themselves as a "team". The third behavior is an aspect of empowerment, where the manager involves others in the process of making difficult decisions, and takes time to involve others in order to explore the problem and to contribute solutions. The final behavior is about evaluating the capabilities of the people who report to the manager.

Behavior Indicators - An Effective Manager :

- keeps others informed about plans and progress
- builds a desire to work together and builds co-operation within a team
- builds ownership of controversial decisions by involving others in the decision making process
- evaluates people's capability to do the job and takes action
- is very capable of balancing self and team interests to meet collective goals
- contributes positively by sharing information and listening and accepting others' points of view
- respects the thoughts and opinions of other team members
- positively influences the way the team works together
- facilitates and influences positive outcomes that focus on organizational goals
- recognizes conflicts that arise within the team and acts to bring these out into the open

Annual Rating

3.0	Communication	5% of total performance score	
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This competence concerns communicating clearly with others. It may be used in a wide range of circumstances, from formal presentations to day-to-day meetings. A feature of managers with this competence is that they carefully consider what message they wish to communicate and then decide how best to do so. This may involve thorough planning of a presentation, the use of different media to reinforce a message, or even the establishment of systems to ensure good communication within the department or organization. Effective managers use this competence to achieve results. They communicate to inform, instruct, persuade and encourage others to communicate with them. Managers who are particularly competent in this area exhibit conviction and belief in what they have to say, which is closely linked to the self-confidence competency.

Behavior Indicators - An Effective Manager :

- conveys difficult ideas and problems in a way that aids understanding
- recognizes and responds to the needs and feelings of others
- demonstrates excellent verbal and written communication skills
- is very confident and competent in describing situations and actions
- effectively conveys and receives ideas, information and directions
- receives, interprets, understands and responds very well to verbal messages and other cues
- is assertive while being open minded and adaptable to difference of opinions
- has the ability to be very concise and clear when communicating
- confronts difficult issues openly

Annual Rating

4.0	Information Search	5% of total performance score	
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This competence concerns gathering information to inform decision making. Effective managers seek facts and informed opinion in order to understand new or complex situations. Sometimes the manager will remain open-minded and suspend judgment until all the relevant facts are known. In other cases, the manager reaches a conclusion on the basis of an insight or limited personal knowledge, and then seeks more factual data to confirm or refute this conclusion.

Behavior Indicators - An Effective Manager :

- pushes for concrete information in an ambiguous situation
- seeks information from multiple sources to clarify a situation
- checks validity of own thinking with others
- excellent at gathering and assessing information to determine the optimum way to perform
- is very competent with personal planning and organizational skills
- has highly developed skills at analyzing and interpreting data and situations
- is very competent at diagnosing problems and identifying causal factors

Annual Rating

5.0	Achievement Focus	5% of total performance score	
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Managers with this competence are geared towards achieving results and they will set ambitious goals and objectives for themselves and others. They will also deal with problems as they arise, and take advantage of any emerging opportunities. Recognizing and evaluating the risks that may lie ahead, and then taking firm action, is an aspect of this competence.

Behavior Indicators - An Effective Manager :

- sets high quality goals that are demanding of self and others
- sets key performance indicators and priorities in uncertain and complex situations
- tackles problems or takes advantage of opportunities as they arise
- calculates risks and takes decisive action
- focuses personal attention on specific details that are critical to the success of a key event
- is an energetic self-starter, highly motivated and results driven
- generates enthusiasm and energy by maintaining a positive attitude
- expresses confidence in the success of plans or initiatives (this includes showing commitment to a course of action)
- takes personal responsibility for making things happen
- is persistent in pursuing goals despite obstacles and setbacks
- is very competent with personal planning and organizational skills
- is very capable at gathering and assessing information to determine the optimum way to perform
- uses time and resources very effectively

Annual Rating

6.0	Judgment	5% of total performance score	
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This competence concerns using a range of skills to evaluate situations and people and to develop plans and approaches for actions. Effective managers use analytical and logical approaches to understand people and events and to establish priorities and connections. They also use creative and intuitive approaches to assessing situations and problems and to producing solutions. Effective managers may demonstrate different profiles within this competence, some being more creative and intuitive or they may be strong in all aspects.

Behavior Indicators - An Effective Manager :

- identifies the most important issues in a complex situation
- identifies implications, consequences or casual relationships in a situation
- uses a range of ideas to explain the actions, needs and motives of others
- focuses on facts, problems and solutions when handling an emotional situation
- approaches the decision making process with a positive attitude and views the situation as an opportunity / challenge
- can explain decision(s) to those involved and affected and will follow up to ensure implementation
- uses instinct and intuition to assess situations and people
- identifies new patterns and interprets events in new ways
- has an excellent understanding of processes and quality improvement
- can prioritize problems and deal with them one at a time

SECTION C	PERFORMANCE COMMENTS
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Note : In Sections A & B all performance ratings of 1 or 5 must be individually substantiated with comments.
This section can also be used for general comments concerning the employee's performance.

Section

SECTION D	DEVELOPMENTAL RECOMMENDATIONS
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Use this section to record training and development goals over the next review period

SECTION E	PERSONAL DEVELOPMENT
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Overview

Personal development focuses on initiatives taken by the employee or with the Authority's support that demonstrates a positive and proactive approach to personal growth and development. The intent here is to both recognize and reward employees for relevant achievements in excess of the minimum educational requirements of the position e.g. this may be in the form of a higher educational qualification(s), professional qualification(s), certification(s), license(s) etc.

Performance Allocation

Having achieved higher educational qualification(s), professional qualification(s), certification(s), license(s) etc (in excess of the minimum educational requirements of the position) the financial benefits (see table example below) will take the form of additional sub-steps being awarded in excess of those received from this appraisal process.

Please note that where the Authority's compensation model is being adjusted to a higher market percentile(s) the additional sub-steps awarded in this section will be applied with each adjustment and will continue until such time the Authority has reached its targeted position in the market.

Number of additional sub-steps awarded	EXAMPLE
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3	The achievement of : Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc that take in excess of two (2) years to obtain
2	The achievement of : Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc that take one (1) to two (2) years to obtain
1	The achievement of : Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc that take two (2) to twelve (12) months to obtain

Notes :

The awarding of sub-step(s) following the attainment of multiple achievements or individual achievements taking less than two (2) months to obtain or any decision to include a particular achievement will be at the discretion of the General Manager.

All achievements must be current and valid (where required) for the additional sub-step(s) to be awarded.

Where progression towards a higher qualification sees an employee firstly achieving an interim qualification e.g. Engineer In Training (EIT) and then goes on to pass the Professional Engineer (PE) qualification the employee will be awarded the appropriate sub-steps for achieving the EIT qualification and then the balance of the sub-steps for achieving the PE.

Rating

Human Resources will initially assess (and score in the space provided) the proposed number of sub-steps awarded for higher educational qualification(s), professional qualification(s), certification(s), license(s) etc achieved in excess of the minimum required of the position. Endorsement of this score (or otherwise) will be made by the General Manager (subject to discretionary and budget constraints) in reviewing the results of this form.

Personal Achievements

Please indicate below all relevant educational qualification(s), professional qualification(s), certification(s), license(s) etc achieved in excess of the minimum required of the position. Please note that these will be subject to verification if no record of their achievement is included in the employee's personal file held with Human Resources.

	Personal Achievements	Authorizing Institution	Pass Grade (where provided)
1.0			
2.0			
3.0			
4.0			
5.0			
6.0			
7.0			
8.0			
9.0			
10.0			

Proposed Increase (number of sub-steps)

(HR to Complete)

SECTION F	CONFIRMATION / SIGNATURES
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Conclusion of Evaluation

To the Employee : I have reviewed this performance evaluation on the date indicated below and have had the opportunity to discuss it with my supervisor. My signature does not necessarily mean that I agree with the rating.

Employee : *Name :* _____ *Signature :* _____ *Date :* _____

Immediate Sup : *Name :* _____ *Signature :* _____ *Date :* _____

Division Head : *Name :* _____ *Signature :* _____ *Date :* _____
(where applicable)

Administration (Human Resources / GM's Office)

HR Comp & Benefits : *Name :* _____ *Signature :* _____ *Date :* _____
(increment & achievements calculated - sheet attached)

HR Administrator : *Name :* _____ *Signature :* _____ *Date :* _____

General Manager : *Name :* _____ *Signature :* _____ *Date :* _____
(authorization)

<i>General Manager's Comments :</i>

Employee : (amendments sighted) *Signature :* _____ *Date :* _____

HR Comp & Benefits : *Name :* _____ *Signature :* _____ *Date :* _____
(payroll amended)

GUAM POWER AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

MANAGERS

NAME OF EMPLOYEE	John J. Kim
POSITION TITLE	Chief Financial Officer
DIVISION	CFO
DEPARTMENT	Finance
EVALUATION PERIOD	

NAME OF DIRECT SUPERVISOR	CCU
POSITION TITLE	
DIVISION	
DEPARTMENT	

EVALUATION PERIOD	

INTRODUCTION

Whilst this form provides a structured framework for documenting and assessing work performance its success as a management / supervisory tool is to facilitate an open and honest discussion on performance. Whilst ongoing performance feedback, particularly against the key performance indicators (KPI's) outlined in Section A should be occurring on a regular basis (throughout the review period) the benefits of positive and constructive feedback are well documented, and with this in mind, it is important to ensure that the agreed ratings are an accurate reflection of the employees' performance over the review period. Inaccurate assessments are counter-productive (for both the company and the employee) as both the link to training and development and compensation becomes distorted and the implications far reaching, not only internally but externally in terms of the company's ability to consistently meet the expectations of customers.

Rating Scale

5	Significantly Exceeds Expectations / Outstanding
	Performance significantly exceeds expectations in all essential areas of responsibility. An outstanding result qualified by an exceptional or unique contribution in support of the section, department or division or the successful completion of a major goal or project. This rating is achievable by any employee although given infrequently. Note : a rating of 5 requires qualification.
4	Exceeds Expectations / Above Satisfactory
	Above standard performance with results exceeding expectations in all essential areas of responsibility.
3	Meets Expectations / Satisfactory
	Performance consistently meets expectations in all essential areas of responsibility.

2	Inconsistently Meets Expectations / Marginal	
	Performance inconsistently meets expectations in one or more essential areas of responsibility. A less than satisfactory result requiring improvement(s) to come up to standard.	
1	Fails To Meet Expectations / Unsatisfactory	
	Performance consistently below expectations. Significant improvement is needed in one or more essential areas. Results may also reflect / demonstrate counter-productive behaviors that have negative outcomes or consequences. A plan to correct performance, including timelines, must be developed and monitored to improve and measure progress. Note : a rating of 1 requires qualification.	
SECTION A		KEY PERFORMANCE INDICATORS (KPI's)

Overview

Research has shown that the functions managers undertake can be grouped into four key generic roles : Managing Operations, Managing Finance, Managing People and Managing Information. Within each role a small number of agreed KPI's should be identified (where possible) as a basis for assessing and improving the performance of managers on an annual basis. Please note that the identification of KPI's may be difficult with some positions resulting in broader job statements or job standards being documented. This however should not detract from the primary goal of quantifying the work required wherever possible. In brief, the KPI's refer to personal targets for managers to focus their performance (i.e. over the review period) in order to fulfill their responsibilities and to maximize their contribution to the organization.

