



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., March 23, 2021

AGENDA

1. CALL TO ORDER
2. APPROVAL OF MINUTES
3. PUBLIC COMMENTS [*Limit to 2 minutes*]
4. GPA
 - 4.1 GM Report
 - 4.2 Financial
 - 4.3 Resolution 2021-04 / Contract Extension Diesel Fuel No.2 Mobil Oil and Isla Petroleum
 - 4.4 Resolution 2021-05 / Proposed Write-off Prior Years Receivable
 - 4.5 Resolution 2021-06; GWA Resolution 15-FY2021 / Relative to Authorizing the Management of Guam Power Authority and Guam Waterworks Authority to Procure Merchant Services
 - 4.6 Resolution 2021-07; GWA Resolution 16-FY2021 / Relative to the Approval of the Board's Confirmation of Management's March 2020 Pandemic Pay Decision
5. GWA
 - 5.1 GM Report
 - 5.2 Financials
 - 5.3 Resolution No. 13-FY2021 / Relative to Approving the Charge-Off of Guam Waterworks Authority Receivables Deemed Uncollectible
 - 5.4 Resolution No. 14-FY2021 / Relative to Updating the Guam Waterworks Authority Overtime Policy for Exempt Employees
 - 5.5 GWA Resolution No. 15-FY2021; GPA Resolution No. 2021-06 / Relative to Authorizing the Management of Guam Power Authority and Guam Waterworks Authority to Procure Merchant Services
 - 5.6 GWA Resolution No. 16-FY2021; GPA Resolution No. 2021-07 / Relative to the Approval of the Board's Confirmation of Management's March 2020 Pandemic Pay Decision
6. OTHER DISCUSSION
 - 6.1 CCU Rules Update
 - 6.1.1 Updated Evaluation Form GWA General Manager
 - 6.1.2 Updated Evaluation Form GPA General Manager
 - 6.1.3 Updated Evaluation Form GWA Chief Financial Officer
 - 6.1.4 Updated Evaluation Form GPA Chief Financial Officer
 - 6.1.5 Updated Evaluation Form GPA General Counsel
 - 6.1.6 Updated Evaluation Form GWA General Counsel
7. ANNOUNCEMENTS
 - 7.1 Next CCU Meetings: GWA 4/20; GPA 4/22; CCU 4/27
8. EXECUTIVE SESSION
 - 8.1 Legal Matter
9. ADJOURNMENT



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**Special Board Meeting
Oath of Office Ceremony for Re-elected Commissioners
Joseph T. Duenas & Judith P. Guthertz
CCU Conference Room, Gloria B. Nelson Public Service Building
10:00 a.m., January 11, 2021**

MINUTES

1. SALUTATIONS & GUEST INTRODUCTIONS

General Manager John Benavente was the Master of Ceremonies. He welcomed and recognized Chief Justice Philip Carbullido presider and administrator of the Oath of Office to Comm-elect Joseph T. Duenas and Judith P. Guthertz. He welcomed both guests that were physically present and those who attended virtually to include Lt. Gov. Josh Tenorio, Senators James Moylan, Chris Duenas, Telo Taitague and Tony Ada and others. He welcomed General Manager Miguel Bordallo who gave the welcoming remarks.

2. WELCOME REMARKS

GWA General Manager Miguel Bordallo welcomed everyone to the Special Meeting and Administration of the Oath of Office for the Consolidated Commission on Utilities. He said this is the 10th Consolidated Commission on Utilities providing organizational governance for GPA and GWA for the next 2 years as it has done since its inception which carries with it many challenges not the least of which is managing management. He has been at his post for 5 years and can attest that being a Commissioner is not an easy job. The incoming and current members of this Commission are fully engaged in the challenges that face our utilities to achieve regulatory compliance, to fund, plan and execute system renewals and rehabilitation to bring our business processes and systems into the rapidly evolving and increasingly complex digital age and to find solutions to the less technical but more fundamental resource problem of finding talented personnel. He said in any other time these challenges would be daunting but more so now with current conditions. Critical operations must continue despite the current COVID environment. GM Bordallo then highlighted CCU's past progress – near completion of the GWA court order, capital improvement projects, modern flexible generation and resilient plants and mentioned many others. He said significant progress has been made but the work is not over – there is still a lot more to be done. He thanked the Commissioners & re-elected Commissioners for their commitment to service - their willingness and courage to continue to undertake this task during these extremely challenging times and for their past and continued collaboration with GPWA's various stakeholders – the Governor and Lt. Gov., our legislative oversight committees, our One Guam partners at NavFac and Joint Region Marianas, our technical & scientific advisers at WERI and UOG and even our zealous regulators at Guam EPA and the Guam Public Utilities Commission. With that he wished them another successful 2 years.

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January 11, 2021

3. CALL TO ORDER

Mr. Benavente then called on Chief Justice Carbullido to administer the Oath of Office. The Chief Justice called the meeting to order. He thanked the Commissioners for inviting him to officiate the swearing it. He said the last time he was invited to do so was seven (7) years ago. He asked the current CCU Commissioners to stand and be recognized – Comm. Michael Limtiaco, Comm. Francis Santos and Comm. Simon Sanchez.

4. ROLL CALL OF COMMISSIONERS-ELECT

The Chief Justice then called on the newly re-elected Commissioners Joseph T. Duenas and Judith P. Guthertz to please stand. He certified that he reviewed the election certificates provided by the Guam Election Commission and all is in order.

5. ADMINISTRATION OF OATH OF OFFICE

The Chief Justice then administered the Oath of Office to both Comm. Duenas and Guthertz at the same time.

6. ELECTION OF CHAIRPERSON

The Chief Justice then recognized Comm. Simon A. Sanchez who nominated Joseph T. Duenas as Chairman of the 10th Consolidated Commission on Utilities. The Chief Justice asked Comm. Duenas if he accepts the nomination and he responded yes. Comm. Francis Santos seconded the nomination. The Chief Justice asked if there were other nominations, Comm. Santos motioned to close the nomination; Comm. Guthertz seconded. The Chief Justice confirmed that nominations for CCU Chairman was now closed. He said on the main motion to elect Joseph T. Duenas the Chairman for the Consolidated Commission on Utilities he asked for vote by show of hands. He then congratulated Comm. Duenas who he said was unanimously voted Chairman of the 10th Consolidated Commission on Utilities. He then asked re-elected Chairman Duenas to please step forward, take the gavel and take over the proceedings of the rest of this meeting.

7. ELECTION OF OTHER OFFICERS

Chairman Duenas thanked the Commissioners for their vote to serve as Chairman for another 2 years. He then said the Commission will now elect other CCU officers and asked for nominations Vice Chairman and Secretary.

The Chairman then recognized Comm. Guthertz who said she would like to nominate Francis Santos for CCU Vice Chairman, second by Comm. Sanchez who also closed the nomination for Vice Chairman. On the main motion to elect Francis Santos as Vice Chairman of the Consolidated Commission on Utilities, the vote was unanimous.

The Chairman then asked if there was a nomination of CCU Secretary and recognized Comm. Guthertz. Comm. Guthertz said she is honored to nominated Michael Limtiaco for CCU Secretary, second by Comm. Sanchez. Chairman Duenas asked Comm. Limtiaco if he accepts the nomination and he said yes he accepts. The Chairman asked if there were other nominations and Comm. Sanchez motioned to

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close the nomination for CCU Secretary. On the main motion to elect Michael Limtiaco as CCU Secretary, the vote was unanimous.

8. ADOPTION OF STANDING RULES

The Chairman said that the CCU has Standing Rules that were approved and adopted previously. He asked if the Commission would like to re-adopt the existing Standing Rules. Comm. Guthertz motioned to re-adopt the existing CCU Standing Rules as approved on June 23, 2020; second by Comm. Santos. On the motion there was no further discussion or objection and the motion passed unanimously.

9. ELECTION OF COMMITTEE CHAIRPERSONS

The Chairman said the CCU Rules has several Sub-committee's and he would like to open the floor for nominations for Chairman for the CCU Finance and Budget Committee. Comm. Sanchez motioned to nominate Comm. Francis Santos for Chairman for the CCU Finance and Budget Committee; second by Comm. Guthertz. Chairman Duenas asked Comm. Santos if he accepts the nomination and he said yes. The Chairman asked if there was a motion to close the nomination; Comm. Sanchez he would like to close the nomination. On the main motion to elect Comm. Francis Santos, Chairman for the CCU Finance and Budget Committee, there was no further discussion or objection and the motion passed unanimously.

The Chairman asked if there was a nomination for the CCU Audit Committee. Comm. Santos nominated Comm. Guthertz for Chairman of the CCU Audit Committee. The Chairman asked Comm. Guthertz if she accepts the nomination and she said yes. The Chairman asked if there were other nominations and Comm. Sanchez said he would like to close the nomination. On the motion to elect Comm. Guthertz as Chairman for the CCU Audit Committee the motion passed unanimously.

The Chairman asked if there was a nomination for the CCU CyberSecurity Committee. Comm. Guthertz nominated Michael Limtiaco for Chairman of the CCU CyberSecurity Committee. Chairman Limtiaco accepted the nomination. Comm. Sanchez said he would like to close the nomination and the Chairman said the nomination was closed. On the motion to elect Michael Limtiaco chairman of the CCU CyberSecurity Committee, there was no objection or further discussion and the motion passed unanimously.

The Chairman asked if there was a nomination for the CCU Communications Committee. Comm. Guthertz nominated Comm. Simon Sanchez for Chairman of the CCU Communications Committee and Comm. Sanchez accepted the nomination. The Chairman asked if there were other nominees and Comm. Sanchez motioned to close the nomination. On the main motion to elect Simon Sanchez the chairman of the CCU Communications Committee, there was no further discussion or objection and the motion passed.

The Chairman asked if there was a nomination for chairman of the CCU Rules Committee. Comm. Santos said he nominated Comm. Michael Limtiaco for Chairman of the CCU Rules Committee; Comm. Limtiaco accepted the nomination. Comm. Sanchez said he motion to close the nomination, second by Comm. Guthertz. On the motion to elect Comm. Michael Limtiaco the Chairman of the CCU Rules Committee, there was no further discussion or objection and the motion passed unanimous

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Oath of Office Ceremony for Re-elected Commissioners Joseph T. Duenas & Judith P. Guthertz

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The Chairman said that he was reminded that the CCU Oath of Office Certificate needs to be signed by the newly sworn Commissioners Duenas and Guthertz.

10. ADJOURNMENT

The Chairman said the Agenda for this Special Meeting of the Consolidated Commission is complete and that there is no other business to bring before the Commission at this time and said this meeting is now adjourned.

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Bls

Attested

JOSEPH T. DUENAS, Chairman

MICHAEL T. LIMTIACO Secretary

GM REPORT

March 2021



Generation Status

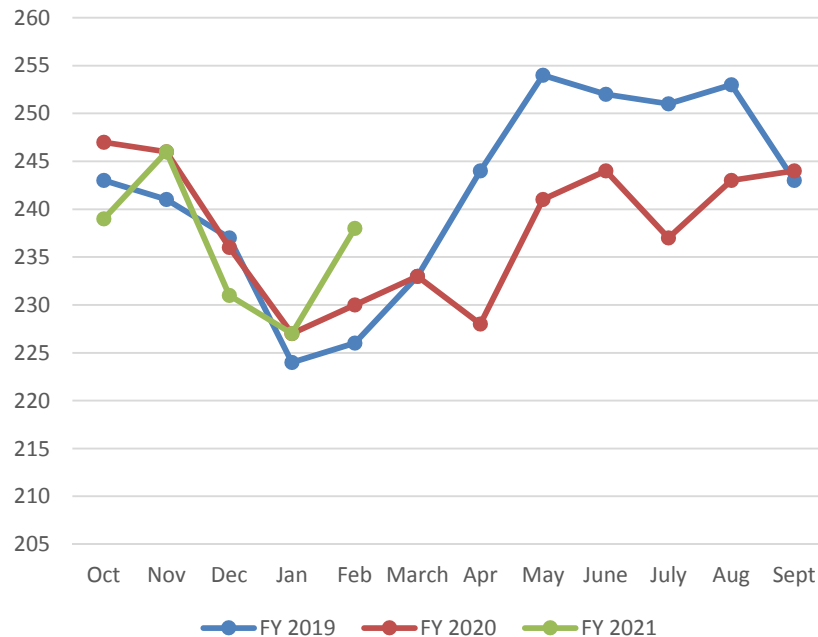
2

1. Reserve Margin Forecast for March 2021:

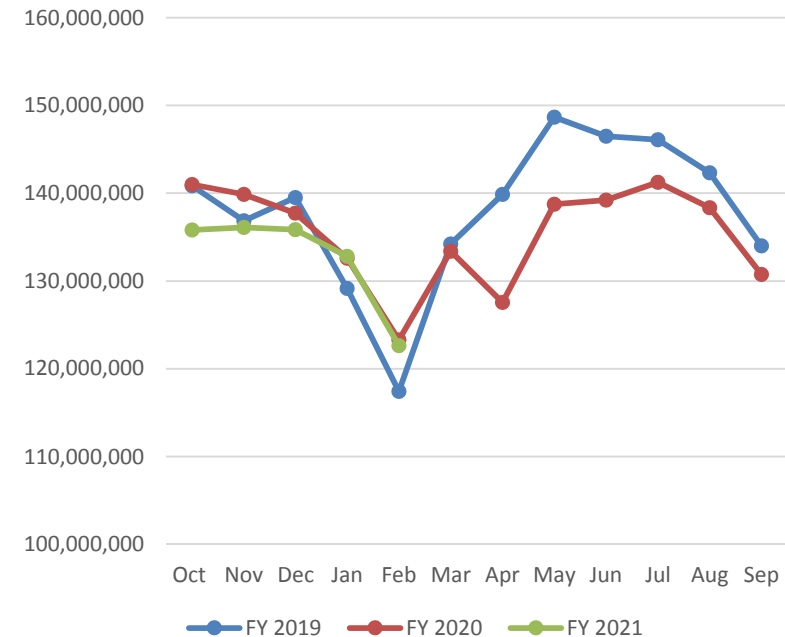
Projected Available Capacity: 305 MW
 Projected Demand: 230 MW
 Anticipated Reserve Margin: 75 MW
 Cabras 2 undergoing overhaul thru March 27th

2. Production Characteristics Thru February 2021:

PEAK MW DEMAND



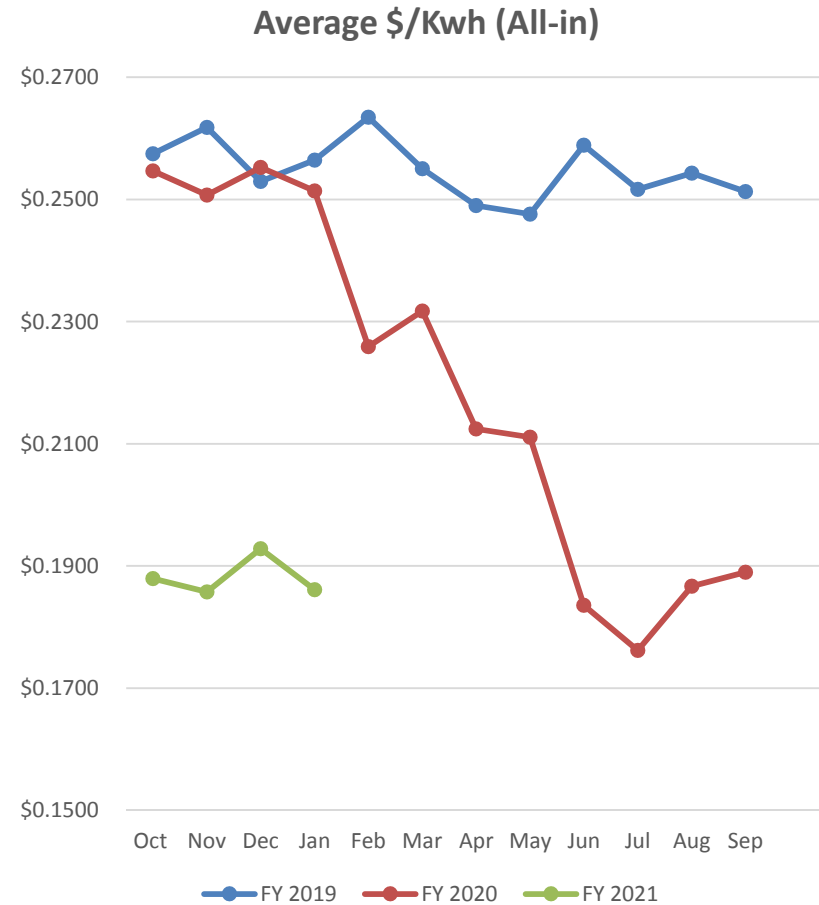
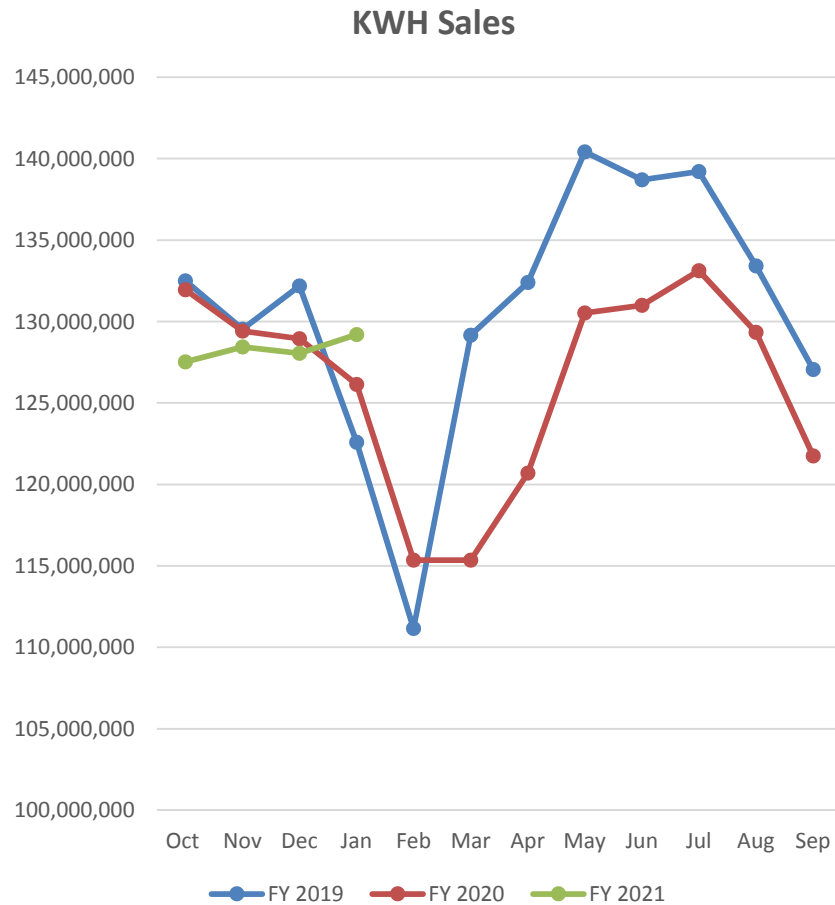
Net Generation Kwh



Monthly Sales Profile FY'2019 - FY'2021

3

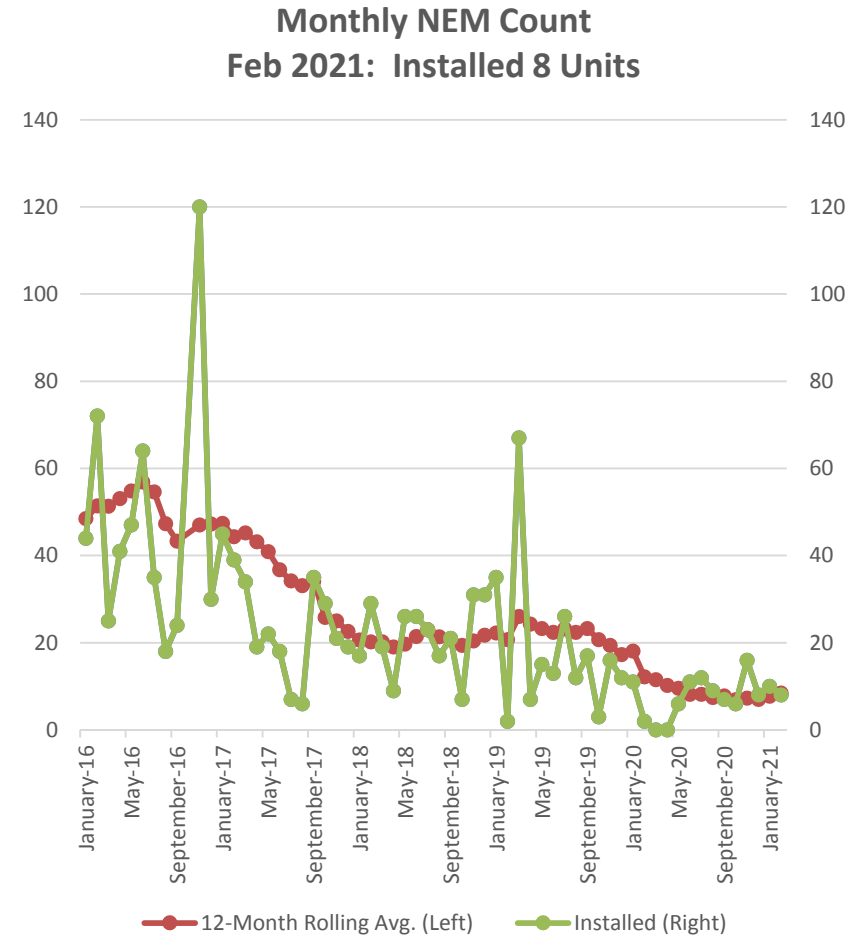
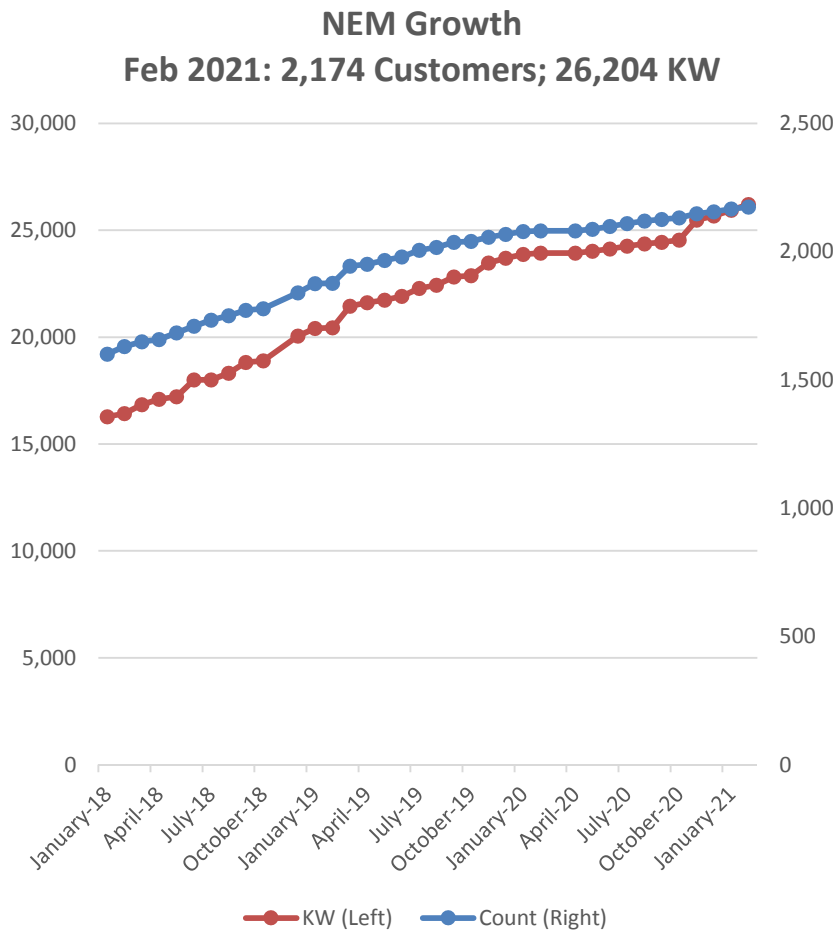
3. Sales Profile Thru January 2021:



NET METERING

4

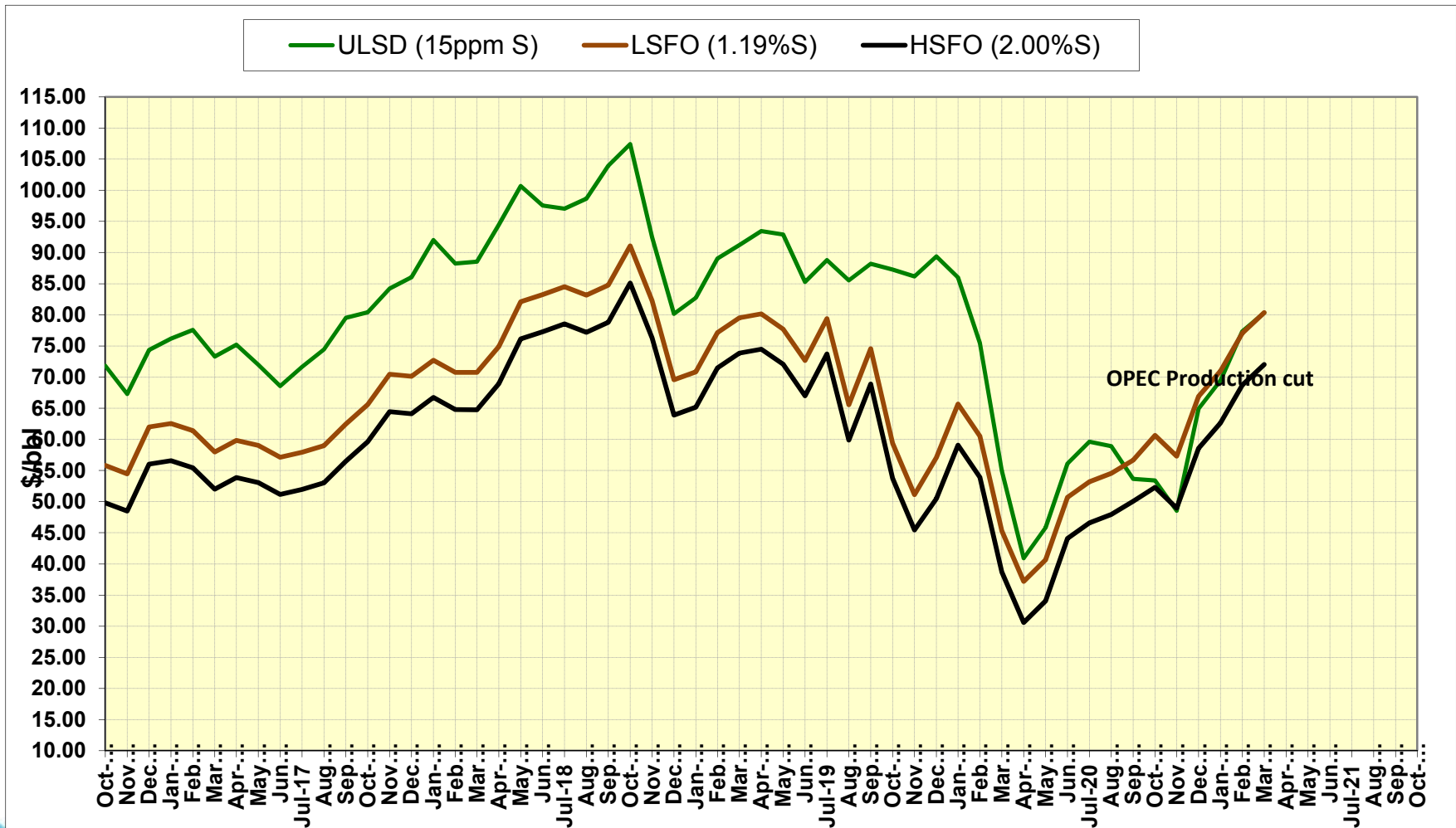
4. Net Metering (NEM) Growth Thru February 2021:



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

5

5. HSRFO-\$72.01; LSRFO-\$80.35; ULSD-\$80.31



Demand Side Management (DSM)

6

6. DSM Funding:

Description	FY16	FY17	FY18	FY19	FY20	FY21	Total to Date
						Posting Thru 2/28/21	
Regular/OT Pay	\$11,348.80	\$22,256.00	\$26,121.83	\$50,715.19	\$47,402.18	\$75,546.69	\$233,390.69
Other Contractual	\$28,278.50	\$85,550.05	\$116,977.50	\$3,025.00	-	-	\$233,831.05
Ads & Radio Announcements	-	-	-	\$9,000.00	-	-	\$9,000.00
Paid Rebates-Split AC	\$154,700.00	\$557,275.00	\$1,349,825.00	\$1,374,650.00	\$1,468,001.00	\$272,575.00	\$5,177,026.00
Paid Rebates- Central AC	\$3,400.00	\$8,200.00	\$4,400.00	\$6,500.00	\$2,400.00	-	\$24,900.00
Paid Rebates- Washer/Dryer	\$2,800.00	\$7,425.00	\$57,200.00	\$110,800.00	\$91,003.00	\$10,800.00	\$280,028.00
Total Expenses	\$200,527.30	\$680,706.05	\$1,554,524.33	\$1,554,690.19	\$1,608,806.18	\$358,921.69	\$5,958,175.74
Bank Interest (+)	\$1,676.42	\$1,722.74	\$1,222.29	\$730.05	\$439.12	\$112.42	\$5,903.04
Bank Fees	\$155.00	\$1,032.06	\$1,085.08	\$1,247.54	\$1,702.64	\$255.00	\$5,477.32

DSM Ending Balance - LEAC Funds	\$909,174.35
----------------------------------------	---------------------



Active DSM Application Processing Report

7

7. DSM Rebate Application Report 2019 to 2021:

ACTIVE DSM APPLICATION REPORT ¹				
	2019	2020	2021	Total
Total Received²	880	5855	1272	8007
Total Processed (Denied or Paid with Check Date)	858	5154	1	6013
Total ESRP Completed & Pending Payment³	3	588	714	1305
Total Pending⁴	19	113	557	689

Notes:

1. Based on **Customer Services Received Date** on Application (excludes any returned to CS for discrepancies) as of 3/12/21
2. Log is for active applications from Jan 25, 2020 and does not reflect total applications for 2019 or prior.
3. ESRP Completed & Pending Payment numbers include recently processed applications that may be in route or in process by Accounting/Finance. SPORD is working to verify status of older ESRPs pending.
4. SPORD continues to review pending and aged applications with issues.



General Manager's Report (con't)

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8. PUC Update:

- GPA Docket 21-06: Petition to Approve the Piti 8&9 Contract for Conversion to ULSD - Approved, Feb. 25, 2021
- GPA Docket 21-07: Petition to Approve Amendment to the Energy Conversion Agreement (ECA) with KEPCO for the 198MW Power Plant - Approved, Feb. 25, 2021
- GPA Docket 20-09: Petition for the Creation of a New Energy Storage Rate will have a public hearing with PUC on April 13, 14, & 15, 2021 at 6:30 pm, at suite 207, GCIC Bldg, Hagatna, Asan Community Ctr., and Dededo Senior Citizens Ctr.

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. A scheduling order was provided by the courts. The scheduling order calls for limited discovery and briefs filed by the parties, and a status conference set for July 13, 2021 after the briefs have been filed. A hearing on the briefs is scheduled for August 5, 2021.

10. Energy Storage System (ESS) Update:

- Commercial Operation of both the Hagatna (24 MW) and the Talofofo (16 MW) Energy Storage System Batteries began on **March 1, 2021**. The ESS has already begun showing benefits including a substantially more stable system reducing under-frequency outages. LG completed commissioning tests and tuning at both the Talofofo and Agana. At this time, LG technical support are focused on training their O&M subcontractor who will be taking over the ESS O&M.



- A ribbon cutting ceremony is being planned for later this month or early April. This would allow opportunity for CCU, PUC and others to view the Energy Storage Facilities, GPA's first ever battery system.



General Manager's Report (con't)

11. GPA Electric Vehicle (EV) Project with University of Guam

- GPA will be turning over one of GPA's Electric Vehicle (EV) to UOG's Sea Grant program as a partnership to promote EV use. This turnover will take place in about a week or so. A charging station at the UOG House #25 (Sea Grant office) is being installed. An MOA between GPA and UOG is in effect for this project.

12. Pandemic Impact and Progress on Employee Vaccination

- The following slides show the impact from the pandemic on Ratepayers and Employees.

13. Joint Utility Proposal - Addressing Past Due Balances & Service Disconnections

- The following slides are proposals to address past due balances and service disconnection for both GPA and GWA.

14. Generation KPIs:

- The following graphs show updated information through February 2021.

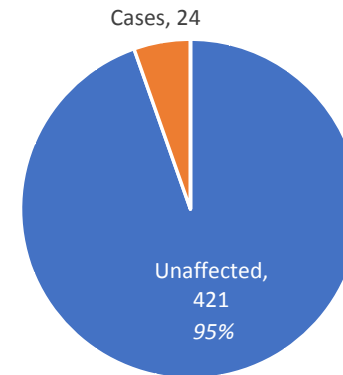


Pandemic Impact - Employees

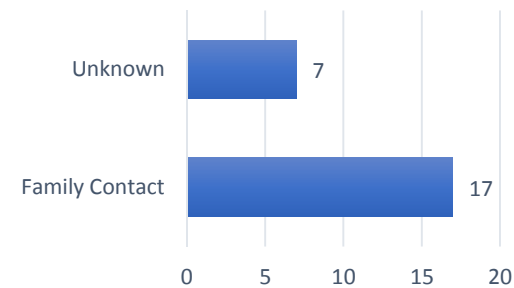
Vaccinations¹
45% - 47%
of employees

Employee Unavailability
(pandemic-related²)
Peak: 30, August 10, 2020
Current: 1, March 18, 2021

Workforce Impact



Transmission

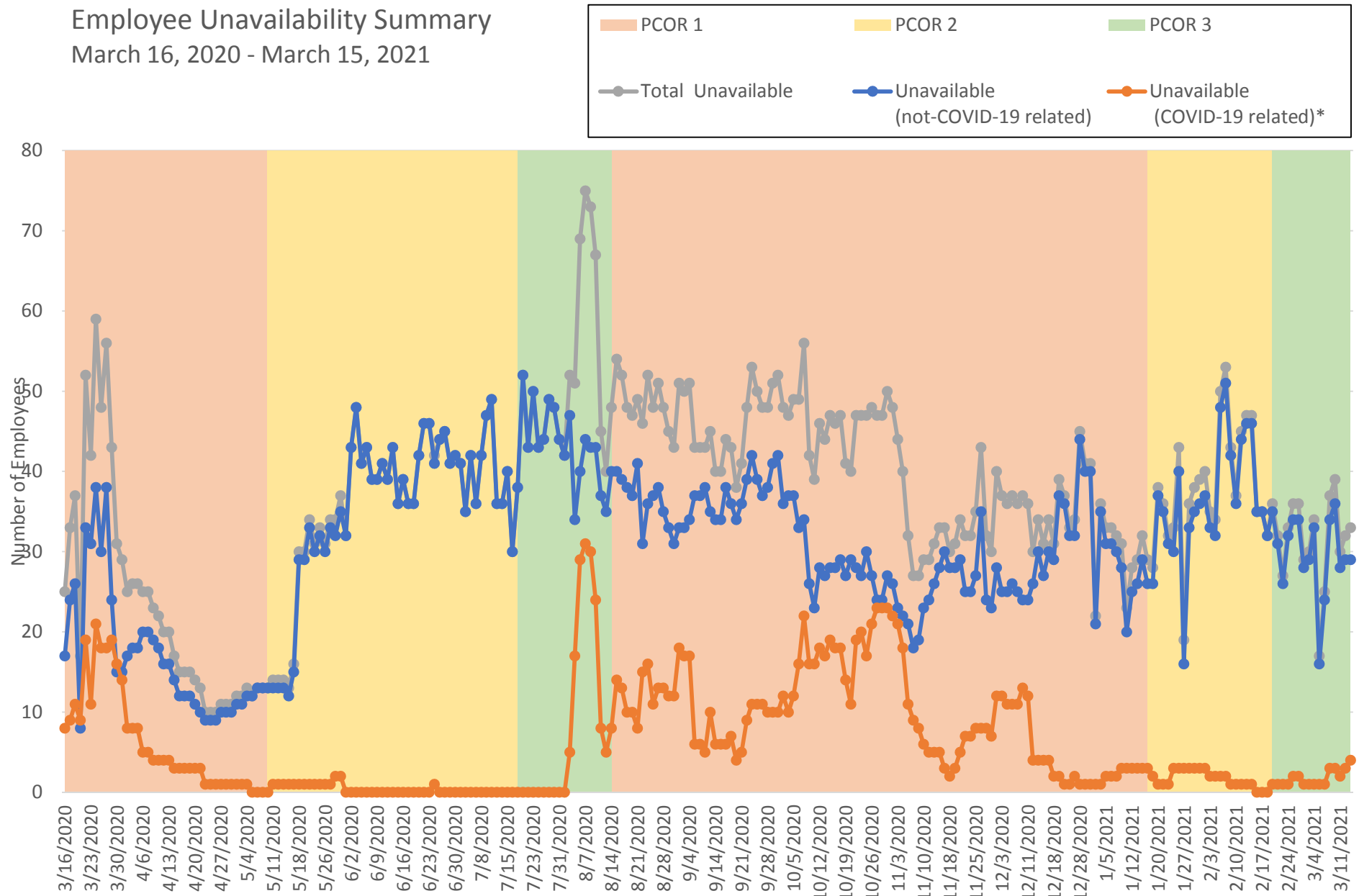


¹ Employee-provided information

² Includes isolation, close contact quarantine, travel quarantine, post-testing quarantine, other

Employee Unavailability Summary

March 16, 2020 - March 15, 2021



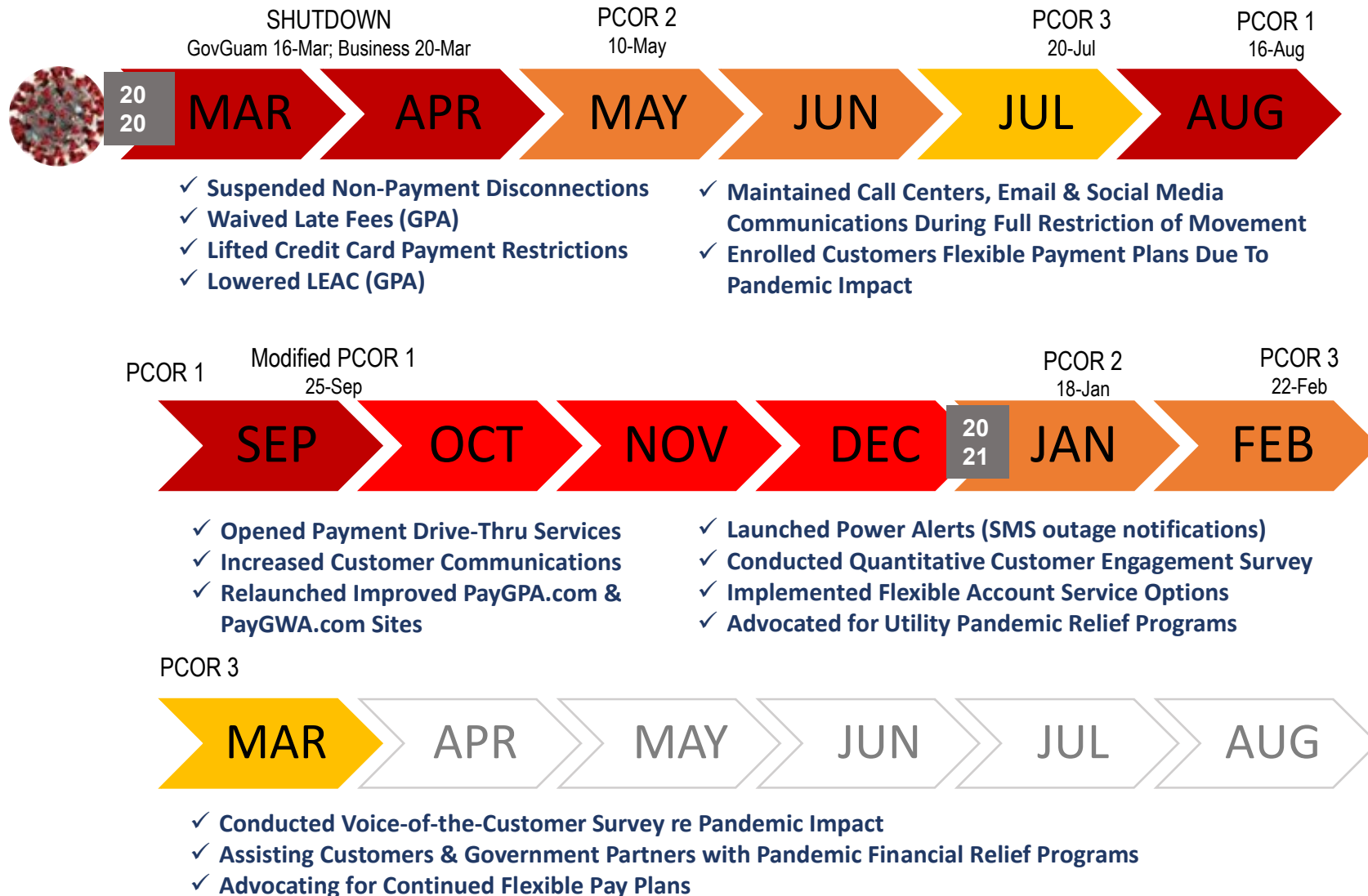
*Unavailable (COVID-19 related) includes employees who tested positive for COVID-19, tested negative and instructed to isolate, in home quarantine do to possible contact with positive case, in travel quarantine, employees that felt ill and stayed home after receiving COVID-19 vaccine, etc.

Addressing Past Due Balances & Service Disconnections Joint Utility Proposal

March 2021

Pandemic Customer Assistance Efforts - Joint Utility Summary

13



Overview - Ratepayer Pandemic Assistance (Proposed)

PURPOSE Assist & Support Ratepayers

- Provide seamless return-to-normal conditions
- Allow reasonable time for ratepayers to address delinquency
- Reinstitute utility disconnection in fair, reasonable manner

ACTION Advocate for Ratepayer

- Promote local and federal financial assistance programs
- Extend expanded utility customer services

HELP Flexible & Affordable Options

- Payments from assistance programs will be credited to past due balance
- Maximize financial assistance programs schedule to benefit ratepayers

June 1, 2021

Resume non-payment disconnections

- Continue suspension of credit card restrictions and expand convenient customer services
- Assist with federal and local financial assistance programs that provide ratepayer relief
- Support legislation that provides financial assistance for utility services

Offer flexible, affordable payment plan options

Pandemic Impact - GPA Ratepayers

Class	Quantity	Total Receivables	0-30 Days	> 30 days	Avg. \$/Cust.
Commercial	233	\$ 2,044,850	\$ 350,056	\$ 1,694,794	\$ 8,776
Residential - Post Paid	2,387	\$ 2,702,016	\$ 408,572	\$ 2,293,444	\$ 1,132
Residential - Pre-paid	856	\$ 637,180		\$ 637,180	\$ 744
Totals:	3,476	\$ 5,384,046		\$ 4,625,418	\$ 1,549

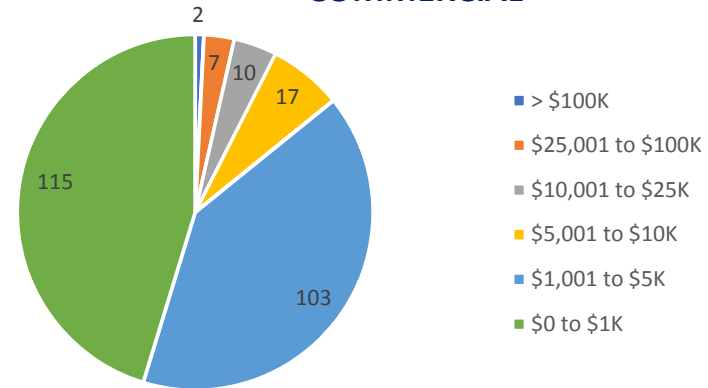
93% - accounts in good standing
7% - accounts past due

PAST DUE ACCOUNTS

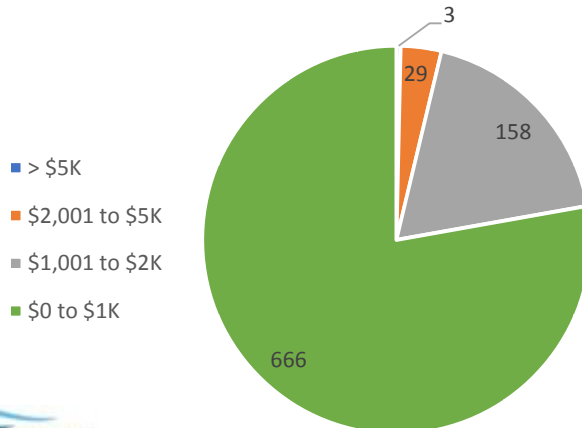
~3,400 accounts

\$4.6M outstanding

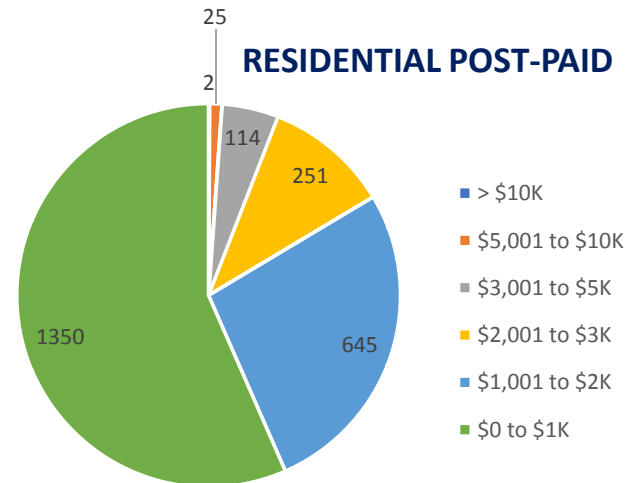
COMMERCIAL



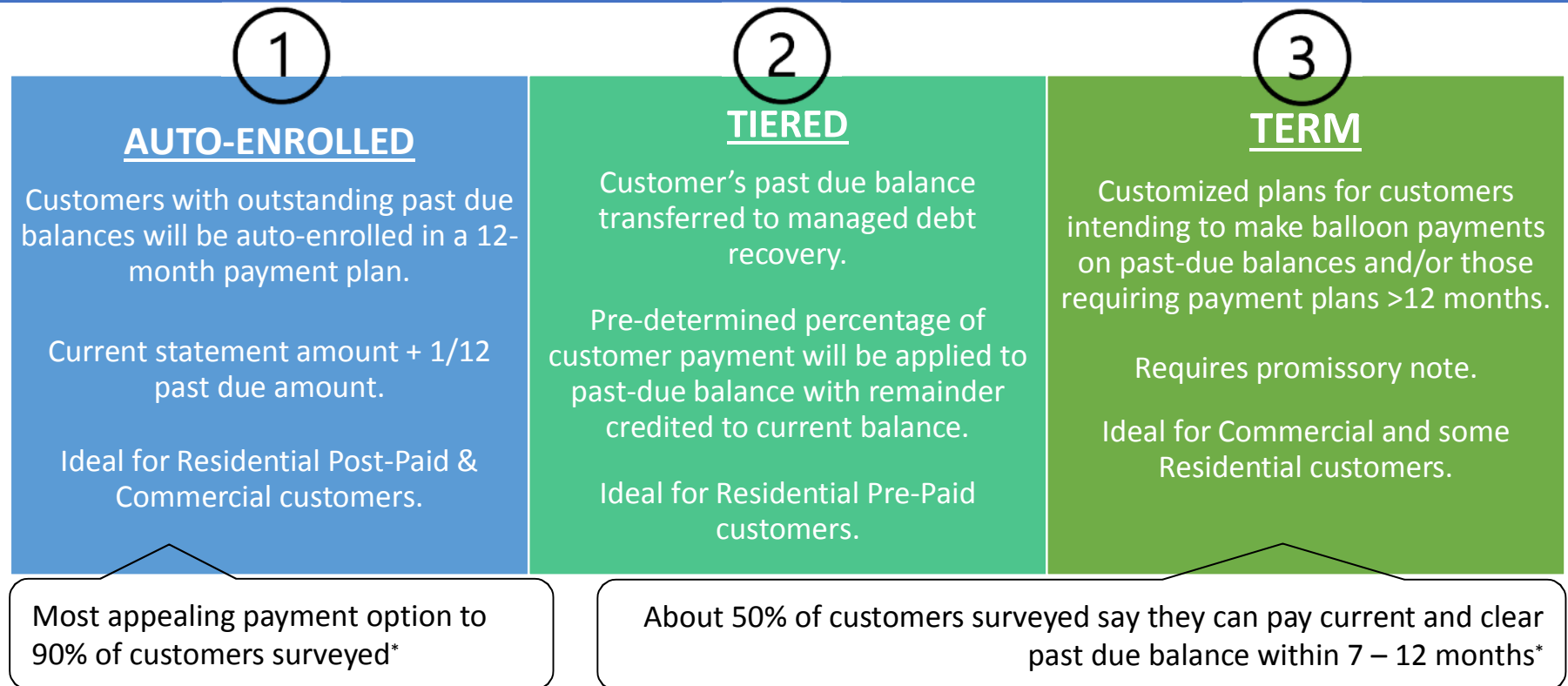
RESIDENTIAL PRE-PAID



RESIDENTIAL POST-PAID



Proposed Payment Plan Options - GPA



Low-Income Home Energy Assistance (LIHEAP) Program:

continue to advocate for availability of federal assistance to Guam ratepayers

Emergency Rental Assistance (ERA) Program:

continue to assist ratepayers & government partners

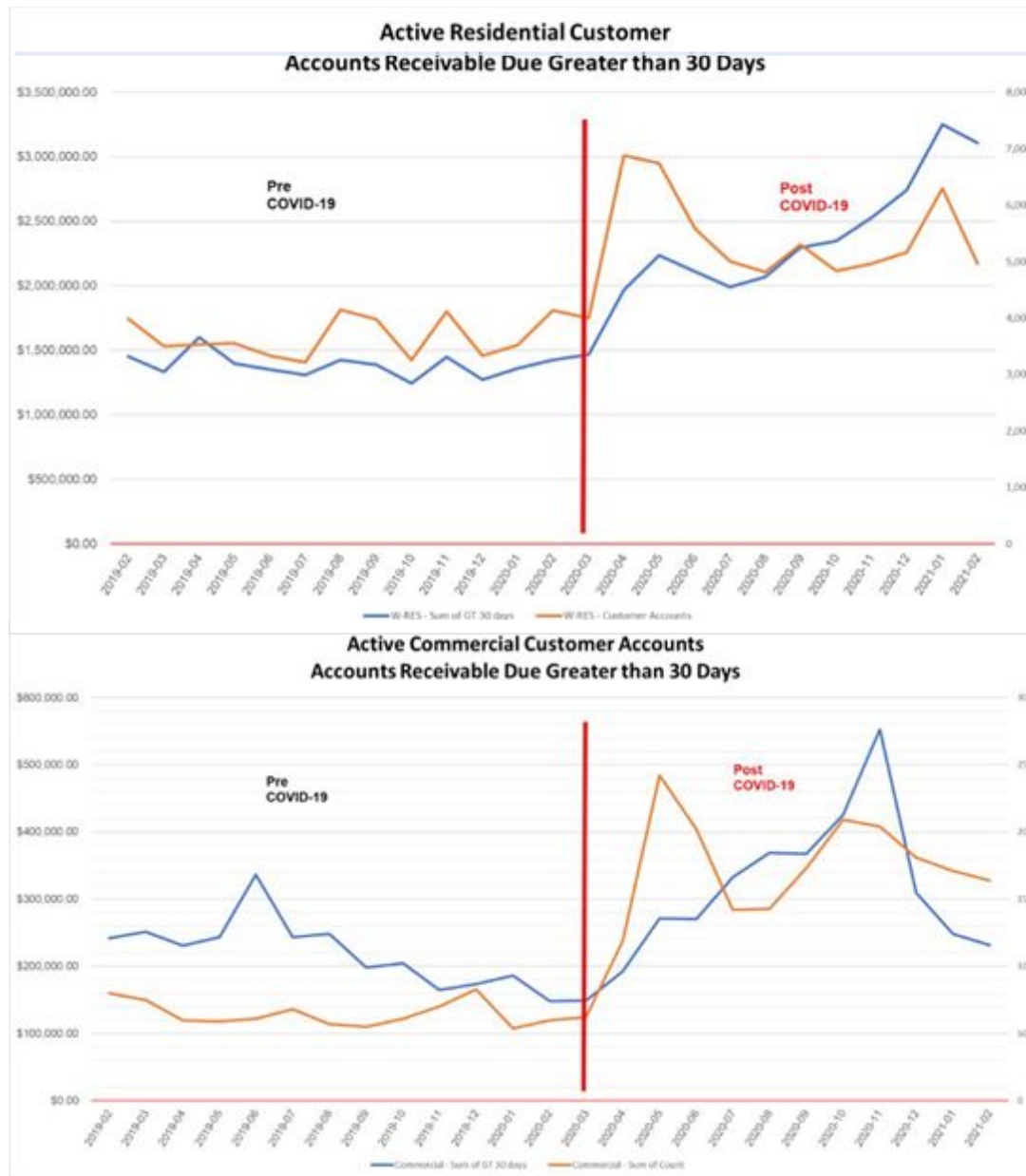
NEW

Homeowner Assistance Fund:

will assist ratepayers & government partners with new program roll-out

Payments from financial assistance program will be applied to customer's past-due balance first and according to program terms

Pandemic Impact - GWA Ratepayers



Residential Receivables as of 02/18/2021

87% accounts in good standing

13% accounts past due

4,961 accounts past due

\$3,108,981 outstanding

\$626 average outstanding/customer

Commercial Receivables (excludes hotels) as of 02/18/2021

94% accounts in good standing

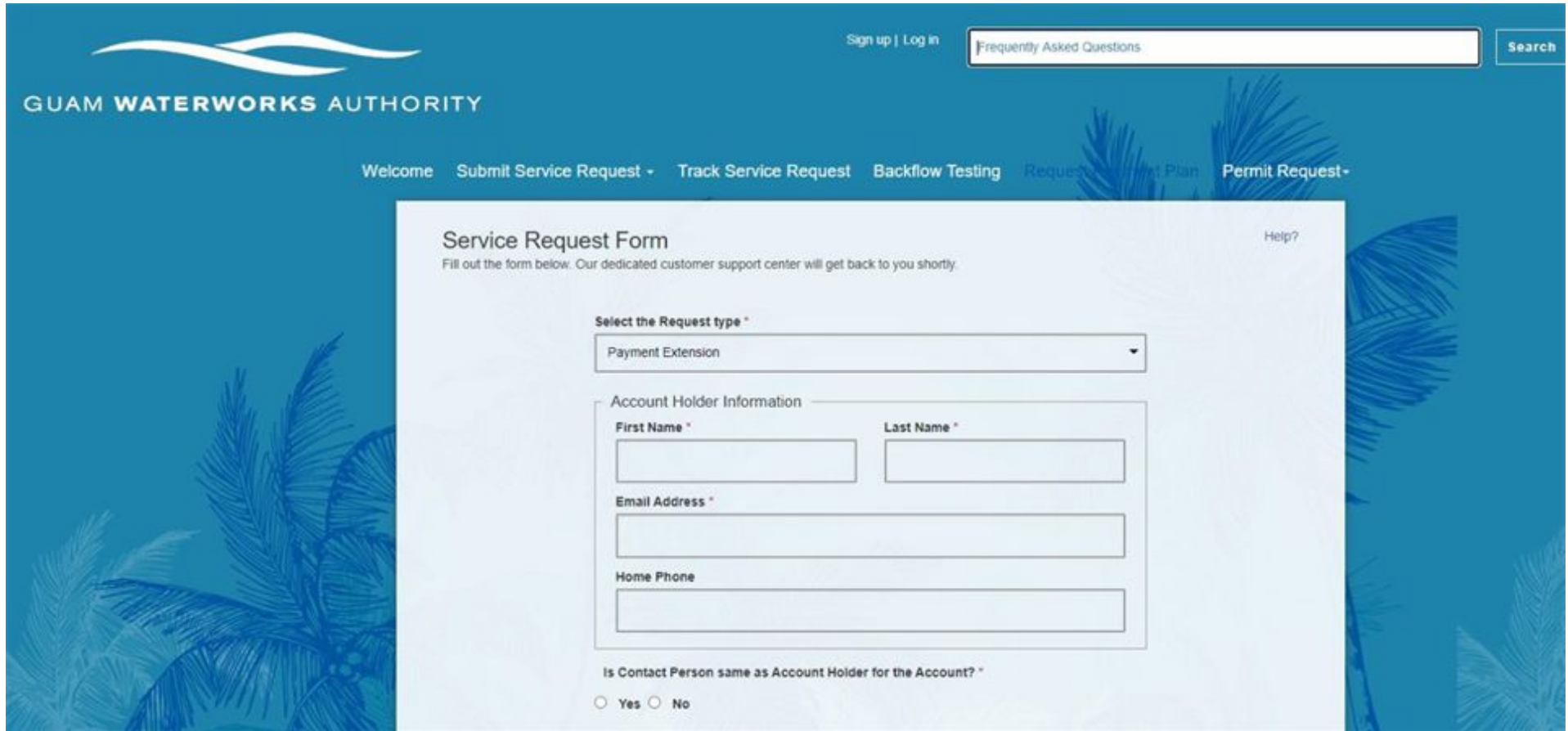
6% accounts past due

164 accounts past due

\$231,417 outstanding

\$1,411 average outstanding/customer

Proposed Payment Plan Options - GWA



The screenshot shows the Guam Waterworks Authority (GWA) website interface. At the top, there is a navigation bar with links for 'Sign up | Log in', 'Frequently Asked Questions', and a 'Search' button. Below this, the GWA logo and name are displayed. A secondary navigation bar includes links for 'Welcome', 'Submit Service Request', 'Track Service Request', 'Backflow Testing', 'Request Payment Plan', and 'Permit Request'. The main content area features a 'Service Request Form' with the following fields:

- Select the Request type ***: A dropdown menu with 'Payment Extension' selected.
- Account Holder Information**: A section containing four input fields:
 - First Name ***
 - Last Name ***
 - Email Address ***
 - Home Phone**
- Is Contact Person same as Account Holder for the Account? ***: Radio buttons for 'Yes' and 'No'.

- Customers will be eligible for up to a 12-month payment plan
- Plan will distribute past due amount equally across number of months selected for repayment
- Average monthly billing will be factored into payment plan to ensure customer remains current
- Promissory note required

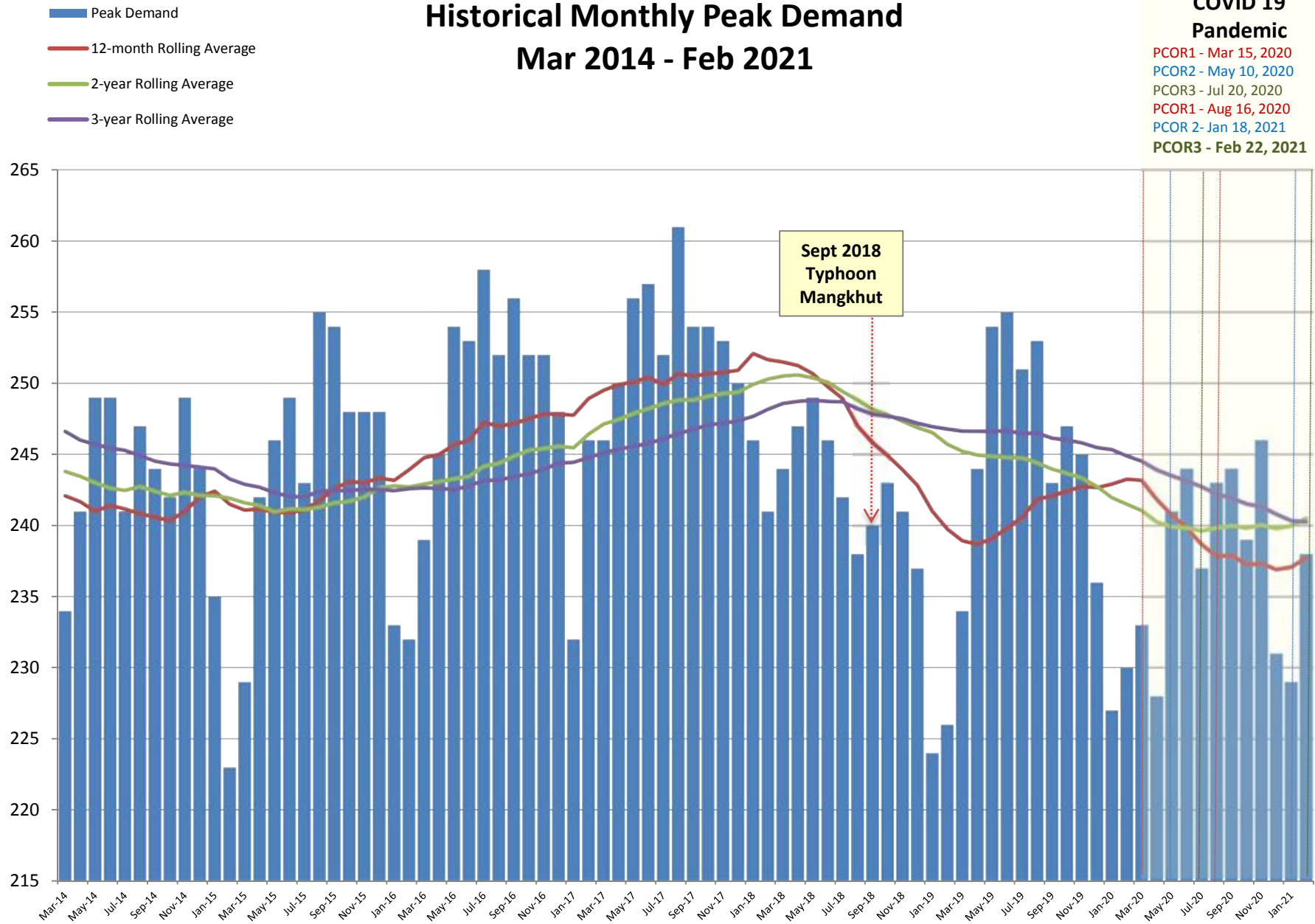
Customer Outreach & Engagement



Historical Monthly Peak Demand Mar 2014 - Feb 2021

COVID 19 Pandemic

PCOR1 - Mar 15, 2020
PCOR2 - May 10, 2020
PCOR3 - Jul 20, 2020
PCOR1 - Aug 16, 2020
PCOR2 - Jan 18, 2021
PCOR3 - Feb 22, 2021