Performance Allocation

Performance against the key roles (see below) accounts for 70% of the total performance score :

1.0	Managing Operations	30% of total performance score
2.0	Managing Finance	15% of total performance score
3.0	Managing People	15% of total performance score
4.0	Managing Information	10% of total performance score

Rating

Please use the rating scale provided to rate the employee and mark the rating in the box provided.

Key Performance Indicators (KPI's)

1.0	Managing Operations	30% of total performance score
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Annual Rating

1.1	Plan, organize, staff, direct and coordinate all accounting activities of the Authority.
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1.1.1	Establishes and maintains accounting policies and practices and conduct of work consistent with Board and the Authority. (i.e. FERC, GASB, audit)
1.1.2	Manage the Authority's accounting and fiscal activities to ensure compliance with established policies and procedures and regulatory guidelines. (i.e. internal audit)
1.1.3	Manage the billing of rate payers for electrical services, the maintenance of accounts receivable and the collection of all revenue due in protection of the Authority's credit standing and other interests. (i.e. bad debt ratio)
1.1.4	Manage the payment of vendors and contractor's invoices for services and supplies rendered in a manner designed to protect the Authority's credit standings and ensure the steady flow of necessary supplies and materials. (i.e. Debt service coverage, Days Payable Outstanding, Days of cash)
1.1.5	

Annual Rating

1.2	Financial Planning
------------	--------------------

1.2.1	Prepare annual budget
1.2.2	Maintain 5 yr projections, 10-year road map
1.2.3	File rate cases as necessary
1.2.4	
1.2.5	

Annual Rating

1.3	Monitor the financial interests of the Authority.
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1.3.1	Provides recommendations to the General Manager for the investment of funds and the sale of bonds.	
1.3.2	Update Policies and SOP as necessary	
1.3.3	Provides reports on financial operations as required by the CCU.	
1.3.4	Execute effective planning, asset management and monitor the overall financial health of the Authority.	
1.3.5	Participate in decision-making and strategic planning session with other GPA management.	
1.3.6	Make suggestions and recommendations that effectively contribute to decision and/or policy making process.	

Annual Rating

1.4	Coordinates the assembly and presentation of the Authority's annual budget for the review by the General Manager and the CCU.	
1.4.1	Review budget performance on a monthly basis to determine shortfall or surpluses	
1.4.2	Review budget performance with division managers to ensure fiscal accountability and responsibility.	
1.4.3		
1.4.4		
1.4.5		

2.0	Managing Finance & Accounting	15% of total performance score
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Annual Rating

2.1	Develops, reports, and analyzes the Authority's cash flow trends, cash forecasts, revenue projections, expenditure patterns and estimates, and other similar accounting data.	
2.2	Prepares monthly and annual financial statements and reports and interprets the results for guidance for the General Manager and Board.	
2.3	Timely payroll and filing	
2.4		
2.5		

3.0	Managing People	15% of total performance score
------------	------------------------	---------------------------------------

Annual Rating

3.1	Conducts supervisory reviews and performance evaluations for CFO staff.	
3.2	Develop staff and training	
3.3		
3.4		
3.5		

4.0	Managing Information	10% of total performance score
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Annual Rating

4.1	Maintain and update the Authority's rate setting model to ensure proper allocation of costs and the appropriate setting of rates to ensure cost recovery. (i.e. LEAC)	
4.2	Provide written annual reports of the affairs of GPA no later than four (4) months after the financial audit is complete for the fiscal year. (i.e. Citizen Centric Report)	
4.3	Performs other duties as required.	
4.4		

SECTION B	PERSONAL COMPETENCIES
------------------	------------------------------

Overview

The personal competencies listed below are those used by effective managers to make decisions and achieve results and can be observed through the key behaviors outlined. The competencies work together to achieve results. One competency may be dominant in a particular situation or event, but it will usually be supported by other competencies. As the event unfolds, another competency will become dominant. Some competencies are about independent action, others are about working closely with colleagues, some call for analytical and logical thinking, whilst others are about creativity.

It is important to remember that the behaviors and competencies outlined are not valuable on their own. They are valuable only insofar as they help managers achieve results. Effective managers use their judgment to apply the right competency at the right time although they tend not to be strong in every competency but display a variety of different profiles with regards strengths, styles and preferences. Across management teams it is valuable to understand the profiles of individual team members and exploit those skills accordingly.

Performance Allocation

Performance against the key personal competencies (see below) accounts for 30% of the total performance score :

1.0	Strategic Perspective	5% of total performance score
2.0	Building Teams	5% of total performance score
3.0	Communication	5% of total performance score
4.0	Information Search	5% of total performance score
5.0	Achievement Focus	5% of total performance score
6.0	Judgment	5% of total performance score

Rating

Please use the rating scale provided to rate the employee and mark the rating in the box provided.

Annual Rating

1.0	Strategic Perspective	5% of total performance score	
-----	-----------------------	-------------------------------	--

This competence concerns the manager being able to place immediate goals and activities in a strategic context. This involves seeing how one area of activity is affected by, and affects, other parts of the organization or its environment. The competence involves taking a longer term perspective, considering what will happen several years hence, and establishing a vision of the future. An important part of the competence lies in managers setting out their vision of the future to others in such a way as to gain acceptance and support.

Behavior Indicators - An Effective Manager :

- works towards a vision of the future based on a strategic perspective
- acts with good understanding of how different parts, needs or functions of the organization and its environment fit together
- clearly relates goals and actions to the strategic aims of the business

- takes opportunities when they arise to achieve longer term aims or needs
- demonstrates competence in goal setting, identifying possible courses of action, implementing and monitoring them
- can disseminate strategic goals into KPI's for subordinate staff
- has highly developed skills in analyzing and interpreting data and situations
- is very competent at diagnosing problems and identifying causal factors
- demonstrates foresight (predicting / forecasting)

Annual Rating

2.0	Building Teams	5% of total performance score	
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This competence concerns working effectively with others at the same level or more junior level with the organization. The manager may use the key behavior in the context of a loose team or a coalition of peers from other parts of the organization and/or in the context of an immediate group of direct reports. The first two behaviors are about encouraging co-operative working. Depending on the circumstances, this can be achieved either formally or informally and the team may be well defined and established or a loose group of managers who do not necessarily see themselves as a "team". The third behavior is an aspect of empowerment, where the manager involves others in the process of making difficult decisions, and takes time to involve others in order to explore the problem and to contribute solutions. The final behavior is about evaluating the capabilities of the people who report to the manager.

Behavior Indicators - An Effective Manager :

- keeps others informed about plans and progress
- builds a desire to work together and builds co-operation within a team
- builds ownership of controversial decisions by involving others in the decision making process
- evaluates people's capability to do the job and takes action
- is very capable of balancing self and team interests to meet collective goals
- contributes positively by sharing information and listening and accepting others' points of view
- respects the thoughts and opinions of other team members
- positively influences the way the team works together
- facilitates and influences positive outcomes that focus on organizational goals
- recognizes conflicts that arise within the team and acts to bring these out into the open

Annual Rating

3.0	Communication	5% of total performance score	
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This competence concerns communicating clearly with others. It may be used in a wide range of circumstances, from formal presentations to day-to-day meetings. A feature of managers with this competence is that they carefully consider what message they wish to communicate and then decide how best to do so. This may involve thorough planning of a presentation, the use of different media to reinforce a message, or even the establishment of systems to ensure good communication within the department or organization. Effective managers use this competence to achieve results. They communicate to inform, instruct, persuade and encourage others to communicate with them. Managers who are

particularly competent in this area exhibit conviction and belief in what they have to say, which is closely linked to the self-confidence competency.

Behavior Indicators - An Effective Manager :

- conveys difficult ideas and problems in a way that aids understanding
- recognizes and responds to the needs and feelings of others
- demonstrates excellent verbal and written communication skills
- is very confident and competent in describing situations and actions
- effectively conveys and receives ideas, information and directions
- receives, interprets, understands and responds very well to verbal messages and other cues
- is assertive while being open minded and adaptable to difference of opinions
- has the ability to be very concise and clear when communicating
- confronts difficult issues openly

Annual Rating

4.0	Information Search	5% of total performance score	
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This competence concerns gathering information to inform decision making. Effective managers seek facts and informed opinion in order to understand new or complex situations. Sometimes the manager will remain open-minded and suspend judgment until all the relevant facts are known. In other cases, the manager reaches a conclusion on the basis of an insight or limited personal knowledge, and then seeks more factual data to confirm or refute this conclusion.

Behavior Indicators - An Effective Manager :

- pushes for concrete information in an ambiguous situation
- seeks information from multiple sources to clarify a situation
- checks validity of own thinking with others
- excellent at gathering and assessing information to determine the optimum way to perform
- is very competent with personal planning and organizational skills
- has highly developed skills at analyzing and interpreting data and situations
- is very competent at diagnosing problems and identifying causal factors

Annual Rating

5.0	Achievement Focus	5% of total performance score	
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Managers with this competence are geared towards achieving results and they will set ambitious goals and objectives for themselves and others. They will also deal with problems as they arise, and take advantage of any emerging opportunities. Recognizing and evaluating the risks that may lie ahead, and then taking firm action, is an aspect of this competence.

Behavior Indicators - An Effective Manager :

- sets high quality goals that are demanding of self and others
- sets key performance indicators and priorities in uncertain and complex situations
- tackles problems or takes advantage of opportunities as they arise
- calculates risks and takes decisive action
- focuses personal attention on specific details that are critical to the success of a key event
- is an energetic self-starter, highly motivated and results driven
- generates enthusiasm and energy by maintaining a positive attitude
- expresses confidence in the success of plans or initiatives (this includes showing commitment to a course of action)
- takes personal responsibility for making things happen
- is persistent in pursuing goals despite obstacles and setbacks
- is very competent with personal planning and organizational skills
- is very capable at gathering and assessing information to determine the optimum way to perform
- uses time and resources very effectively

Annual Rating

6.0	Judgment	5% of total performance score	
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This competence concerns using a range of skills to evaluate situations and people and to develop plans and approaches for actions. Effective managers use analytical and logical approaches to understand people and events and to establish priorities and connections. They also use creative and intuitive approaches to assessing situations and problems and to producing solutions. Effective managers may demonstrate different profiles within this competence, some being more creative and intuitive or they may be strong in all aspects.