Historical KWH Sales Mar 2017 - Feb 2021

COVID 19 Pandemic

PCOR1 - Mar 15, 2020

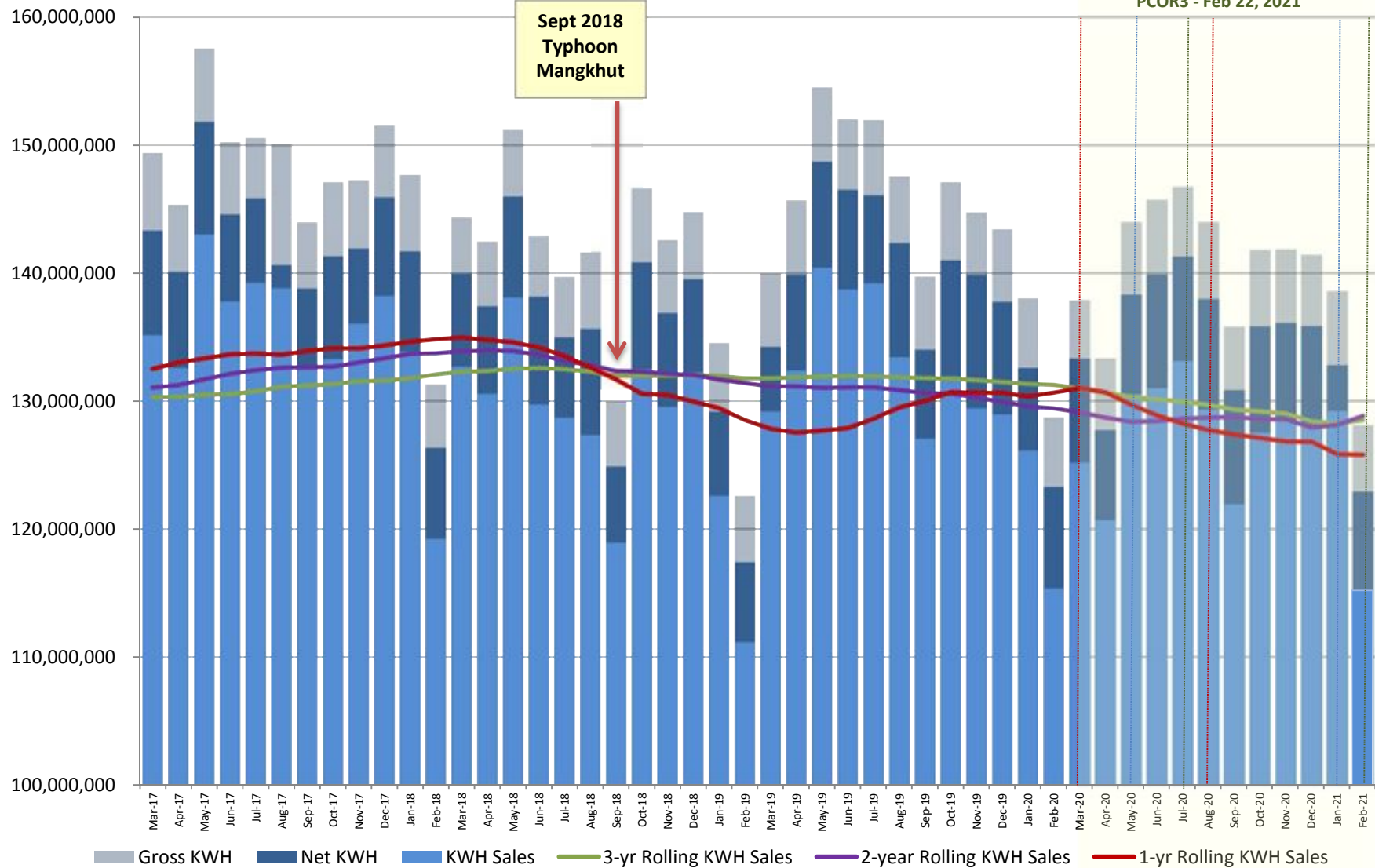
PCOR2 - May 10, 2020

PCOR3 - Jul 20, 2020

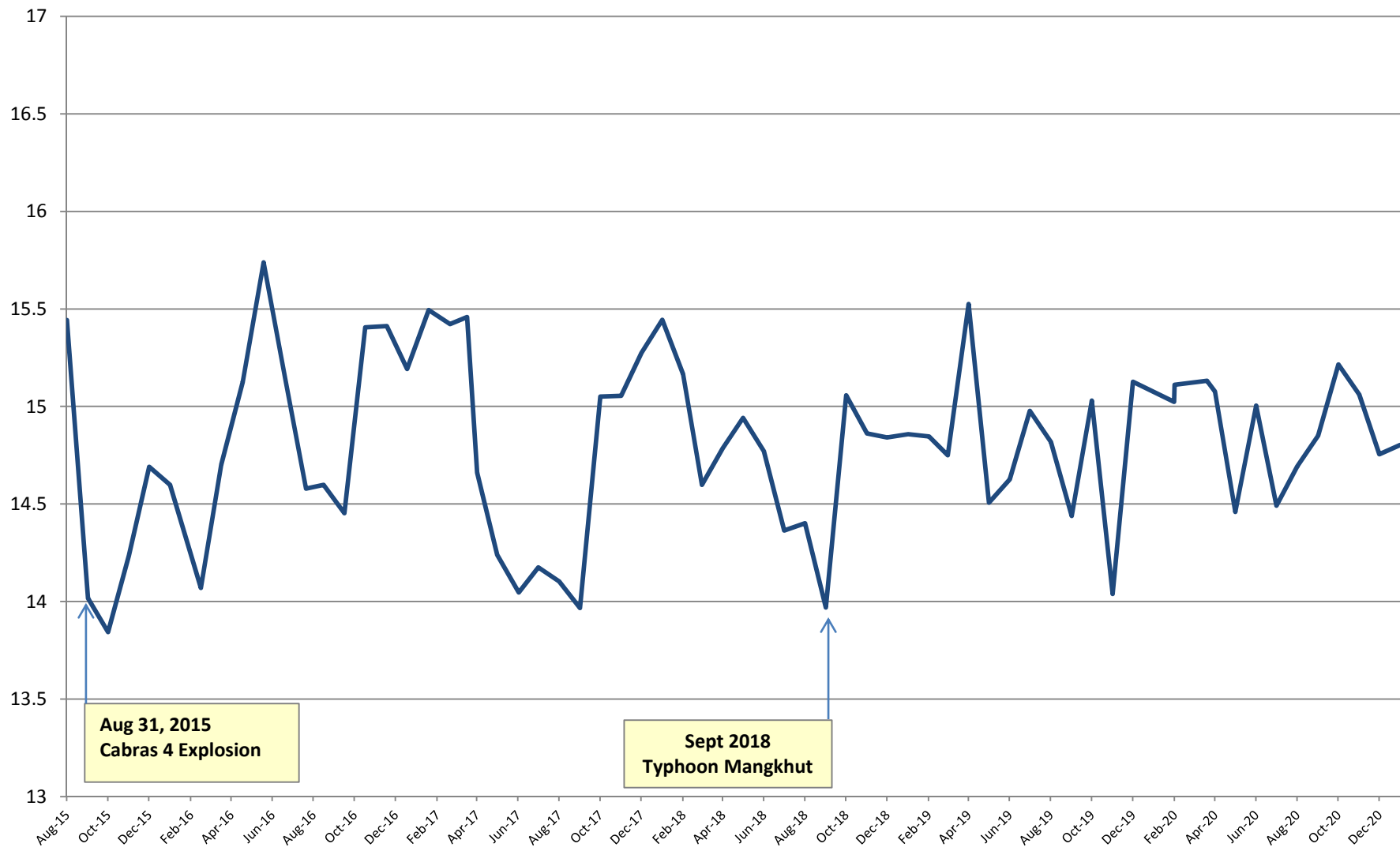
PCOR1 - Aug 16, 2020

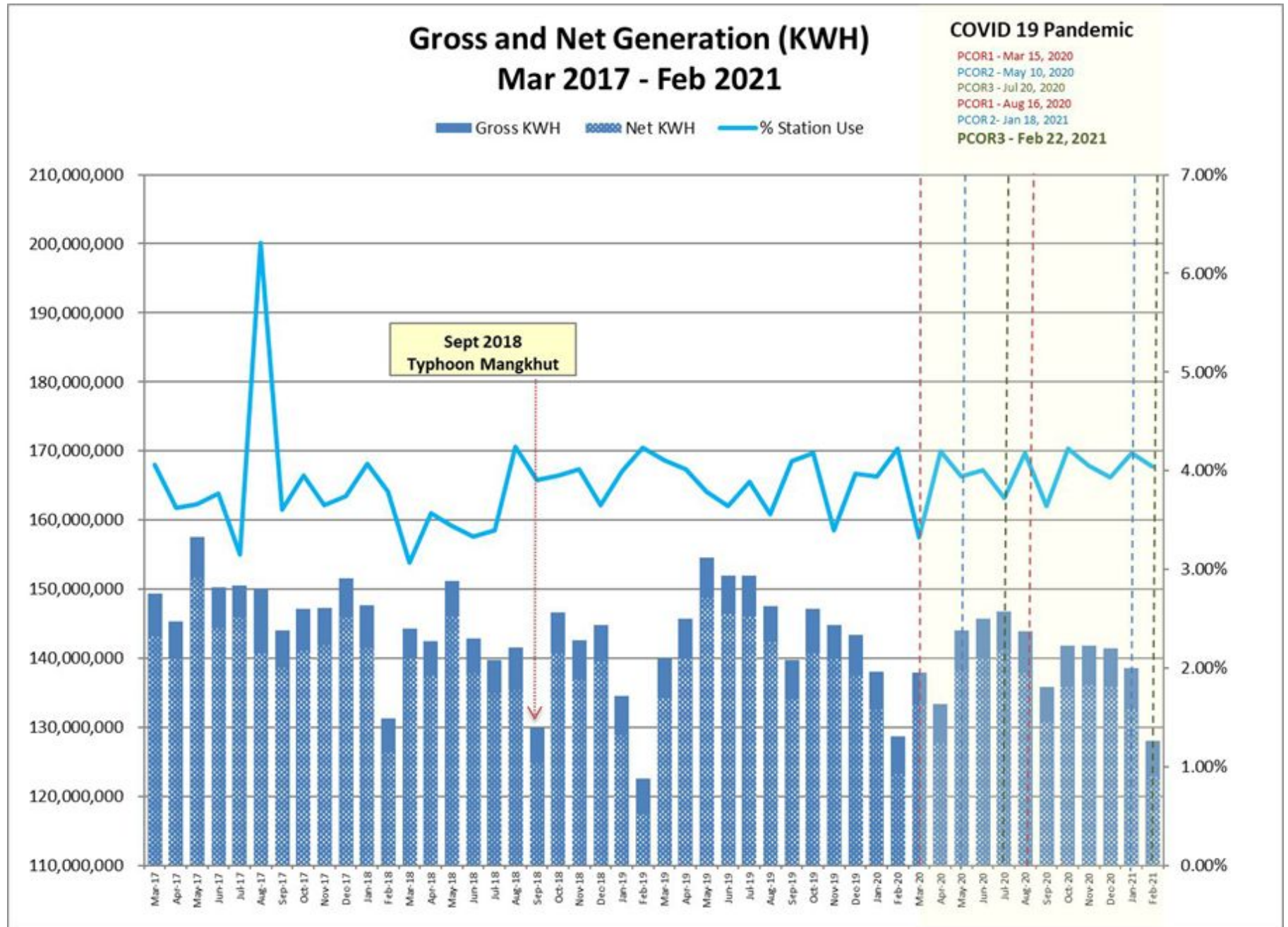
PCOR 2- Jan 18, 2021

PCOR3 - Feb 22, 2021



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





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

COVID 19 Pandemic

PCOR1 - Mar 15, 2020

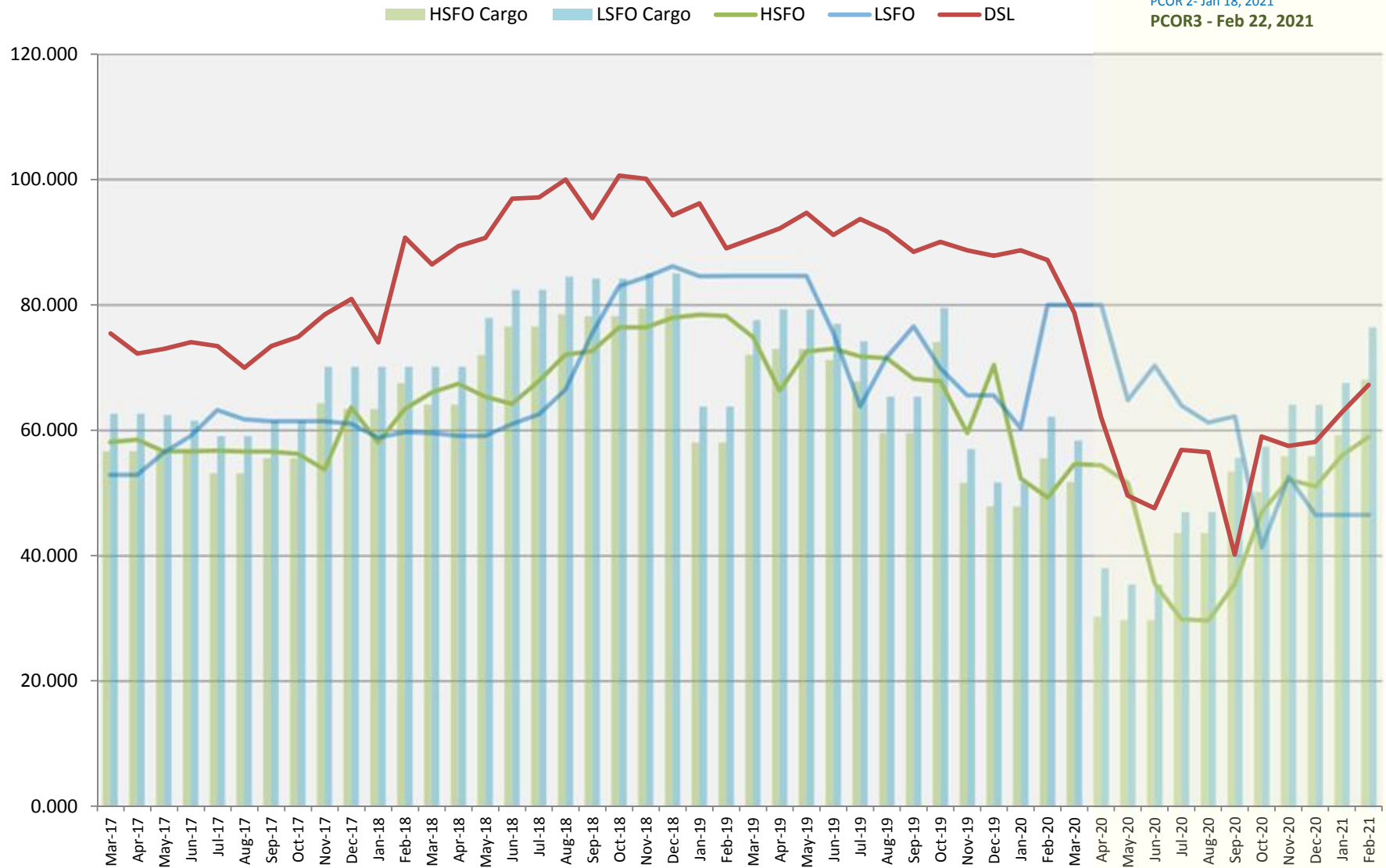
PCOR2 - May 10, 2020

PCOR3 - Jul 20, 2020

PCOR1 - Aug 16, 2020

PCOR 2 - Jan 18, 2021

PCOR3 - Feb 22, 2021



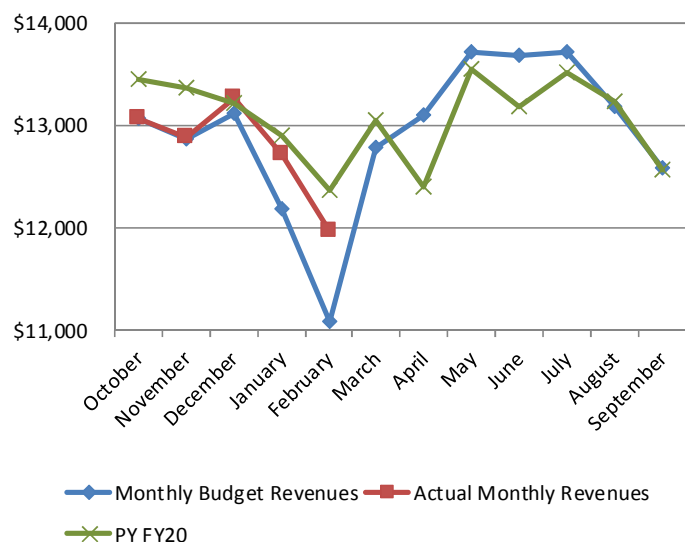
CFO

FINANCIAL HIGHLIGHTS

February 2021

February 2021 Monthly Financial Highlights

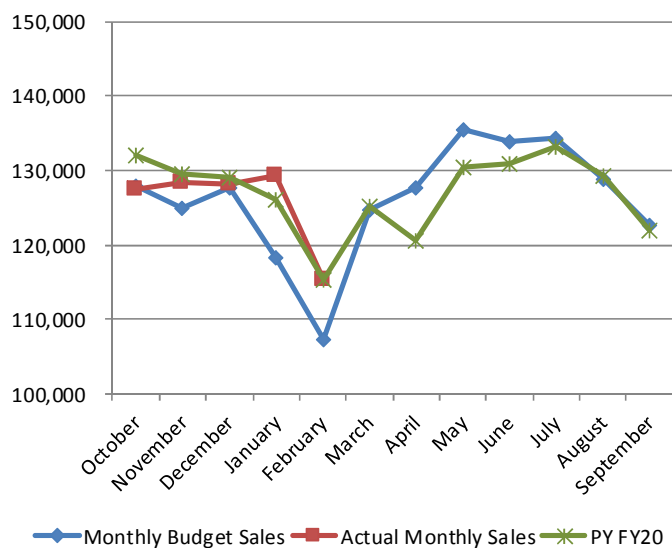
Base Rate Revenue \$000



Through February 28, 2021

	Monthly Budget \$000 Revenues	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	11,954	\$ 876	↑	12,357	\$ (403)	↓
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	\$ 63,842	\$ 1,563		\$ 156,709	\$ (1,417)	

MWh Sales



Through February 28, 2021

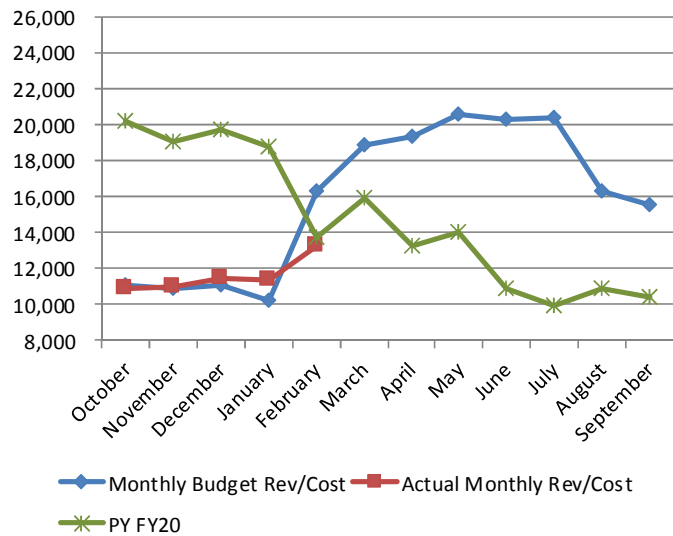
	Monthly Budget mwh Sales	Actual Monthly Sales	Variance		PY FY20	CY vs PY Variance	
October	127,852	127,515	(337)	↓	131,953	(4,438)	↓
November	125,004	128,440	3,437	↑	129,421	(981)	↓
December	127,563	128,053	489	↑	128,958	(905)	↓
January	118,299	129,208	10,909	↑	126,130	3,078	↑
February	107,268	115,199	7,930	↑	115,346	(147)	↓
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	628,415	22,429		1,523,579	(3,393)	



February 2021 Monthly Financial Highlights (Continued)

3

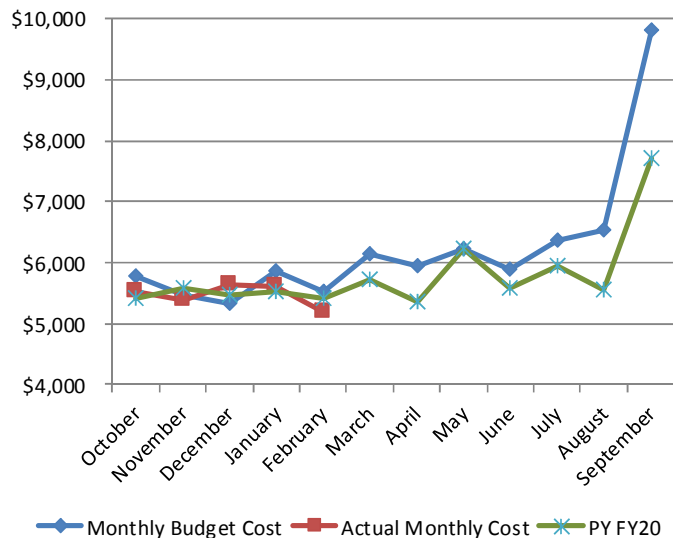
Fuel Revenue/ Cost \$000



Through February 28, 2021

	Monthly Budget \$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	11,335	\$ 1,067	↑	18,820	\$ (7,485)	↓
February	16,274	13,241	(3,033)	↓	13,701	(460)	↓
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	\$ 57,905	\$ (1,658)		\$ 176,860	\$ (33,567)	

O&M Cost \$000



Through February 28, 2021

	Monthly Budget \$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	5,620	237	↑	5,521	(99)	↓
February	5,530	5,193	337	↑	5,417	224	↑
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	\$ 27,362	\$ 618		\$ 69,461	\$ 29	



February 2021 Monthly Financial Highlights (Continued)

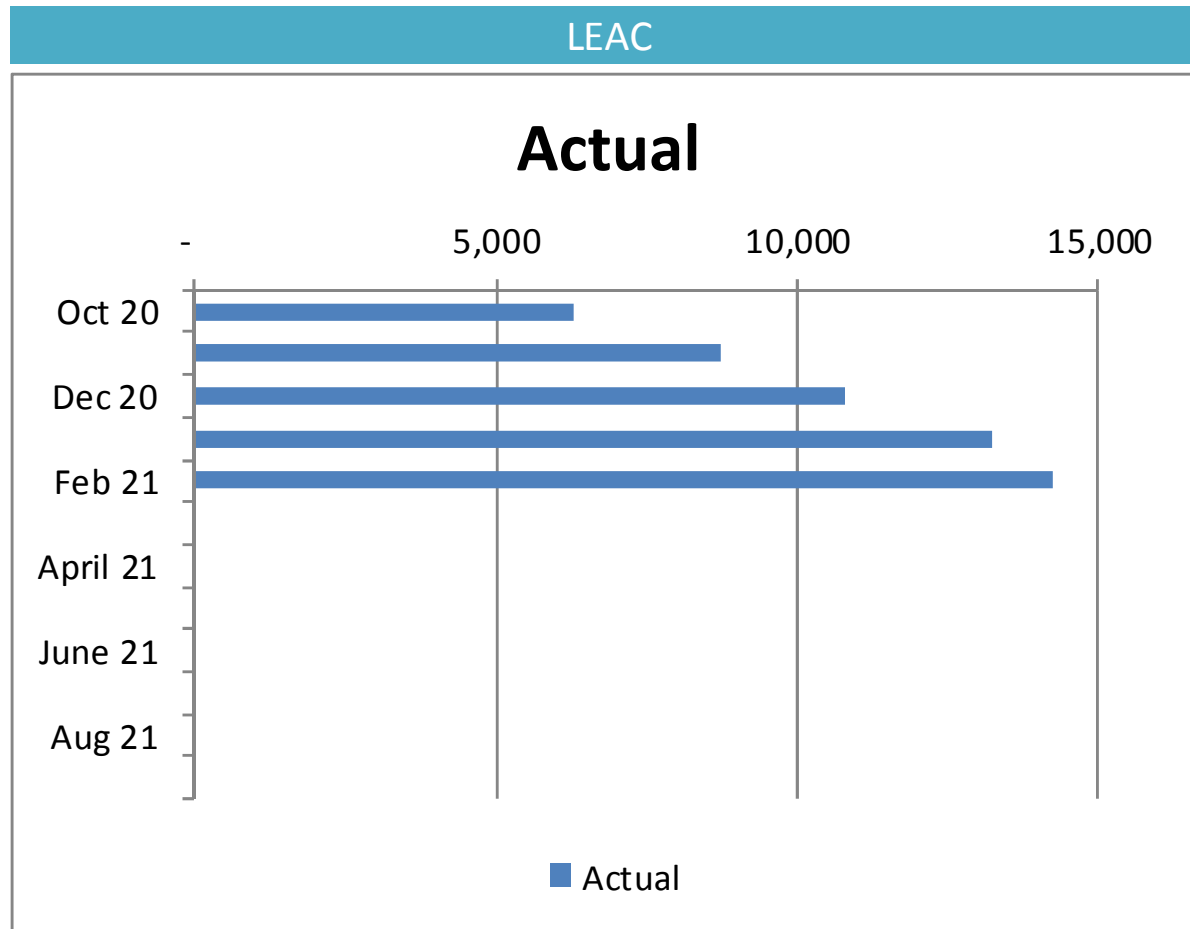
4

Through February 28, 2021											
	4Q2018	1Q2019	2Q2019	3Q2019	4Q2019	1Q2020	2Q2020	3Q2020	4Q2020	1Q2021	2Q2021
Residential	43,887	43,920	44,144	44,329	44,479	44,203	44,509	45,069	44,191	44,503	45,051
Commercial	5,261	5,273	5,291	5,303	5,289	5,154	5,352	5,309	5,366	5,301	5,284
Government	1,077	1,090	1,074	1,075	1,070	1,072	1,059	1,061	1,081	1,063	1,056
Streetlights	1,152	1,151	1,152	1,138	1,138	1,135	1,128	1,139	1,132	1,133	1,135
Navy	1	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	52,527

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	1.66
Aggregate debt service coverage	2.62	3.28	2.65	2.53	1.97	1.67	1.66
Debt service coverage (DSC) calculation-IPP as O&M							
Senior lien coverage	2.56	2.45	1.79	1.65	1.64	1.48	1.54
Aggregate debt service coverage	1.85	2.45	1.79	1.65	1.64	1.48	1.54

February 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	14,228
March 21	
April 21	
May 21	
June 21	
July 21	
Aug 21	
Sept 21	

February 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
Mar. 8, 2021	938	\$ 199,642	\$ 1,108,868	\$ 1,308,510
Mar. 18, 2021	960	\$ 256,142	\$ 1,084,614	\$ 1,340,756



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 February 2021

Attached are the financial statements and supporting schedules for the month and fiscal year ended February 28, 2021.

Summary

The increase in net assets for the month ended was \$0.8 million as compared to the anticipated net decrease of \$1.0 million projected at the beginning of the year. The total kWh sales for the month were 7.39% more than projected and non-fuel revenues were \$876 thousand more than the estimated amounts. O & M expenses for the month were \$5.2 million which was \$0.3 million under 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 \$3.3 million, which was in line with the projected amounts. There were no other significant departures from the budget during the period.

Analysis

Description	Previous Month	Current Month	Target
Quick Ratio	3.19	2.29	2
Days in Receivables	50	54	52
Days in Payables	17	49	30
LEAC (Over)/Under Recovery Balance -YTD	\$13,230,995	\$14,227,927	\$17,004,314
T&D Losses	5.44%	5.43%	<7.00%
Debt Service Coverage	1.56	1.54	1.75
Long-term equity ratio	3.37%	3.53%	30 – 40%
Days in Cash	305	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 \$83 million and approximately \$192 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
February 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 February 28, 2021 and September 30, 2020			
	Unaudited February 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	\$ 23,823,752	\$ 38,059,527	\$ (14,235,775)
Bond indenture funds	20,754,975	22,590,787	(1,835,812)
Held by Guam Power Authority:			
Bond indenture funds	148,380,548	175,309,549	(26,929,001)
Self insurance fund-restricted	19,470,961	19,469,799	1,162
Energy sense fund	732,976	261,171	471,805
Total cash and cash equivalents	213,163,212	255,690,833	(42,527,621)
Accounts receivable, net	42,407,360	35,364,783	7,042,577
Total current receivables	42,407,360	35,364,783	7,042,577
Materials and supplies inventory	13,828,803	14,501,590	(672,787)
Fuel inventory	43,321,548	32,346,582	10,974,966
Prepaid expenses	7,395,014	1,876,268	5,518,746
Total current assets	320,115,937	339,780,056	(19,664,119)
Utility plant, at cost:			
Electric plant in service	1,134,646,754	1,097,908,313	36,738,441
Construction work in progress	21,635,539	46,936,698	(25,301,159)
Total	1,156,282,293	1,144,845,011	11,437,282
Less: Accumulated depreciation	(683,718,870)	(669,124,765)	(14,594,105)
Total utility plant	472,563,423	475,720,246	(3,156,823)
Other non-current assets:			
Investment - bond reserve funds held by trustee	48,500,106	48,532,630	(32,524)
Unamortized debt issuance costs	1,841,006	1,952,816	(111,810)
Total other non-current assets	50,341,112	50,485,446	(144,334)
Total assets	843,020,472	865,985,748	(22,965,276)
Deferred outflow of resources:			
Deferred fuel revenue	14,227,927	5,137,018	9,090,909
Unamortized loss on debt refunding	21,502,594	22,452,744	(950,150)
Pension	12,264,214	12,264,214	0
Other post employment benefits	19,869,789	19,869,789	0
Unamortized forward delivery contract costs	92,878	159,278	(66,400)
Total deferred outflows of resources	67,957,402	59,883,043	8,074,359
	\$ 910,977,874	\$925,868,791	\$ (14,890,917)

GUAM POWER AUTHORITY (A COMPONENT UNIT OF THE GOVERNMENT OF GUAM) Statement of Net Position, Continued February 28, 2021 and September 30, 2020			
	Unaudited February 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	(1)	2,226,222	(2,226,223)
Accounts payable			
Operations	29,200,371	28,907,900	292,471
Others	7,701,937	830,203	6,871,734
Accrued payroll and employees' benefits	1,645,679	2,464,369	(818,690)
Current portion of employees' annual leave	3,296,392	2,828,972	467,420
Interest payable	11,749,114	14,417,948	(2,668,834)
Customer deposits	8,819,536	8,729,186	90,350
Total current liabilities	83,953,028	80,919,800	3,033,228
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	537,484,690	560,599,190	(23,114,500)
Obligations under capital leases, net of current portion	0	0	0
Net Pension liability	76,786,903	78,277,138	(1,490,235)
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	840,811,941	862,381,151	(21,569,210)
Deferred inflows of resources:			
Unearned forward delivery contract revenue	340,677	584,018	(243,341)
Pension	2,371,109	2,371,109	0
Other post employment benefits	49,240,169	49,240,169	0
Total deferred inflows of resources	51,951,955	52,195,296	(243,341)
Commitments and contingencies			
Net Position:			
Net investment in capital assets	(17,634,298)	(36,922,563)	19,288,266
Restricted	45,533,344	57,080,028	(11,546,684)
Unrestricted	(9,685,069)	(8,865,122)	(819,947)
Total net position	18,213,977	11,292,344	6,921,635
	\$ 910,977,874	\$925,868,791	\$ (14,890,917)

GUAM POWER AUTHORITY (A COMPONENT UNIT OF THE GOVERNMENT OF GUAM) Statement of Revenues, Expenses and Changes in Net Assets						
	February 28		% of change Inc (dec)	Five Months Ended February 28		% of change Inc (dec)
	Unaudited 2021	Unaudited 2020		Unaudited 2021	Unaudited 2020	
Revenues						
Sales of electricity	\$ 25,194,553	\$ 26,057,395	(3)	\$ 121,746,866	\$ 156,729,083	(22)
DSM-Rebates	302,288	0	0	1,548,036	0	0
Miscellaneous	238,105	181,346	31	762,320	934,381	(18)
Total	<u>25,734,946</u>	<u>26,238,741</u>	(2)	<u>124,057,222</u>	<u>157,663,464</u>	(21)
Bad debt expense	<u>(87,083)</u>	<u>(90,917)</u>	(4)	<u>(435,415)</u>	<u>(454,585)</u>	(4)
Total revenues	<u>25,647,863</u>	<u>26,147,824</u>	(2)	<u>123,621,807</u>	<u>157,208,879</u>	(21)
Operating and maintenance expenses						
Production fuel	13,240,599	13,700,834	(3)	57,904,715	91,471,609	(37)
Other production	1,335,318	1,428,936	(7)	6,194,985	6,728,130	(8)
	<u>14,575,917</u>	<u>15,129,770</u>	(4)	<u>64,099,700</u>	<u>98,199,739</u>	(35)
Depreciation	3,119,094	3,208,531	(3)	16,026,746	15,646,967	2
Energy conversion cost	1,353,206	1,052,673	29	5,424,541	5,326,805	2
Transmission & distribution	979,511	1,061,555	(8)	5,715,350	5,411,923	6
Customer accounting	426,280	416,388	2	2,156,981	2,165,207	(0)
Administrative & general	<u>2,452,328</u>	<u>2,419,339</u>	1	<u>13,294,927</u>	<u>12,628,156</u>	5
Total operating and maintenance expenses	<u>22,906,336</u>	<u>23,288,256</u>	(2)	<u>106,718,245</u>	<u>139,378,797</u>	(23)
Operating income	<u>2,741,527</u>	<u>2,859,568</u>	(4)	<u>16,903,562</u>	<u>17,830,082</u>	(5)
Other income (expenses)						
Interest income	52,019	256,094	(80)	254,868	1,401,278	(82)
Interest expense and amortization	(2,176,813)	(2,307,806)	(6)	(10,960,479)	(11,592,916)	(5)
Bond issuance costs	89,228	89,228	0	446,140	446,140	0
Allowance for funds used during constructic	85,803	0	0	445,004	0	0
Pandemic-COVID19	(4,575)	0	0	(116,926)	0	0
Losses due to typhoon	(19,632)	(3,288)	0	(29,075)	(168,101)	0
Bid bond forfeiture	0	0	0	0	0	0
Other expense	<u>(4,291)</u>	<u>(4,291)</u>	0	<u>(21,462)</u>	<u>(21,455)</u>	0
Total other income (expenses)	<u>(1,978,261)</u>	<u>(1,970,063)</u>	0	<u>(9,981,930)</u>	<u>(9,935,054)</u>	0
Income (loss) before capital contributions	763,266	889,505	(14)	6,921,632	7,895,028	(12)
Capital contributions	<u>0</u>	<u>0</u>	0	<u>0</u>	<u>0</u>	0
Increase (decrease) in net assets	763,266	889,505	(14)	6,921,632	7,895,028	(12)
Total net assets at beginning of period	<u>17,450,710</u>	<u>10,147,118</u>	72	<u>11,292,345</u>	<u>3,141,595</u>	259
Total net assets at end of period	\$ 18,213,976	\$ 11,036,623	65	\$ 18,213,976	\$ 11,036,623	65

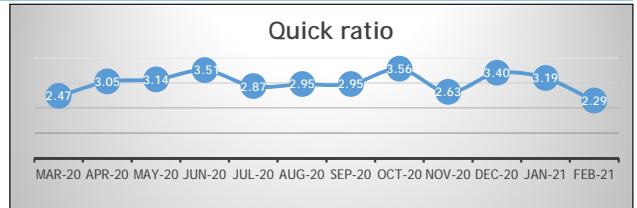
GUAM POWER AUTHORITY (A COMPONENT UNIT OF THE GOVERNMENT OF GUAM) Statements of Cash Flows Period Ended February 28, 2021		
	Month Ended 2/28/2021	YTD Ended 2/28/2021
Increase(decrease) in cash and cash equivalents		
Cash flows from operating activities:		
Cash received from customers	\$ 22,536,006	\$ 116,578,173
Cash payments to suppliers and employees for goods and services	<u>2,244,046</u>	<u>109,050,034</u>
Net cash provided by operating activities	\$20,291,960	7,528,139
Cash flows from investing activities:		
Interest and dividends on investments and bank accounts	<u>52,019</u>	<u>254,868</u>
Net cash provided by investing activities	52,019	254,868
Cash flows from non-capital financing activities		
Interest paid on short term debt	(88,813)	(417,989)
Provision for self insurance funds	<u>-</u>	<u>(1,162)</u>
Net cash provided by noncapital financing activities	(88,813)	(419,151)
Cash flows from capital and related financing activities		
Acquisition of utility plant	(8,568,810)	(12,869,921)
Principal paid on bonds and other long-term debt	-	(20,515,000)
Interest paid on bonds(net of capitalized interest)	85,803	(13,165,746)
Interest paid on capital lease obligations	6,167	(45,578)
Interest & principal funds held by trustee	(3,977,998)	14,235,775
Reserve funds held by trustee	(1,523)	32,524
Bond funds held by trustee	295,669	1,835,812
Principal payment on capital lease obligations	(6,167)	(2,226,223)
Grant from DOI/FEMA	-	-
Debt issuance costs/loss on defeasance	(314,900)	(1,574,500)
Net cash provided by (used in) capital and related financing activities	<u>(12,481,759)</u>	<u>(34,292,857)</u>
Net (decrease) increase in cash and cash equivalents	7,773,408	(26,929,001)
Cash and cash equivalents, beginning	<u>140,607,141</u>	<u>175,309,549</u>
Cash and cash equivalents-Funds held by GPA, February 28, 2021	<u>\$ 148,380,548</u>	<u>\$ 148,380,548</u>

GUAM POWER AUTHORITY (A COMPONENT UNIT OF THE GOVERNMENT OF GUAM) Statements of Cash Flows, continued Period Ended February 28, 2021		
	Month Ended 2/28/2021	YTD Ended 2/28/2021
Reconciliation of operating earnings to net cash provided by operating activities:		
Operating earnings net of depreciation expense and excluding interest income	\$ 2,741,527	\$ 16,903,562
Adjustments to reconcile operating earnings to net cash provided by operating activities:		
Depreciation and amortization	3,119,094	16,026,746
Other expense	146,533	723,681
(Increase) decrease in assets:		
Accounts receivable	(3,076,889)	(7,042,577)
Materials and inventory	235,853	672,787
Fuel inventory	(7,327,072)	(10,974,966)
Prepaid expenses	570,975	(5,518,746)
Unamortized debt issuance cost	22,362	111,810
Deferred fuel revenue	(996,932)	(9,090,909)
Unamortized loss on debt refunding	190,030	950,150
Unamortized forward delivery contract costs	13,280	66,400
Increase (decrease) in liabilities:		
Accounts payable-operations	19,115,660	292,471
Accounts payable-others	5,849,826	6,399,929
Accrued payroll and employees' benefits	35,942	(818,690)
Net pension liability	(275,283)	(1,490,235)
Employees' annual leave	27,007	467,420
Customers deposits	(51,284)	90,350
Customer advances for construction	-	2,297
Unearned forward delivery contract revenue	(48,669)	(243,341)
Net cash provided by operating activities	\$ 20,291,960	\$ 7,528,139

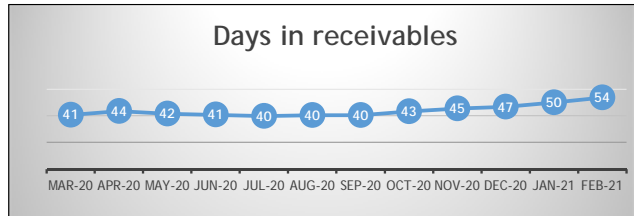
**Guam Power Authority
Financial Analysis
02/28/21**

Quick Ratio

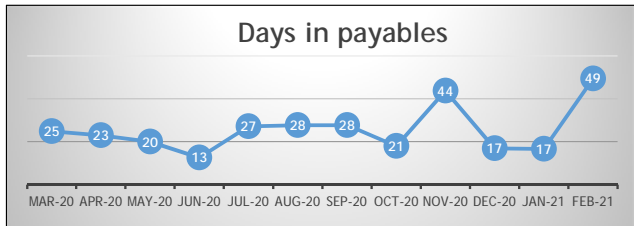
Reserve Funds Held by GPA	148,380,548
Current Accounts Receivable	43,899,005
Total Cash and A/R (A+B)	192,279,553
Total Current Liabilities	83,953,028
Quick Ratio (F/G)	2.29

**Days in Receivables**

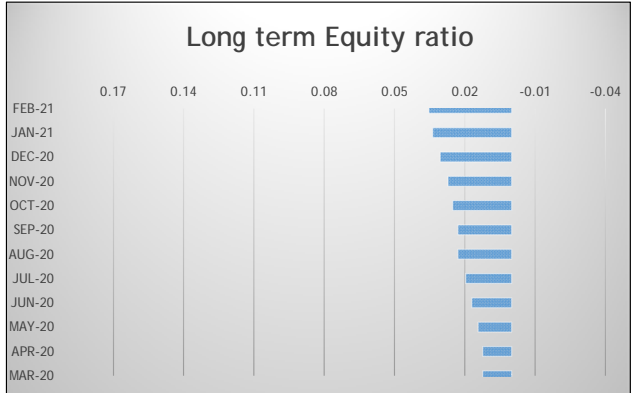
FY 21 Moving 12 Mos.-Actual	298,584,906
No. of Days	365
Average Revenues per day (A/B)	818,041
Current Accounts Receivable	43,899,005
Days in Receivables (D/C)	54

**Days in Payables**

FY 21 Moving 12 Months-Actual	272,387,096
No. of Days	365
Average Payables per day (A/B)	746,266
Current Accounts Payables	36,902,308
Days in Payables (D/C)	49

**Long term equity ratio**

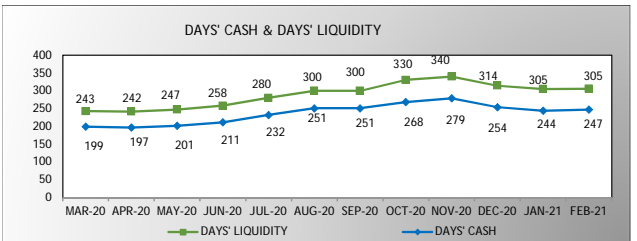
Equity	\$ 18,213,977.00
Total Long term Liability	\$ 498,449,945.00
Total Equity and liability	\$ 516,663,922.00
Long term equity ratio (A/C)	3.53%

**Days cash on hand**

Unrestricted cash & cash equivalents	148,381
No. of Days -YTD	151
A x B	22,405,463
Total Operating expenses excluding depreciation	90,691
Days cash on hand	247

Days' Liquidity

Unrestricted cash , cash equivalents & revolving Credit	183,381
No. of Days -YTD	151
A x B	27,690,463
Total Operating expenses excluding depreciation	90,691
Days liquidity	305



GPA 302**GUAM POWER AUTHORITY
ACCRUED REVENUE
FEBRUARY 2021**

	FOR THE MONTH ENDED FEBRUARY		FIVE MONTHS ENDED FEBRUARY	
	2021	2020	2021	2020
KWH SALES:				
Residential	42,297,847	35,110,181	234,048,636	198,869,981
Small Gen. Non Demand	5,320,594	4,778,920	27,825,402	26,251,204
Small Gen. Demand	14,414,603	14,757,497	75,891,217	79,514,139
Large General	16,494,154	22,344,580	90,734,209	122,230,001
Independent Power Producer	33,249	40,116	211,572	167,169
Private St. Lights	31,009	32,183	164,418	165,765
Sub-total	78,591,456	77,063,477	428,875,454	427,198,260
Government Service:				
Small Non Demand	735,075	669,590	3,942,160	3,608,551
Small Demand	7,585,311	8,059,004	39,471,310	42,317,431
Large	4,438,169	5,396,114	23,866,516	29,559,694
Street Lighting	557,701	576,839	2,942,355	2,980,083
Sub-total	13,316,257	14,701,547	70,222,342	78,465,759
Total	91,907,713	91,765,024	499,097,796	505,664,018
U. S. Navy	23,290,980	23,581,439	129,316,776	126,144,335
GRAND TOTAL	115,198,693	115,346,464	628,414,572	631,808,353
REVENUE:				
Residential	9,140,772	7,812,393	43,324,610	48,732,482
Small Gen. Non Demand	1,416,678	1,295,574	6,493,626	7,666,345
Small Gen. Demand	3,397,314	3,663,368	15,755,265	21,544,273
Large General	3,657,630	5,323,864	17,847,249	31,078,972
Independent Power Producer	7,203	10,647	37,649	44,764
Private St. Lights	23,165	25,151	117,283	128,020
Sub-total	17,642,760	18,130,996	83,575,683	109,194,855
Government Service:				
Small Non Demand	200,646	200,103	990,882	1,136,799
Small Demand	1,851,945	2,164,921	8,801,037	12,033,294
Large	1,035,369	1,404,994	5,093,508	8,119,259
Street Lighting	400,655	419,563	1,972,472	2,163,254
Sub-total	3,488,615	4,189,580	16,857,900	23,452,606
Total	21,131,376	22,320,576	100,433,583	132,647,461
U. S. Navy	4,063,178	3,736,819	21,313,283	24,081,621
GRAND TOTAL	25,194,553	26,057,395	121,746,866	156,729,082
NUMBER OF CUSTOMERS:				
Residential	45,051	44,748	44,474	44,578
Small Gen. Non Demand	4,367	4,156	4,376	4,081
Small Gen. Demand	820	1,109	821	1,091
Large General	95	120	96	120
Independent Power Producer	2	2	2	2
Private St. Lights	517	512	517	514
Sub-total	50,852	50,647	50,286	50,387
Government Service:				
Small Non Demand	675	643	681	645
Small Demand	350	385	355	384
Large	31	44	35	44
Street Lighting	618	616	618	617
Sub-total	1,674	1,688	1,690	1,690
Total	52,526	52,335	51,976	52,078
US Navy	1	1	1	1
	52,527	52,336	51,977	52,079

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GPA403		GUAM POWER AUTHORITY ACCRUED REVENUE											
	TWELVE MONTHS ENDING	FEBRUARY 2021	JANUARY 2021	DECEMBER 2020	NOVEMBER 2020	OCTOBER 2020	SEPTEMBER 2020	AUGUST 2020	JULY 2020	JUNE 2020	MAY 2020	APRIL 2020	MARCH 2020
KWH SALES:													
Residential	567,417,236	42,297,847	49,701,539	47,107,600	47,924,589	47,017,061	46,940,702	48,488,288	49,363,562	49,198,510	50,104,381	45,696,841	43,576,314
Small General Non Demand	62,842,423	5,320,594	5,647,220	5,645,321	5,490,013	5,722,253	5,245,960	5,102,926	5,435,917	5,162,411	4,878,549	4,175,437	5,015,822
Small General Demand	177,392,148	14,414,603	14,940,853	15,604,863	15,180,559	15,750,339	14,377,515	14,642,313	15,197,638	14,741,087	14,574,000	13,085,335	14,883,043
Large General	228,010,519	16,494,154	17,811,468	19,116,309	18,776,244	18,536,035	17,253,957	20,245,005	20,805,621	19,721,335	19,502,429	18,150,138	21,597,825
Private Outdoor Lighting	395,533	31,009	34,202	31,775	33,159	34,273	34,037	33,040	33,276	34,682	31,190	33,692	31,198
Independent Power Producer	429,275	33,249	35,152	35,155	74,692	33,326	32,898	31,941	29,903	27,636	37,503	28,802	29,018
Sub-Total	1,036,487,134	78,591,456	88,170,433	87,541,022	87,479,256	87,093,287	83,885,069	88,543,514	90,865,918	88,885,660	89,128,052	81,170,246	85,133,221
Government Service:													
Small Non Demand	8,706,757	735,075	798,105	796,758	785,007	827,215	696,811	712,443	718,063	688,682	667,053	614,102	667,442
Small Demand	95,732,854	7,585,311	8,032,905	8,233,899	7,754,428	7,864,767	7,685,747	8,089,781	8,245,957	7,975,765	8,146,861	7,757,273	8,360,160
Large	59,547,830	4,438,169	4,651,006	4,769,294	4,826,626	5,181,422	5,039,602	5,187,440	5,281,556	4,947,321	5,002,187	4,644,794	5,578,414
Street Lighting (Agencies)	7,005,218	557,701	557,750	634,577	557,701	634,626	562,996	571,642	617,089	578,122	557,564	634,494	540,956
Sub-Total	170,992,658	13,316,257	14,039,765	14,434,528	13,923,762	14,508,029	13,985,156	14,561,306	14,862,665	14,189,891	14,373,665	13,650,663	15,146,971
Total	1,207,479,792	91,907,713	102,210,199	101,975,550	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
U.S. Navy	312,524,623	23,290,980	26,998,129	26,077,078	27,037,233	25,913,357	23,875,625	26,232,462	27,387,340	27,911,363	27,028,828	25,867,160	24,905,070
Grand Total	1,520,004,415	115,198,693	129,208,328	128,052,627	128,440,251	127,514,673	121,745,850	129,337,281	133,115,922	130,986,913	130,530,545	120,688,068	125,185,262
REVENUE:													
Residential	106,576,165	9,140,772	8,731,054	8,451,276	8,561,989	8,439,520	8,393,434	8,672,639	8,773,199	8,214,601	10,292,144	8,809,987	10,095,552
Small General Non Demand	14,907,584	1,416,678	1,246,825	1,281,222	1,242,336	1,306,566	1,201,673	1,160,148	1,239,063	1,104,294	1,268,804	1,024,880	1,415,097
Small General Demand	37,740,370	3,397,314	3,009,490	3,144,237	3,031,479	3,172,745	2,879,655	2,971,923	3,105,577	2,846,493	3,427,018	2,911,833	3,842,607
Large General	46,717,973	3,657,630	3,446,715	3,673,430	3,471,380	3,598,095	3,378,106	3,949,820	4,065,239	4,394,446	4,024,701	5,298,941	5,298,941
Private Outdoor Lighting	284,516	23,165	23,434	22,998	23,400	24,287	23,624	23,615	23,702	24,011	23,692	24,175	24,414
Independent Power Producer	84,820	7,203	8,477	6,783	8,640	6,546	6,321	6,753	5,748	5,546	9,424	6,916	6,916
Sub-Total	206,311,429	17,642,760	16,465,995	16,579,946	16,339,223	16,547,758	15,882,813	16,784,897	17,212,527	15,954,415	19,415,530	16,802,039	20,683,525
Government Service:													
Small Non Demand	2,244,987	200,646	197,714	196,477	192,813	203,232	173,827	176,557	177,715	169,968	184,693	169,814	201,532
Small Demand	21,931,993	1,851,945	1,761,409	1,777,805	1,687,099	1,722,780	1,682,505	1,764,894	1,794,264	1,732,843	2,004,367	1,895,149	2,256,934
Large	13,244,443	1,035,369	971,980	982,731	1,003,746	1,099,683	1,071,629	1,101,797	1,116,547	1,056,309	1,214,020	1,129,057	1,461,575
Street Lighting (Agencies)	4,768,865	400,655	387,724	398,184	387,718	398,191	388,439	389,613	396,843	391,487	402,336	414,838	412,839
Sub-Total	42,190,288	3,488,615	3,318,827	3,355,197	3,271,376	3,423,885	3,316,400	3,432,861	3,485,369	3,350,607	3,805,415	3,608,857	4,332,879
Total	248,501,716	21,131,376	19,784,822	19,935,143	19,610,598	19,971,643	19,199,213	20,217,758	20,697,896	19,305,022	23,220,945	20,410,896	25,016,404
U.S. Navy	50,083,190	4,063,178	4,262,178	4,753,332	4,242,586	3,992,010	3,805,204	3,926,923	2,750,547	4,738,469	4,330,362	5,228,169	3,990,233
Grand Total	298,584,906	25,194,553	24,047,000	24,688,476	23,853,184	23,963,653	23,004,417	24,144,681	23,448,443	24,043,491	27,551,306	25,639,065	29,006,637
NUMBER OF CUSTOMERS:													
Residential	44,377	45,051	44,503	44,345	44,271	44,202	44,191	44,854	44,773	44,166	43,948	43,707	44,509
Small General Non Demand	4,314	4,367	4,381	4,378	4,380	4,376	4,364	4,289	4,252	4,246	4,255	4,245	4,233
Small General Demand	891	820	821	821	823	820	880	929	940	942	946	948	998
Large General	110	95	97	97	97	94	120	120	120	119	120	120	119
Private Outdoor Lighting	516	517	515	517	517	517	520	515	521	522	512	511	512
Independent Power Producer	2	2	2	2	2	2	2	2	2	2	2	2	2
Sub-Total	50,209	50,852	50,319	50,160	50,090	50,011	50,077	50,709	50,608	49,997	49,783	49,533	50,373
Government Service:													
Small Non Demand	655	675	682	685	684	678	653	635	635	633	634	636	630
Small Demand	373	350	350	349	355	373	386	386	385	384	385	385	385
Large	40	31	31	34	40	41	42	43	43	44	45	45	44
Street Lighting (Agencies)	617	618	618	618	618	618	618	618	618	617	616	616	616
Sub-Total	1,685	1,674	1,681	1,686	1,697	1,710	1,699	1,682	1,681	1,678	1,680	1,682	1,675
Total	51,895	52,526	52,000	51,846	51,787	51,721	51,776	52,391	52,289	51,675	51,463	51,215	52,048
U.S. Navy	1	1	1	1	1	1	1	1	1	1	1	1	1
Grand Total	51,896	52,527	52,001	51,847	51,788	51,722	51,777	52,392	52,290	51,676	51,464	51,216	52,049

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GUAM POWER AUTHORITY
ACCURED REVENUE
FEBRUARY 2021

OLD LEAC	
RATE	0.086800
DSM	0.003109
NET	0.083691

NEW LEAC	
RATE	0.110000
DSM	0.003109
NET	0.106891

RATE	NUMBER OF CUSTOMERS	KWH SALES	TOTAL REVENUE		BASE RATE REVENUE		AVERAGE PER CUSTOMER		NON-FUEL		New Leac 0.106891 OIL	
			AMOUNT	C/KWH	C/KWH	AMOUNT	KWH	REVENUE	C/KWH	AMOUNT	C/KWH	AMOUNT
Month									0.083691			
R Residential	45,051	42,297,847	\$ 9,140,772	\$ 21.6105	\$ 21.61049	\$ 9,140,772	939	\$ 203	\$ 9.6735	\$ 4,091,676	\$ 11.9370	\$ 5,049,096
G Small Gen. Non Demand	4,367	5,320,594	\$ 1,416,678	\$ 26.6263	\$ 26.62631	\$ 1,416,678	1,218	\$ 324	\$ 14.6573	\$ 779,853	\$ 11.9691	\$ 636,825
J Small Gen. Demand	820	14,414,603	\$ 3,397,314	\$ 23.5686	\$ 23.56856	\$ 3,397,314	17,579	\$ 4,143	\$ 11.8786	\$ 1,712,248	\$ 11.6900	\$ 1,685,065
P Large General	95	16,494,154	\$ 3,657,630	\$ 22.1753	\$ 22.17531	\$ 3,657,630	173,623	\$ 38,501	\$ 11.1465	\$ 1,838,514	\$ 11.0288	\$ 1,819,115
I Independent Power Producer	2	33,249	\$ 7,203	\$ 21.6639	\$ 21.66386	\$ 7,203	16,625	\$ 3,602	\$ 11.3053	\$ 3,759	\$ 10.3585	\$ 3,444
H Private St. Lights	517	31,009	\$ 23,165	\$ 74.7020	\$ 74.70204	\$ 23,165	60	\$ 45	\$ 64.0129	\$ 19,850	\$ 10.6891	\$ 3,315
Sub-Total	50,852	78,591,456	\$ 17,642,760	\$ 22.4487	\$ 22.44870	\$ 17,642,760	1,545	\$ 347	\$ 10.7466	\$ 8,445,901	\$ 11.7021	\$ 9,196,860
Government Service:												
S Small Non Demand	675	735,075	\$ 200,646	\$ 27.2960	\$ 27.2960	\$ 200,646	1,089	\$ 297	\$ 16.5375	\$ 121,563	\$ 10.7585	\$ 79,083
K Small Demand	350	7,585,311	\$ 1,851,945	\$ 24.4149	\$ 24.4149	\$ 1,851,945	21,672	\$ 5,291	\$ 13.6481	\$ 1,035,252	\$ 10.7668	\$ 816,692
L Large	31	4,438,169	\$ 1,035,369	\$ 23.3287	\$ 23.3287	\$ 1,035,369	143,167	\$ 33,399	\$ 12.7068	\$ 563,949	\$ 10.6219	\$ 471,420
F Street Lighting (Agencies)	618	557,701	\$ 400,655	\$ 71.8405	\$ 71.8405	\$ 400,655	902	\$ 648	\$ 61.1514	\$ 341,042	\$ 10.6891	\$ 59,613
Sub-Total	1,674	13,316,257	\$ 3,488,615	\$ 26.1982	\$ 26.1982	\$ 3,488,615	7,955	\$ 2,084	\$ 15.4834	\$ 2,061,807	\$ 10.7148	\$ 1,426,809
Civilian Customers	52,526	91,907,713	\$ 21,131,376	\$ 22.9920	\$ 22.9920	\$ 21,131,376	1,750	\$ 402	\$ 11.4329	\$ 10,507,707	\$ 11.5591	\$ 10,623,668
U.S. Navy	1	23,290,980	\$ 4,063,178	\$ 17.4453	\$ 17.4453	\$ 4,063,178			\$ 6.2095	\$ 1,446,247	\$ 11.2358	\$ 2,616,931
TOTAL	52,527	115,198,693	\$ 25,194,553	\$ 21.8705	\$ 21.8705	\$ 25,194,553	2,193	\$ 480	\$ 10.3768	\$ 11,953,954	\$ 11.4937	\$ 13,240,599
Five Months Ended February 2021												
R Residential	44,474	234,048,636	\$ 43,324,610	\$ 18.5109	\$ 18.5109	\$ 43,324,610	5,263	\$ 974	\$ 9.4970	\$ 22,227,699	\$ 9.0139	\$ 21,096,911
G Small Gen. Non Demand	4,376	27,825,402	\$ 6,493,626	\$ 23.3370	\$ 23.3370	\$ 6,493,626	6,358	\$ 1,484	\$ 14.2796	\$ 3,973,351	\$ 9.0575	\$ 2,520,275
J Small Gen. Demand	821	75,891,217	\$ 15,755,265	\$ 20.7603	\$ 20.7603	\$ 15,755,265	92,438	\$ 19,190	\$ 11.7617	\$ 8,926,126	\$ 8.9986	\$ 6,829,139
P Large General	96	90,734,209	\$ 17,847,249	\$ 19.6698	\$ 19.6698	\$ 17,847,249	945,148	\$ 185,909	\$ 10.8327	\$ 9,828,950	\$ 8.8371	\$ 8,018,300
I Independent Power Producer	2	211,572	\$ 37,649	\$ -	\$ -	\$ 37,649	0	\$ -	\$ -	\$ 19,477	\$ -	\$ 18,172
H Private St. Lights	517	164,418	\$ 117,283	\$ 71.3323	\$ 71.3323	\$ 117,283	318	\$ 227	\$ 62.5256	\$ 102,804	\$ 8.8067	\$ 14,480
Sub-Total	50,286	428,875,454	\$ 83,575,683	\$ 19.4872	\$ 19.4872	\$ 83,575,683	8,529	\$ 1,662	\$ 10.5108	\$ 45,078,406	\$ 8.9763	\$ 38,497,277
Government Service:												
S Small Non Demand	681	3,942,160	\$ 990,882	\$ 25.1355	\$ 25.1355	\$ 990,882	5,790	\$ 1,455	\$ 16.3209	\$ 643,395	\$ 8.8146	\$ 347,487
K Small Demand	355	39,471,310	\$ 8,801,037	\$ 22.2973	\$ 22.2973	\$ 8,801,037	111,062	\$ 24,764	\$ 13.4674	\$ 5,315,774	\$ 8.8299	\$ 3,485,263
L Large	35	23,866,516	\$ 5,093,508	\$ 21.3416	\$ 21.3416	\$ 5,093,508	674,195	\$ 143,884	\$ 12.5918	\$ 3,005,235	\$ 8.7498	\$ 2,088,273
F Street Lighting (Agencies)	618	2,942,355	\$ 1,972,472	\$ 67.0372	\$ 67.0372	\$ 1,972,472	4,761	\$ 3,192	\$ 58.2283	\$ 1,713,285	\$ 8.8088	\$ 259,187
Sub-Total	1,690	70,222,342	\$ 16,857,900	\$ 24.0065	\$ 24.0065	\$ 16,857,900	41,562	\$ 9,977	\$ 15.2055	\$ 10,677,689	\$ 8.8009	\$ 6,180,211
Civilian Customers	51,976	499,097,796	\$ 100,433,583	\$ 21.3133	\$ 21.3133	\$ 100,433,583	9,602	\$ 1,932	\$ 6.2529	\$ 55,756,095	\$ 10.2285	\$ 44,677,488
U.S. Navy	1	129,316,776	\$ 21,313,283	\$ 16.4815	\$ 16.4815	\$ 21,313,283			\$ 6.2529	\$ 8,086,056	\$ 10.2285	\$ 13,227,228
TOTAL	51,977	628,414,572	\$ 121,746,866	\$ 19.3737	\$ 19.3737	\$ 121,746,866	12,090	\$ 2,342	\$ 10.1592	\$ 63,842,151	\$ 9.2144	\$ 57,904,715
Twelve Months Ended February 2021												
R Residential	44,377	567,417,236	\$ 106,576,165	\$ 18.7827	\$ 18.7827	\$ 106,576,165	12,786	\$ 2,402	\$ 9.5040	\$ 53,927,555	\$ 9.2786	\$ 52,648,610
G Small Gen. Non Demand	4,314	62,842,423	\$ 14,907,584	\$ 23.7222	\$ 23.7222	\$ 14,907,584	14,568	\$ 3,456	\$ 14.4440	\$ 9,076,962	\$ 9.2782	\$ 5,830,622
J Small Gen. Demand	891	177,392,148	\$ 37,740,370	\$ 21.2751	\$ 21.2751	\$ 37,740,370	199,168	\$ 42,373	\$ 11.9546	\$ 21,206,464	\$ 9.3205	\$ 16,533,906
P Large General	110	228,010,519	\$ 46,717,973	\$ 20.4894	\$ 20.4894	\$ 46,717,973	2,075,968	\$ 425,353	\$ 11.0781	\$ 25,259,338	\$ 9.4112	\$ 21,458,635
I Independent Power Producer	2	429,275	\$ 84,820	\$ 19.7590	\$ 19.7590	\$ 84,820	214,637	\$ 42,410	\$ 10.6134	\$ 45,561	\$ 9.1456	\$ 39,260
H Private St. Lights	516	395,533	\$ 284,516	\$ 71.9322	\$ 71.9322	\$ 284,516	766	\$ 551	\$ 62.5594	\$ 247,443	\$ 9.3729	\$ 37,073
Sub-Total	50,209	1,036,487,134	\$ 206,311,429	\$ 19.9049	\$ 19.9049	\$ 206,311,429	20,643	\$ 4,109	\$ 10.5899	\$ 109,763,323	\$ 9.3149	\$ 96,548,106
Government Service:												
S Small Non Demand	655	8,706,757	\$ 2,244,987	\$ 25.7844	\$ 25.7844	\$ 2,244,987	13,293	\$ 3,427	\$ 16.4159	\$ 1,429,291	\$ 9.3685	\$ 815,696
K Small Demand	373	95,732,854	\$ 21,931,993	\$ 22.9096	\$ 22.9096	\$ 21,931,993	256,829	\$ 58,838	\$ 13.4435	\$ 12,869,866	\$ 9.4661	\$ 9,062,127
L Large	40	59,547,830	\$ 13,244,443	\$ 22.2417	\$ 22.2417	\$ 13,244,443	1,479,449	\$ 329,054	\$ 12.8472	\$ 7,650,212	\$ 9.3945	\$ 5,594,230
F Street Lighting (Agencies)	617	7,005,218	\$ 4,768,865	\$ 68.0759	\$ 68.0759	\$ 4,768,865	11,346	\$ 7,724	\$ 58.6552	\$ 4,108,924	\$ 9.4207	\$ 659,942
Sub-Total	1,685	170,992,658	\$ 42,190,288	\$ 24.6737	\$ 24.6737	\$ 42,190,288	101,454	\$ 25,033	\$ 15.2394	\$ 26,058,293	\$ 9.4343	\$ 16,131,995
Civilian Customers	51,895	1,207,479,792	\$ 248,501,716	\$ 20.5802	\$ 20.5802	\$ 248,501,716	23,268	\$ 4,789	\$ 11.2484	\$ 135,821,615	\$ 9.3318	\$ 112,680,101
U.S. Navy	1	312,524,623	\$ 50,083,190	\$ 16.0254	\$ 16.0254	\$ 50,083,190			\$ 6.2301	\$ 19,470,636	\$ 9.7952	\$ 30,612,554
TOTAL	51,896	1,520,004,415	\$ 298,584,906	\$ 19.6437	\$ 19.6437	\$ 298,584,906	29,290	\$ 5,754	\$ 10.2166	\$ 155,292,251	\$ 9.4271	\$ 143,292,655

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ENERGY ACCOUNT
FY 2021 Versus FY 2020

FOR INTERNAL USE ONLY

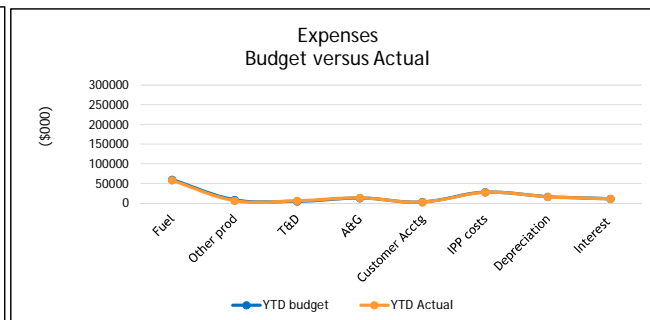
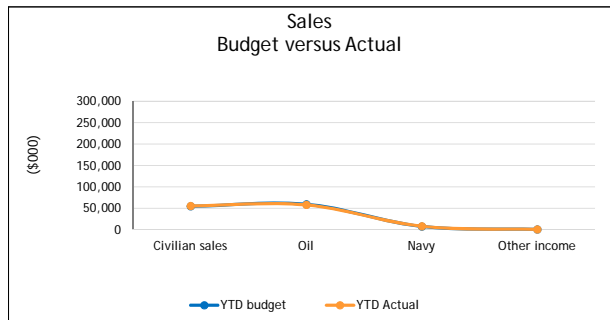
	February 2021		February 2020		Y T D 2021		Y T D 2020		MOVING TWELVE MONTHS	
Gross Generation	28		29		151		151		365	
Number of days in Period	238		230		239		247		247	
Peak demand	02/24/21		02/10/20		10/29/21		10/23/19		10/23/19	
Date	KWH	% change	KWH	% change	KWH	% change	KWH	% change	KWH	% change
Energy Account:										
Kilowatt hours GPA:										
Cabras 1 & 2	51,141,000		60,070,000		311,711,000		279,971,000		732,518,000	
Cabras No. 3	0		0		0		0		0	
Cabras No. 4	0		0		0		0		0	
MEC (ENRON) Piti 8 (IPP)	21,973,800		24,906,400		121,192,300		139,545,200		312,931,700	
MEC (ENRON) Piti 9 (IPP)	25,283,500		20,456,700		132,377,300		129,803,300		311,408,100	
TEMES Piti 7 (IPP)	3,118,188		509,704		9,237,502		19,217,514		20,270,727	
Tanguisson 2	0		0		0		0		0	
Tanguisson 1	0		0		0		0		0	
Diesels/CT's & Others:										
MDI 10MW	0		1,216		15,249		114,181		30,998	
NRG Solar Dandan	4,339,500		4,118,155		20,233,593		19,557,859		50,380,680	
Dededo CT #1	594,110		39,390		955,190		1,416,300		1,335,060	
Dededo CT #2	932,790		0		1,429,290		2,587,320		2,462,690	
Macheche CT	4,749,790		2,765,371		18,437,073		24,317,626		46,606,593	
Yigo CT (Leased)	3,727,005		2,598,581		12,786,900		20,190,012		38,977,124	
Tenjo	746,320		2,892,170		5,835,700		21,807,910		20,197,690	
Talofoto 10 MW	171,600		19,060		177,350		1,117,790		199,270	
Aggreko	11,442,323		10,278,994		55,684,118		39,127,801		140,414,052	
Wind Turbine*	0		94,367		0		130,953		39,627	
Orote	0		0		0		0		0	
Marbo	0		0		0		0		0	
	128,219,926		128,750,108		690,072,566		698,904,766		1,677,772,311	
Ratio to last year		99.59		105.14		98.74		100.84		96.78
Station use	5,241,210		5,507,767		28,370,872		27,376,788		66,480,902	
Ratio to Gross generation		4.09		4.28		4.11		3.92		3.96
Net send out	122,978,716		123,242,341		661,701,694		671,527,978		1,611,291,409	
Ratio to last year		99.79		104.81		98.54		100.79		96.71
KWH deliveries:										
Sales to Navy (@34.5kv)	23,290,980		23,581,439		129,316,777		126,144,334		312,524,625	
Ratio to last year		98.77		105.42		102.51		101.01		99.19
GPA-metered	99,687,736		99,660,902		532,384,917		545,383,644		1,298,766,784	
Ratio to last year		100.03		104.67		97.62		100.74		96.13
Power factor adj.	0		0		0		0		0	
Adjusted	99,687,736		99,660,902		532,384,917		545,383,644		1,298,766,784	
GPA KWH Accountability:										
Sales to civilian customers- accrual basis	91,907,713		91,765,024		499,097,796		505,664,018		1,207,479,795	
Ratio to last year		100.16		103.35		98.70		100.51		96.06
GPA use-KWH	304,985		323,549		1,614,473		1,697,152		3,969,461	
Unaccounted For	7,475,038		7,572,329		31,672,648		38,022,474		87,317,528	
Ratio to deliveries		7.50		7.60		5.95		6.97		6.72
Ratio to Gross Generation		5.83		5.88		4.59		5.44		5.20
Ratio to Net Send Out		6.09		6.14		4.79		5.66		5.43

GPA-317Feb21

Guam Power Authority
Fuel Consumption
FY 2021

Description	February 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	146,132	\$8,619,959	795,309	\$ 42,329,042	1,746,133	\$ 82,219,224
Diesel	55,539	\$3,735,048	217,064	\$ 13,250,632	557,778	\$ 34,033,239
Low Sulfur	5,914	\$275,021	82,865	\$ 3,550,797	373,161	\$ 20,134,683
Deferred Fuel Costs	0	-\$996,932	0	\$ (9,090,909)	0	\$ (11,984,927)
Fuel Adjustments	0	\$0	0	\$ (16,717)	0	\$ (461,463)
Fuel Handling Costs	0	\$1,607,503	0	\$ 7,881,870	0	\$ 19,351,903
	207,585	\$13,240,599	1,095,238	\$ 57,904,715	2,677,072	\$ 143,292,658
IWPS:						
GPA RFO	146,132	\$8,619,959	795,309	\$ 42,329,042	1,746,133	\$ 82,219,224
Diesel	55,539	\$3,735,048	217,064	\$ 13,250,632	557,778	\$ 34,033,239
Low Sulfur	5,914	\$275,021	82,865	\$ 3,550,797	373,161	\$ 20,134,683
Deferred Fuel Costs	0	-\$996,932	0	\$ (9,090,909)	0	\$ (11,984,927)
Fuel Variance	0	\$0	0	\$ (16,717)	0	\$ (461,463)
Fuel Handling Costs	0	\$1,607,503	0	\$ 7,881,870	0	\$ 19,351,903
	207,585	\$13,240,599	1,095,238	\$ 57,904,715	2,677,072	\$ 143,292,658
AVERAGE COST/Bbl.						
GPA RFO		\$58.99		\$53.22		\$47.09
Diesel		\$67.25		\$61.04		\$61.02
Low Sulfur		\$46.51		\$42.85		\$53.96
AS BURNED						
Cabras 1 & 2						
RFO	85,231	\$ 5,040,991	481,007	\$ 25,721,827	1,082,867	\$ 51,095,210
Low Sulfur	3,645	\$ 169,493	51,525	\$ 2,238,395	185,010	\$ 9,561,131
Diesel	<u>133</u>	<u>\$ 10,203</u>	<u>711</u>	<u>\$ 60,929</u>	<u>1,007</u>	<u>\$ 88,114</u>
	89,009	\$ 5,220,687	533,243	\$ 28,021,151	1,268,884	\$ 60,744,456
Cabras 3 & 4						
RFO	0	\$ -	0	\$ -	0	\$ -
Low Sulfur	0	\$ -	0	\$ -	0	\$ -
Diesel	<u>0</u>	<u>\$ -</u>	<u>0</u>	<u>\$ -</u>	<u>0</u>	<u>\$ -</u>
	0	\$ -	0	\$ -	0	\$ -
MEC (Piti Units 8&9)						
RFO	60,901	\$ 3,578,968	314,302	\$ 16,607,216	663,266	\$ 31,124,013
Low Sulfur	2,269	\$ 105,528	31,340	\$ 1,312,402	188,151	\$ 10,573,552
Diesel	<u>1</u>	<u>\$ 108</u>	<u>10</u>	<u>\$ 924</u>	<u>40</u>	<u>\$ 3,001</u>
	63,171	\$ 3,684,604	345,652	\$ 17,920,541	851,457	\$ 41,700,565
Diesel & CT's - GPA:						
MDI Dsl	0	\$ -	51	\$ 4,788	72	\$ 6,819
Macheche CT	10,370	\$ 700,502	40,862	\$ 2,428,633	103,713	\$ 6,029,247
Yigo CT	8,368	\$ 564,087	28,522	\$ 1,678,968	86,433	\$ 4,953,532
Talofofo 10 MW	287	\$ 25,090	297	\$ 25,944	334	\$ 29,186
Aggreko	21,318	\$ 1,472,429	102,965	\$ 6,094,537	261,053	\$ 15,428,790
Tenjo	1,314	\$ 121,440	10,244	\$ 941,885	35,392	\$ 3,234,930
TEMES (IPP)	8,944	\$ 597,654	25,964	\$ 1,549,673	57,521	\$ 3,378,360
GWA Generators	<u>6</u>	<u>\$ 780</u>	<u>47</u>	<u>\$ 6,427</u>	<u>71</u>	<u>\$ 9,681</u>
	55,405	\$ 3,724,737	216,343	\$ 13,188,779	556,732	\$ 33,942,124
Deferred Fuel Costs	0	\$ (996,932)	0	\$ (9,090,909)	0	\$ (11,984,927)
Adjustment	0	\$ -	0	\$ (16,717)	0	\$ (461,463)
Fuel Handling Costs	<u>0</u>	<u>\$ 1,607,503</u>	<u>0</u>	<u>\$ 7,881,870</u>	<u>0</u>	<u>\$ 19,351,903</u>
TOTAL	207,585	\$ 13,240,599	1,095,238	\$ 57,904,715	2,677,072	\$ 143,292,658

Statement of operations Comparison-Budget versus Actual For the month and year to date ended February 28, 2021						
	Budget	Actual February-21	Variance	YTD Budget	YTD Actual	Variance
KwH Sales-Civilian	85,682	102,210	(16,528)	485,478	509,400	(23,922)
Non-fuel yield	\$ 0.113258	\$ 0.102808	\$ 0.010450	\$ 0.112490	\$ 0.109456	\$ 0.003034
KwH Sales-Navy	21,586	23,876	(2,290)	120,508	133,023	(12,515)
Non-fuel yield	\$ 0.063624	\$ 0.053560	\$ 0.010064	\$ 0.063624	\$ 0.060779	\$ 0.002845
Operating revenue						
Civilian sales	\$ 9,704	\$ 10,508	\$ (804)	\$ 54,612	\$ 55,757	\$ (1,145)
Oil	16,274	13,241	3,033	59,563	57,905	1,658
Navy	1,373	1,446	(73)	7,667	8,085	(418)
DSM-Rebates	-	302	(302)	-	1,548	(1,548)
Other income	180	238	(58)	900	762	138
	27,532	25,735	1,796	122,741	124,057	(1,316)
Bad debts expense	87	87	0	435	435	0
Total operating revenues	\$ 27,444	\$ 25,648	\$ 1,796	\$ 122,306	\$ 123,622	\$ (1,316)
Operating expenses:						
Production fuel	\$ 16,274	\$ 13,241	\$ 3,033	\$ 59,563	\$ 57,905	\$ 1,658
O & M expenses:						
Other production	1,708	1,335	372	8,356	6,195	2,161
Transmission distribution	873	980	(106)	4,545	5,715	(1,170)
Administrative expense	2,505	2,452	53	12,841	13,295	(454)
Customer accounting	445	426	18	2,238	2,157	81
	5,530	5,193	337	27,980	27,362	618
IPP costs	1,383	1,353	29	6,913	5,425	1,488
Depreciation	3,291	3,119	172	16,454	16,027	427
	26,478	22,906	3,571	110,910	106,718	4,192
Operating income	967	2,742	(1,775)	11,396	16,904	(5,508)
Other revenue (expenses):						
Investment income	83	52	31	417	255	162
Interest expense	(2,185)	(2,177)	(8)	(10,926)	(10,960)	34
Allowance for funds used during constructio	-	86	(86)	-	445	(445)
Pandemic -COVID19	-	(5)	5	-	(117)	117
Losses due to typhoon	-	(20)	20	-	(29)	29
Bond issuance costs/Other expenses	89	85	4	446	425	22
Net income before capital contribution	(1,046)	764	(1,810)	1,333	6,922	(5,590)
Grants from the U.S. Government	-	-	-	-	-	-
Increase (decrease) in net assets	\$ (1,046)	\$ 764	\$ (1,810)	\$ 1,333	\$ 6,922	\$ (5,590)

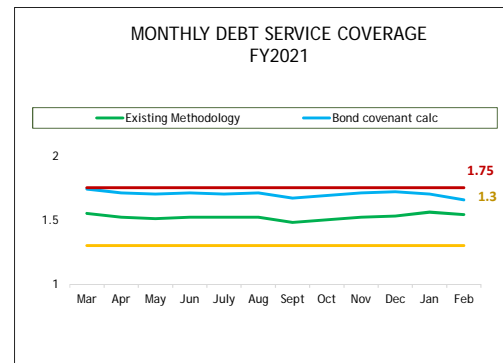


Guam Power Authority
Debt service coverage
February 28, 2021

	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	\$16,904
Interest Income	\$122	\$620	\$2,746	\$2,377	(11)
Depreciation Expense	44,292	37,184	36,999	37,958	16,027
Balance Available for Debt Service	<u>\$80,936</u>	<u>\$75,968</u>	<u>\$78,798</u>	<u>\$79,776</u>	<u>\$32,919</u>
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	<u>\$26,405</u>	<u>\$26,369</u>	<u>\$14,538</u>	<u>\$8,930</u>	<u>\$2,245</u>
Bond Debt Service					
Principal (1993 & 1999 Revenue Bond)	\$0	\$0	\$0	\$0	\$0
Interest (1993 & 1999 Revenue Bond)	0	0	0	0	0
Principal and Interest (2010 Subordinate Bond)	0	0	0	0	0
Principal and Interest (2010 Senior TE Bond)	7,999	2,000	0	0	0
Principal and Interest (2012 Senior TE Bond)	17,449	17,086	31,467	35,232	14,680
Principal and Interest (2014 Senior TE Bond)	5,084	5,083	5,084	5,087	2,120
Principal and Interest (2017 Senior TE Bond)		5916	7,607	7,418	3,090
Total	<u>\$30,532</u>	<u>\$30,086</u>	<u>\$44,158</u>	<u>\$47,737</u>	<u>\$19,890</u>
Debt Service Coverage (DSC) Calculation					
Existing DSC Methodology (Senior)	1.79 x	1.65 x	1.46 x	1.48 x	1.54 x
Existing DSC Methodology (Senior+Subordinate)	1.79 x	1.65 x	1.46 x	1.48 x	1.54 x
Bond Covenant DSC	2.65 x	2.53 x	1.78 x	1.67 x	1.66 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)