Behavior Indicators - An Effective Manager :

- identifies the most important issues in a complex situation
- identifies implications, consequences or casual relationships in a situation
- uses a range of ideas to explain the actions, needs and motives of others
- focuses on facts, problems and solutions when handling an emotional situation
- approaches the decision making process with a positive attitude and views the situation as an opportunity / challenge
- can explain decision(s) to those involved and affected and will follow up to ensure implementation
- uses instinct and intuition to assess situations and people
- identifies new patterns and interprets events in new ways
- has an excellent understanding of processes and quality improvement
- can prioritize problems and deal with them one at a time

SECTION C	PERFORMANCE COMMENTS
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Note : In Sections A & B all performance ratings of 1 or 5 must be individually substantiated with comments. This section can also be used for general comments concerning the employee's performance.

Section

	<ul style="list-style-type: none"> • Reduce insurance premium from \$6,694,749 in 2018 to \$4,422,692 in 2019 and 5,252,334 in 2020 for property insurance. Total savings of \$3,714,472.
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	<ul style="list-style-type: none"> ○ GPA added additional asset of wind farm and Piti 7 ○ Hired local Risk Manager ○ Strategized with Risk Manager to reduce premium and increase coverage ○ Completed GPA's first Risk Engineering report ○ Prepared presentation for London Underwriters focusing on reduced risk due to the following: <ul style="list-style-type: none"> ▪ 180 MW new generation to be built ▪ Public-Private Partnership on generation – TEMES, Osaka Gas ▪ Replacement/overhaul of CT engines of Dededo, Yigo and Macheche ▪ Replacement of Dededo Swithgear ▪ Long history of top Safety Award received from APPA ▪ Good storm recovery history ▪ Good financial health ▪ Good rating from Fitch, S&P, and Moody's ○ Gave presentations to the Underwriters in London persuading them that GPA is a good risk
	<ul style="list-style-type: none"> • \$126 million settlement for Cabras 3 & 4 in 2018 <ul style="list-style-type: none"> ○ Hired Greenspan to assist GPA with the claim ○ Strategized with Greenspan on making claims, communications, meeting arrangements, documentation and costing ○ Successfully claimed environmental clean up
	<ul style="list-style-type: none"> • Mobile Application for Apple and Android launch in 2018 <ul style="list-style-type: none"> ○ Launched the first Mobile App for government entity ○ Provides billing information and payment solution ○ Managed the project from start to finish ○ Was involved in every aspect of the feel and use of the application
	<ul style="list-style-type: none"> • MasterCard & Visa Card lower rates <ul style="list-style-type: none"> ○ Obtained fixed rate of \$0.65 for Mastercard through Utility Payment Program ○ 49% reduction in credit card cost, overall credit card percentage fee decreased from 2.15% to 1.1% ○ Implemented credit card payments to all residential customers and for commercial accounts, MasterCard are accepted. ○ Acceptance of credit card provided ease of payment for customers and paved the way for additional programs such as mobile application, web payment, pay by phone & IVR
	<ul style="list-style-type: none"> • New Billing Statement <ul style="list-style-type: none"> ○ Management the project from start to finish ○ Look and design changed with the following thoughts: <ul style="list-style-type: none"> ▪ Bill to be easily read and understood ▪ Fonts to be large enough to accommodate older generation ▪ 25% Postage discount due to implementing of USPS Intelligent Mail Barcode ▪ Mail inserts capable ▪ Bill and envelope ▪ Energy usage history ▪ Global marketing message or news ○ GPA News Letter insert developed
	<ul style="list-style-type: none"> • 24/7 Automated IVR Pay-By-Phone in 2018 <ul style="list-style-type: none"> ○ Management the project from start to finish

	<ul style="list-style-type: none"> ○ Customer can check account balances and pay via phone 24/7 ○ Toll 1-855-977-2002 is provided if customer is outside of Guam and want to make a payment
	<ul style="list-style-type: none"> ● 120MW Solar PV in 2018 <ul style="list-style-type: none"> ○ Assisted contract negotiation ○ Worked at translating key components of the contract for mutual agreement
	<ul style="list-style-type: none"> ● Contracted with KEPCO for 198MW new generation. Was part of the bid review team and contract negotiation.
	<ul style="list-style-type: none"> ● Successfully engaged Oracle for JDE upgrade to E1. Go live is set for October or November of 2020. Possible delays if the pandemic worsens. The system will be on premise and disaster recovery in the cloud. The upgrade will be migration of all data from IBM platform AS400 to Oracle database.
	<ul style="list-style-type: none"> ● Maintained steady LEAC rate for 2 years from February 2018 to January 2020 and no changes in base rate which created a stable rate for the consumers. Under recovery in Feb. 2018 was \$16.78 million. LEAC rate was reduce on Feb 1, 2020 and under recovery was \$2.19 million. ● Reduction in LEAC was made in April and June 2020 to help customers with the pandemic.
	<ul style="list-style-type: none"> ● Funded additional \$1 million in 2019 to DSM by reducing operational cost.
	<ul style="list-style-type: none"> ● Fitch upgraded GPA rating from BBB- Positive to BBB Stable. Fitch quoted "Unaudited results for fiscal 2019 indicate continued solid operating performance and a further reduction in leverage."
	<ul style="list-style-type: none"> ● Successfully implemented Robotic Process Automation (RPA) for meter change out. Decreased bill estimation at its peak at 3,600 down to 250 in Dec. 2019. Analysis of aging estimation in progress and resolution to be made. Most continued estimation is due to no access to premise. RPA saved about 5,500-man hours to process 13,000-meter change out.
	<ul style="list-style-type: none"> ● Waived credit card fee for commercial customers during the pandemic to help business customers and improve cash flow.
	<ul style="list-style-type: none"> ● Worked on Condominium rate for condo residents put in demand charge, monthly charge, energy charge and base rate. The developed rate is equivalent to the rate study.
	<ul style="list-style-type: none"> ● Helped plan to upgraded fire suppression system and put in maintenance contract for monthly testing of the system.
	<ul style="list-style-type: none"> ● Help develop cost of solar and buy-all-sell all rate.
	<ul style="list-style-type: none"> ● Purchase new fleet to reduce maintenance and repair cost. 23% and 50% in 2019 and 2020, respectively, compared to 2015 cost.
SECTION D	DEVELOPMENTAL RECOMMENDATIONS

Use this section to record training and development goals over the next review period

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SECTION E	PERSONAL DEVELOPMENT
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Overview

Personal development focuses on initiatives taken by the employee or with the Authority's support that demonstrates a positive and proactive approach to personal growth and development. The intent here is to both recognize and reward employees for relevant achievements in excess of the minimum educational requirements of the position e.g. this may be in the form of a higher educational qualification(s), professional qualification(s), certification(s), license(s) etc.

Performance Allocation

Having achieved higher educational qualification(s), professional qualification(s), certification(s), license(s) etc (in excess of the minimum educational requirements of the position) the financial benefits (see table example below) will take the form of additional sub-steps being awarded in excess of those received from this appraisal process.

Please note that where the Authority's compensation model is being adjusted to a higher market percentile(s) the additional sub-steps awarded in this section will be applied with each adjustment and will continue until such time the Authority has reached its targeted position in the market.

**Number of additional
sub-steps awarded** **EXAMPLE**

3	
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	The achievement of : Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc that take in excess of two (2) years to obtain
2	The achievement of : Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc that take one (1) to two (2) years to obtain
1	The achievement of : Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc that take two (2) to twelve (12) months to obtain

Notes :

The awarding of sub-step(s) following the attainment of multiple achievements or individual achievements taking less than two (2) months to obtain or any decision to include a particular achievement will be at the discretion of the General Manager.

All achievements must be current and valid (where required) for the additional sub-step(s) to be awarded.

Where progression towards a higher qualification sees an employee firstly achieving an interim qualification e.g. Engineer In Training (EIT) and then goes on to pass the Professional Engineer (PE) qualification the employee will be awarded the appropriate sub-steps for achieving the EIT qualification and then the balance of the sub-steps for achieving the PE.

Rating

Human Resources will initially assess (and score in the space provided) the proposed number of sub-steps awarded for higher educational qualification(s), professional qualification(s), certification(s), license(s) etc achieved in excess of the minimum required of the position. Endorsement of this score (or otherwise) will be made by the General Manager (subject to discretionary and budget constraints) in reviewing the results of this form.

Personal Achievements

Please indicate below all relevant educational qualification(s), professional qualification(s), certification(s), license(s) etc achieved in excess of the minimum required of the position. Please note that these will be subject to verification if no record of their achievement is included in the employee's personal file held with Human Resources.

	Personal Achievements	Authorizing Institution	Pass Grade (where provided)
1.0			
2.0			

3.0			
4.0			
5.0			
6.0			
7.0			
8.0			
9.0			
10.0			

Proposed Increase (number of sub-steps)

(CCU to Complete)

SECTION F	CONFIRMATION / SIGNATURES
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Conclusion of Evaluation

To the Employee : I have reviewed this performance evaluation on the date indicated below and have had the opportunity to discuss it with my supervisor. My signature does not necessarily mean that I agree with the rating.

Employee :Name : _____ Signature : _____ Date : _____

CCU

CCU: _____ Date: _____
(authorization) CCU Chairperson

Comments :

Employee : (amendments sighted)Signature : _____ Date : _____

GUAM WATERWORKS AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

MANAGERS

NAME OF EMPLOYEE	
POSITION TITLE	Chief Fiscal Officer
DIVISION	Finance
DEPARTMENT	Guam Waterworks Authority
EVALUATION PERIOD	

NAME OF DIRECT SUPERVISOR	CCU
POSITION TITLE	CCU
DIVISION	

DEPARTMENT	
EVALUATION PERIOD	

INTRODUCTION

Whilst this form provides a structured framework for documenting and assessing work performance its success as a management / supervisory tool is to facilitate an open and honest discussion on performance. Whilst ongoing performance feedback, particularly against the key performance indicators (KPI's) outlined in Section A should be occurring on a regular basis (throughout the review period) the benefits of positive and constructive feedback are well documented, and with this in mind, it is important to ensure that the agreed ratings are an accurate reflection of the employees' performance over the review period. Inaccurate assessments are counter-productive (for both the company and the employee) as both the link to training and development and compensation becomes distorted and the implications far reaching, not only internally but externally in terms of the company's ability to consistently meet the expectations of customers.

Rating Scale

5	Significantly Exceeds Expectations / Outstanding
	Performance significantly exceeds expectations in all essential areas of responsibility. An outstanding result qualified by an exceptional or unique contribution in support of the section, department or division or the successful completion of a major goal or project. This rating is achievable by any employee although given infrequently. Note: a rating of 5 requires qualification.
4	Exceeds Expectations / Above Satisfactory
	Above standard performance with results exceeding expectations in all essential areas of responsibility.
3	Meets Expectations / Satisfactory
	Performance consistently meets expectations in all essential areas of responsibility.

2	Inconsistently Meets Expectations / Marginal
	Performance inconsistently meets expectations in one or more essential areas of responsibility. A less than satisfactory result requiring improvement(s) to come up to standard.
1	Fails To Meet Expectations / Unsatisfactory
	Performance consistently below expectations. Significant improvement is needed in one or more essential areas. Results may also reflect / demonstrate counter-productive behaviors that have negative outcomes or consequences. A plan to correct performance, including timelines, must be developed and monitored to improve and measure progress. Note: a rating of 1 requires qualification.

SECTION A	KEY PERFORMANCE INDICATORS (KPI's)
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Overview

Research has shown that the functions managers undertake can be grouped into four key generic roles : Managing Operations, Managing Finance, Managing People and Managing Information. Within each role a small number of agreed KPI's should be identified (where possible) as a basis for assessing and improving the performance of managers on an annual basis. Please note that the identification of KPI's may be difficult with some positions resulting in broader job statements or job standards being documented. This however should not detract from the primary goal of quantifying the work required wherever possible. In brief, the KPI's refer to personal targets for managers to focus their performance (i.e. over the review period) in order to fulfill their responsibilities and to maximize their contribution to the organization.

Performance Allocation

Performance against the key roles (see below) accounts for 70% of the total performance score :

1.0	Managing Operations	30% of total performance score
2.0	Managing Finance	15% of total performance score
3.0	Managing People	15% of total performance score
4.0	Managing Information	10% of total performance score

Rating

Please use the rating scale provided to rate the employee and mark the rating in the box provided.

Key Performance Indicators (KPI's)

1.0	Managing Operations (Finance)	30% of total performance score
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Annual Rating

1.1	Plan, organize, staff, direct and coordinate all accounting activities
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1.1.1	Effectively develops, updates and implements accounting procedures and practices in accordance with generally accepted accounting principles (GAAP), water utility accounting standards, and CCU policies
1.1.2	Develop <u>metrics associated with low risk auditee</u> , and implement effective internal controls to ensure compliance with GAAP; work with IA to document controls and SOPs
1.1.3	Effectively manage cash flow, prompt payment of obligations, <u>prompt collection of revenue, AP & AR levels of service.</u>
1.1.4	Maintain required reserves and debt service coverage requirements <u>using bond indenture metrics of 1.2 – 1.5.</u>
1.1.5	Prepare, present regular financial reports to the GM and the CCU at regular monthly meetings and as requested/required
1.1.6	Prepare special financial analyses as required to support GM and management team in addressing any operational, maintenance or capital improvement issues

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Annual Rating

1.2	Organize, staff, coordinate and direct financial planning activities for GWA <u>budget</u>
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1.2.1	Oversee and direct the development and preparation of annual budgets
1.2.2	Prepare Five-year <u>projections for audit-credit ratings</u> and financial plan to support regular O&M and GWA's Capital Improvement Program
1.2.3	Work with GM and management team to develop 20-year master plan, and oversee/direct the development of the financial model needed to support to Capital Improvement Program
1.2.4	Oversee/direct the development, preparation and publication of Rate case filings; work with GM, Counsel and management team in the approval and defense of the rate case before the CCU and the PUC
1.2.5	Coordinate and work with the GM and management team in the implementation of GWA's Asset Management System; develop and implement financial procedures to support the asset management program

Annual Rating

Updated Nov 2020

1.3	Organize, staff, coordinate and direct CIP, bond and grant financing for GWA
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1.3.1	Work with GM and management team to develop, secure approval and implement plan of finance to support CIP, to include IFCIP, grants and bonds
1.3.2	Prepare supporting financial information for financing approval by CCU, PUC and the Legislature
1.3.3	Work with GM and Counsel to develop required documentation for grant applications, credit ratings, indenture, investment statements, marketing and sales efforts
1.3.4	Oversee and direct the preparation and reporting required tax, arbitrage and financial performance filings and disclosures, etc.
1.3.5	Work with GM and management team to periodically review financial plan to reduce the cost of borrowing, maximize Grant funding

Annual Rating

1.4	Financial Management
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1.4.1	Implement, maintain and effectively utilize enterprise financial management system
1.4.2	Promptly close the Fiscal Year's books and coordinate the timely performance of GWA's annual audit with favorable findings
1.4.3	Effectively identify, assess, and manage GWA's financial risk and oversee, in coordination with the management team, the procurement of required insurances to address identified risks
1.4.4	Effectively coordinate with GM and management team to assure the proper financial resources are in place to implement and maintain GWA's Asset Management program
1.4.5	Work with GM and management team to improve efficiency and economy of all procurements. Metrics to be provided by CFO

Annual Rating

1.5	Management of Personnel / Administrative Matters
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1.5.1	Effectively coordinates and works with GM and management team to process recruitments, promotions and other personnel actions to ensure staffing levels are maintained. Personnel action forms processed with specific turn around time.
1.5.2	Effectively coordinates and works with GM and management team to prioritize and process procurements to ensure critical inventory levels are maintained

Updated Nov 2020

1.5.3	Regularly reviews and evaluates business processes with GM and management team to identify and recommend improvements	
1.5.4		
1.5.5		

2.0	Managing Finance	15% of total performance score
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Annual Rating

2.1	Plan, develop and establish reasonable budget for Finance Division administration	
2.2	Track actual expenditures and monitor actual vs budget to assess and guide Finance/accounting administrative activities	
2.3	Properly plan, monitor and control procurements and administrative activities to prevent shortfalls and overages in materials, services and resources needed for Finance/accounting operations	
2.4	Assess and manage labor resources to minimize overtime and adjust staffing for appropriate levels for Finance/Accounting Division administration requirements	
2.5		

3.0	Managing People	15% of total performance score
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Annual Rating

3.1	Apply personnel rules, regulations, policies, procedures and mandates fairly amongst assigned employees	
3.2	Develop, track and report on annual operational and professional goals and objectives with assigned staff	
3.3	Demonstrate as role model, and foster the qualities, skills and values expected of GWA employees; promote and demonstrate ethical behavior, fairness and honesty	
3.4	Provide training and mentorship throughout the organizational unit and the number of employees that received training on FMS	
3.5	Motivate, lead and encourage assigned staff toward excellence	

4.0	Managing Information	10% of total performance score
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Annual Rating

4.1	Gather and , analyze and division performance data with regular monthly reports to CCU and GM.	
4.2	Analyze financing, procurement, regulatory and other issues as assigned and develop recommendations with supporting data justification	
4.3	Ensure all governance (CCU) and regulatory (PUC, Bond, Investor etc.) reports, resolutions, petitions, filings, and other documents are posted and/or submitted timely, and maintained for proper compliance recordkeeping	
4.4	Provide relevant financial and accounting data and supporting information to other divisions in timely manner	
4.5	Manage and disseminate feedback on activities and management directives both up and down the chain of command	
4.6	Stretch goal of internal department financial reporting	
SECTION B PERSONAL COMPETENCIES		

Overview

The personal competencies listed below are those used by effective managers to make decisions and achieve results and can be observed through the key behaviors outlined. The competencies work together to achieve results. One competency may be dominant in a particular situation or event, but it will usually be supported by other competencies. As the event unfolds, another competency will become dominant. Some competencies are about independent action, others are about working closely with colleagues, some call for analytical and logical thinking, whilst others are about creativity.

It is important to remember that the behaviors and competencies outlined are not valuable on their own. They are valuable only insofar as they help managers achieve results. Effective managers use their judgment to apply the right competency at the right time although they tend not to be strong in every competency but display a variety of different profiles with regards strengths, styles and preferences. Across management teams it is valuable to understand the profiles of individual team members and exploit those skills accordingly.

Performance Allocation

Performance against the key personal competencies (see below) accounts for 30% of the total performance score :

1.0	Strategic Perspective	5% of total performance score
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7

[Updated Nov 2020](#)

2.0	Building Teams	5% of total performance score
3.0	Communication	5% of total performance score
4.0	Information Search	5% of total performance score
5.0	Achievement Focus	5% of total performance score
6.0	Judgment	5% of total performance score

Rating

Please use the rating scale provided to rate the employee and mark the rating in the box provided.

Annual Rating

1.0	Strategic Perspective	5% of total performance score	
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This competence concerns the manager being able to place immediate goals and activities in a strategic context. This involves seeing how one area of activity is affected by, and affects, other parts of the organization or its environment. The competence involves taking a longer term perspective, considering what will happen several years hence, and establishing a vision of the future. An important part of the competence lies in managers setting out their vision of the future to others in such a way as to gain acceptance and support.

Behavior Indicators - An Effective Manager :

- works towards a vision of the future based on a strategic perspective
- acts with good understanding of how different parts, needs or functions of the organization and its environment fit together
- clearly relates goals and actions to the strategic aims of the business
- takes opportunities when they arise to achieve longer term aims or needs
- demonstrates competence in goal setting, identifying possible courses of action, implementing and monitoring them
- can disseminate strategic goals into KPI's for subordinate staff
- has highly developed skills in analyzing and interpreting data and situations
- is very competent at diagnosing problems and identifying causal factors
- demonstrates foresight (predicting / forecasting)

Annual Rating

2.0	Building Teams	5% of total performance score	
------------	-----------------------	--------------------------------------	--

This competence concerns working effectively with others at the same level or more junior level with the organization. The manager may use the key behavior in the context of a loose team or a coalition of peers from other parts of the organization and/or in the context of an immediate group of direct reports. The first two behaviors are about encouraging co-operative working. Depending on the circumstances, this can be achieved either formally or informally and the team may be well defined and established or a loose group of managers who do not necessarily see themselves as a "team". The third behavior is an aspect of empowerment, where the manager involves others in the process of making difficult decisions, and takes time to involve others in order to explore the problem and to contribute solutions. The final behavior is about evaluating the capabilities of the people who report to the manager.

Behavior Indicators - An Effective Manager :

- keeps others informed about plans and progress
- builds a desire to work together and builds co-operation within a team
- builds ownership of controversial decisions by involving others in the decision making process
- evaluates people's capability to do the job and takes action
- is very capable of balancing self and team interests to meet collective goals

- contributes positively by sharing information and listening and accepting others' points of view
- respects the thoughts and opinions of other team members
- positively influences the way the team works together
- facilitates and influences positive outcomes that focus on organizational goals
- recognizes conflicts that arise within the team and acts to bring these out into the open

Annual Rating

3.0	Communication	5% of total performance score	
------------	----------------------	--------------------------------------	--

This competence concerns communicating clearly with others. It may be used in a wide range of circumstances, from formal presentations to day-to-day meetings. A feature of managers with this competence is that they carefully consider what message they wish to communicate and then decide how best to do so. This may involve thorough planning of a presentation, the use of different media to reinforce a message, or even the establishment of systems to ensure good communication within the department or organization. Effective managers use this competence to achieve results. They communicate to inform, instruct, persuade and encourage others to communicate with them. Managers who are particularly competent in this area exhibit conviction and belief in what they have to say, which is closely linked to the self-confidence competency.