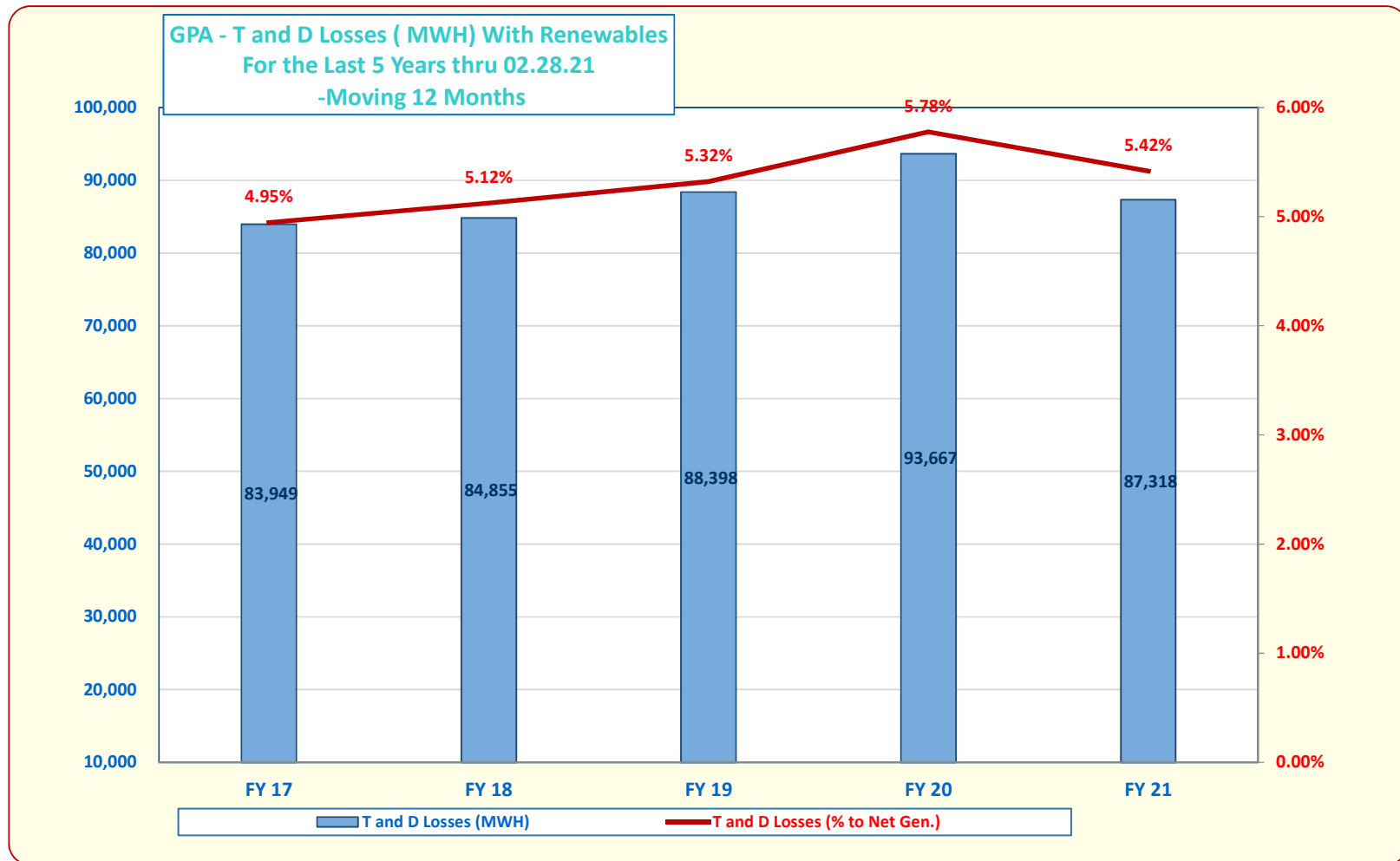


CCU Regular Meeting March 23, 2021 - GPA

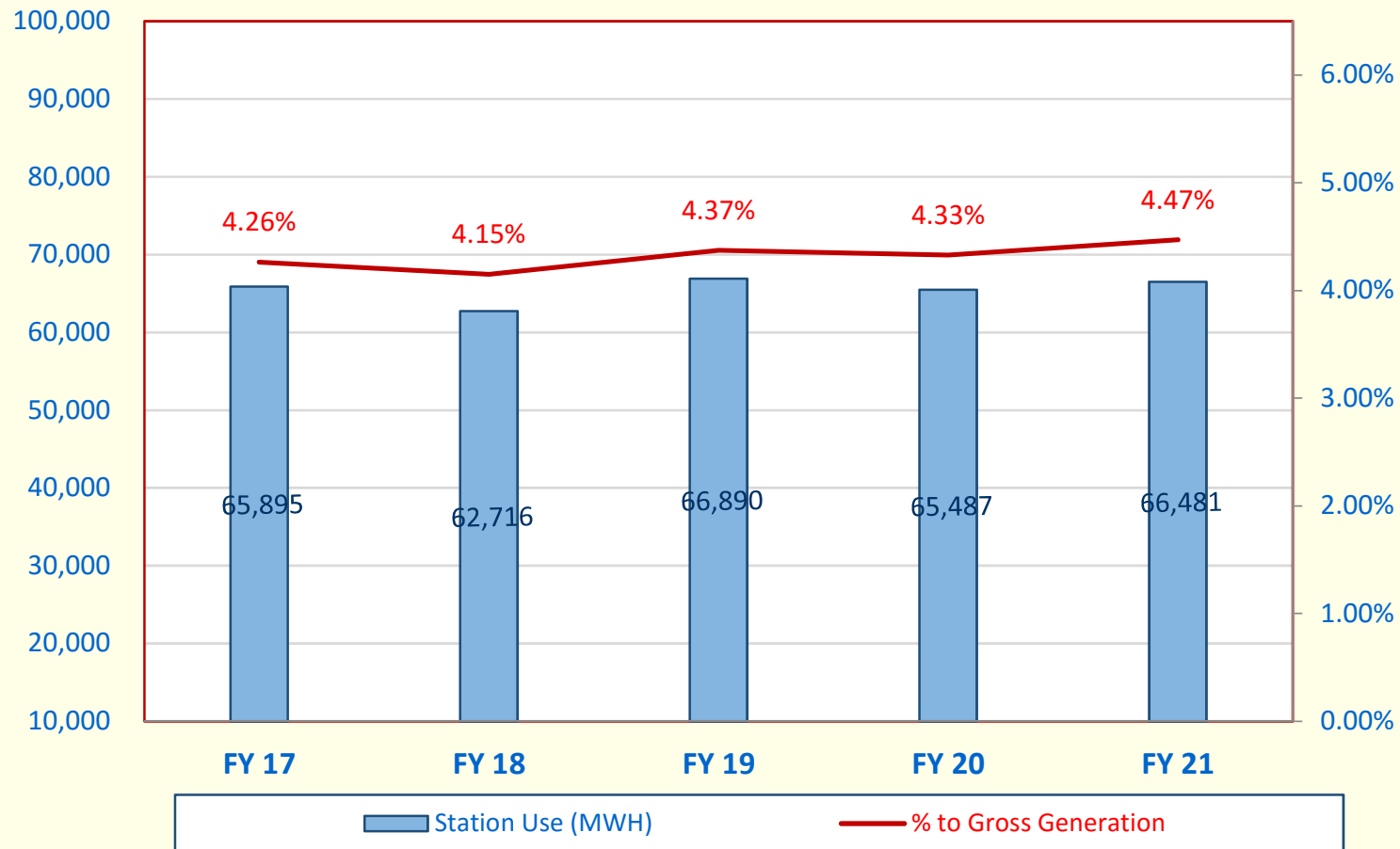
REVENUES-ACTUAL VS PROJECTIONS								
MONTHLY - FEBRUARY 2021					YTD THRU 02/28/21			
	PROJECTIONS	ACTUAL	VARIANCE	% VARIANCE	PROJECTIONS	ACTUAL	VARIANCE	% VARIANCE
KWH								
Residential	32,312,107	42,297,847	9,985,740	30.90%	187,962,297	234,048,636	46,086,339	24.52%
Small General-Non-Demand	5,232,082	5,320,594	88,512	1.69%	30,924,714	27,825,402	(3,099,312)	-10.02%
Small General-Demand	12,945,164	14,414,603	1,469,439	11.35%	71,847,532	75,891,217	4,043,685	5.63%
Large	21,344,278	16,494,154	(4,850,125)	-22.72%	119,436,335	90,734,209	(28,702,126)	-24.03%
Independent Power Producers	24,985	33,249	8,264	33.08%	151,404	211,572	60,168	39.74%
Private St. Lites	31,619	31,009	(610)	-1.93%	160,731	164,418	3,688	2.29%
Sub-total	71,890,236	78,591,456	6,701,220	9.32%	410,483,013	428,875,454	18,392,441	4.48%
Government								
Small_Non Demand	983,604	735,075	(248,529)	-25.27%	5,435,976	3,942,160	(1,493,816)	-27.48%
Small-Demand	6,955,314	7,585,311	629,997	9.06%	37,550,285	39,471,310	1,921,026	5.12%
Large	5,089,159	4,438,169	(650,990)	-12.79%	28,467,415	23,866,516	(4,600,899)	-16.16%
Public St. Lites	764,080	557,701	(206,378)	-27.01%	3,541,599	2,942,355	(599,244)	-16.92%
Sub-total	13,792,157	13,316,257	(475,900)	-3.45%	74,995,274	70,222,342	(4,772,933)	-6.36%
Total-Civilian	85,682,392	91,907,713	6,225,320	7.27%	485,478,287	499,097,796	13,619,509	2.81%
USN	21,585,997	23,290,980	1,704,984	7.90%	120,507,511	129,316,776	8,809,265	7.31%
Grand Total	107,268,389	115,198,693	7,930,304	7.39%	605,985,798	628,414,572	22,428,774	3.70%
Non-Oil Yield								
Residential	0.096307	0.096735	0.000427	0.44%	0.079752	0.094970	0.015219	19.08%
Small General-Non-Demand	0.138862	0.146573	0.007711	5.55%	0.115368	0.142796	0.027428	23.77%
Small General-Demand	0.120116	0.118786	(0.001331)	-1.11%	0.098474	0.117617	0.019143	19.44%
Large	0.103865	0.111465	0.007599	7.32%	0.085304	0.108327	0.023023	26.99%
Independent Power Producers	0.624112	0.113053	(0.511058)	0.00%	0.521120	0.092057	(0.429063)	0.00%
Private St. Lites	0.128477	0.640129	0.511652	398.24%	0.103203	0.625256	0.522053	505.85%
Sub-total	0.106133	0.107466	0.001333	1.26%	0.087499	0.105108	0.017609	20.12%
Government								
Small_Non Demand	0.152623	0.165375	0.012753	8.36%	0.125007	0.163209	0.038202	30.56%
Small-Demand	0.133106	0.136481	0.003375	2.54%	0.108451	0.134674	0.026223	24.18%
Large	0.124944	0.127068	0.002124	1.70%	0.102607	0.125918	0.023311	22.72%
Public St. Lites	0.474388	0.611514	0.137126	28.91%	0.372041	0.582283	0.210242	56.51%
Sub-total	0.150393	0.154834	0.004441	2.95%	0.119881	0.152055	0.032175	26.84%
Total-Civilian	0.113258	0.114329	0.001071	0.95%	0.098257	0.111714	0.013457	13.70%
USN	0.063624	0.062095	(0.001529)	-2.40%	0.052227	0.062529	0.010302	19.73%
Grand Total	0.103270	0.103768	0.000499	0.48%	0.084492	0.101592	0.017100	20.24%
Non-Oil Revenues								
Residential	3,111,897	4,091,676	979,779	31.48%	14,990,276	22,227,699	7,237,423	48.28%
Small General-Non-Demand	726,535	779,853	53,317	7.34%	3,567,720	3,973,351	405,631	11.37%
Small General-Demand	1,554,927	1,712,248	157,322	10.12%	7,075,141	8,926,126	1,850,985	26.16%
Large	2,216,926	1,838,514	(378,412)	-17.07%	10,188,345	9,828,950	(359,395)	-3.53%
Independent Power Producers	15,593	3,759	(11,834)	-75.89%	78,900	19,477	(59,423)	-75.31%
Private St. Lites	4,062	19,850	15,788	388.63%	16,588	102,804	86,216	519.75%
Sub-total	7,629,941	8,445,901	815,959	10.69%	35,916,970	45,078,406	9,161,437	25.51%
Government								
Small_Non Demand	150,120	121,563	(28,557)	-19.02%	679,532	643,395	(36,137)	-5.32%
Small-Demand	925,795	1,035,252	109,457	11.82%	4,072,379	5,315,774	1,243,395	30.53%
Large	635,859	563,949	(71,910)	-11.31%	2,920,967	3,005,235	84,268	2.88%
Public St. Lites	362,470	341,042	(21,428)	-5.91%	1,317,621	1,713,285	395,664	30.03%
Sub-total	2,074,244	2,061,807	(12,437)	-0.60%	8,990,499	10,677,689	1,687,190	18.77%
Total-Civilian	9,704,185	10,507,707	803,522	8.28%	44,907,469	55,756,095	10,848,626	24.16%
USN	1,373,380	1,446,247	72,867	5.31%	6,293,746	8,086,056	1,792,309	28.48%
Grand Total	11,077,565	11,953,954	876,389	7.91%	51,201,215	63,842,151	12,640,936	24.69%
% of Total Revenues	40.50%	47.45%			46.23%	52.44%		
Oil Revenues								
Residential	4,902,167	5,049,096	146,929	3.00%	18,412,603	21,096,911	2,684,308	14.58%
Small General-Non-Demand	793,775	636,825	(156,950)	-19.77%	3,023,895	2,520,275	(503,620)	-16.65%
Small General-Demand	1,963,950	1,685,065	(278,884)	-14.20%	7,076,675	6,829,139	(247,536)	-3.50%
Large	3,238,205	1,819,115	(1,419,089)	-43.82%	11,752,595	8,018,300	(3,734,295)	-31.77%
Independent Power Producers	3,791	3,444	(346)	-9.14%	14,764	18,172	3,409	23.09%
Private St. Lites	4,797	3,315	(1,482)	-30.90%	16,004	14,480	(1,524)	-9.52%
Sub-total	10,906,683	9,196,860	(1,709,823)	-15.68%	40,296,536	38,497,277	(1,799,260)	-4.47%
Government								
Small_Non Demand	149,226	79,083	(70,142)	-47.00%	535,691	347,487	(188,204)	-35.13%
Small-Demand	1,055,212	816,692	(238,519)	-22.60%	3,710,855	3,485,263	(225,592)	-6.08%
Large	772,092	471,420	(300,672)	-38.94%	2,801,324	2,088,273	(713,051)	-25.45%
Public St. Lites	115,921	59,613	(56,308)	-48.57%	357,010	259,187	(97,822)	-27.40%
Sub-total	2,092,449	1,426,809	(665,641)	-31.81%	7,404,880	6,180,211	(1,224,669)	-16.54%
Total-Civilian	12,999,133	10,623,668	(2,375,464)	-18.27%	47,701,416	44,677,488	(3,023,929)	-6.34%
USN	3,274,876	2,616,931	(657,945)	-20.09%	11,861,264	13,227,228	1,365,964	11.52%
Grand Total	16,274,009	13,240,599	(3,033,410)	-18.64%	59,562,680	57,904,715	(1,657,965)	-2.78%
% of Total Revenues	59.50%	52.55%			53.77%	47.56%		
Grand Total								
Residential	8,014,064	9,140,772	1,126,708	14.06%	33,402,879	43,324,610	9,921,731	29.70%
Small General-Non-Demand	1,520,310	1,416,678	(103,632)	-6.82%	6,591,616	6,493,626	(97,990)	-1.49%
Small General-Demand	3,518,876	3,397,314	(121,563)	-3.45%	14,151,816	15,755,265	1,603,449	11.33%
Large	5,455,131	3,657,630	(1,797,501)	-32.95%	21,940,940	17,847,249	(4,093,690)	-18.66%
Independent Power Producers	19,384	7,203	(12,181)	-62.84%	93,663	37,649	(56,014)	-59.80%
Private St. Lites	8,859	23,165	14,305	161.47%	32,592	117,283	84,692	259.86%
Sub-total	18,536,625	17,642,760	(893,864)	-4.82%	76,213,506	83,575,683	7,362,177	9.66%
Government								
Small_Non Demand	299,346	200,646	(98,699)	-32.97%	1,215,224	990,882	(224,341)	-18.46%
Small-Demand	1,981,007	1,851,945	(129,062)	-6.51%	7,783,234	8,801,037	1,017,804	13.08%
Large	1,407,950	1,035,369	(372,581)	-26.46%	5,722,291	5,093,508	(628,783)	-10.99%
Public St. Lites	478,391	400,655	(77,735)	-16.25%	1,674,631	1,972,472	297,841	17.79%
Sub-total	4,166,693	3,488,615	(678,078)	-16.27%	16,395,380	16,857,900	462,521	2.82%
Total-Civilian	22,703,318	21,131,376	(1,571,942)	-6.92%	92,608,885	100,433,583	7,824,697	8.45%
USN	4,648,256	4,063,178	(585,078)	-12.59%	18,155,010	21,313,283	3,158,273	17.40%
Grand Total	27,351,574	25,194,553	(2,157,021)	-7.89%	110,763,896	121,746,866	10,982,971	9.92%

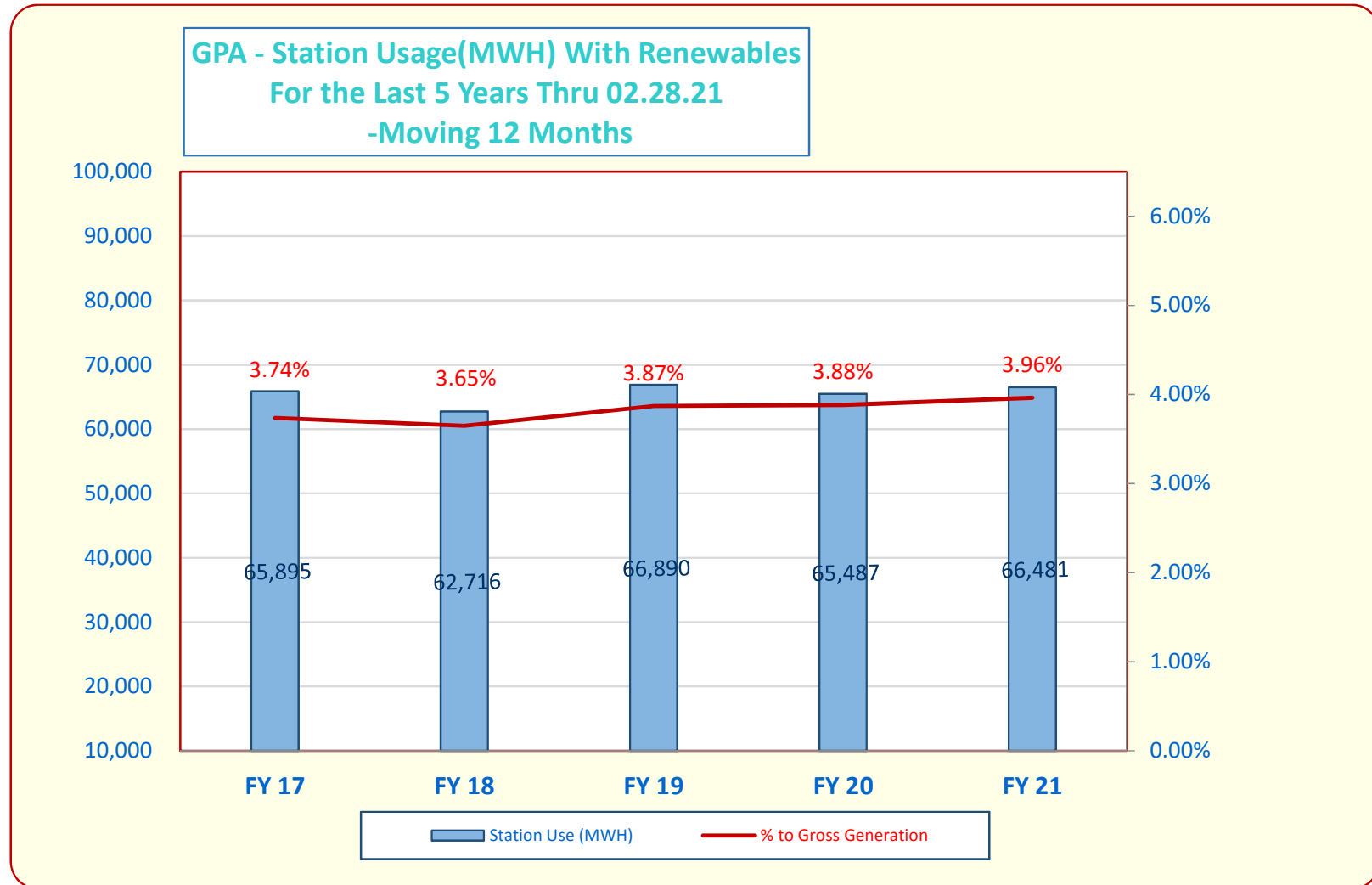
CCU Regular Meeting March 23, 2021 - GPA

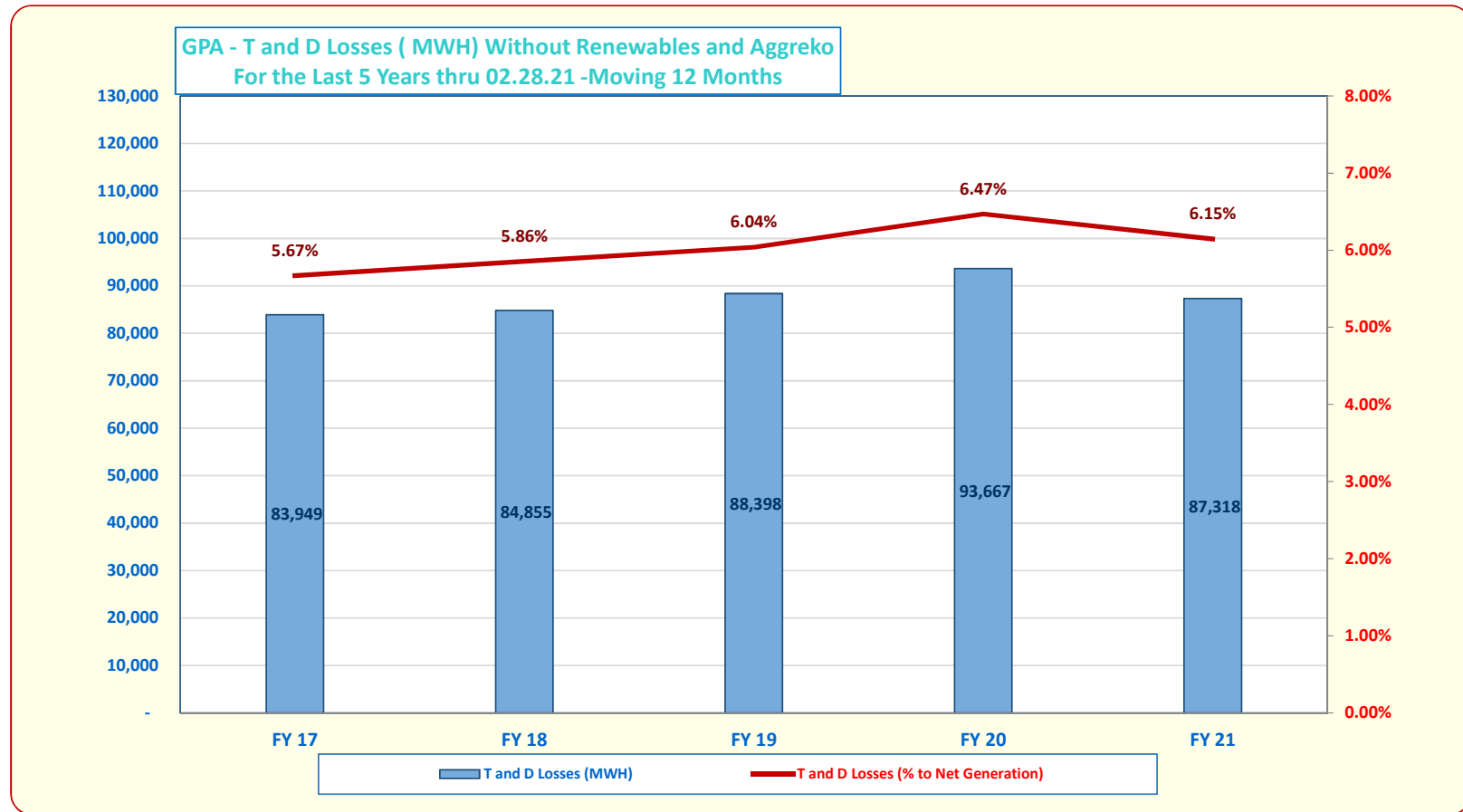
YTD REVENUES - CURRENT YEAR VS PRIOR YEAR					MTD REVENUES - CURRENT YEAR VS PRIOR YEAR				
ACTUALS - 5 MONTHS ENDED FEBRUARY 28					ACTUALS - MONTH ENDED FEBRUARY 28				
	2021	2020	VARIANCE	% VARIANCE	2021	2020	VARIANCE	% VARIANCE	
KWH									
Residential	234,048,636	198,869,981	35,178,655	17.69%	42,297,847	35,110,181	7,187,666	20.47%	
Small General-Non-Demand	27,825,402	26,251,204	1,574,197	6.00%	5,320,594	4,778,920	541,674	11.33%	
Small General-Demand	75,891,217	79,514,139	(3,622,922)	-4.56%	14,414,603	14,757,497	(342,894)	-2.32%	
Large	90,734,209	122,230,001	(31,495,792)	-25.77%	16,494,154	22,344,580	(5,850,427)	-26.18%	
Independent Power Producers	211,572	167,169	44,403	26.56%	33,249	40,116	(6,867)	-17.12%	
Private St. Lites	164,418	165,765	(1,346)	-0.81%	31,009	32,183	(1,174)	-3.65%	
Sub-total	428,875,454	427,198,260	1,677,194	0.39%	78,591,456	77,063,477	1,527,979	1.98%	
Government									
Small_Non Demand	3,942,160	3,608,551	333,609	9.24%	735,075	669,590	65,485	9.78%	
Small-Demand	39,471,310	42,317,431	(2,846,121)	-6.73%	7,585,311	8,059,004	(473,693)	-5.88%	
Large	23,866,516	29,559,694	(5,693,177)	-19.26%	4,438,169	5,396,114	(957,945)	-17.75%	
Public St. Lites	2,942,355	2,980,083	(37,727)	-1.27%	557,701	576,839	(19,138)	-3.32%	
Sub-total	70,222,342	78,465,759	(8,243,417)	-10.51%	13,316,257	14,701,547	(1,385,290)	-9.42%	
Total-Civilian	499,097,796	505,664,018	(6,566,222)	-1.30%	91,907,713	91,765,024	142,689	0.16%	
USN	129,316,776	126,144,335	3,172,442	2.51%	23,290,980	23,581,439	(290,459)	-1.23%	
Grand Total	628,414,572	631,808,353	(3,393,781)	-0.54%	115,198,693	115,346,464	(147,771)	-0.13%	
Non-Oil Yield									
Residential	0.094970	0.096244	-0.001273	-1.32%	0.096735	0.099074	-0.002339	-2.36%	
Small General-Non-Demand	0.142796	0.143394	-0.000598	-0.42%	0.146573	0.147612	-0.001040	-0.70%	
Small General-Demand	0.117617	0.122138	-0.004521	-3.70%	0.118786	0.122960	-0.004174	-3.39%	
Large	0.108327	0.104919	0.003408	3.25%	0.111465	0.107591	0.003874	3.60%	
Independent Power Producers	0.092057	0.123771	-0.031714	-25.62%	0.113053	0.137159	-0.024106	-17.58%	
Private St. Lites	0.625256	0.621897	0.003359	0.54%	0.640129	0.647023	-0.006893	-1.07%	
Sub-total	0.105108	0.106658	-0.001549	-1.45%	0.107466	0.109376	-0.001910	-1.75%	
Government									
Small_Non Demand	0.163209	0.163463	-0.000254	-0.16%	0.165375	0.159020	0.006355	4.00%	
Small-Demand	0.134674	0.134021	0.000653	0.49%	0.136481	0.134897	0.001584	1.17%	
Large	0.125918	0.126000	-0.000081	-0.06%	0.127068	0.128114	-0.001046	-0.82%	
Public St. Lites	0.582283	0.575488	0.006795	1.18%	0.611514	0.592874	0.018640	3.14%	
Sub-total	0.152055	0.149120	0.002936	1.97%	0.154834	0.151476	0.003358	2.22%	
Total-Civilian	0.111714	0.113247	-0.001533	-1.35%	0.114329	0.116121	-0.001792	-1.54%	
USN	0.062529	0.063362	-0.000833	-1.31%	0.062095	0.072122	-0.010027	-13.90%	
Grand Total	0.101592	0.103287	-0.001694	-1.64%	0.103768	0.107126	-0.003357	-3.13%	
Non-Oil Revenues									
Residential	22,227,699	19,139,952	3,087,747	16.13%	4,091,676	3,478,503	613,173	17.63%	
Small General-Non-Demand	3,973,351	3,764,269	209,082	5.55%	779,853	705,426	74,426	10.55%	
Small General-Demand	8,926,126	9,711,727	(785,600)	-8.09%	1,712,248	1,814,580	(102,332)	-5.64%	
Large	9,828,950	12,824,205	(2,995,255)	-23.36%	1,838,514	2,404,070	(565,556)	-23.52%	
Independent Power Producers	19,477	20,691	(1,214)	-5.87%	3,759	5,502	(1,743)	-31.68%	
Private St. Lites	102,804	103,089	(285)	-0.28%	19,850	20,823	(973)	-4.67%	
Sub-total	45,078,406	45,563,933	(485,527)	-1.07%	8,445,901	8,428,904	16,996	0.20%	
Government									
Small_Non Demand	643,395	589,863	53,531	9.08%	121,563	106,478	15,085	14.17%	
Small-Demand	5,315,774	5,671,422	(355,648)	-6.27%	1,035,252	1,087,137	(51,885)	-4.77%	
Large	3,005,235	3,724,508	(719,272)	-19.31%	563,949	691,318	(127,369)	-18.42%	
Public St. Lites	1,713,285	1,715,003	(1,718)	-0.10%	341,042	341,993	(950)	-0.28%	
Sub-total	10,677,689	11,700,796	(1,023,107)	-8.74%	2,061,807	2,226,927	(165,120)	-7.41%	
Total-Civilian	55,756,095	57,264,732	(1,508,634)	-2.63%	10,507,707	10,655,831	(148,124)	-1.39%	
USN	8,086,056	7,992,743	93,312	1.17%	1,446,247	1,700,730	(254,483)	-14.96%	
Grand Total	63,842,151	65,257,472	(1,415,321)	-2.17%	11,953,954	12,356,561	(402,607)	-3.26%	
% of Total Revenues									
Oil Revenues									
Residential	21,096,911	29,592,529	(8,495,618)	-28.71%	5,049,096	4,333,890	715,205	16.50%	
Small General-Non-Demand	2,520,275	3,902,075	(1,381,800)	-35.41%	636,825	590,147	46,678	7.91%	
Small General-Demand	6,829,139	11,832,546	(5,003,407)	-42.29%	1,685,065	1,848,788	(163,723)	-8.86%	
Large	8,018,300	18,254,767	(10,236,467)	-56.08%	1,819,115	2,919,794	(1,100,679)	-37.70%	
Independent Power Producers	18,172	24,073	(5,901)	-24.51%	3,444	5,145	(1,700)	-33.05%	
Private St. Lites	14,480	24,932	(10,452)	-41.92%	3,315	4,328	(1,013)	-23.41%	
Sub-total	38,497,277	63,630,923	(25,133,646)	-39.50%	9,196,860	9,702,092	(505,232)	-5.21%	
Government									
Small_Non Demand	347,487	546,936	(199,448)	-36.47%	79,083	93,624	(14,541)	-15.53%	
Small-Demand	3,485,263	6,361,872	(2,876,608)	-45.22%	816,692	1,077,784	(261,091)	-24.22%	
Large	2,088,273	4,394,751	(2,306,478)	-52.48%	471,420	713,675	(242,255)	-33.94%	
Public St. Lites	259,187	448,251	(189,064)	-42.18%	59,613	77,570	(17,957)	-23.15%	
Sub-total	6,180,211	11,751,810	(5,571,599)	-47.41%	1,426,809	1,962,653	(535,844)	-27.30%	
Total-Civilian	44,677,488	75,382,732	(30,705,245)	-40.73%	10,623,668	11,664,745	(1,041,076)	-8.92%	
USN	13,227,228	16,088,878	(2,861,650)	-17.79%	2,616,931	2,036,089	580,842	28.53%	
Grand Total	57,904,715	91,471,610	(33,566,895)	-36.70%	13,240,599	13,700,833	(460,234)	-3.36%	
% of Total Revenues									
Grand Total									
Residential	43,324,610	48,732,482	(5,407,872)	-11.10%	9,140,772	7,812,393	1,328,379	17.00%	
Small General-Non-Demand	6,493,626	7,666,345	(1,172,718)	-15.30%	1,416,678	1,295,574	121,104	9.35%	
Small General-Demand	15,755,265	21,544,273	(5,789,008)	-26.87%	3,397,314	3,663,368	(266,055)	-7.26%	
Large	17,847,249	31,078,972	(13,231,723)	-42.57%	3,657,630	5,323,864	(1,666,234)	-31.30%	
Independent Power Producers	37,649	44,764	(7,115)	-15.89%	7,203	10,647	(3,444)	-32.35%	
Private St. Lites	117,283	128,020	(10,737)	-8.39%	23,165	25,151	(1,986)	-7.90%	
Sub-total	83,575,683	109,194,855	(25,619,172)	-23.46%	17,642,760	18,130,996	(488,236)	-2.69%	
Government									
Small_Non Demand	990,882	1,136,799	(145,917)	-12.84%	200,646	200,103	544	0.27%	
Small-Demand	8,801,037	12,033,294	(3,232,256)	-26.86%	1,851,945	2,164,921	(312,976)	-14.46%	
Large	5,093,508	8,119,259	(3,025,751)	-37.27%	1,035,369	1,404,994	(369,625)	-26.31%	
Public St. Lites	1,972,472	2,163,254	(190,782)	-8.82%	400,655	419,563	(18,907)	-4.51%	
Sub-total	16,857,900	23,452,606	(6,594,706)	-28.12%	3,488,615	4,189,580	(700,964)	-16.73%	
Total-Civilian	100,433,583	132,647,461	(32,213,878)	-24.29%	21,131,376	22,320,576	(1,189,200)	-5.33%	
USN	21,313,283	24,081,621	(2,768,338)	-11.50%	4,063,178	3,736,819	326,359	8.73%	
Grand Total	121,746,866	156,729,082	(34,982,216)	-22.32%	25,194,553	26,057,395	(862,841)	-3.31%	



**GPA - Station Usage(MWH) Without Renewables and Aggreko
For the Last 5 Years Thru 02.28.21-Moving 12 Months**





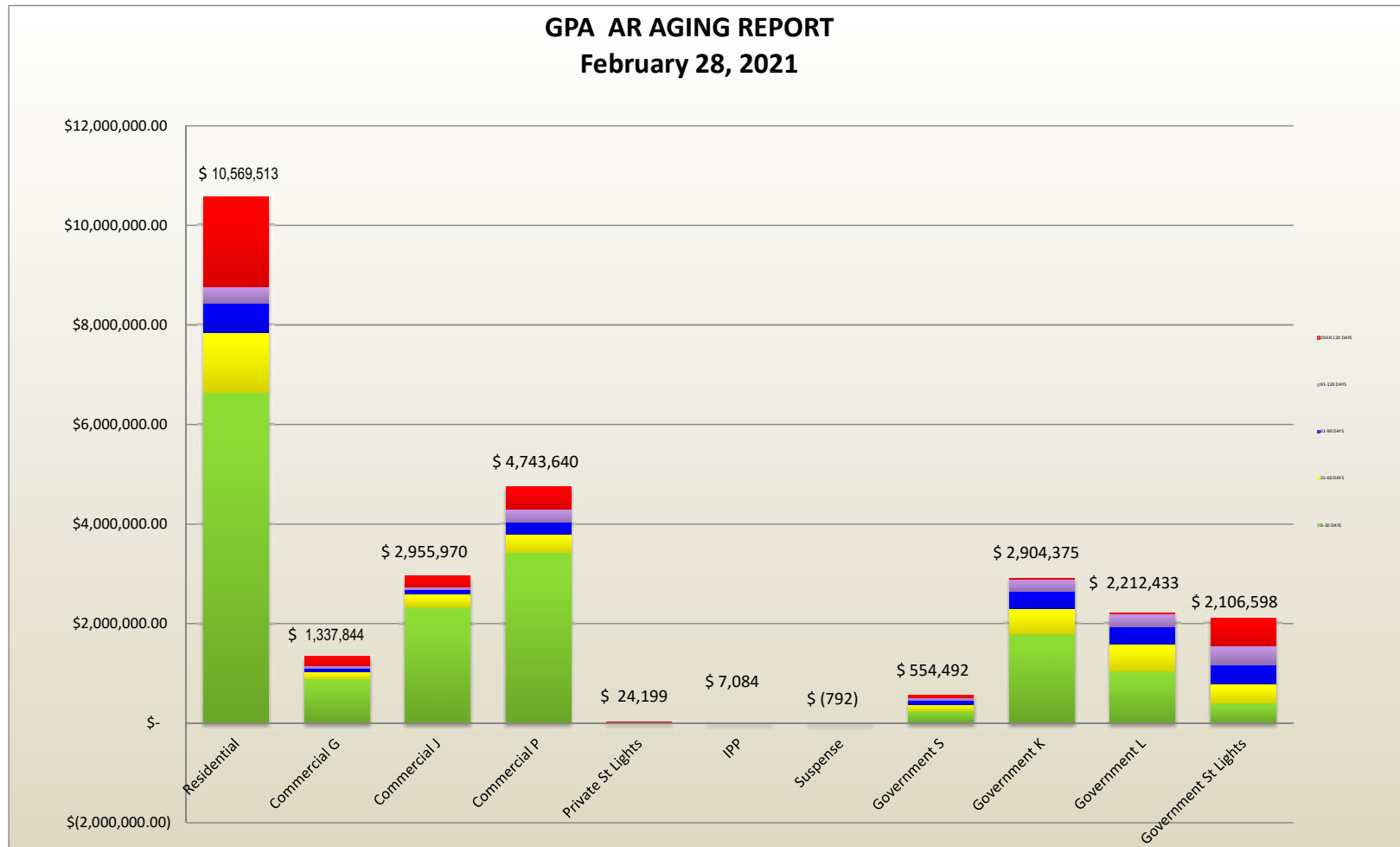


ACCOUNTS RECEIVABLE BY RATE - ACTIVE

AR AGING REPORT

AS OF February 28, 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	\$ 9,093,304.79	5,806,718.77	1,199,782.71	541,477.02	306,628.55	1,238,697.74
1000.142000.11	Residential	\$ 1,476,208.29	831,854.31	7,948.11	57,288.90	8,047.97	571,069.00
1000.142000.12	Commercial G	\$ 1,337,843.65	888,197.30	149,285.21	70,261.38	36,207.55	193,892.21
1000.142000.13	Commercial J	\$ 2,955,969.64	2,337,099.90	255,452.00	83,158.20	59,121.70	221,137.84
1000.142000.14	Commercial P	\$ 4,743,640.01	3,423,150.75	373,555.57	237,205.66	263,027.72	446,700.31
1000.142000.15	Private St Lights	\$ 24,198.79	15,363.31	1,944.24	817.23	340.05	5,733.96
1000.142000.16	IPP	\$ 7,084.33	1,362.91	-	3.96	-	5,717.46
1000.142000.98	Suspense	\$ (792.29)	(792.29)				
	TOTAL PRIVATE	\$ 19,637,457.21	\$ 13,302,954.96	\$ 1,987,967.84	\$ 990,212.35	\$ 673,373.54	\$ 2,682,948.52
1000.142000.19	Government S	\$ 554,491.77	\$ 258,354.81	\$ 116,179.41	\$ 77,830.92	\$ 61,990.44	\$ 40,136.19
1000.142000.20	Government K	\$ 2,904,374.83	\$ 1,786,625.10	\$ 507,139.23	\$ 345,710.67	\$ 257,530.08	\$ 7,369.75
1000.142000.21	Government L	\$ 2,212,433.07	\$ 1,041,699.68	\$ 543,488.98	\$ 359,502.85	\$ 243,697.30	\$ 24,044.26
1000.142000.22	Government St Lights	\$ 2,106,597.80	\$ 402,389.37	\$ 380,824.78	\$ 390,810.47	\$ 380,096.91	\$ 552,476.27
	TOTAL GOVERNMENT	\$ 7,777,897.47	\$ 3,489,068.96	\$ 1,547,632.40	\$ 1,173,854.91	\$ 943,314.73	\$ 624,026.47
	GRAND TOTAL	\$ 27,415,354.68	\$ 16,792,023.92	\$ 3,535,600.24	\$ 2,164,067.26	\$ 1,616,688.27	\$ 3,306,974.99
	Total Residential	\$ 10,569,513.08	\$ 6,638,573.08	\$ 1,207,730.82	\$ 598,765.92	\$ 314,676.52	\$ 1,809,766.74





GUAM POWER AUTHORITY
ATURIDÂT ILEKTRESEDÂT GUAHAN
P.O.BOX 2977 • AGANA, GUAM U.S.A. 96932-2977

Issues for Decision

Resolution No. 2021-04:

**RELATIVE TO AUTHORIZING THE MANAGEMENT OF THE GUAM POWER
AUTHORITY TO PETITION THE PUBLIC UTILITIES COMMISSION
FOR THE THREE (3) YEAR EXTENSION OF THE CONTRACT
FOR THE SUPPLY OF DIESEL FUEL OIL NO.2 FOR THE BASELOADS AND
PEAKING POWER PLANTS**

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

The Guam Power Authority's current contracts under GPA-008-18 for the Supply of Diesel Fuel Oil No.2 for the Baseload and Peaking Plants expire on December 31, 2021. The extension of the fuel supply contracts is necessary to provide uninterrupted supply of fuel for the power plants.