Behavior Indicators - An Effective Manager :

- conveys difficult ideas and problems in a way that aids understanding
- recognizes and responds to the needs and feelings of others
- demonstrates excellent verbal and written communication skills
- is very confident and competent in describing situations and actions
- effectively conveys and receives ideas, information and directions
- receives, interprets, understands and responds very well to verbal messages and other cues
- is assertive while being open minded and adaptable to difference of opinions
- has the ability to be very concise and clear when communicating
- confronts difficult issues openly

Annual Rating

4.0	Information Search	5% of total performance score	
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This competence concerns gathering information to inform decision making. Effective managers seek facts and informed opinion in order to understand new or complex situations. Sometimes the manager will remain open-minded and suspend judgment until all the relevant facts are known. In other cases, the manager reaches a conclusion on the basis of an insight or limited personal knowledge, and then seeks more factual data to confirm or refute this conclusion.

Behavior Indicators - An Effective Manager :

- pushes for concrete information in an ambiguous situation
- seeks information from multiple sources to clarify a situation
- checks validity of own thinking with others
- excellent at gathering and assessing information to determine the optimum way to perform
- is very competent with personal planning and organizational skills
- has highly developed skills at analyzing and interpreting data and situations
- is very competent at diagnosing problems and identifying causal factors

Annual Rating

5.0	Achievement Focus	5% of total performance score	
------------	--------------------------	--------------------------------------	--

Managers with this competence are geared towards achieving results and they will set ambitious goals and objectives for themselves and others. They will also deal with problems as they arise, and take advantage of any emerging opportunities. Recognizing and evaluating the risks that may lie ahead, and then taking firm action, is an aspect of this competence.

Behavior Indicators - An Effective Manager :

- sets high quality goals that are demanding of self and others
- sets key performance indicators and priorities in uncertain and complex situations
- tackles problems or takes advantage of opportunities as they arise
- calculates risks and takes decisive action
- focuses personal attention on specific details that are critical to the success of a key event
- is an energetic self-starter, highly motivated and results driven
- generates enthusiasm and energy by maintaining a positive attitude
- expresses confidence in the success of plans or initiatives (this includes showing commitment to a course of action)
- takes personal responsibility for making things happen
- is persistent in pursuing goals despite obstacles and setbacks
- is very competent with personal planning and organizational skills
- is very capable at gathering and assessing information to determine the optimum way to perform
- uses time and resources very effectively

Annual Rating

6.0	Judgment	5% of total performance score	
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This competence concerns using a range of skills to evaluate situations and people and to develop plans and approaches for actions. Effective managers use analytical and logical approaches to understand people and events and to establish priorities and connections. They also use creative and intuitive approaches to assessing situations and problems and to producing solutions. Effective managers may demonstrate different profiles within this competence, some being more creative and intuitive or they may be strong in all aspects.

Behavior Indicators - An Effective Manager :

- identifies the most important issues in a complex situation
- identifies implications, consequences or casual relationships in a situation
- uses a range of ideas to explain the actions, needs and motives of others
- focuses on facts, problems and solutions when handling an emotional situation
- approaches the decision making process with a positive attitude and views the situation as an opportunity / challenge
- can explain decision(s) to those involved and affected and will follow up to ensure implementation
- uses instinct and intuition to assess situations and people
- identifies new patterns and interprets events in new ways
- has an excellent understanding of processes and quality improvement
- can prioritize problems and deal with them one at a time

SECTION C	PERFORMANCE COMMENTS
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Note : In Sections A & B all performance ratings of 1 or 5 must be individually substantiated with comments.
This section can also be used for general comments concerning the employee's performance.

Section

SECTION D	DEVELOPMENTAL RECOMMENDATIONS
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Use this section to record training and development goals over the next review period

SECTION E	PERSONAL DEVELOPMENT
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Overview

Personal development focuses on initiatives taken by the employee or with the Authority's support that demonstrates a positive and proactive approach to personal growth and development. The intent here is to both recognize and reward employees for relevant achievements in excess of the minimum educational requirements of the position e.g. this may be in the form of a higher educational qualification(s), professional qualification(s), certification(s), license(s) etc.

Performance Allocation

Having achieved higher educational qualification(s), professional qualification(s), certification(s), license(s) etc (in excess of the minimum educational requirements of the position) the financial benefits (see table example below) will take the form of additional sub-steps being awarded in excess of those received from this appraisal process.

Please note that where the Authority's compensation model is being adjusted to a higher market percentile(s) the additional sub-steps awarded in this section will be applied with each adjustment and will continue until such time the Authority has reached its targeted position in the market.

**Number of additional
sub-steps awarded** **EXAMPLE**

[Updated Nov 2020](#)

3	The achievement of : Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc that take in excess of two (2) years to obtain
2	The achievement of : Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc that take one (1) to two (2) years to obtain
1	The achievement of : Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc that take two (2) to twelve (12) months to obtain

Notes :

The awarding of sub-step(s) following the attainment of multiple achievements or individual achievements taking less than two (2) months to obtain or any decision to include a particular achievement will be at the discretion of the General Manager.

All achievements must be current and valid (where required) for the additional sub-step(s) to be awarded.

Where progression towards a higher qualification sees an employee firstly achieving an interim qualification e.g. Engineer In Training (EIT) and then goes on to pass the Professional Engineer (PE) qualification the employee will be awarded the appropriate sub-steps for achieving the EIT qualification and then the balance of the sub-steps for achieving the PE.

Rating

Human Resources will initially assess (and score in the space provided) the proposed number of sub-steps awarded for higher educational qualification(s), professional qualification(s), certification(s), license(s) etc achieved in excess of the minimum required of the position. Endorsement of this score (or otherwise) will be made by the General Manager (subject to discretionary and budget constraints) in reviewing the results of this form.

Personal Achievements

Please indicate below all relevant educational qualification(s), professional qualification(s), certification(s), license(s) etc achieved in excess of the minimum required of the position. Please note that these will be subject to verification if no record of their achievement is included in the employee's personal file held with Human Resources.

	Personal Achievements	Authorizing Institution	Pass Grade (where provided)
1.0			
2.0			
3.0			
4.0			
5.0			
6.0			
7.0			
8.0			
9.0			
10.0			

Proposed Increase (number of sub-steps)

(CCU to Complete)

(CCU to Complete)

SECTION F	CONFIRMATION / SIGNATURES
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Conclusion of Evaluation

To the Employee : I have reviewed this performance evaluation on the date indicated below and have had the opportunity to discuss it with my supervisor. My signature does not necessarily mean that I agree with the rating.

Employee :Name : _____ Signature : _____ Date : _____

CCU

CCU: _____ Date: _____
(authorization) CCU Chairperson

Comments :

Employee : (amendments sighted)Signature : _____ Date : _____

GUAM POWER AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

MANAGERS

NAME OF EMPLOYEE	D. Graham Botha Jr.
POSITION TITLE	General Counsel
DIVISION	Board
DEPARTMENT	Executive
EVALUATION PERIOD	2018-2020

NAME OF DIRECT SUPERVISOR	CCU
POSITION TITLE	CCU
DIVISION	Legal

DEPARTMENT	Legal
EVALUATION PERIOD	2018-2020

INTRODUCTION

Whilst this form provides a structured framework for documenting and assessing work performance its success as a management / supervisory tool is to facilitate an open and honest discussion on performance. Whilst ongoing performance feedback, particularly against the key performance indicators (KPI's) outlined in Section A should be occurring on a regular basis (throughout the review period) the benefits of positive and constructive feedback are well documented, and with this in mind, it is important to ensure that the agreed ratings are an accurate reflection of the employees' performance over the review period. Inaccurate assessments are counter-productive (for both the company and the employee) as both the link to training and development and compensation becomes distorted and the implications far reaching, not only internally but externally in terms of the company's ability to consistently meet the expectations of customers.

Rating Scale

5	Significantly Exceeds Expectations / Outstanding
	Performance significantly exceeds expectations in all essential areas of responsibility. An outstanding result qualified by an exceptional or unique contribution in support of the section, department or division or the successful completion of a major goal or project. This rating is achievable by any employee although given infrequently. Note: a rating of 5 requires qualification.
4	Exceeds Expectations / Above Satisfactory
	Above standard performance with results exceeding expectations in all essential areas of responsibility.
3	Meets Expectations / Satisfactory
	Performance consistently meets expectations in all essential areas of responsibility.

2	Inconsistently Meets Expectations / Marginal
	Performance inconsistently meets expectations in one or more essential areas of responsibility. A less than satisfactory result requiring improvement(s) to come up to standard.
1	Fails To Meet Expectations / Unsatisfactory
	Performance consistently below expectations. Significant improvement is needed in one or more essential areas. Results may also reflect / demonstrate counter-productive behaviors that have negative outcomes or consequences. A plan to correct performance, including timelines, must be developed and monitored to improve and measure progress. Note: a rating of 1 requires qualification.
SECTION A	KEY PERFORMANCE INDICATORS (KPI's)

Overview

Research has shown that the functions managers undertake can be grouped into four key generic roles: Managing Operations, Managing Finance, Managing People and Managing Information. Within each role a small number of agreed KPI's should be identified (where possible) as a basis for assessing and improving the performance of managers on an annual basis. Please note that the identification of KPI's may be difficult with some positions resulting in broader job statements or job standards being documented. This however should not detract from the primary goal of quantifying the work required wherever possible. In brief, the KPI's refer to personal targets for managers to focus their performance (i.e. over the review period) in order to fulfill their responsibilities and to maximize their contribution to the organization.

Performance Allocation

Performance against the key roles (see below) accounts for 70% of the total performance score:

1.0	Managing Operations	60% of total performance score
2.0	Managing Finance	10% of total performance score

Rating

Please use the rating scale provided to rate the employee and mark the rating in the box provided.

Key Performance Indicators (KPI's)

1.0	Managing Operations (Legal) – Internal and External	60% of total performance score
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Annual Rating

1.1	Managing Operations: Represent/Protect the interest of the CCU/GPA
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1.1.1	Assists the CCU and General Manager in determining the policies, procedures, rules, and regulations of GPA.	
1.1.2	Effective counsel provided to the GM and CCU on legal issues, negotiations, claims, disputes, investigations, litigation	
1.1.3	Effective coordination and preparation of local and federal filings, pleadings, petitions, and other required legal documents	
1.1.4	Effectively coordinates, confers and works with other legal officers, including the Attorney General, Governor's counsel, in matters relating to the CCU, GPA, and other parties	
1.1.5	Represents the CCU/GPA in negotiations, hearings, depositions and other legal proceedings in local and federal courts as required	

Annual Rating

1.2	Managing Operations: Confers with the CCU and GPA personnel on various administrative legal matters concerning GPA.
------------	--

1.2.1	Review for legal soundness and accuracy, program materials originating from different GPA divisions.	
1.2.2	Effectively counsels, coordinates and works with GM to represent GPA in personnel disciplinary actions, Civil Service Commission proceedings and other personnel dispute proceedings as required	
1.2.3	Effectively counsels, coordinates and works with GM to represent GPA in any personnel-related civil actions, criminal investigations or proceedings	
1.2.4		
1.2.5		

Annual Rating

1.3	Managing Operations: Representation on Regulatory Matters
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1.3.1	Represent GPA in connection with legal matters before the Guam Legislature, boards and other agencies of Guam.
1.3.2	Review, draft, or present testimony to the Legislature concerning the CCU and GPA.
1.3.3	Effectively supports/defends GPA's position with regulatory consultants, administrative law judges (ALJs), enforcement attorneys, in applicable proceedings
1.3.4	Effectively develops and presents cases before deliberative regulatory entities
1.3.5	Efficiently drafts and files motions, pleadings and orders required

Annual Rating

1.4	Managing Operations: Management of Procurements and Contractual Matters
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1.4.1	Effectively consults, coordinates and works with GM, procurement and end users to execute timely procurements in accordance with GPA needs
1.4.2	Effectively counsel, coordinates and works with the GM to manage and resolve procurement protests and contract disputes
1.4.3	Effectively manages alternative dispute resolution proceedings, such as mediation or arbitration, when required
1.4.4	Effectively consults, coordinates and works with GM in representing GPA in procurement appeals with the Office of Public Accountability

2.0	Managing Finance	10% of total performance score
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Annual Rating

2.1	Plan, develop and establish reasonable budget for legal division administration	
2.2	Track actual expenditures and monitor budget to access and guide legal administrative activities	
2.3	Properly plan, monitor and control procurements and administrative activities to prevent shortfalls and overages in materials, services and resources needed for legal operations	

SECTION B	PERSONAL COMPETENCIES
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Overview

The personal competencies listed below are those used by effective managers to make decisions and achieve results and can be observed through the key behaviors outlined. The competencies work together to achieve results. One competency may be dominant in a particular situation or event, but it will usually be supported by other competencies. As the event unfolds, another competency will become dominant. Some competencies are about independent action, others are about working closely with colleagues, some call for analytical and logical thinking, whilst others are about creativity.

It is important to remember that the behaviors and competencies outlined are not valuable on their own. They are valuable only insofar as they help managers achieve results. Effective managers use their judgment to apply the right competency at the right time although they tend not to be strong in every competency but display a variety of different profiles with regards strengths, styles and preferences. Across management teams it is valuable to understand the profiles of individual team members and exploit those skills accordingly.

Performance Allocation

Performance against the key personal competencies (see below) accounts for 30% of the total performance score:

1.0	Strategic Perspective	5% of total performance score
2.0	Building Teams	5% of total performance score
3.0	Communication	5% of total performance score
4.0	Information Search	5% of total performance score
5.0	Achievement Focus	5% of total performance score
6.0	Judgment	5% of total performance score

Rating

Updated 11/10/20

Please use the rating scale provided to rate the employee and mark the rating in the box provided.

Annual Rating

1.0	Strategic Perspective	5% of total performance score	
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This competence concerns the manager being able to place immediate goals and activities in a strategic context. This involves seeing how one area of activity is affected by, and affects, other parts of the organization or its environment. The competence involves taking a longer-term perspective, considering what will happen several years hence, and establishing a vision of the future. An important part of the competence lies in managers setting out their vision of the future to others in such a way as to gain acceptance and support.

Behavior Indicators - An Effective Manager:

- works towards a vision of the future based on a strategic perspective
- acts with good understanding of how different parts, needs or functions of the organization and its environment fit together
- clearly relates goals and actions to the strategic aims of the business
- takes opportunities when they arise to achieve longer term aims or needs
- demonstrates competence in goal setting, identifying possible courses of action, implementing and monitoring them
- can disseminate strategic goals into KPI's for subordinate staff
- has highly developed skills in analyzing and interpreting data and situations
- is very competent at diagnosing problems and identifying causal factors
- demonstrates foresight (predicting / forecasting)

Annual Rating

2.0	Building Teams	5% of total performance score	
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This competence concerns working effectively with others at the same level or more junior level with the organization. The manager may use the key behavior in the context of a loose team or a coalition of peers from other parts of the organization and/or in the context of an immediate group of direct reports. The first two behaviors are about encouraging co-operative working. Depending on the circumstances, this can be achieved either formally or informally and the team may be well defined and established or a loose group of managers who do not necessarily see themselves as a "team". The third behavior is an aspect of empowerment, where the manager involves others in the process of making difficult decisions, and takes time to involve others in order to explore the problem and to contribute solutions. The final behavior is about evaluating the capabilities of the people who report to the manager.

Behavior Indicators - An Effective Manager:

- keeps others informed about plans and progress

- builds a desire to work together and builds co-operation within a team
- builds ownership of controversial decisions by involving others in the decision-making process
- evaluates people's capability to do the job and takes action
- is very capable of balancing self and team interests to meet collective goals
- contributes positively by sharing information and listening and accepting others' points of view
- respects the thoughts and opinions of other team members
- positively influences the way the team works together
- facilitates and influences positive outcomes that focus on organizational goals
- recognizes conflicts that arise within the team and acts to bring these out into the open

Annual Rating

3.0	Communication	5% of total performance score	
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This competence concerns communicating clearly with others. It may be used in a wide range of circumstances, from formal presentations to day-to-day meetings. A feature of managers with this competence is that they carefully consider what message they wish to communicate and then decide how best to do so. This may involve thorough planning of a presentation, the use of different media to reinforce a message, or even the establishment of systems to ensure good communication within the department or organization. Effective managers use this competence to achieve results. They communicate to inform, instruct, persuade and encourage others to communicate with them. Managers who are particularly competent in this area exhibit conviction and belief in what they have to say, which is closely linked to the self-confidence competency.

Behavior Indicators - An Effective Manager:

- conveys difficult ideas and problems in a way that aids understanding
- recognizes and responds to the needs and feelings of others
- demonstrates excellent verbal and written communication skills
- is very confident and competent in describing situations and actions
- effectively conveys and receives ideas, information and directions
- receives, interprets, understands and responds very well to verbal messages and other cues
- is assertive while being open minded and adaptable to difference of opinions
- has the ability to be very concise and clear when communicating
- confronts difficult issues openly

Annual Rating

4.0	Information Search	5% of total performance score	
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This competence concerns gathering information to inform decision making. Effective managers seek facts and informed opinion in order to understand new or complex situations. Sometimes the manager will remain open-minded and suspend judgment until all the relevant facts are known. In other cases, the manager reaches a conclusion on the basis of an insight or limited personal knowledge, and then seeks more factual data to confirm or refute this conclusion.

Behavior Indicators - An Effective Manager:

- pushes for concrete information in an ambiguous situation
- seeks information from multiple sources to clarify a situation
- checks validity of own thinking with others
- excellent at gathering and assessing information to determine the optimum way to perform
- is very competent with personal planning and organizational skills
- has highly developed skills at analyzing and interpreting data and situations
- is very competent at diagnosing problems and identifying causal factors

Annual Rating

5.0	Achievement Focus	5% of total performance score	
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Managers with this competence are geared towards achieving results and they will set ambitious goals and objectives for themselves and others. They will also deal with problems as they arise, and take advantage of any emerging opportunities. Recognizing and evaluating the risks that may lie ahead, and then taking firm action, is an aspect of this competence.

Behavior Indicators - An Effective Manager:

- sets high quality goals that are demanding of self and others
- sets key performance indicators and priorities in uncertain and complex situations
- tackles problems or takes advantage of opportunities as they arise
- calculates risks and takes decisive action
- focuses personal attention on specific details that are critical to the success of a key event
- is an energetic self-starter, highly motivated and results driven
- generates enthusiasm and energy by maintaining a positive attitude
- expresses confidence in the success of plans or initiatives (this includes showing commitment to a course of action)
- takes personal responsibility for making things happen
- is persistent in pursuing goals despite obstacles and setbacks
- is very competent with personal planning and organizational skills
- is very capable at gathering and assessing information to determine the optimum way to perform
- uses time and resources very effectively

Annual Rating

6.0	Judgment	5% of total performance score	
------------	-----------------	--------------------------------------	--

This competence concerns using a range of skills to evaluate situations and people and to develop plans and approaches for actions. Effective managers use analytical and logical approaches to understand people and events and to establish priorities and connections. They also use creative and intuitive approaches to assessing situations and problems and to producing solutions. Effective managers may demonstrate different profiles within this competence, some being more creative and intuitive or they may be strong in all aspects.

Behavior Indicators - An Effective Manager:

- identifies the most important issues in a complex situation
- identifies implications, consequences or causal relationships in a situation
- uses a range of ideas to explain the actions, needs and motives of others
- focuses on facts, problems and solutions when handling an emotional situation
- approaches the decision-making process with a positive attitude and views the situation as an opportunity / challenge
- can explain decision(s) to those involved and affected and will follow up to ensure implementation
- uses instinct and intuition to assess situations and people
- identifies new patterns and interprets events in new ways
- has an excellent understanding of processes and quality improvement
- can prioritize problems and deal with them one at a time

SECTION C	PERFORMANCE COMMENTS
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Note: In Sections A & B all performance ratings of 1 or 5 must be individually substantiated with comments. This section can also be used for general comments concerning the employee's performance.