Where is the location?

These contracts service the Baseload and Peaking Power Plants which were split into four (4) specified delivery sites:

Site Location 1 (Yigo CT and Aggreko)

Site Location 2 (Macheche CT and Dededo CT)

Site Location 3 (Piti 7)

Site Location 4 (Cabras 1&2, MEC 8&9, Manenggon Diesel Plant, and Talofofo Diesel Plant)

How much will it cost?

The aggregate cost for the three-year contract extension with Mobil Oil Guam for Sites 1, 3 & 4 is \$170,831,000 (subject to change depending on prevailing market price for diesel) of which \$19,136,600 is for the Fixed Service Fee cost.

The total cost for the three-year contract extension with IP&E Holdings, LLC for Site 2 is estimated at \$50,064,000 (subject to change depending on prevailing market price for diesel) of which \$5,488,000 is for the Fixed Service Fee cost.

The aggregate contract value for all the site locations for the three-year contract extension period is estimated at \$220,895,000 (subject to change depending on prevailing market price for diesel) of which \$24,584,600 is for the Fixed Service Fee cost.

Total estimated savings on the Fixed Service Fee for the 3-year contract extension as compared to the previous contract is at \$1,450,600.

When will it be completed?

The three-year contract extension shall commence on January 1, 2022 and will expire in December 31, 2024.

What is its funding source?

LEAC



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

RESOLUTION NO. 2021-04

AUTHORIZING THE MANAGEMENT OF THE GUAM POWER AUTHORITY TO PETITION THE PUBLIC UTILITIES COMMISSION FOR THE EXTENSION OF THE DIESEL FUEL OIL NO. 2 SUPPLY CONTRACTS WITH MOBIL OIL GUAM, INC (MOGI) AND ISLA PETROLEUM AND ENERGY, LLC (IP&E)

WHEREAS, Mobil Oil Guam, Inc. is the contractor for the supply of Diesel Fuel Oil No.2 to **Site Location 1** (*Yigo CT and Aggreko*), **Site Location 3** (*Piti 7*), and **Site Location 4** (*Cabras 1&2, MEC 8&9, Manenggon Diesel Plant, and Talofofo Diesel Plant*); and

WHEREAS, Isla Petroleum Energy, LLC is the contractor for the supply of Diesel Fuel Oil No.2 to **Site Location 2** (*Macheche CT and Dededo CT*); and

WHEREAS, the two (2) year base period contracts for the Diesel Fuel Oil No.2 Supply (GPA-008-18) between the Guam Power Authority (herein after referred to as "GPA") and Mobil Oil Guam, Inc. (herein after referred to as "Mobil"), and between GPA and Isla Petroleum Energy, LLC (herein after referred to as "IP&E"), will expire on December 31, 2021 with option to extend for up to three (3) years; and

WHEREAS, GPA anticipates that a new solicitation would yield an increased Fixed Service Fee due to the rising cost for the delivery of services with the implementation of the IMO regulation; and

WHEREAS, GPA negotiated with Mobil and IP&E for a contract extension of three (3) consecutive years without change to the contract extension Fixed Service Fee schedules; and

WHEREAS, the estimated Fixed Service Fee and Contract costs are provided in **Exhibit A**; and

WHEREAS, the estimated annual Fixed Service Fee costs at the projected quantity for the Mobil contract is \$6,255,400 for the first-year extension, \$6,376,600 for the second-year extension, and \$6,504,600 for the third-year extension with an aggregate cost of \$19,136,600 for the three-year extension period; and

WHEREAS, the estimated annual Fixed Service Fee costs at the projected quantity for the IP&E contract is \$1,792,000 for the first-year extension, \$1,816,000 for the second-year extension, and \$1,840,000 for the third-year extension with an aggregate cost of \$5,488,000 for the three-year extension period; and

WHEREAS, the estimated combined annual Fixed Service Fee costs for Mobil and IP&E is \$8,047,400 for the first-year extension, \$8,192,600 for the second-year extension, and \$8,344,600 for the third-year extension with an aggregate cost of **\$24,584,600** for the three-year extension period; and

31 **WHEREAS**, the estimated annual Contract costs at the projected ULSD commodity price and annual
32 quantity for the Mobil contract is \$56,820,200 for the first-year extension, \$56,941,400 for the second-
33 year extension, and \$57,069,400 for the third-year extension with an aggregate cost of \$170,831,000 for
34 the three-year extension period; and

35 **WHEREAS**, the estimated annual Contract costs at the projected ULSD commodity price and annual
36 quantity for the IP&E contract is \$16,664,000 for the first-year extension, \$16,688,000 for the second-year
37 extension, and \$16,712,000 for the third-year extension with an aggregate cost of \$50,064,000 for the
38 three-year extension period; and

39 **WHEREAS**, the estimated combined annual Contract costs for Mobil and IP&E is \$73,484,200 for the
40 first-year extension, \$73,629,400 for the second-year extension, and \$73,781,400 for the third-year
41 extension with an aggregate cost of **\$220,895,000** for the three-year extension period; and

42 **WHEREAS**, the estimated total savings on the Fixed Service Fee for the three-year contract extension
43 as compared to the previous contract is approximately **\$1,450,600**; and

44 **WHEREAS**, GPA is requesting the approval of contract extensions with Mobil and IP&E for three
45 consecutive years to commence on January 01,2022 and to expire on December 31, 2024.

46 **NOW, THEREFORE, BE IT RESOLVED, by the CONSOLIDATED COMMISSION ON UTILITIES**
47 **(CCU), subject to the review and approval of the PUBLIC UTILITIES COMMISSION (PUC), as follows:**

- 48
- 49 1. The Guam Power Authority is hereby authorized to enter into a 3-year contract extension with **Mobil**
50 for the supply and delivery of Diesel Fuel Oil No.2 to commence on January 01, 2022 and to expire
51 on December 31, 2024.
- 52
- 53 2. The Guam Power Authority is hereby authorized to enter into a 3-year contract extension with **IP&E**
54 for the supply and delivery of Diesel Fuel Oil No. 2 to commence on January 01,2022 and to expire
55 on December 31, 2024.
- 56
- 57 3. The General Manager of the Guam Power Authority is hereby authorized an increase in obligating
58 authority for a three-year extension of the Diesel Fuel Oil No. 2 supply contracts over \$750,000 and
59 to execute such agreements and documents necessary with **Mobil and IP&E**.
- 60
- 61
- 62
- 63
- 64

DULY and REGULARY ADOPTED AND APPROVED THIS 23rd DAY of MARCH 2021

Certified by:

Attested by:

JOSEPH T. DUENAS

Chairperson

Consolidated Commission on Utilities

MICHAEL T. LIMTIACO

Secretary

Consolidated Commission on
Utilities

SECRETARY'S CERTIFICATE

I, Michael T. Limtiaco, Secretary for the Consolidated Commission on Utilities (CCU), as evidenced by my signature above do certify as follows:

The foregoing is a full, true, and correct copy of the resolution duly adopted at a regular meeting of the members of Guam Consolidated Commission on Utilities, duly and legally held at the meeting 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: _____



GUAM POWER AUTHORITY
ATURIDÁT ILEKTRESEDÁT GUAHAN
P.O. BOX 2977, HĀGATŊA, GUAM 96932-2977

January 4, 2021

Mobil Oil Guam, Inc.
642 East Marine Corps Drive
Hagatna, Guam 96910
Fax: 648-3780

ATTN: MR. TIM CHAU HAU
President

SUBJECT : THREE (3) Year Extension of the Diesel Fuel Oil No.2 Supply Contract
Re: GPA-008-18

Dear Mr. Hau:

The two-year (2-Yr) base period for the Diesel Fuel Oil No.2 supply contract under GPA-008-18 will expire on December 31, 2021, with the option to extend for three (3) additional one (1) year term with mutual agreement of both parties.

Pursuant to Section 3 of the contract, GPA wish to exercise the contract extension option for a period of three (3) consecutive years.

With your concurrence, and subject to the approval of the Guam Consolidated Commission on Utilities (CCU) and the Public Utilities Commission (PUC), the three (3) year extension of the contract shall commence on January 01, 2022 and shall expire on December 31, 2024. All other contract provisions as amended shall remain unchanged.

GPA is looking forward to continue the good business relationship with Mobil Oil Guam, Inc.

Sincerely,


JOHN M. BENAVENTE, P.E.
General Manager

CONCURRED by (For Mobil Oil Guam, Inc.):


TIM CHAU HAU
President

29 JAN 2021
Date



GUAM POWER AUTHORITY
ATURIDÅT ILEKTRESEDÅT GUAHAN
P.O. BOX 2977, HÅGATÑA, GUAM 96932-2977

January 4, 2021

IP&E Holdings, LLC
Suite 100, 643 Chalan San Antonio
Tamuning, Guam 96931-3644
Fax: 671-649-4353

ATTN: MR. BRIAN BAMBA
Managing Director

SUBJECT : **THREE (3) Year Extension of the Diesel Fuel Oil No.2 Supply Contract**
Re: **GPA-008-18**

Dear Mr. Bamba:

The two-year (2-Yr) base period for the Diesel Fuel Oil No.2 supply contract under GPA-008-18 will expire on December 31, 2021, with the option to extend for three (3) additional one (1) year term with mutual agreement of both parties.

Pursuant to Section 3 of the contract, GPA wish to exercise the contract extension option for a period of three (3) consecutive years.

With your concurrence, and subject to the approval of the Guam Consolidated Commission on Utilities (CCU) and the Public Utilities Commission (PUC), the three (3) year extension of the contract shall commence on January 01, 2022 and shall expire on December 31, 2024. All other contract provisions as amended shall remain unchanged.

GPA is looking forward to continue the good business relationship with IP&E.

Sincerely,


JOHN M. BENAVENTE, P.E.
General Manager

CONCURRED by (IP&E Holdings, LLC):



BRIAN BAMBA
Managing Director

1/7/2021

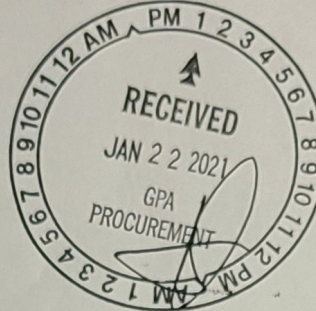
Date



GUAM POWER AUTHORITY
ATURIDÁT ILEKTRESEDÁT GUAHAN
P.O. BOX 2977, HÅGATÑA, GUAM 96932-2977

January 4, 2021

IP&E Holdings, LLC
Suite 100, 643 Chalan San Antonio
Tamuning, Guam 96931-3644
Fax: 671-649-4353



ATTN: MR. BRIAN BAMBA
Managing Director

SUBJECT: **THREE (3) Year Extension of the Diesel Fuel Oil No.2 Supply Contract**
Re: **GPA-008-18**

Dear Mr. Bamba:

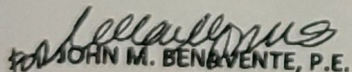
The two-year (2-Yr) base period for the Diesel Fuel Oil No.2 supply contract under GPA-008-18 will expire on December 31, 2021, with the option to extend for three (3) additional one (1) year term with mutual agreement of both parties.

Pursuant to Section 3 of the contract, GPA wish to exercise the contract extension option for a period of three (3) consecutive years.

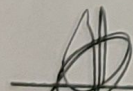
With your concurrence, and subject to the approval of the Guam Consolidated Commission on Utilities (CCU) and the Public Utilities Commission (PUC), the three (3) year extension of the contract shall commence on January 01, 2022 and shall expire on December 31, 2024. All other contract provisions as amended shall remain unchanged.

GPA is looking forward to continue the good business relationship with IP&E.

Sincerely,


JOHN M. BENAVENTE, P.E.
General Manager

CONCURRED by (IP&E Holdings, LLC):


BRIAN BAMBA
Managing Director

1/7/21

Date

EXHIBIT A

1. Mobil Contract

SITE LOCATION 1

YIGO & AGGREKO	Previous Contract	2-YEAR CONTRACT BASE PERIOD			3-YEAR CONTRACT EXTENSION PERIOD			
		1st Year	2nd Year	Total	1st Year Extn	2nd Year Extn	3rd Year Extn	Total
Estimated Quantity (gal/yr) ¹	17,000,000	17,000,000	17,000,000	34,000,000	17,000,000	17,000,000	17,000,000	51,000,000
Projected Commodity Price (ULSD)	\$1.859	\$1.859	\$1.859	\$1.859	\$1.859	\$1.859	\$1.859	\$1.859
Fixed Service Fee Cost (\$/gal)	<u>\$0.242</u>	<u>\$0.226</u>	<u>\$0.226</u>	<u>\$0.226</u>	<u>\$0.231</u>	<u>\$0.235</u>	<u>\$0.240</u>	<u>\$0.235</u>
Estimated Contract Price (\$/gal)	\$2.101	\$2.085	\$2.085	\$2.085	\$2.090	\$2.094	\$2.099	\$2.094
Estimated Contract Cost (\$/yr)	\$ 35,717,000.00	\$ 35,445,000.00	\$ 35,445,000.00	\$ 70,890,000.00	\$ 35,530,000.00	\$ 35,598,000.00	\$ 35,683,000.00	\$ 106,811,000.00
Fixed Service Fee Cost (\$/yr)	\$ 4,114,000.00	\$ 3,842,000.00	\$ 3,842,000.00	\$ 7,684,000.00	\$ 3,927,000.00	\$ 3,995,000.00	\$ 4,080,000.00	\$ 12,002,000.00
Variance w/ Previous Contract		(\$272,000.00) -7%	(\$272,000.00) -7%	(\$544,000.00) (Savings)	(\$187,000.00) -5%	(\$119,000.00) -3%	(\$34,000.00) -1%	(\$340,000.00) (Savings)

SITE LOCATION 3

PITI 7	Previous Contract	2-YEAR CONTRACT BASE PERIOD			3-YEAR CONTRACT EXTENSION PERIOD			
		1st Year	2nd Year	Total	1st Year Extn	2nd Year Extn	3rd Year Extn	Total
Estimated Quantity (gal/yr) ¹	8,000,000	8,000,000	8,000,000	16,000,000	8,000,000	8,000,000	8,000,000	24,000,000
Projected Commodity Price (ULSD)	\$1.859	\$1.859	\$1.859	\$1.859	\$1.859	\$1.859	\$1.859	\$1.859
Fixed Service Fee Cost (\$/gal)	<u>\$0.262</u>	<u>\$0.215</u>	<u>\$0.215</u>	<u>\$0.215</u>	<u>\$0.219</u>	<u>\$0.224</u>	<u>\$0.228</u>	<u>\$0.224</u>
Estimated Contract Price (\$/gal)	\$2.121	\$2.074	\$2.074	\$2.074	\$2.078	\$2.083	\$2.087	\$2.083
Estimated Contract Cost (\$/yr)	\$ 16,968,000.00	\$ 16,592,000.00	\$ 16,592,000.00	\$ 33,184,000.00	\$ 16,624,000.00	\$ 16,664,000.00	\$ 16,696,000.00	\$ 49,984,000.00
Fixed Service Fee Cost (\$/yr)	\$ 2,096,000.00	\$ 1,720,000.00	\$ 1,720,000.00	\$ 3,440,000.00	\$ 1,752,000.00	\$ 1,792,000.00	\$ 1,824,000.00	\$ 5,368,000.00
Variance w/ Previous Contract		(\$376,000.00) -18%	(\$376,000.00) -18%	(\$752,000.00) (Savings)	(\$344,000.00) -16%	(\$304,000.00) -15%	(\$272,000.00) -13%	(\$920,000.00) (Savings)

SITE LOCATION 4

CABRAS 1&2, MEC 8&9, MANENGGON, TALOFOFO	Previous Contract	2-YEAR CONTRACT BASE PERIOD			3-YEAR CONTRACT EXTENSION PERIOD			
		1st Year	2nd Year	Total	1st Year Extn	2nd Year Extn	3rd Year Extn	Total
Estimated Quantity (gal/yr) ¹	2,200,000	2,200,000	2,200,000	4,400,000	2,200,000	2,200,000	2,200,000	6,600,000
Projected Commodity Price (ULSD)	\$1.859	\$1.859	\$1.859	\$1.859	\$1.859	\$1.859	\$1.859	\$1.859
Fixed Service Fee Cost (\$/gal)	<u>\$0.242</u>	<u>\$0.257</u>	<u>\$0.257</u>	<u>\$0.257</u>	<u>\$0.262</u>	<u>\$0.268</u>	<u>\$0.273</u>	<u>\$0.268</u>
Estimated Contract Price (\$/gal)	\$2.101	\$2.116	\$2.116	\$2.116	\$2.121	\$2.127	\$2.132	\$2.127
Estimated Contract Cost (\$/yr)	\$ 4,622,200.00	\$ 4,655,200.00	\$ 4,655,200.00	\$ 9,310,400.00	\$ 4,666,200.00	\$ 4,679,400.00	\$ 4,690,400.00	\$ 14,036,000.00
Fixed Service Fee Cost (\$/yr)	\$ 532,400.00	\$ 565,400.00	\$ 565,400.00	\$ 1,130,800.00	\$ 576,400.00	\$ 589,600.00	\$ 600,600.00	\$ 1,766,600.00
Variance w/ Previous Contract		\$33,000.00 6%	\$33,000.00 6%	\$66,000.00 (Additional Expense)	\$44,000.00 8%	\$57,200.00 11%	\$68,200.00 13%	\$169,400.00 (Additional Expense)
Over-all Contract Cost:	\$ 57,307,200.00	\$ 56,692,200.00	\$ 56,692,200.00	\$ 113,384,400.00	\$ 56,820,200.00	\$ 56,941,400.00	\$ 57,069,400.00	\$ 170,831,000.00
Over-all Fixed Service Fee Cost:	\$6,742,400.000	\$6,127,400.000	\$6,127,400.000	\$12,254,800.000	\$6,255,400.000	\$6,376,600.000	\$6,504,600.000	\$19,136,600.000
Variance w/ Current Contract		(\$615,000.00)	(\$615,000.00)	(\$1,230,000.00) (Savings)	(\$487,000.00)	(\$365,800.00)	(\$237,800.00)	(\$1,090,600.00) (Savings)

2. IP&E Contract

SITE LOCATION 2:

DEDED0 & MACHECHE CT	Previous Contract	2-YEAR CONTRACT BASE PERIOD			3-YEAR CONTRACT EXTENSION PERIOD			
		1st Year	2nd Year	Total	1st Year Extn	2nd Year Extn	3rd Year Extn	Total
Estimated Quantity (gal/yr) ¹	8,000,000	8,000,000	8,000,000	16,000,000	8,000,000	8,000,000	8,000,000	24,000,000
Sample Reference Price (\$/gal) ²	\$1.859	\$1.859	\$1.859	\$1.859	\$1.859	\$1.859	\$1.859	\$1.859
Fixed Service Fee Cost (\$/gal)	<u>\$0.242</u>	<u>\$0.221</u>	<u>\$0.221</u>	<u>\$0.221</u>	<u>\$0.224</u>	<u>\$0.227</u>	<u>\$0.230</u>	<u>\$0.227</u>
Estimated Contract Price (\$/gal)	\$2.101	\$2.080	\$2.080	\$2.080	\$2.083	\$2.086	\$2.089	\$2.086
Estimated Contract Cost (\$/yr)	\$ 16,808,000.00	\$ 16,640,000.00	\$ 16,640,000.00	\$ 33,280,000.00	\$ 16,664,000.00	\$ 16,688,000.00	\$ 16,712,000.00	\$ 50,064,000.00
Fixed Service Fee Cost (\$/yr)	\$1,936,000.000	\$1,768,000.000	\$1,768,000.000	\$3,536,000.000	\$1,792,000.000	\$1,816,000.000	\$1,840,000.000	\$5,448,000.000
Variance w/ Previous Contract		(\$168,000.00) -9%	(\$168,000.00) -9%	(\$336,000.00) (Savings)	(\$144,000.00) -7%	(\$120,000.00) -6%	(\$96,000.00) -5%	(\$360,000.00) (Savings)

3. Summary (Mobil and IP&E Contract)

SUMMARY (Site Locations 1 thru 4)	Previous Contract	2-YEAR CONTRACT BASE PERIOD			3-YEAR CONTRACT EXTENSION PERIOD			
		1st Year	2nd Year	Total	1st Year Extn	2nd Year Extn	3rd Year Extn	Total
Over-all Estimated Cost:								
Contract Cost	\$ 74,115,200.00	\$ 73,332,200.00	\$ 73,332,200.00	\$ 146,664,400.00	\$ 73,484,200.00	\$ 73,629,400.00	\$ 73,781,400.00	\$ 220,895,000.00
Fixed Service Fee Cost	\$ 8,678,400.00	\$ 7,895,400.00	\$ 7,895,400.00	\$ 15,790,800.00	\$ 8,047,400.00	\$ 8,192,600.00	\$ 8,344,600.00	\$ 24,584,600.00
Variance w/ Previous Contract		(\$783,000.00)	(\$783,000.00)	(\$1,566,000.00) (Savings)	(\$631,000.00)	(\$485,800.00)	(\$333,800.00)	(\$1,450,600.00) (Savings)



GUAM POWER AUTHORITY
ATURIDĀT ILEKTRESEDĀT GUAHAN
P.O.BOX 2977 • AGANA, GUAM U.S.A. 96932-2977

Issues for Decision

GPA Resolution No.2021-05 **FY17 and prior years A/R Bad Debt Write-off**

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

It is a standard practice for most utilities, as well as many other entities that generate their own revenues to review the balances and aging reports of the receivables from their customers. GPA's Finance and Accounting division (F&A) has made it a practice to maintain the balance of three fiscal years' worth of accounts receivables from our inactive customers in the general ledger. This does not mean that they can never be collected. The Customer Information System (CIS) maintains each customer's collection history and will not allow a customer with a previous unpaid balance to obtain new service in their name until that balance is paid off. The concept of writing-off bad debt merely removes the balance of the Accounts Receivable and corresponding Allowance for Bad Debts from the balance sheets of GPA's financial statements.

Cost-Benefit Analysis: The benefit derived from this write-off of uncollectible cannot be quantified. The most notable benefit would be the avoidance of an audit finding citing lapsed accounting practices.

Review of Alternates: The only viable alternate to writing-off the uncollectible amounts would be to make no adjustment in the general ledger and risk having an audit finding recorded in the next audit of GPA's financial statements.

How much will it cost?

No cost in the current year. A provision for these receivables was made in previous years. The proposed write-off from FY'2000 to FY'2017 is **\$485,694.38**.



CONSOLIDATED COMMISSION ON UTILITIES

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

RESOLUTION NO: 2021-05
RELATIVE TO THE WRITE-OFF OF GUAM POWER AUTHORITY RECEIVABLES
DETERMINED TO BE UNCOLLECTIBLE

WHEREAS, the Guam Power Authority (GPA) is a revenue generating, government owned utility; and

WHEREAS, the Authority's main source of revenue is billings for the sales of electricity from GPA's customer base; and

WHEREAS, although utilities make best efforts to minimize losses resulting from uncollectible accounts, the service nature of utility activities makes it impossible to prevent such losses on an account has become inactive (disconnected); and

WHEREAS, the GPA Customer Service division's collection efforts from uncollectible accounts and has kept GPA's bad debt loss level consistent with the industry standards; and

WHEREAS, it is standard practice for utilities to review their accounts receivable records from time to time to remove accounts that have been determined by the utility to be uncollectible; and

WHEREAS, GPA last wrote off Fiscal Year 2013 and prior years' uncollectible accounts in May 2017; and

1 **WHEREAS**, GPA's Chief Financial Officer has reviewed outstanding accounts from
2 October 1, 2013 to September 30, 2017 and has determined that the following amounts *from those*
3 *fiscal years and prior fiscal years* should be written off; and

4
5 ***Total Proposed Write-Off from FY2000 to FY2017 \$485,694.38***
6

7 **WHEREAS**, all of these amounts have been charged to bad debt expense during each
8 fiscal year and this write-off action will not have any further impact on GPA's statement of
9 revenues and expenses; and

10
11 **WHEREAS**, the write-off of an account does not preclude GPA from continuing to collect
12 on any bad debt in the event that a customer whose account has been written off returns to the
13 utility to apply for service and GPA has a procedure in place to ensure that such bad debts will be
14 recovered prior to such application.

15 **NOW, THEREFORE BE IT RESOLVED BY THE CONSOLIDATED**
16 **COMMISSION ON UTILITIES AS THE GOVERNING BODY OF THE GUAM POWER**
17 **AUTHORITY, AS FOLLOWS:**

18
19 1. The GPA Chief Financial Officer is authorized to write-off **\$485,694.38** in accounts
20 receivable that have been determined to be uncollectible.

21
22 **RESOLVED**, that the Chairman certifies and the Board Secretary attests to the adoption
23 of this Resolution.

24 **DULY AND REGULARLY ADOPTED AND APPROVED THIS 23RD DAY OF**
25 **MARCH 2021**

26
27 Certified by:

Attested by:

28
29
30 _____
31 **JOSEPH T. DUENAS**

31 **MICHAEL T. LIMTIACO**

32 Chairperson

Secretary

33 Consolidated Commission on Utilities

Consolidated Commission on Utilities

SECRETARY'S CERTIFICATE

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

The foregoing is a full, true and correct copy of the resolution duly adopted at a regular meeting by the members of the Guam CCU, 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: _____



GUAM POWER AUTHORITY
ATURIDÂT ILEKTRESEDÂT GUAHAN
P.O.BOX 2977 • AGANA, GUAM U.S.A. 96932-2977

Issues for Decision

GPA Resolution No.2021-06 GWA Resolution No. 15-FY2021

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

Request for Proposal to provide merchant services to GPA, GWA and GSWA as a means for collecting customer payments thru debit and credit cards at the various utility cashier sites or thru the Pay-by-Phone and online options.

In March 2016, GPA awarded its current Merchant Services contract to the Bank of Hawaii for an initial period of one year with an option to extend the contract for four additional one-year period. All four extension periods have been exercised and the contract remains in effect under a mutual agreement until such time a new contract is awarded.

Cost-Benefit Analysis: Exact cost-benefit analysis is difficult to quantify with this type of cost. However, without this service, GPA and GWA would not be able to offer its customers the number and variety of payment options it does currently.

Review of Alternates: The only viable alternate to having the Merchant Services linked to our Customer Information system and Point of Sales system is to contract out any electronic forms of payment to a third party as is the case with the Guam Department of Revenue and Taxation.

General Manager Prioritization: The General Managers has determined that this procurement maintains a sufficient prioritization among other utility priorities so as to warrant funding of this procurement.

How much will it cost?

Approximately \$1,300,000 million per year depending on the number of customers availing of any credit or debit card services, online or in our lobbies.

How long will it take?

One (1) year from the time of implementation with options to renew for four additional one-year periods.



CONSOLIDATED COMMISSION ON UTILITIES

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

**GPA RESOLUTION NO. 2021-06
GWA RESOLUTION NO. 15-FY2021**

**AUTHORIZING THE MANAGEMENT OF GUAM POWER AUTHORITY AND
GUAM WATERWORKS AUTHORITY TO PROCURE MERCHANT SERVICES**

WHEREAS, the Guam Power Authority (GPA) and Guam Waterworks Authority (GWA) implemented Customer Information System software called Customer Care & Billing, which integrates payment solutions with website, point of sale, mobile application, and pay by phone; and

WHEREAS, GPA and GWA are nearing the end of its contract for merchant services under which it has been able to accept credit and debit card payments; and

WHEREAS, GPA and GWA determined it should issue a new request for proposal (RFP) for merchant services; and

WHEREAS, Guam Solid Waste Authority requested to be in the joint procurement with GPA and GWA; and

WHEREAS, the term of the merchant service RFP being requested will be for one (1) year period with options for four (4) additional one (1) year extensions.; and

WHEREAS, annual cost varies with the volume of customer usage but could be approximately \$1.3M per year; and

NOW BE IT RESOLVED, the Consolidated Commission on Utilities, subject to the review and approval of the Public Utilities Commission, does hereby approve and authorize the following:

1. The GPA General Manager and GWA General Manager are authorized to issue a request for proposal for the merchant services for both the Guam Power Authority and the Guam Waterworks Authority.
2. The Guam Solid Waste Authority will be included in the joint procurement for merchant services.
3. The annual cost of merchant services is expected to be approximately \$1.3M per year.

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

DULY AND REGULARLY ADOPTED AND APPROVED THIS 23RD DAY OF MARCH 2021.

Certified by:

Attested by:

JOSEPH T. DUENAS

MICHAEL T. LIMTIACO

Chairperson

Secretary

Consolidated Commission on Utilities

Consolidated Commission on Utilities

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SECRETARY’S CERTIFICATE

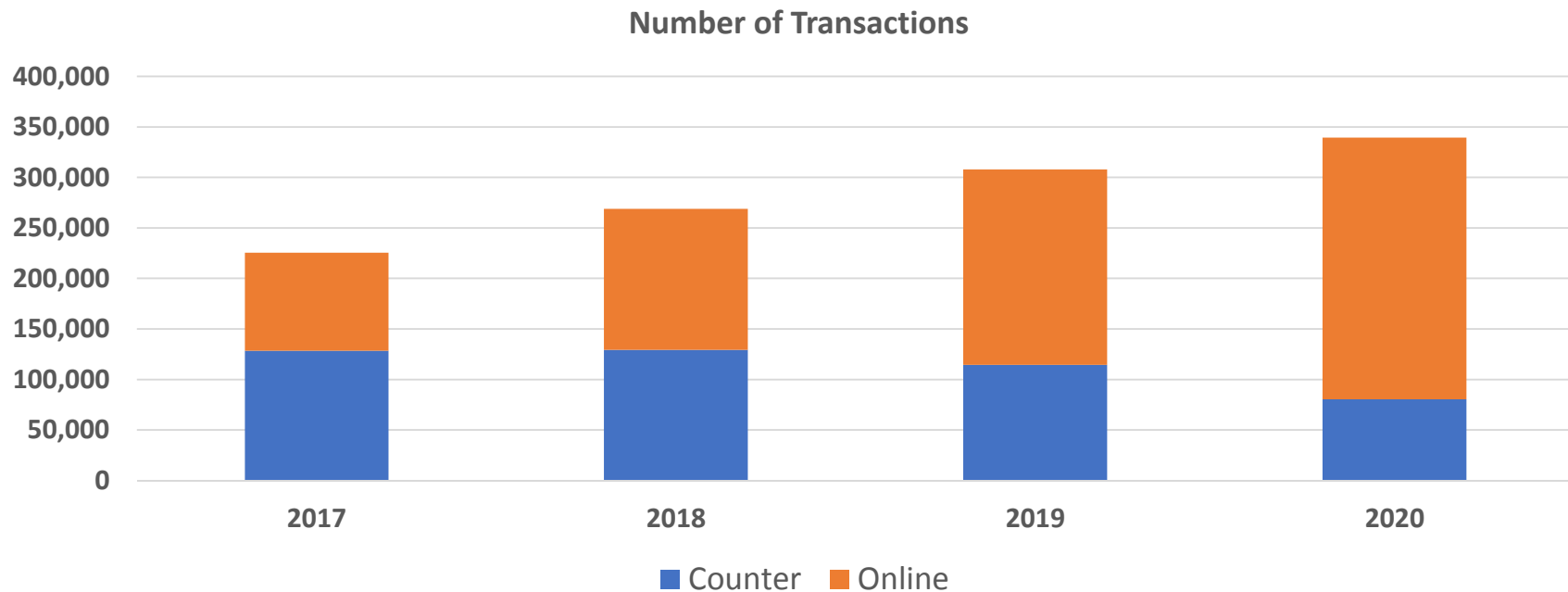
I, **Michael T. Limtiaco**, Board Secretary of the Consolidated Commission on Utilities (CCU), as evidenced by my signature above, do hereby certify as follows:

The foregoing is a full, true and correct copy of the resolution duly adopted at a regular meeting by the members of the Guam CCU, 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: _____

Merchant Services

Year	Number of Transactions						Credit Card Rate	(in '000)	(in '000)
	Year Counter	Year Online	Year Total	Monthly Counter	Monthly Online	Monthly Total		Amount Processed	Fees
2017	128,411	97,122	225,533	10,701	8,094	18,794	1.239%	\$ 53,316	\$ 661
2018	129,430	139,568	268,998	10,786	11,631	22,417	1.087%	\$ 93,920	\$ 1,020
2019	114,537	193,282	307,819	9,545	16,107	25,652	1.057%	\$ 115,826	\$ 1,224
2020	80,392	258,913	339,305	6,699	21,576	28,275	1.114%	\$ 116,080	\$ 1,293





JOEY T. DUENAS
CCU Chairman

GUAM POWER AUTHORITY

ATURIDAT ILEKTRESEDAT GUAHAN
P.O. BOX 2977 * AGANA, GUAM U.S.A. 96932-2977



JOHN M. BENAVENTE, P.E.
General Manager

Telephone Nos.: (671) 648-3054/55 or Facsimile (671) 648-3165

Accountability	·	Impartiality	·	Competence	·	Openness	·	Value
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REQUEST FOR PROPOSAL: _____ GPA-RFP-21-
DESCRIPTION: _____ Merchant Services

SPECIAL REMINDER TO PROSPECTIVE INDIVIDUALS/FIRMS

Firms/Individuals are reminded to read Proposal Instructions to ascertain that all of the following requirements checked below are submitted in the proposal envelope, one (1) bound paper original, seven (7) bound paper copies, and one (1) electronic PDF format copy, at the date and time for proposal remittance.