Section

	PUC Docket 18-02 - worked with PUC resulting in approval of procurement for new generation plant with 3 step procurement process; no protests in elimination of 11 bidders down to final 7 bidders for Phase II Technical specs
	Phase II Renewables - worked with procurement to successfully win OPA protest by Shanghai Electric, and later dismissal in Superior Court protest of OPA Decision
	PUC Docket 18-02 - worked with PUC resulting in approval of procurement for new generation plant with 3 step procurement process; no protests in elimination of 11 bidders down to final 7 bidders for Phase II Technical specs
	Hanwha PPA and Interconnection Agreement - worked with SPORD to negotiate and sign final PPA and IA over 6-month period
	Kepeco PPA and Interconnection Agreement - worked with SPORD to negotiate and sign final PPA and IA over 6-month period
	New Generation Bid - worked with PUC to achieve short turnaround in approval of new generation specs
	OPA - prevailed in several OPA protests by bidders, including digger and bucket truck protests
	Civil Service - prevailed in several CSC cases, including Merit Hearings at CSC, involving termination and suspension cases
	USEPA - worked with outside counsel on consent decree to resolve outstanding compliance issues with Cabras and MEC power plants, to include mitigation projects and final compliance by completion of new Harmon power plant. Consent Decree approved by CCU, PUC, and District Court Judge. GPA's civil penalties were one of the lowest available at \$400,000, saving GPA and the ratepayers versus the proposed millions of dollars of penalties.
	MEC Extension - worked with PUC to secure 5-year extension of existing contract, and with MEC to negotiate agreement (continued below)

SECTION D	DEVELOPMENTAL RECOMMENDATIONS
------------------	--------------------------------------

Use this section to record training and development goals over the next review period

HR - worked closely with HR on proposed disciplinary cases and CSC hearings with successful resolutions in the CSC Merit Hearings
Harmon land acquisition - worked on obtaining legislative approval of rezoning and PUC approval of land acquisition as site for new generation plant
RFO Bid - worked with PUC to approve 1 month extension of Mobil contract, and then received expedited PUC approval of new contract for RFO with Hyundai
FOIA responses - worked with managers to respond to numerous FOIA filings to GPA
Phase III Renewables – successfully prevailed in lengthy litigated OPA protest filed by GlidePath. OPA ruled in favor of GPA on all 3 appeals filed by GlidePath.
Collaborative team approach - worked closely with Assistant General Managers and subordinate managers to manage issues and reach resolution

SECTION E	PERSONAL DEVELOPMENT
------------------	-----------------------------

Overview

Personal development focuses on initiatives taken by the employee or with the Authority's support that demonstrates a positive and proactive approach to personal growth and development. The intent here is to both recognize and reward employees for relevant achievements in excess of the minimum educational requirements of the position e.g. this may be in the form of a higher educational qualification(s), professional qualification(s), certification(s), license(s) etc.

Performance Allocation

Having achieved higher educational qualification(s), professional qualification(s), certification(s), license(s) etc. (in excess of the minimum educational requirements of the position) the financial benefits (see table example below) will take the form of additional sub-steps being awarded in excess of those received from this appraisal process.

Please note that where the Authority's compensation model is being adjusted to a higher market percentile(s) the additional sub-steps awarded in this section will be applied with each adjustment and will continue until such time the Authority has reached its targeted position in the market.

Number of additional sub-steps awarded **EXAMPLE**

3	The achievement of: Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc. that take in excess of two (2) years to obtain
2	The achievement of: Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc. that take one (1) to two (2) years to obtain
1	The achievement of: Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc. that take two (2) to twelve (12) months to obtain

Notes:

The awarding of sub-step(s) following the attainment of multiple achievements or individual achievements taking less than two (2) months to obtain or any decision to include a particular achievement will be at the discretion of the General Manager.

All achievements must be current and valid (where required) for the additional sub-step(s) to be awarded.

Where progression towards a higher qualification sees an employee firstly achieving an interim qualification e.g. Engineer In Training (EIT) and then goes on to pass the Professional Engineer (PE) qualification the employee will be awarded the appropriate sub-steps for achieving the EIT qualification and then the balance of the sub-steps for achieving the PE.

Rating

Human Resources will initially assess (and score in the space provided) the proposed number of sub-steps awarded for higher educational qualification(s), professional qualification(s), certification(s), license(s) etc. achieved in excess of the minimum required of the position. Endorsement of this score (or otherwise) will be made by the General Manager (subject to discretionary and budget constraints) in reviewing the results of this form.

Personal Achievements

Please indicate below all relevant educational qualification(s), professional qualification(s), certification(s), license(s) etc. achieved in excess of the minimum required of the position. Please note that these will be subject to verification if no record of their achievement is included in the employee's personal file held with Human Resources.

	Personal Achievements	Authorizing Institution	Pass Grade (where provided)
1.0			
2.0			
3.0			
4.0			
5.0			
6.0			
7.0			
8.0			
9.0			
10.0			

Proposed Increase (number of sub-steps)

SECTION F	CONFIRMATION / SIGNATURES
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Conclusion of Evaluation

To the Employee: I have reviewed this performance evaluation on the date indicated below and have had the opportunity to discuss it with my supervisor. My signature does not necessarily mean that I agree with the rating.

Employee: Name: _____ Signature : _____ Date : _____

Administration (Human Resources / GM's Office)

HR Comp & Benefits: Name: _____ Signature : _____ Date : _____
(increment & achievements calculated - sheet attached)

HR Administrator: _____ Date: _____
Sandi Perez

Updated 11/10/20

General Manager: _____ Date: _____
(authorization) John M. Benavente, P.E.

CCU

Chairman: _____ Date: _____
Joseph T. Duenas

General Manager and Chairman's Comments:

Employee: (amendments) Signature: _____ Date: _____

HR Comp & Benefits: Name: _____ Signature: _____ Date: _____
(payroll amended)

GUAM WATERWORKS AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

MANAGERS

NAME OF EMPLOYEE	Kelly O. Clark
POSITION TITLE	General Counsel
DIVISION	Board
DEPARTMENT	Executive
EVALUATION PERIOD	2018-2020

NAME OF DIRECT SUPERVISOR	CCU
POSITION TITLE	CCU
DIVISION	Legal

DEPARTMENT	Legal
EVALUATION PERIOD	2018-2020

INTRODUCTION

Whilst this form provides a structured framework for documenting and assessing work performance its success as a management / supervisory tool is to facilitate an open and honest discussion on performance. Whilst ongoing performance feedback, particularly against the key performance indicators (KPI's) outlined in Section A should be occurring on a regular basis (throughout the review period) the benefits of positive and constructive feedback are well documented, and with this in mind, it is important to ensure that the agreed ratings are an accurate reflection of the employees' performance over the review period. Inaccurate assessments are counter-productive (for both the company and the employee) as both the link to training and development and compensation becomes distorted and the implications far reaching, not only internally but externally in terms of the company's ability to consistently meet the expectations of customers.

Rating Scale

5	Significantly Exceeds Expectations / Outstanding
	Performance significantly exceeds expectations in all essential areas of responsibility. An outstanding result qualified by an exceptional or unique contribution in support of the section, department or division or the successful completion of a major goal or project. This rating is achievable by any employee although given infrequently. Note: a rating of 5 requires qualification.
4	Exceeds Expectations / Above Satisfactory
	Above standard performance with results exceeding expectations in all essential areas of responsibility.
3	Meets Expectations / Satisfactory
	Performance consistently meets expectations in all essential areas of responsibility.

2	Inconsistently Meets Expectations / Marginal
	Performance inconsistently meets expectations in one or more essential areas of responsibility. A less than satisfactory result requiring improvement(s) to come up to standard.
1	Fails To Meet Expectations / Unsatisfactory
	Performance consistently below expectations. Significant improvement is needed in one or more essential areas. Results may also reflect / demonstrate counter-productive behaviors that have negative outcomes or consequences. A plan to correct performance, including timelines, must be developed and monitored to improve and measure progress. Note: a rating of 1 requires qualification.
SECTION A	KEY PERFORMANCE INDICATORS (KPI's)

Overview

Research has shown that the functions managers undertake can be grouped into four key generic roles: Managing Operations, Managing Finance, Managing People and Managing Information. Within each role a small number of agreed KPI's should be identified (where possible) as a basis for assessing and improving the performance of managers on an annual basis. Please note that the identification of KPI's may be difficult with some positions resulting in broader job statements or job standards being documented. This however should not detract from the primary goal of quantifying the work required wherever possible. In brief, the KPI's refer to personal targets for managers to focus their performance (i.e. over the review period) in order to fulfill their responsibilities and to maximize their contribution to the organization.

Performance Allocation

Performance against the key roles (see below) accounts for 70% of the total performance score:

1.0	Managing Operations	60% of total performance score
2.0	Managing Finance	10% of total performance score

Rating

Please use the rating scale provided to rate the employee and mark the rating in the box provided.

Key Performance Indicators (KPI's)

1.0	Managing Operations (Legal) – Internal and External	60% of total performance score
------------	--	---------------------------------------

Annual Rating

1.1	Managing Operations: Represent/Protect the interest of the CCU/GWA
------------	---

1.1.1	Assists the CCU and General Manager in determining the policies, procedures, rules, and regulations of GPA.	
1.1.2	Effective counsel provided to the GM and CCU on legal issues, negotiations, claims, disputes, investigations, litigation	
1.1.3	Effective coordination and preparation of local and federal filings, pleadings, petitions, and other required legal documents	
1.1.4	Effectively coordinates, confers and works with other legal officers, including the Attorney General, Governor's counsel, in matters relating to the CCU, GWA, and other parties	
1.1.5	Represents the CCU/GWA in negotiations, hearings, depositions and other legal proceedings in local and federal courts as required	

Annual Rating

1.2	Managing Operations: Confers with the CCU and GWA personnel on various administrative legal matters concerning GWA.
------------	--

1.2.1	Review for legal soundness and accuracy, program materials originating from different GWA divisions.	
1.2.2	Effectively counsels, coordinates and works with GM to represent GWA in personnel disciplinary actions, Civil Service Commission proceedings and other personnel dispute proceedings as required	
1.2.3	Effectively counsels, coordinates and works with GM to represent GWA in any personnel-related civil actions, criminal investigations or proceedings	
1.2.4		
1.2.5		

Updatead 11/10/20

Annual Rating

1.3	Managing Operations: Representation on Regulatory Matters
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1.3.1	Represent GWA in connection with legal matters before the Guam Legislature, boards and other agencies of Guam.
1.3.2	Review, draft, or present testimony to the Legislature concerning the CCU and GWA.
1.3.3	Effectively supports/defends GPA's position with regulatory consultants, administrative law judges (ALJs), enforcement attorneys, in applicable proceedings
1.3.4	Effectively develops and presents cases before deliberative regulatory entities
1.3.5	Efficiently drafts and files motions, pleadings and orders required

Annual Rating

1.4	Managing Operations: Management of Procurements and Contractual Matters
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1.4.1	Effectively consults, coordinates and works with GM, procurement and end users to execute timely procurements in accordance with GWA needs
1.4.2	Effectively counsel, coordinates and works with the GM to manage and resolve procurement protests and contract disputes
1.4.3	Effectively manages alternative dispute resolution proceedings, such as mediation or arbitration, when required
1.4.4	Effectively consults, coordinates and works with GM in representing GWA in procurement appeals with the Office of Public Accountability

2.0	Managing Finance	10% of total performance score
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Annual Rating

Updatead 11/10/20

2.1	Plan, develop and establish reasonable budget for legal division administration	
2.2	Track actual expenditures and monitor budget to access and guide legal administrative activities	
2.3	Properly plan, monitor and control procurements and administrative activities to prevent shortfalls and overages in materials, services and resources needed for legal operations	

SECTION B	PERSONAL COMPETENCIES
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Overview

The personal competencies listed below are those used by effective managers to make decisions and achieve results and can be observed through the key behaviors outlined. The competencies work together to achieve results. One competency may be dominant in a particular situation or event, but it will usually be supported by other competencies. As the event unfolds, another competency will become dominant. Some competencies are about independent action, others are about working closely with colleagues, some call for analytical and logical thinking, whilst others are about creativity.