- [XX] STATEMENT OF QUALIFICATION;
- [XX] AFFIDAVIT OF DISCLOSURE OF MAJOR SHAREHOLDERS – Must comply with the following requirements;
 - a. The affidavit must be signed within 60 days of the date the bid is due;
 - b. Date of signature of the person authorized to sign the bid and the notary date must be the same.
 - c. First time affidavit **must** be an **original** – If copy, indicate Bid Number/Agency where original can be obtained.
- [XX] NO GRATUITIES OR KICKBACKS AFFIDAVIT;
- [XX] ETHICAL STANDARDS AFFIDAVIT;
- [XX] WAGE DETERMINATION AFFIDAVIT;
- [XX] RESTRICTIONS AGAINST SEX OFFENDERS AFFIDAVIT;
- [XX] NON-COLLUSION AFFIDAVIT;
- [XX] OTHERS: **A Guam Business License is not required in order to provide a proposal for this engagement, but is a pre-condition for entering into a contract with the Authority. Offerors MUST comply with PL 26-111 dated June 18, 2002, PL 28-165 dated January 04, 2007 and Wage Determination under the Service Contract Act (www.wdol.gov). Additionally, upon award the successful bidder must provide to GPA the most recently issued Wage Determination by the US Dept. of Labor.**

*****Restriction against Sex Offenders Employed by Service Providers to Government of Guam from Working on Government of Guam Property, 5GCA Section 5253, enacted by P.L. 28-24 and amended by P.L. 28-98:**

If a contract for services is awarded to the bidder or offeror, then the service provider must warrant that no person in its employment who has been convicted of a sex offense under the provisions of Chapter 25 of Title 9 of the Guam Code Annotated or of an offense defined in Article 2 of Chapter 28 of Title 9 of the Guam Code Annotated, or who has been convicted in any other jurisdiction of an offense with the same elements as heretofore defined, or who is listed on the Sex Offender Registry, shall provide services on behalf of the service provider while on government of Guam property, with the exception of public highways. If any employee of a service provider is providing services on government property and is convicted subsequent to an award of a contract, then the service provider warrants that it will notify the Government of the conviction within twenty-four hours of the conviction, and will immediately remove such convicted person from providing services on government property. If the service provider is found to be in violation of any of the provisions of this paragraph, then the Government will give notice to the service provider to take corrective action. The service provider shall take corrective action within twenty-four hours of notice from the Government, and the service provider shall notify the Government when action has been taken. If the service provider fails to take corrective steps within twenty-four hours of notice from the Government, then the Government in its sole discretion may suspend temporarily any contract for services until corrective action has been taken.

This reminder must be signed and returned in the proposal envelope together with the proposal. Failure to comply with the above requirements will mean a disqualification and rejection of the proposal.

On this _____ day of _____, 20____, I, _____, authorized representative of _____ acknowledge receipt of this special reminder to PROSPECTIVE Individual/Firm with the above referenced RFP.

Individual/Firm Representative's Signature

REQUEST FOR PROPOSAL

NO. GPA-RFP-21-

FOR

MERCHANT SERVICES



JOHN J.E. KIM, CPA
Chief Financial Officer

JOHN M. BENAVENTE, P.E.
Guam Power Authority General Manager

MIGUEL BORDALLO, P.E.
Guam Waterworks Authority General Manager

LARRY GAST
Guam Solid Waste Authority General Manager

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SECTION 1.0: INSTRUCTION TO RESPONDENTS

1.1 DEFINITIONS

OFFEROR:	The individual, partnership, corporation, or joint venture submitting a written or documented response to this subject RFP.
OWNER:	The Guam Power Authority (GPA) General Manager or designated representative.
ADDENDA:	Any amendment or modification issued by OWNER, prior to the opening of the RFP's, for the purpose of changing the intent of the plans and specifications, clarifying the meaning of the same, or changing any provisions of this RFP, shall be binding to the same extent as if written in the Specifications.

1.2 PROPOSALS

The OFFEROR is required to read each and every page of the Request for Proposal and by the act of submitting a proposal shall be deemed to have accepted all conditions contained therein. In no case will failure to inspect constitute grounds for a claim or for the withdrawal of a proposal after opening.

Proposals shall be filled out in ink or typewritten and signed in black ink. Erasures or other changes in a proposal must be explained or noted over the signature of the OFFEROR. Proposals containing any conditions, omission, unexplained erasure or alterations or items not called for in the Proposal, or irregularities of any kind shall be rejected by the Guam Power Authority as being incomplete.

1.3 PROPRIETARY PORTIONS OF PROPOSALS

The OFFEROR may designate any proprietary portions of the proposal which contain trade secrets or other proprietary data to remain confidential.

1.4 PREPARATION AND SUBMISSION OF PROPOSALS

Envelopes containing proposals shall be sealed and marked on the face with the name and address of the OFFEROR, the Proposal Number and the time and date of submission. Telegraphic proposals will not be considered, nor will modifications by telegraph of proposals already submitted be considered.

Only non-priced proposals are to be submitted by the proposal deadline. Priced proposals will be requested of the selected firm at a later time.

Proposals shall be hand-carried and received at the place of opening on or before the opening date and time. Proposals received through mail will not be accepted if such mail is received at the address showing after the submission date and time. Proposals will not be opened publicly.

All submittals must strictly conform to the Request for Proposal and any addenda.

One (1) bound paper original, seven (7) bound paper copies, and one (1) electronic PDF format copy of each proposal, consisting of technical and commercial sections, must be submitted, including all addenda, if any.

Any and all sample documentation (reports of similar jobs, brochures, etc) that will assist towards OFFEROR's evaluation may be furnished with each proposal. Submittals shall be provided on 8.5" x 11" sized paper 8.5" x 14" and 11" x 17" sized fold out pages are only allowed for organizational charts, schedules, flow charts, or diagrams.

No submittal shall be considered complete unless accompanied by all items specified in these submittal instructions.

Request for Proposal No.: GPA-RFP-21-____ must be submitted before **4:00 P.M. (ChsT), April 23, 2021** in a sealed envelope indicating the RFP number and addressed as follows:

**To: Guam Power Authority
Procurement Management Materials Supply
Gloria B. Nelson Public Service Building
688 Route 15, Mangilao, Guam 96913**

**Attn: Mr. JOHN M. BENAVENTE, P.E.
General Manager**

Examination of RFP Documents: OFFEROR shall examine the RFP Documents to inform himself of all conditions and requirements for the execution of the proposed work. Ignorance on the part of OFFEROR of any part of the Request for Proposal will in no way relieve him of the obligations and responsibilities assumed under the Contract.

Interpretation of the Approximate Quantities: OFFEROR's attention is called to the fact that any estimate of quantities of work to be done and materials to be furnished under the Contract as shown in this Request for Proposal is approximate only and not guaranteed. OWNER does not assume any responsibility that the final quantities shall remain in strict accordance with the estimated quantities, nor shall OFFEROR plead misunderstanding or deception because of such estimate of quantities or of the character, location of the work or other conditions pertaining thereto.

Familiarity with Laws: OFFEROR is assumed to be familiar with Federal and Local laws, ordinances, rules and regulations that in any manner affect the work. Ignorance on the part of OFFEROR will in no way relieve him from responsibility.

The preparation and submission of a proposal will be by and at the expense of the OFFEROR.

1.5 EXPLANATION TO OFFERORS

No oral explanation in regard to the meaning of the specification will be made and no oral instructions will be given before the award of the proposal. Discrepancies, omissions, or doubts as to the meaning of the specifications must be communicated in writing to the named contact individual of the Guam Power Authority for interpretation. OFFERORS should act promptly and allow sufficient time for a reply to reach them before the submission of their proposals. Interpretation, if required, shall be made in the form of an amendment to the specifications, which will be forwarded to all prospective OFFERORS, and its receipt by the OFFEROR should be acknowledged on the proposal form.

1.6 CLARIFICATION ON REQUEST FOR PROPOSAL

Each OFFEROR must carefully examine the Request For Proposal and all addenda. If any OFFEROR (a) finds any discrepancies, omissions or ambiguities in the RFP documents, (b) is uncertain as to the intent or meaning of any provision of the request for Proposal, or (c) has any question regarding the Request for

Proposal, the OFFEROR must promptly notify GPA in writing no later than (4) four working days prior to the closing date of this RFP at the address specified for submission of proposals. Replies to such notices may be made in the form of addenda, which will be issued simultaneously to all prospective OFFERORS. GPA further reserves the right to respond to any and all inquiries to this RFP, as any amendments issued may impact the project completion schedule.

1.7 ALTERNATE PROPOSAL

GPA reserves the right to withhold its approval of any or all alternates proposed by OFFERORS and to deny any or all requests for such approvals.

1.8 MODIFICATION OR WITHDRAWAL OF PROPOSAL

An OFFEROR may modify or withdraw its proposal by written request, provided that the request is received by GPA at the address indicated and prior to the time specified for the submission of proposals. Any proposals or submittals received after the time and date set for receipt of proposals or submittals will be considered late. No late modification or withdrawal will be considered unless received before the date of opening. Following withdrawal of its proposal, an OFFEROR may submit a new proposal, provided the new proposal is received by GPA prior to the time specified for the submission of proposals. There shall be no modifications or withdrawals after the opening date.

GPA may modify any provision of the Request For Proposal at any time prior to the time specified for the submission of proposals. Such modifications may be made in the form of addenda, which will be issued simultaneously to all OFFERORS.

Any addenda issued will be mailed to all OFFERORS in duplicate. OFFEROR shall acknowledge receipt of same by his signature on copy, which is to be returned to OWNER. The other copy shall accompany the proposal or submittal. Acknowledgement may also be made in writing or by telex or telegram.

1.9 COMPLETE PROPOSALS

OFFERORS are requested to submit proposals, which are complete and unambiguous without the need for additional explanation or information. GPA may make a final determination as to whether a proposal is acceptable or unacceptable solely on the basis of the proposal as submitted, and proceed with proposal evaluation without requesting further information from any OFFEROR. GPA may, in its sole discretion, request from OFFERORS additional information clarifying or supplementing, but not basically changing any proposal as submitted.

All Proposals shall remain the property of GPA.

Time for Acceptance: All submittals shall be valid for 60 days from date of RFP opening.

Completion Date: OFFEROR shall realize that satisfactory completion of this work within the period shown on the Agreement form is a critical requirement. Failure to do so may cause the imposition of liquidated damages as specified therein.

1.10 BONDING

No performance or payment bonds are required under this RFP.

1.11 POST RFP MEETING

After the receipt of proposals, GPA may request for interviews, presentations, or additional information over the telephone or in individual meetings with selected OFFERORS to clarify and discuss their proposals. Failure by an OFFEROR to comply with these requests shall be cause for disqualification.

GPA reserves the right to request clarifications from only those OFFERORS whom it deems are in its best interest.

All clarifications shall be documented by OFFERORS as addenda to the submittals.

1.12 PROPOSAL INCONSISTENCIES

Any provisions in the proposal which are inconsistent with the provisions of this Request For Proposal, unless expressly described as being exceptions or alternates, are deemed waived by the OFFERORS. In the event the proposal is awarded to OFFEROR, any claim of inconsistency between the proposal and these RFP documents will be resolved in favor of these RFP documents unless otherwise agreed to in writing by GPA.

1.13 SUBCONTRACTOR

If the OFFEROR plans to enter into contracts with subcontractors in order to complete this project, the identification and location of the possible subcontractors with a comprehensive description of their offering shall be submitted with the proposal. GPA reserves the right to disapprove any subcontractor, or a subcontractor's offering proposed by the OFFEROR. This right applies to the original submittal as well as submittals subsequent to the original proposal.

1.14 SUBMITTAL FORMAT

All responses to this subject RFP shall be written in the ENGLISH language.

The submittal information shall be in 8-1/2 inch by 11-inch report binders with the covers identifying the respective OFFEROR. Large sheets or drawings shall be bound in the binder so that they can be unfolded for easy review.

1.15 SIGNATURE

The proposals shall be signed by an official authorized to contractually bind the OFFEROR. The proposal shall also provide the following information:

Signature on Proposal: OFFEROR must sign his proposal correctly. If the proposal is made by an individual, his name and post office address must be shown. If made by a firm or partnership, the name and post office address of each member of the firm or partnership must be shown. If made by a corporation, the person signing the proposal shall show the name of the State or Territory under the laws of which the corporation was chartered, also the names and business address of its president, secretary and treasurer.

1.16 WITHDRAWAL OF PROPOSAL

Negligence on the part of the OFFEROR in preparing the proposal confers no right for the withdrawal of the proposal after it has been opened.

1.17 INQUIRIES

Prospective OFFERORS should address inquiries, questions or clarifications in writing to:

John M. Benavente, P.E.
General Manager
Procurement Management Materials Supply
Gloria B. Nelson Public Service Building
688 Route 15, Mangilao, Guam 96913

Attn: Jamie Pangelinan
Supply Management Administrator
Telephone No: (671) 648-3054/3055, Ext. 3128
Facsimile: (671) 648-3165

**Note: Cut-Off Date for Receipt of Questions shall be: April 2, 2021 at 2:00 P.M. (ChsT)
Inquiries received after the deadline shall not be entertained.**

SECTION 2.0: GENERAL TERMS AND CONDITIONS

2.1 AUTHORITY

This Request for Proposals (RFP) solicitation is issued subject to all of the provisions of the Guam Procurement Act (Public Law 16-124) and the Guam Procurement Regulations (copies are available for inspection at the Guam Power Authority). The RFP requires all parties involved in the preparation, negotiation, performance, or administration of contracts to act in good faith.

2.2 GENERAL INTENTION

Unless otherwise specified, it is the declared and acknowledged intention and meaning of these General Terms and Conditions for the OFFEROR to provide the Guam Power Authority with specified services.

2.3 STANDARDS FOR DETERMINATION OF MOST QUALIFIED OFFEROR

In determining the most qualified OFFEROR, GPA shall be guided by the following:

- a. The ability, capacity and skill of the OFFEROR to perform the work specified.
- b. Whether the OFFEROR can perform promptly and within the specified time.
- c. The quality of performance of the OFFEROR with regard to awards previously made to him.
- d. The previous and existing compliance by the OFFEROR with laws and regulations relative to procurement.

2.4 AWARD OR REJECTION OF PROPOSALS

The right is reserved as the interest of the Guam Power Authority may require waiving any minor informalities or irregularities in proposals received. The Guam Power Authority reserves the right and shall have the prerogative to award, amend, or reject proposals in whole or in part. It is the policy of the Guam Power Authority to award proposals to OFFERORS duly authorized and licensed to conduct business in Guam.

Proposals will be opened privately, and GPA reserves the right to keep any or all proposals confidential.

- a. Cancellation of Solicitation. Delays: GPA reserves the right to cancel or to withdraw this RFP, to delay determination on this RFP, or to reject all submittals or any individual submittal in whole or in part at any time prior to the final award. The reasons for the cancellation, delay or rejection shall be made a part of the project file and shall be available for public inspection.

After opening, but prior to award, all proposals may be rejected in whole or in part when the Procurement Authority of GPA determines in writing that such action is in GPA's best interest for reasons including but not limited to:

- 1) The services being procured are no longer required;
- 2) Ambiguous or otherwise inadequate Specifications were part of the solicitation;
- 3) The solicitation did not provide consideration of all factors of significance to GPA;

- 4) Price(s) exceed available funds and it would not be appropriate to adjust quantities to come within available funds;
- 5) Inability of the selected OFFEROR and GPA to successfully negotiate contract terms for the scope of services requested.

When a solicitation is cancelled or rejected prior to final award, notice of cancellation or rejection shall be sent to all OFFERORS. The reasons for cancellation or rejection shall be made a part of the project file and shall be available for public inspection.

- b. Rejection of Individual proposal or submittal: Any individual proposal or submittal may be rejected in whole or in part when in the best interest of the Authority. Reasons for rejecting a proposal or submittal include but are not limited to:

- 1) OFFEROR is not responsive;
- 2) The proposal or submittal is non-responsive as it does not conform in all respects to the RFP;
- 3) The construction, supply or service offered in the proposal is unacceptable by reason of its failure to meet the requirements of the specifications or technical requirements set forth in the RFP;
- 4) The proposal or submittal does not meet the requirements or criteria set forth in the RFP. Upon request, unsuccessful OFFERORS shall be advised of the reasons for rejection.

Any or all proposals or submittals will be rejected if there is reason to believe that collusion exists among OFFERORS and no participants in such collusion will be considered in future projects for the same work.

2.5 EXECUTION OF THE ORDER

The OFFEROR to whom the Order is awarded (the "successful OFFEROR") shall execute and deliver to GPA the contract prior to performing any services on GPA premises. A written notice will be issued to the most qualified OFFEROR indicating commencement of the project.

Award of Contract: The Contract, if awarded, will be to the most responsive OFFEROR whose qualifications indicate that award thereto will be in the best interest of OWNER, and whose proposal shall comply with the requirements of the Contract Documents. In no case will the award be made until all necessary investigations have been made into the responsibility of the OFFEROR, and the OWNER is satisfied that the OFFEROR is qualified to do the work and has the necessary equipment to carry out the provisions of the Contract to the satisfaction of OWNER within the time specified. OWNER may award separate contracts for each project scope or for any combination of projects.

Execution of Contract: The individual, firm or corporation to which this Contract has been awarded shall sign the necessary agreement entering into Contract with OWNER, and return it to OWNER within ten (10) days after date of award.

Failure to Execute Contract: Failure on the part of OFFEROR to execute the Contract as required will be just cause for the annulment of the award. The award may then be made to the next most qualified OFFEROR or the work re-advertised, as OWNER may elect.

2.6 MODIFICATION / ALTERATION

After the receipt and opening of proposals, and at its option, Guam Power Authority may conduct discussions with the most reasonable OFFEROR who has submitted a proposal for the purpose of clarification to assure full understanding and responsiveness to the Proposal requirements. OFFERORS shall be accorded fair and equal treatment with respect to any opportunity for discussion and revision to proposals and such revisions shall be permitted after submission and prior to award for the purpose of obtaining best and final offers. In conducting discussions, there shall be no disclosure of any information derived from proposals submitted by competing OFFERORS.

2.7 CONTACT FOR CONTRACT ADMINISTRATION

If your firm receives a contract as a result of this Proposal, designate a person, whom GPA may contact for prompt administration, showing:

NAME: _____ TITLE: _____

ADDRESS: _____ PHONE: _____

2.8 DETERMINATION OF RESPONSIBILITY OF OFFEROR

The Guam Power Authority reserves the right to secure from OFFERORS information necessary to determine whether or not they are responsible and to determine their responsibility in accordance with Section 2.3 of the General Terms and Conditions.

2.9 LIMITATIONS

This RFP does not commit GPA to award a contract, to pay any costs incurred in the preparation of a proposal by the OFFEROR under this request, or to procure a contract for services. GPA reserves the right to reject any and all proposals received under this request, to negotiate with all qualified sources, or to cancel the whole or any part of this RFP at any time.

2.10 ACCEPTANCE OF PROPOSAL CONTENTS

The contents of the Proposal of the successful firm will become contractual obligations if a contract ensues. Failure of the successful firm to accept these obligations will result in a disqualification of the Proposal.

2.11 CONTROL

The successful OFFEROR will carry out this assignment under the direction and control of the General Manager of the Guam Power Authority or his/her designee(s).

2.12 CONTRACT TERM

GPA and the CONTRACTOR agree this CONTRACT will be for a one year period (12 months) from the date of award of the contract with an option to extend the contract for four additional one-year periods, total of 5 years, subject to the availability of funds, and may, by mutual written agreement, be renewed at the same terms and conditions for additional periods subject to availability of funding.

2.13 JUSTIFICATION OF DELAY

The OFFEROR who is awarded the proposal guarantees that the services will be completed within the agreed upon completion date. If, however, the OFFEROR cannot comply with the completion requirement, it is the OFFEROR's responsibility to advise the Guam Power Authority in writing explaining the cause and reasons for the delay. Section 6-101.09.1 of the Guam Procurement Regulations, "Liquidated Damages", will be in effect if the OFFEROR fails to meet the completion requirement.

2.14 INVOICING AND PAYMENT TERMS & CONDITIONS

All invoices shall include supporting documents (i.e. timesheets, shipping invoices, consumable listings, etc). All supporting documents must be reviewed and approved by the GPA Project Manager prior to invoice submittal. All invoices will be paid net 30 days from the date the invoice is received at the GPA Accounting Department. Payment shall be made using a method mutually agreed upon by GPA and the successful OFFEROR.

2.15 TAXES

OFFEROR shall be liable for Guam Gross Receipt Taxes and all other applicable taxes and duties. The Guam Power Authority shall have no tax liability under this order. Specific information on taxes may be obtained from the Director of Revenue and Taxation.

GPA is a government agency exempted from all government taxes as stipulated in the Guam Code Annotated.

2.16 LICENSING

OFFERORS are reminded that GPA will not consider for award any offer submitted by an OFFEROR who has not complied with the Guam Licensing Law. Specific information on licenses may be obtained from the Director of Revenue and Taxation.

2.17 COVENANT AGAINST CONTINGENT FEES

The OFFEROR warrants that he has not employed any person to solicit or secure any resultant contract upon agreement for a commission, percentage, brokerage, or contingent fee. Breach of this warranty shall give the Guam Power Authority the right to terminate the contractor, or in its discretion to deduct from the contract price or consideration the amount of such commission, percentage, brokerage, or contingent fees. This warranty shall not apply to commissions payable by contractors upon contracts or sales secured or made through, bona fide established commercial or selling agencies maintained by the contractor for the purpose of securing business.

2.18 EQUAL EMPLOYMENT OPPORTUNITY

Section 3.01 of the Executive Order 10935 dated March 07, 1965 requires the OFFEROR not to discriminate against an employee or applicant for employment because of race, creed, color or national origin. The OFFEROR will take affirmative action to ensure that applicants are employed and that employees are treated equally during employment without regard to race, creed, color or national origin.

2.19 AMERICAN DISABILITIES ACT

If requested, the OFFEROR must meet all ADA regulations and requirements.

2.20 REQUIRED FORMS

All OFFERORS are required to submit current affidavits as required in the following page. Failure to do so will mean disqualification and rejection of the proposal.

- a. Special Provision for Major Shareholders Disclosure Affidavit
- b. Major Shareholders Disclosure Affidavit
- c. Non-Collusion Affidavit
- d. No Gratuities or Kickbacks Affidavit
- e. Ethical Standards Affidavit
- f. Declaration Re-Compliance with U.S. DOL Wage Determination

2.21 PROHIBITION AGAINST GRATUITIES, KICKBACKS, AND FAVORS

Pursuant to GCA 5 section 5630 (c), this clause is conspicuously set forth to alert all parties in this procurement that Guam Public Law Title 5 §5630. Gratuities and Kickbacks, prohibits against gratuities, kickbacks, and favors to the Territory.

2.22 RESTRICTION AGAINST CONVICTED SEX OFFENDERS

GCA 5 §5253 (b) restricts the OFFEROR against employing convicted sex offenders from working at Government of Guam venues. It states:

(b) All contracts for services to agencies listed herein shall include the following provisions: (1) warranties that no person providing services on behalf of the contractor has been convicted of a sex offense under the provisions of Chapter 25 of Title 9 GCA or an offense as defined in Article 2 of Chapter 28, Title 9 GCA, or an offense in another jurisdiction with, at a minimum, the same elements as such offenses, or who is listed on the Sex Offender Registry; and (2) that if any person providing services on behalf of the contractor is convicted of a sex offense under the provisions of Chapter 25 of Title 9 GCA or an offense as defined in Article 2 of Chapter 28, Title 9 GCA, or an offense in another jurisdiction with, at a minimum, the same elements as such offenses, or who is listed on the Sex Offender Registry, that such person will be immediately removed from working at said agency and that the administrator of said agency be informed of such within twenty-four (24) hours of conviction.



GUAM POWER AUTHORITY

**ATURIDAT ILEKTRESEDAT GUAHAN
P O BOX 2977, AGANA, GUAM 96932-2977**

SPECIAL PROVISION FOR MAJOR SHAREHOLDERS DISCLOSURE AFFIDAVIT

All Bidders/Offerors are required to submit a current affidavit as required below. Failure to do so will mean disqualification and rejection of the bid/rfp.

5 GCA §5233 (Title 5, Section 5233) states:

"Section 5233 Disclosure of Major Shareholders. As a condition of submitting a bid or offer, any partnership, sole proprietorship or corporation doing business with the government of Guam shall submit an affidavit executed under oath that lists the name and address of any person who has held more than ten percent (10%) of the outstanding interest or shares in said partnership, sole proprietorship or corporation at any time during the twelve (12) month period immediately preceding submission of a bid, or, that it is a not for profit organization that qualifies for tax exemption under the Internal Revenue Code of the United States or the Business Privilege Tax law of Guam, Title 12, Guam Code Annotated, Section 26203©. With the exception of not for profit organizations, the affidavit shall contain the number of shares or the percentage of all assets of such partnership, sole proprietorship or corporation which have held by each such person during the twelve (12) month period. In addition, the affidavit shall contain the name and address of any person who has received or is entitled to receive a commission, gratuity or other compensation for procuring or assisting in obtaining business related to the bid or offer and shall also contain the amounts of any such commission, gratuity or other compensation. The affidavit shall be open and available to the public for inspection and copying."

- 1. If the affidavit is a copy, indicate the BID/RFP number and where it is filed.**
- 2. Affidavits must be signed within 60 days of the date the bids or proposals are due.**

MAJOR SHAREHOLDERS OF DISCLOSURE AFFIDAVIT

TERRITORY OF GUAM)

HAGATNA, GUAM)

I, undersign, _____,
(partner or officer of the company of, etc.)

being first duly sworn, deposes and says:

1. That the person who have held more than ten percent (10%) of the company's shares during the past twelve (12) months are as follows:

<u>Name</u>	<u>Address</u>	<u>Percentage of Shares Held</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
Total number of shares		_____

2. Persons who have received or are entitled a commission, gratuity or other compensation for procuring or assisting in obtaining business related to the bid/rfp for which this Affidavit is submitted are as follows:

<u>Name</u>	<u>Address</u>	<u>Amount of Commission Gratuity or other Compensation</u>
_____	_____	_____
_____	_____	_____

Further, affiant sayeth naught.

Date: _____

Signature of individual if bidder/offeror is a sole
Proprietorship; Partner, if the bidder/offeror is a
Partnership Officer, if the bidder/offeror is a
corporation.

Subscribe and sworn to before me this _____ day of _____,

20____.

Notary Public _____

In and for the Territory of Guam

My Commission expires _____.

NON-COLLUSION AFFIDAVIT

Guam)
)ss:
Hagatna)

I, _____ first being duly sworn, depose and say:
(Name of Declarant)

1. That I am the _____ of _____.
(Title) (Name of Bidding/RFP Company)
2. That in making the foregoing proposal or bid, that such proposal or bid is Genuine and not collusive or sham, that said bidder/offeree has not colluded, Conspired, connived or agreed, directly or indirectly, with any bidder or person, to put in a sham or to refrain from bidding or submitting a proposal and has not in any manner, directly or indirectly, sought by agreement or collusion, or communication or conference, with any person, to fix the bid of affiant or any other bidder, or to secure any overhead, project or cost element of said bid price, or of that of any bidder, or to secure any advantage against the GUAM POWER AUTHORITY or any person interested in the proposed contract; and
3. That all statements in said proposal or bid are true.
4. This affidavit is made in compliance with Guam Administrative Rules and Regulations §§3126(b).

(Declarant)

SUBSCRIBED AND SWORN to me before this _____ day of _____, 2021

)Seal(

Notary Public

NO GRATUITIES OR KICKBACKS AFFIDAVIT

AFFIDAVIT

(Offeror)

TERRITORY OF GUAM)

HAGATNA, GUAM)

SS:

_____, being first duly sworn, deposes and says:

As the duly authorized representative of the Offeror, that neither I nor of the Offeror's officers, representatives, agents, subcontractors, or employees has or have offered, given or agreed to give any government of Guam employee or former employee, any payment, gift, kickback, gratuity or offer of employment in connection with Offeror's proposal.

Signature of Individual if Proposer is a Sole Proprietorship;
Partner, if the Proposer is a Partnership;
Officer, if the Proposer is a Corporation

SUBSCRIBED AND SWORN to before me this ____ day of _____, 2021.

Notary Public
In and for the Territory of Guam
My Commission Expires:

ETHICAL STANDARDS AFFIDAVIT

AFFIDAVIT

(Proposer)

TERRITORY OF GUAM)

)

SS:

HAGATNA, GUAM)

)

_____, being first duly sworn, deposes and says:

That I am (the Sole Proprietor, a Partner or Officer of the Offeror)

That Offeror making the foregoing Proposal, that neither he or nor of the Offeror's officers, representatives, agents, subcontractors, or employees of the Offeror have knowingly influenced any government of Guam employee to breach any of the ethical standards set forth in 5 GCA Chapter 5 Article 11, and promises that neither he nor any officer, representative, agent, subcontractor, or employee of Offeror will knowingly influence any government of Guam employee to breach any ethical standard set for in 5 GCA Chapter 5 Article 11.

Signature of Individual if Proposer is a Sole Proprietorship;
Partner, if the Proposer is a Partnership;
Officer, if the Proposer is a Corporation

SUBSCRIBED AND SWORN to before me this ____ day of _____, 2021.

Notary Public
In and for the Territory of Guam
My Commission Expires:

DECLARATION RE-COMPLIANCE WITH U.S. DOL WAGE DETERMINATION

Procurement No.: _____

Name of Offeror Company: _____

_____ hereby certifies under penalty of perjury:

- (1) That I am _____ (the offeror, a partner of the offeror, an officer of the offeror) making the bid or proposal in the foregoing identified procurement;
- (2) That I have read and understand the provisions of 5 GCA § 5801 and § 5802 which read:

§ 5801. Wage Determination Established.

In such cases where the government of Guam enters into contractual arrangements with a sole proprietorship, a partnership or a corporation ('contractor') for the provision of a service to the government of Guam, and in such cases where the contractor employs a person(s) whose purpose, in whole or in part, is the direct delivery of service contracted by the government of Guam, then the contractor shall pay such employee(s) in accordance with the Wage Determination for Guam and the Northern Mariana Islands issued and promulgated by the U.S. Department of Labor for such labor as is employed in the direct delivery of contract deliverables to the government of Guam.

The Wage Determination most recently issued by the U.S. Department of Labor at the time a contract is awarded to a contractor by the government of Guam shall be used to determine wages, which shall be paid to employees pursuant to this Article. Should any contract contain a renewal clause, then at the time of renewal adjustments, there shall be made stipulations contained in that contract for applying the Wage Determination, as required by this Article, so that the Wage Determination promulgated by the U.S. Department of Labor on a date most recent to the renewal date shall apply.

§ 5802. Benefits.

In addition to the Wage Determination detailed in this Article, any contract to which this Article applies shall also contain provisions mandating health and similar benefits for employees covered by this Article, such benefits having a minimum value as detailed in the Wage Determination issued and promulgated by the U.S. Department of Labor, and shall contain provisions guaranteeing a minimum of ten (10) paid holidays per annum per employee.

- (3) That the offeror is in full compliance with 5 GCA § 5801 and § 5802, as may be applicable to the procurement referenced herein;

Signature of Individual if Proposer is a Sole Proprietorship;

Partner, if the Proposer is a Partnership;

Officer, if the Proposer is a Corporation

SUBSCRIBED AND SWORN to before me this ____ day of _____, 2021.

Notary Public
In and for the Territory of Guam
My Commission Expires:



GUAM POWER AUTHORITY

ATURIDAT ILEKTRESEDAT GUAHAN
P O BOX 2977, AGANA, GUAM 96932-2977

SPECIAL PROVISIONS

Restriction against Sex Offenders Employed by Service Providers to Government of Guam from Working on Government of Guam Property

GCA 5 §5253(b) restricts the OFFEROR against employing convicted sex offenders from working at Government of Guam venues. It states:

(b) All contracts for services to agencies listed herein shall include the following provisions: (1) warranties that no person providing services on behalf of the contractor has been convicted of a sex offense under the provisions of Chapter 25 of Title 9 GCA or an offense as defined in Article 2 of Chapter 28, Title 9 GCA, or an offense in another jurisdiction with, at a minimum, the same elements as such offenses, or who is listed on the Sex Offender Registry; and (2) that if any person providing services on behalf of the contractor is convicted of a sex offense under the provisions of Chapter 25 of Title 9 GCA or an offense as defined in Article 2 of Chapter 28, Title 9 GCA or an offense in another jurisdiction with, at a minimum, the same elements as such offenses, or who is listed on the Sex Offender Registry, that such person will be immediately removed from working at said agency and that the administrator of said agency be informed of such within twenty-four (24) hours of such conviction.

Signature of Bidder Date

Proposer, if an individual;
Partner, if a partnership;
Officer, if a corporation.

Subscribed and sworn before me this _____ day of _____, 2021.

Notary Public

SECTION 3.0: FORM OF CONTRACT

CONTRACT FOR TECHNICAL AND PROFESSIONAL SERVICES

THIS CONTRACT is made and entered into on the ____ day of _____, 2021, by PROPONENT NAME, hereinafter called the CONTRACTOR, and the Guam Power Authority, hereinafter called GPA.

GPA engages the CONTRACTOR to perform professional services for a project known and described as "**Merchant Services**", **GPA-RFP-21-xxx**, hereinafter called the "Project".

RECITALS

WHEREAS, the Guam Power Authority (GPA), is a public corporation of the Government of Guam authorized to conduct its own procurement; and

WHEREAS, the GPA strategic plan contains initiatives to create a culture based on customer services excellence at the Authority; and

WHEREAS, GPA seeks to enter into a contract for **Merchant Services** with a CONTRACTOR wherein such services can be provided to the Authority for the benefit of its customers; and

WHEREAS, the services to be rendered are of a special and temporary nature and are determined to be in the best public interest to be performed under contract by technical personnel other than employees in the services of GPA; and

NOW, THEREFORE, the Guam Power Authority and the CONTRACTOR for the considerations set forth, agree as follows:

SECTION I - SERVICES OF THE CONTRACTOR

The CONTRACTOR shall perform the following professional services in accordance with the degree of care and skill that a registered professional in Guam would exercise under similar conditions:

- A. The CONTRACTOR shall provide services as described in the detailed scope of work provided in the Scope of work in GPA-RFP-21-00____.
- B. The CONTRACTOR has assigned _____ as the Project Manager for this Contract. Prior written approval is required in the event the CONTRACTOR needs to change the Project Manager. The CONTRACTOR shall submit the qualifications of the proposed substituted personnel to GPA for approval.
- C. The CONTRACTOR shall submit all final documents in both hard copy and electronic format. All documents shall be Microsoft Office compatible or in an alternate format approved by GPA. The software version used shall be compatible to current GPA standards.

SECTION II - PERIOD OF SERVICE

GPA and the CONTRACTOR agree this CONTRACT will be effective commencing _____, 2021 for a one-year period (12 months) from the date of award of the contract with an option to extend the contract for four additional one-year periods, subject to the availability of funds, and may, by mutual written agreement, be renewed at the same terms and conditions for additional periods subject to availability of funding.

SECTION III - CONSULTANT'S COMPENSATION

A. The total compensation to CONTRACTOR for services in this CONTRACT is the lump sum of: _____, plus approved adjustments.

B. GPA shall pay the CONTRACTOR using a method mutually agreed upon by GPA and the successful Offeror.

SECTION IV - CONTRACTOR'S STATUS

CONTRACTOR agrees that there shall be no employee benefits occurring from this Agreement, such as:

- A. Insurance coverage provided by GPA;
- B. Participation in the Government of Guam retirement system;
- C. Accumulation of vacation or sick leave;
- D. There shall be no withholding of taxes by GPA;
- E. That it is expressly understood and agreed that, in the performance of services under this Agreement, CONTRACTOR and its employees shall at all times act as independent contractors with respect to GPA, and not as an employee or agent of GPA. Further, it is expressly understood and agreed by the parties that nothing contained in this Agreement shall be construed to create a joint venture, partnership, association, or other affiliation or like relationship is and shall remain that of independent parties to a contractual relationship set forth in this Agreement.