It is important to remember that the behaviors and competencies outlined are not valuable on their own. They are valuable only insofar as they help managers achieve results. Effective managers use their judgment to apply the right competency at the right time although they tend not to be strong in every competency but display a variety of different profiles with regards strengths, styles and preferences. Across management teams it is valuable to understand the profiles of individual team members and exploit those skills accordingly.

Performance Allocation

Performance against the key personal competencies (see below) accounts for 30% of the total performance score:

1.0	Strategic Perspective	5% of total performance score
2.0	Building Teams	5% of total performance score
3.0	Communication	5% of total performance score
4.0	Information Search	5% of total performance score
5.0	Achievement Focus	5% of total performance score
6.0	Judgment	5% of total performance score

Rating

Updated 11/10/20

Please use the rating scale provided to rate the employee and mark the rating in the box provided.

Annual Rating

1.0	Strategic Perspective	5% of total performance score	
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This competence concerns the manager being able to place immediate goals and activities in a strategic context. This involves seeing how one area of activity is affected by, and affects, other parts of the organization or its environment. The competence involves taking a longer-term perspective, considering what will happen several years hence, and establishing a vision of the future. An important part of the competence lies in managers setting out their vision of the future to others in such a way as to gain acceptance and support.

Behavior Indicators - An Effective Manager:

- works towards a vision of the future based on a strategic perspective
- acts with good understanding of how different parts, needs or functions of the organization and its environment fit together
- clearly relates goals and actions to the strategic aims of the business
- takes opportunities when they arise to achieve longer term aims or needs
- demonstrates competence in goal setting, identifying possible courses of action, implementing and monitoring them
- can disseminate strategic goals into KPI's for subordinate staff
- has highly developed skills in analyzing and interpreting data and situations
- is very competent at diagnosing problems and identifying causal factors
- demonstrates foresight (predicting / forecasting)

Annual Rating

2.0	Building Teams	5% of total performance score	
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This competence concerns working effectively with others at the same level or more junior level with the organization. The manager may use the key behavior in the context of a loose team or a coalition of peers from other parts of the organization and/or in the context of an immediate group of direct reports. The first two behaviors are about encouraging co-operative working. Depending on the circumstances, this can be achieved either formally or informally and the team may be well defined and established or a loose group of managers who do not necessarily see themselves as a "team". The third behavior is an aspect of empowerment, where the manager involves others in the process of making difficult decisions, and takes time to involve others in order to explore the problem and to contribute solutions. The final behavior is about evaluating the capabilities of the people who report to the manager.

Behavior Indicators - An Effective Manager:

- keeps others informed about plans and progress

- builds a desire to work together and builds co-operation within a team
- builds ownership of controversial decisions by involving others in the decision-making process
- evaluates people's capability to do the job and takes action
- is very capable of balancing self and team interests to meet collective goals
- contributes positively by sharing information and listening and accepting others' points of view
- respects the thoughts and opinions of other team members
- positively influences the way the team works together
- facilitates and influences positive outcomes that focus on organizational goals
- recognizes conflicts that arise within the team and acts to bring these out into the open

Annual Rating

3.0	Communication	5% of total performance score	
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This competence concerns communicating clearly with others. It may be used in a wide range of circumstances, from formal presentations to day-to-day meetings. A feature of managers with this competence is that they carefully consider what message they wish to communicate and then decide how best to do so. This may involve thorough planning of a presentation, the use of different media to reinforce a message, or even the establishment of systems to ensure good communication within the department or organization. Effective managers use this competence to achieve results. They communicate to inform, instruct, persuade and encourage others to communicate with them. Managers who are particularly competent in this area exhibit conviction and belief in what they have to say, which is closely linked to the self-confidence competency.

Behavior Indicators - An Effective Manager:

- conveys difficult ideas and problems in a way that aids understanding
- recognizes and responds to the needs and feelings of others
- demonstrates excellent verbal and written communication skills
- is very confident and competent in describing situations and actions
- effectively conveys and receives ideas, information and directions
- receives, interprets, understands and responds very well to verbal messages and other cues
- is assertive while being open minded and adaptable to difference of opinions
- has the ability to be very concise and clear when communicating
- confronts difficult issues openly

Annual Rating

4.0	Information Search	5% of total performance score	
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This competence concerns gathering information to inform decision making. Effective managers seek facts and informed opinion in order to understand new or complex situations. Sometimes the manager will remain open-minded and suspend judgment until all the relevant facts are known. In other cases, the manager reaches a conclusion on the basis of an insight or limited personal knowledge, and then seeks more factual data to confirm or refute this conclusion.

Behavior Indicators - An Effective Manager:

- pushes for concrete information in an ambiguous situation
- seeks information from multiple sources to clarify a situation
- checks validity of own thinking with others
- excellent at gathering and assessing information to determine the optimum way to perform
- is very competent with personal planning and organizational skills
- has highly developed skills at analyzing and interpreting data and situations
- is very competent at diagnosing problems and identifying causal factors

Annual Rating

5.0	Achievement Focus	5% of total performance score	
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Managers with this competence are geared towards achieving results and they will set ambitious goals and objectives for themselves and others. They will also deal with problems as they arise, and take advantage of any emerging opportunities. Recognizing and evaluating the risks that may lie ahead, and then taking firm action, is an aspect of this competence.

Behavior Indicators - An Effective Manager:

- sets high quality goals that are demanding of self and others
- sets key performance indicators and priorities in uncertain and complex situations
- tackles problems or takes advantage of opportunities as they arise
- calculates risks and takes decisive action
- focuses personal attention on specific details that are critical to the success of a key event
- is an energetic self-starter, highly motivated and results driven
- generates enthusiasm and energy by maintaining a positive attitude
- expresses confidence in the success of plans or initiatives (this includes showing commitment to a course of action)
- takes personal responsibility for making things happen
- is persistent in pursuing goals despite obstacles and setbacks
- is very competent with personal planning and organizational skills
- is very capable at gathering and assessing information to determine the optimum way to perform
- uses time and resources very effectively

Annual Rating

6.0	Judgment	5% of total performance score	
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This competence concerns using a range of skills to evaluate situations and people and to develop plans and approaches for actions. Effective managers use analytical and logical approaches to understand people and events and to establish priorities and connections. They also use creative and intuitive approaches to assessing situations and problems and to producing solutions. Effective managers may demonstrate different profiles within this competence, some being more creative and intuitive or they may be strong in all aspects.

Behavior Indicators - An Effective Manager:

- identifies the most important issues in a complex situation
- identifies implications, consequences or casual relationships in a situation
- uses a range of ideas to explain the actions, needs and motives of others
- focuses on facts, problems and solutions when handling an emotional situation
- approaches the decision-making process with a positive attitude and views the situation as an opportunity / challenge
- can explain decision(s) to those involved and affected and will follow up to ensure implementation
- uses instinct and intuition to assess situations and people
- identifies new patterns and interprets events in new ways
- has an excellent understanding of processes and quality improvement
- can prioritize problems and deal with them one at a time

SECTION C	PERFORMANCE COMMENTS
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Note: In Sections A & B all performance ratings of 1 or 5 must be individually substantiated with comments. This section can also be used for general comments concerning the employee's performance.

Section

SECTION D	DEVELOPMENTAL RECOMMENDATIONS

Use this section to record training and development goals over the next review period

SECTION E	PERSONAL DEVELOPMENT
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Overview

Personal development focuses on initiatives taken by the employee or with the Authority's support that demonstrates a positive and proactive approach to personal growth and development. The intent here is to both recognize and reward employees for relevant achievements in excess of the minimum educational requirements of the position e.g. this may be in the form of a higher educational qualification(s), professional qualification(s), certification(s), license(s) etc.

Performance Allocation

Having achieved higher educational qualification(s), professional qualification(s), certification(s), license(s) etc. (in excess of the minimum educational requirements of the position) the financial benefits (see table example below) will take the form of additional sub-steps being awarded in excess of those received from this appraisal process.

Please note that where the Authority's compensation model is being adjusted to a higher market percentile(s) the additional sub-steps awarded in this section will be applied with each adjustment and will continue until such time the Authority has reached its targeted position in the market.

Number of additional sub-steps awarded **EXAMPLE**

3	The achievement of: Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc. that take in excess of two (2) years to obtain
2	The achievement of: Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc. that take one (1) to two (2) years to obtain
1	The achievement of: Higher Educational Qualifications / Professional Qualification(s) / Certification(s) / License(s) etc. that take two (2) to twelve (12) months to obtain

Notes:

The awarding of sub-step(s) following the attainment of multiple achievements or individual achievements taking less than two (2) months to obtain or any decision to include a particular achievement will be at the discretion of the General Manager.

All achievements must be current and valid (where required) for the additional sub-step(s) to be awarded.

Where progression towards a higher qualification sees an employee firstly achieving an interim qualification e.g. Engineer In Training (EIT) and then goes on to pass the Professional Engineer (PE) qualification the employee will be awarded the appropriate sub-steps for achieving the EIT qualification and then the balance of the sub-steps for achieving the PE.

Rating

Human Resources will initially assess (and score in the space provided) the proposed number of sub-steps awarded for higher educational qualification(s), professional qualification(s), certification(s), license(s) etc. achieved in excess of the minimum required of the position. Endorsement of this score (or otherwise) will be made by the General Manager (subject to discretionary and budget constraints) in reviewing the results of this form.

Personal Achievements

Please indicate below all relevant educational qualification(s), professional qualification(s), certification(s), license(s) etc. achieved in excess of the minimum required of the position. Please note that these will be subject to verification if no record of their achievement is included in the employee's personal file held with Human Resources.

	Personal Achievements	Authorizing Institution	Pass Grade (where provided)
1.0			
2.0			
3.0			
4.0			
5.0			
6.0			
7.0			
8.0			
9.0			
10.0			

Proposed Increase (number of sub-steps)

SECTION F	CONFIRMATION / SIGNATURES
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Conclusion of Evaluation

To the Employee: I have reviewed this performance evaluation on the date indicated below and have had the opportunity to discuss it with my supervisor. My signature does not necessarily mean that I agree with the rating.

Employee: Name: _____ Signature : _____ Date : _____

Administration (Human Resources / GM's Office)

HR Comp & Benefits: Name: _____ Signature : _____ Date : _____
(increment & achievements calculated - sheet attached)

HR Administrator: _____ Date: _____
Zina Charfauros

General Manager: _____ Date: _____
(authorization) Miguel C. Bordallo, P.E.

CCU

Chairman: _____ Date: _____
Joseph T. Duenas

General Manager and Chairman's Comments:

Employee: (amendments)Signature: _____ Date: _____

HR Comp & Benefits: Name: _____ Signature: _____ Date: _____
(payroll amended)

Updatead 11/10/20