SECTION V – GUAM POWER AUTHORITY'S RESPONSIBILITIES

- A. GPA shall designate a Project Manager during the term of this CONTRACT. The Project Manager has the authority to administer this CONTRACT and shall monitor compliance with all terms and conditions stated herein. All requests for information from or a decision by GPA on any aspect of the work shall be directed to the Project Manager.
- B. GPA shall review submittals by the CONTRACTOR and provide prompt responses to questions and rendering of decisions pertaining thereto, to minimize delays in the progress of the CONTRACTOR'S work. GPA will keep the CONTRACTOR advised concerning the progress of GPA's review of the work. The CONTRACTOR agrees that GPA's inspection, review, acceptance or approval of CONTRACTOR'S work shall not relieve CONTRACTOR'S responsibility for errors or omissions of the CONTRACTOR or its sub-CONTRACTOR(s).

SECTION VI - INVOICING AND PAYMENT TERMS & CONDITIONS

All Invoices shall include supporting documents (i.e. timesheets, shipping invoices, consumable listings). All supporting documents must be reviewed and approved by GPA Project Manager prior to invoice submittal for charges. All invoices will be paid NET 30 Days from date invoice is received at the GPA Accounting Department. Payment shall be made using a method mutually agreed upon by the Guam Power Authority and the CONTRACTOR.

SECTION VII - TERMINATION

GPA, at its sole discretion, may terminate this CONTRACT for convenience or abandon any portion of the Project for which services have not been performed by the CONTRACTOR, upon thirty (30) days written notice delivered to CONTRACTOR personally, via email, or by certified mail at the address provided.

Immediately after receiving such notice, the CONTRACTOR shall discontinue advancing the services under this CONTRACT and proceed to close said operations under this CONTRACT. The CONTRACTOR shall appraise the services it has completed and submit an appraisal to GPA for evaluation. GPA shall have the right to inspect the CONTRACTOR'S work to appraise the services completed.

In the event of such termination or abandonment, the CONTRACTOR shall be paid for services performed prior to receipt of said notice of termination including reimbursable expenses then incurred.

GPA shall make final payment within thirty (30) days after the CONTRACTOR has delivered the last of the partially completed items and the final fee has been agreed upon.

In the event this CONTRACT is terminated, GPA shall have the option of completing the work, or entering into a CONTRACT with another party for the completion of the work according to the provisions and agreements herein.

SECTION VIII - CHANGES

GPA may at any time, by written order, make any changes or deletions in the services to be performed hereunder. If such changes or deletions cause an increase or decrease in the cost of doing work under this Agreement, or in the time required for this performance, an equitable adjustment shall be made as agreed to by the parties and the Agreement shall be modified in writing accordingly.

SECTION IX - ASSIGNMENT OF AGREEMENT

CONTRACTOR may not assign this Agreement, or any sum becoming due to under the provisions of this Agreement, without the prior written consent of GPA.

SECTION X - FORCE MAJEURE

Neither party shall be liable for any delay in meeting or failure to meet its obligations under this Agreement due to a force majeure.

SECTION XI - TAXES

OFFEROR shall be liable for Guam Gross Receipt Taxes and all other applicable taxes and duties. Guam Power Authority shall have no tax liability under this contract. Specific information on taxes may be obtained from the Director of the Guam Department of Revenue and Taxation.

GPA is a government agency exempted from ALL government taxes as stipulated in the Guam Code Annotated.

SECTION XII – NOTICES

Any notice, demand or other document required or permitted to be delivered hereunder shall be in writing and may be delivered personally (not to include facsimile transmission) or shall be deemed to be delivered when received postage prepaid, registered or certified mail, return receipt requested, addressed to the parties at their respective address as specified herein:

TO:	Name and Address
COPY:	If applicable, Name and address
FAX:	Fax number
TO:	Guam Power Authority P.O. Box 2977 Hagatna, Guam 96932-2977
ATTN:	General Manager
FAX:	(671) 646-3165

SECTION XIII – GOVERNING LAW

The validity of this Agreement and any of its terms or provisions, as well as the rights and duties of the parties to this Agreement, shall be governed by the laws of Guam.

SECTION XIV - SUPPLEMENTAL CONTRACT PROVISIONS

The supplemental contract provisions to this CONTRACT are attached hereto and incorporated herein by reference as if fully set forth.

SECTION XV – INDEMNIFICATION

The CONTRACTOR shall indemnify and hold GPA harmless from any claim, liability or product liability, loss, damage, demand, cause of action or suit, expense or reasonable fee of legal counsel arising out of or in connection with the goods or services the CONTRACTOR provides.

SECTION XVI – DISPUTES

All controversies between GPA and the CONTRACTOR which arise under, or are by virtue of this CONTRACT and which are not resolved by mutual agreement shall be resolved under Guam Procurement Law and the Government Claims Act, and pursuant to the laws of Guam.

SECTION XVII – RELEASE OF INFORMATION

The CONTRACTOR shall not release any information, including the contract price; concerning this project or any part thereof in any form, including advertising, news releases, or professional articles, without written permission from GPA.

SECTION XVIII – INSURANCE

The CONTRACTOR shall not commence work under this CONTRACT until he has obtained reasonable insurance for Auto Liability and Worker's Compensation and Employer's Liability up to the statutory limits. The CONTRACTOR shall maintain all insurance required during the course of the work.

IN WITNESS WHEREOF, the parties hereto have executed this CONTRACT this _____ day _____, 2021. The CONTRACTOR warrants that the person who is signing this CONTRACT on behalf of the CONTRACTOR is authorized to do so and to execute all other documents necessary to carry out the terms of this CONTRACT.

Offeror
Title
Company Name
Federal I.D. No. /Social Security No.

JOHN M. BENAVENTE, P.E.
GENERAL MANAGER
GUAM POWER AUTHORITY

4 SOLICITATION AND TECHNICAL REQUIREMENTS

Guam Power Authority Merchant Services

General:

The Guam Power Authority was created in 1968 as a public corporation and autonomous instrumentality of the Government of Guam. Since that time the Authority has maintained and expanded the island wide power system on Guam. The Authority now has 469 megawatts of generation capacity, 663 miles of transmission and distribution lines, 29 substations, \$958 million in assets, and \$335 million in annual revenues. GPA currently serves approximately 51,000 customers with the U.S. Navy being the largest representing about 16% of revenues.

The Guam Power Authority was changed into a public corporation of the Government of Guam in 2002 and is governed by a five member elected Commission – the Consolidated Commission on Utilities (CCU). The CCU retains contracting authority, establishes policies and has control over the selection of top management of the Authority.

The Authority is regulated by the Guam Public Utilities Commission – a rate setting body made up of Commissioners appointed by the Governor of Guam. The PUC has established rules of operation that are similar to those of other jurisdictions within the United States. The PUC has broad regulatory authority over GPA including approval of any contracts that might have an impact on GPA's rates.

Purpose:

The Guam Power Authority (GPA), Guam Waterworks Authority (GWA), and Guam Solid Waste Authority (GSWA) are soliciting proposals for merchant services enabling the acceptance and processing of credit and debit card payments for GPA, GWA, and GSWA at our payment facilities and online.

Scope of Work (SOW):

The following is an overview of the major requirements/specifications in which Guam Power Authority (GPA), Guam Waterworks Authority (GWA), and Guam Solid Waste Authority (GSWA) are interested and provides explanatory information regarding items within the SOW.

GPA and GWA has merchant services wherein credit cards and debit cards have been accepted at GPA and GWA offices and through its website and mobile application. GSWA is currently only accepting online payments for credit cards. This procurement is to provide GPA, GWA, and GSWA with Merchant Services for the one-year period with the four options to extend additional one-year period and may be renewed at the same terms and conditions for additional periods.

The merchant service provider should be able to process substantially all Visa and MasterCard debit and credit cards, Discover Card, and local bank issued debit cards. Proponents must have payment gateway for online and mobile payments application. Proponents are invited to propose additional related services to GPA, GWA, and GSWA including, but not limited to, serving as a third party collection agent for all electronic payments.

GPA, GWA, and GSWA Statistics:

Service Locations	Annual Transactions	Annual Sales
GPA Offices	80,400	\$28,025,000
GPA Online Payments	258,900	\$88,055,000
GWA Office	52,400	\$7,583,000
GWA Online Payments	205,110	\$32,272,000

GSWA Office	0	0
GSWA Online Payments	86,782	\$3,807,542

GPA and GWA are currently under Utility Industry Program offered by MasterCard wherein lower fees are charged to customers of municipal utilities. The service providers are encouraged to explore incorporating these services into the proposal. The extension of the contract may be subject to obtaining the Utility Industry Program.

NOTE: The GSWA is procuring its online bill payment service. As soon as GSWA award its bill payment services, they will be included in this merchant services contract.

5 EVALUATION OF PROPOSALS

5.1 EVALUATION COMMITTEE

GPA will convene an evaluation committee comprised of seven (7) members to evaluate the proposals based on the established criteria. The evaluation committee will develop a list of qualified firms, rank the firms, and select the most qualified to negotiate the scope of required services and related fees.

5.2 CONTENTS OF THE PROPOSAL

At a minimum, the proposal shall contain:

- A. The name of the Offeror, the location of the Offeror's principal place of business, and, if different, the place of performance of the proposed contract; and
- B. Submit a resume in response to the RFP demonstrating the abilities, qualifications, academic and professional experience and credentials of the key personnel that would be assigned to perform the services.
- C. A list of other projects for which services similar in scope, size and discipline for the required services, which the individual substantially performed or accomplished in the past two years. The projects described should only contain services as indicated on the Scope of Work.
- D. Evidence that the Offeror is licensed to do business on Guam.

5.3 EVALUATION CRITERIA

A committee will convene after the deadline for receipt of submittals to evaluate the respondents' qualifications based on but not limited to the following criteria:

<u>Criteria</u>	<u>Weight</u>
The capacity and ability of the Offeror to provide merchant services and Utility Industry Program for GPA, GWA, and GSWA.	60%
The personnel, equipment, and facilities to perform the services currently available to demonstrate to be available at the time of contracting.	20%
The plan for performing the required services, including understanding of the project's potential problems and/or any special concerns.	10%
The record and quality of past performance of similar work, including clientele/references input regarding the level of customer satisfaction with similar audit relationships.	10%

Exhibit A	PRICING SUMMARY FORM
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**PRICE SUMMARY FORM
TO BE ENCLOSED IN SEPARATELY SEALED ENVELOPE**

Please provide Unit Price for the following and include any additional fees not listed:

Contract Fee: \$ _____

Monthly Minimum Charge: \$ _____

Setup Fee: \$ _____

Annual Assessment/Compliance Fee: \$ _____

Monthly Service Fee: \$ _____

Per Transaction Fee: \$ _____
(list separately if there is a dollar and % transaction charge): \$ _____

(Describe) _____ : \$ _____

(Describe) _____ : \$ _____

(Describe) _____ : \$ _____

(Describe) _____ : \$ _____

Terminal Fee per month or year: \$ _____

Chargeback Fee: \$ _____

Batch Settlement Fee: \$ _____

Other Fees (describe) _____ : \$ _____

Other Fees (describe) _____ : \$ _____

Payment gateway Per Transaction Fee: \$ _____
(list separately if there is a dollar and % transaction charge): \$ _____

(Describe) _____ : \$ _____

(Describe) _____ : \$ _____



GUAM POWER AUTHORITY
ATURIDÂT ILEKTRESEDÂT GUAHAN
P.O.BOX 2977 • AGANA, GUAM U.S.A. 96932-2977

Issues for Decision

GWA Resolution No. 16- FY2021 GPA Resolution No. 2021-07

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

The objective is to confirm and approve GWA and GPA management's determination that Management followed and applied the required emergency pay provisions of the DoA Personnel Rules and Regulations to all essential employees reporting for duty to their normal work stations during the declared pandemic emergency.

When will it be completed?

As soon as approved by the CCU.



CONSOLIDATED COMMISSION ON UTILITIES

Guam Power Authority | Guam Waterworks Authority

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

GPA RESOLUTION NO: 2021-07
GWA RESOLUTION NO. 16-FY2021

**CONFIRMING MANAGEMENT'S MARCH 2020 EMPLOYEE
PANDEMIC PAY DETERMINATION**

WHEREAS, the Governor of Guam issued Executive Order 2020-04 effective March 16, 2020 directing all Government operations to shut-down with the exception of essential services; and

WHEREAS, in order to comply with the Executive Order, the Guam Power Authority (GPA) and Guam Waterworks Authority (GWA) closed all facilities to the public however, adequate crews and other personnel were maintained to provide critical power, water and wastewater services to its customers; and

WHEREAS, GPA and GWA management requested guidance from the Department of Administration and the Attorney General regarding the application of the existing DoA Personnel Rules and Regulations, which were adopted by GWA, referencing pay during a declared emergency; and

WHEREAS, GPA and GWA management received limited guidance which conflicted with and did not clearly clarify the application of emergency pay provisions of the DoA Personnel Rules and Regulations; and

WHEREAS, after lengthy management discussion and review by legal counsel, management determined that without any clear guidance to the contrary, the emergency pay provisions of the DoA Personnel Rules and Regulations would be applied strictly and across the board; and

1 **WHEREAS**, GPA and GWA actions taken conformed with the AG opinion of May 14,
2 2020;

3
4 **NOW BE IT RESOLVED**, the Consolidated Commission on Utilities does hereby
5 confirm and approve of GWA and GPA management's determination to follow and apply the
6 required emergency pay provisions of the DoA Personnel Rules and Regulations to all essential
7 employees reporting for duty to their normal work stations from March 14, 2020 to May 11, 2020
8 during the declared emergency.

9
10 **FURTHER RESOLVED**, that the Chairman certifies and the Board Secretary attests to
11 the adoption of this Resolution.

12
13 **DULY AND REGULARLY ADOPTED AND APPROVED THIS 23RD DAY OF**
14 **MARCH 2021.**

15 Certified by:

Attested by:

16
17 _____
18 **JOSEPH T. DUENAS**

17 _____
18 **MICHAEL T. LIMTIACO**

19 Chairperson

Secretary

20 Consolidated Commission on Utilities

Consolidated Commission on Utilities

21
22 **SECRETARY'S CERTIFICATE**

23
24 **I, Michael T. Limtiaco**, Board Secretary of the Consolidated Commission on
25 Utilities (CCU), as evidenced by my signature above, do hereby certify as follows:

26
27 The foregoing is a full, true and correct copy of the resolution duly adopted at a
28 regular meeting by the members of the Guam CCU, duly and legally held at a place properly
29 noticed and advertised at which meeting a quorum was present and the members who were
30 present voted as follows:

31 AYES: _____

32 NAYS: _____

33 ABSENT: _____

34 ABSTAIN: _____



Management Report

GPWA CCU Board Meeting, March 23, 2021



GWA Workforce availability as of March 12, 2021

Healthy	354	96.2%
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	7	1.9%
LTD	1	0.3%
	368	100%

Total		
Healthy/Reporting for duty at worksite	345	93.8%
Healthy/Reporting for duty - Part Teleworking and Part Reporting for duty at worksite	2	0.5%
Healthy/Reporting for duty - Teleworking	7	1.9%
Employee sick - symptoms unrelated to COVID-19	3	0.8%
Military Leave	7	1.9%
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%
Employee sick - symptoms related to COVID-19	1	0.3%
	368	100%

GWA Workforce Vaccine Status

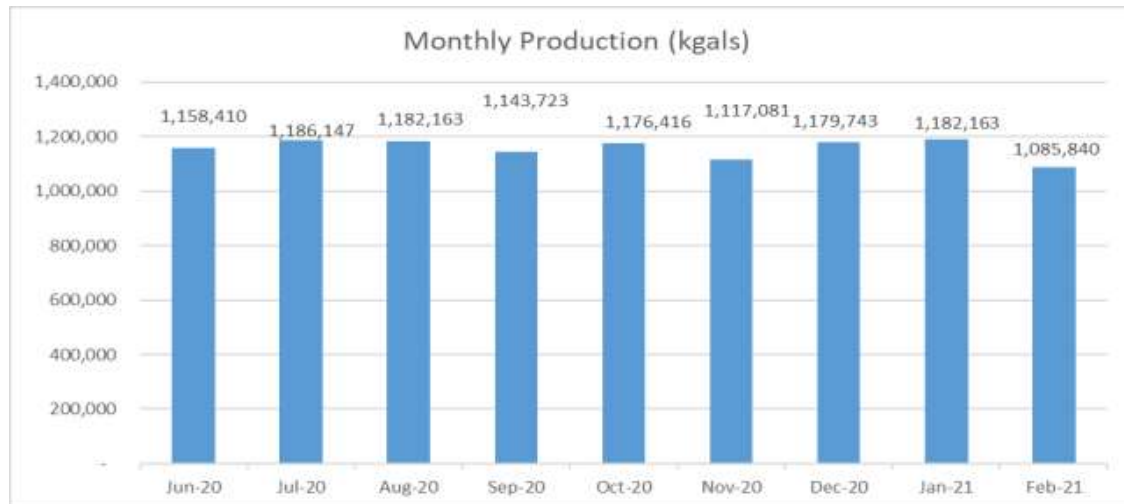
First Shot	18	4.89%
Second Shot	95	25.82%
Did Not Receive Shot	255	69.29%
	368	100.00%

Operations Update

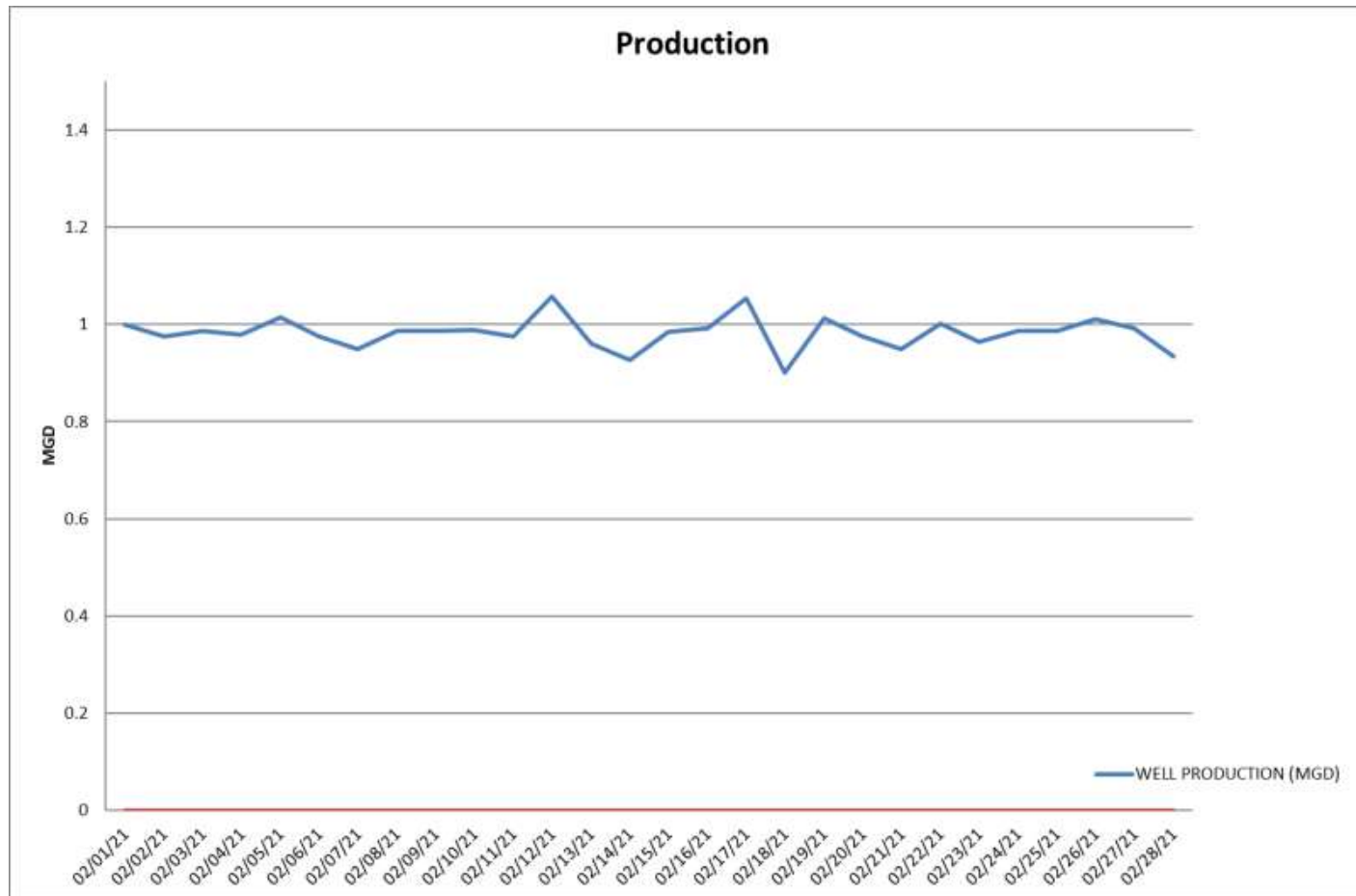
Production (February 2021)

Monthly Production Summary - February 2021			
Deep Wells		35.3 MGD	
Active wells =	95 of 120		
Avg days in operation =	28 days		
Total Production =	989,727 Kgals		
Springs		0.24 MGD	
Avg days in operation =	28 days		
Total Production =	6,749 Kgals		
Ugum Surface Water Plant		2.2 MGD	
Avg days in operation =	28 days		
Total Production =	61,854 Kgals		
Tumon Maui Well		0.98 MGD	
Avg days in operation =	28 days		
Total Production =	27,510 Kgals		
		1,085,840 Kgals	38.8 MGD

DW Status as of 2/28/2021							
Active	95						
Grounded motor or Pump Failure	11	A26-D03-D04-F06-F13-M17A-Y16-Y20-Y22-F15-Y09					
Out of commission	8	A02-A07-A28-D05-D13-M14-MU01-MU05					
Temporarily Secured	2	A23-A25					
Standby	4	A10-A29-F07-F10					
TOTAL	120						

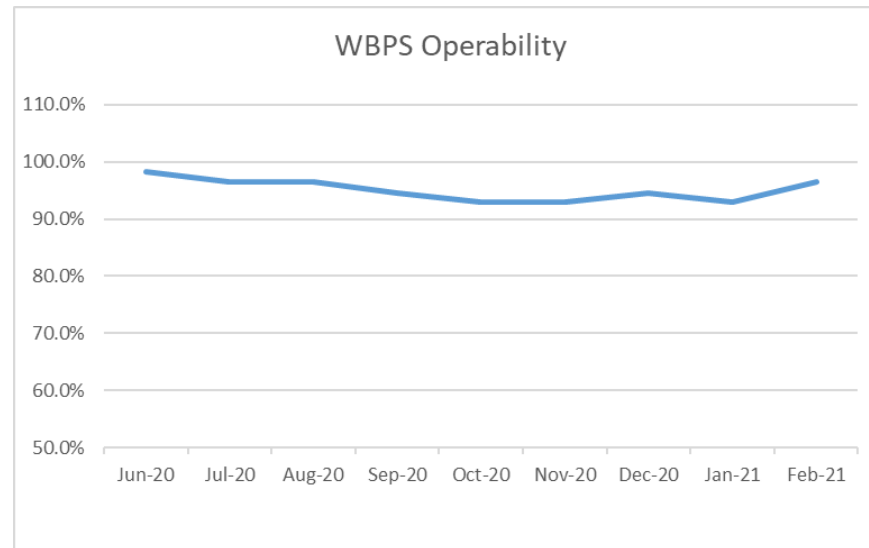


Tumon Maui Well Production (February 2021)

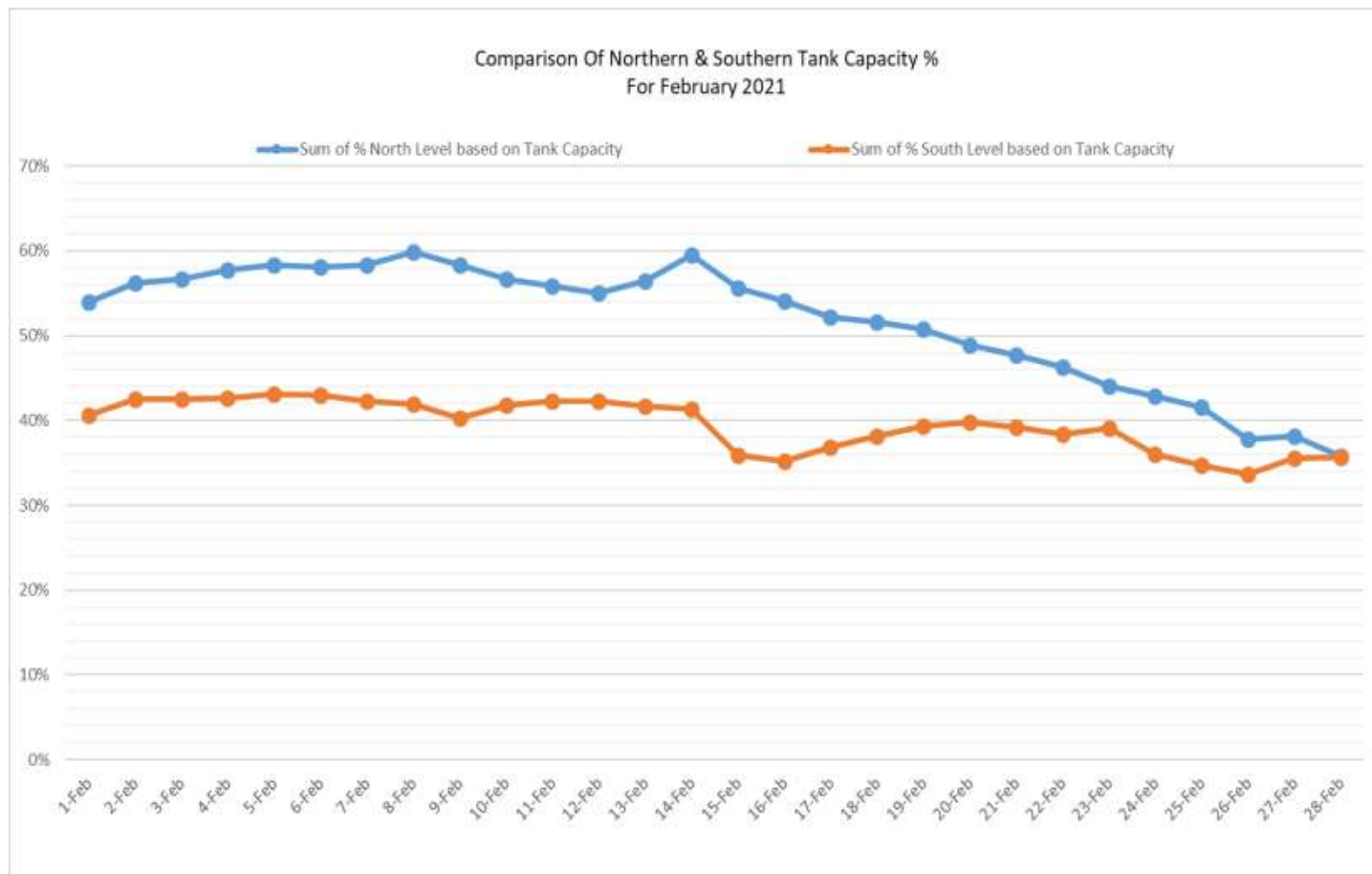


Distribution (February 2021)

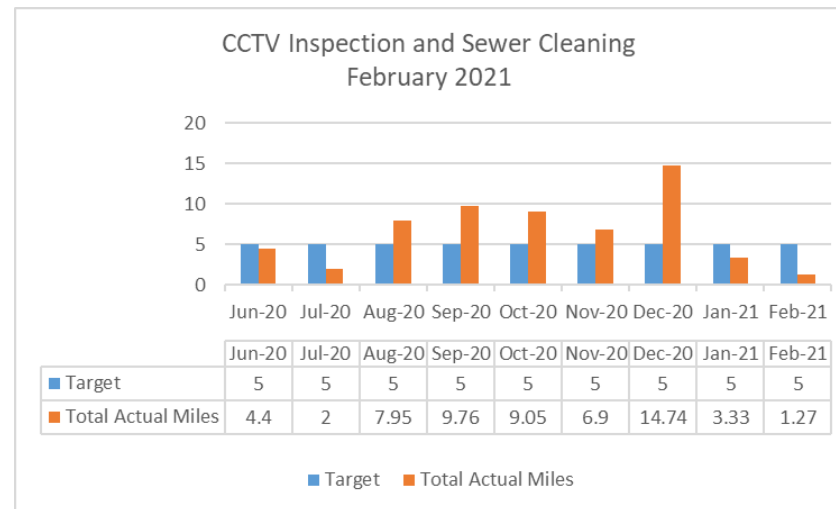
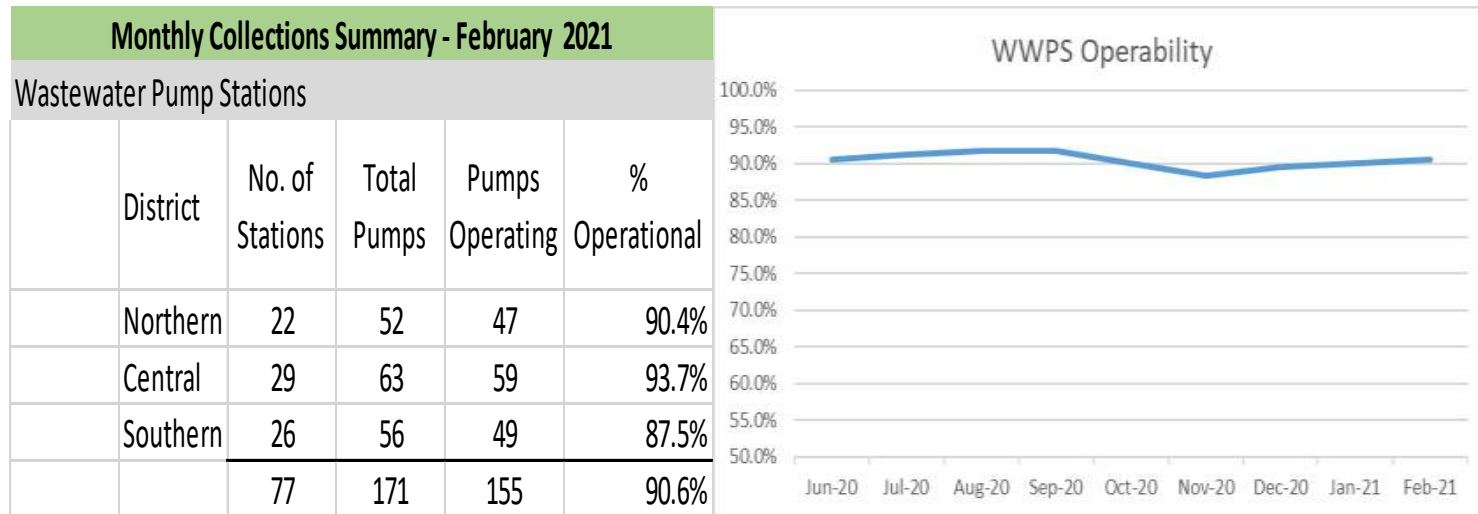
Monthly Distribution Summary - February 2021					
Water Booster Pump Stations					
	District	No. of Stations	Total Pumps	Pumps Operating	% Operational
	Northern	13	26	25	96.2%
	Central	7	14	13	92.9%
	Southern	7	16	16	100.0%
		27	56	54	96.4%



Distribution – Tank Levels (February 2021)



Wastewater Collections (February 2021)



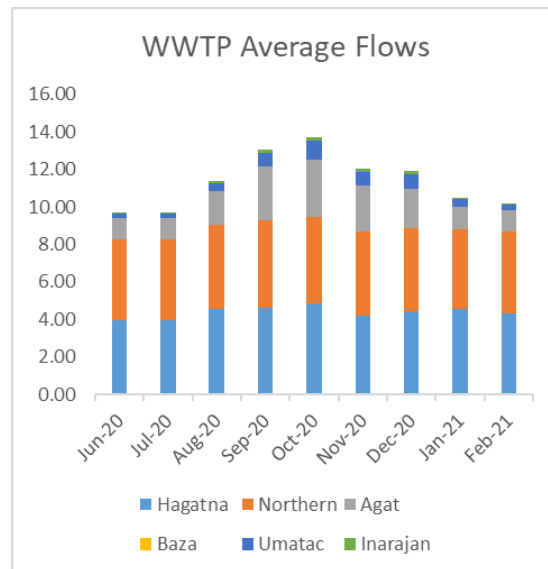


Agana Heights/Sinajana



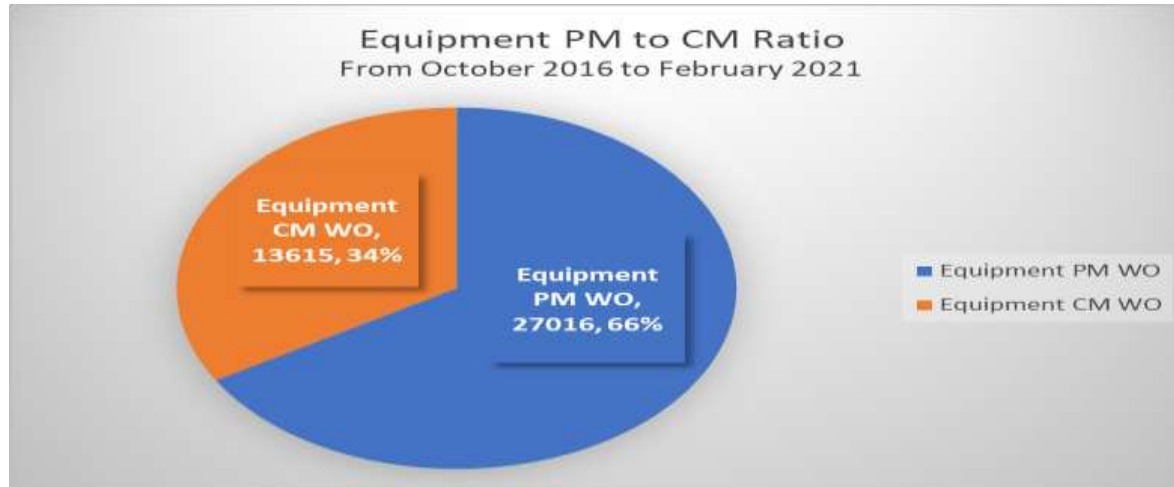
Wastewater Treatment (February 2021)

Monthly Wastewater Treatment Summary - February 2021				
WW Treatment Plants - Flows				
	Facility	Avg. Daily Flows	Sludge (lbs)	Sludge Disp. (\$)
	Hagatna	4.31	657,280	\$ 59,155
	Northern	4.38	1,063,300	\$ 95,697
	Agat	1.16	14,800	\$ 1,332
	Baza	0		
	Umatac	0.25		
	Inarajan	0.06		
		10.16	1,735,380	\$ 156,184

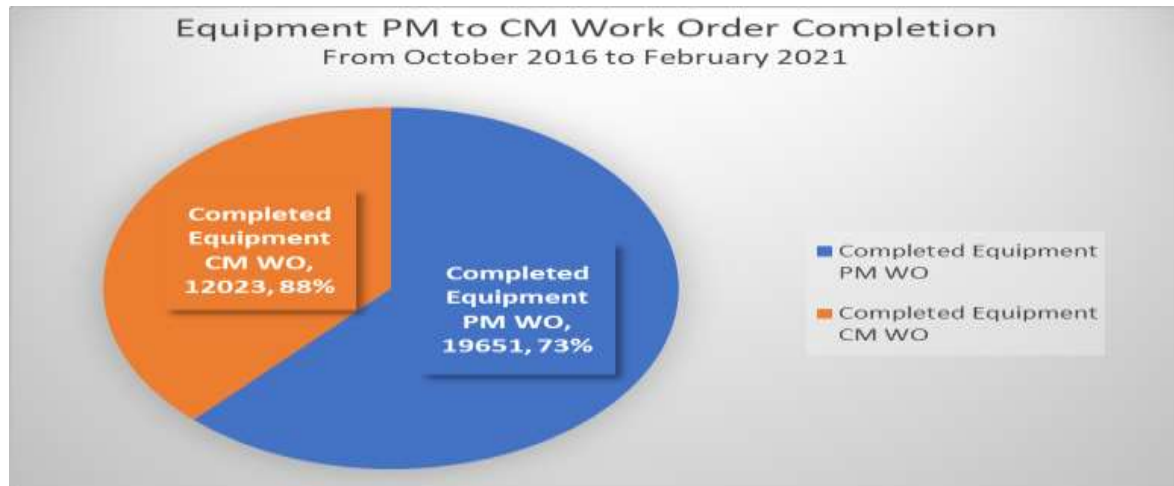


Asset Management (through February 2021)

I. Equipment Preventive Maintenance to Corrective Maintenance *Ratio*

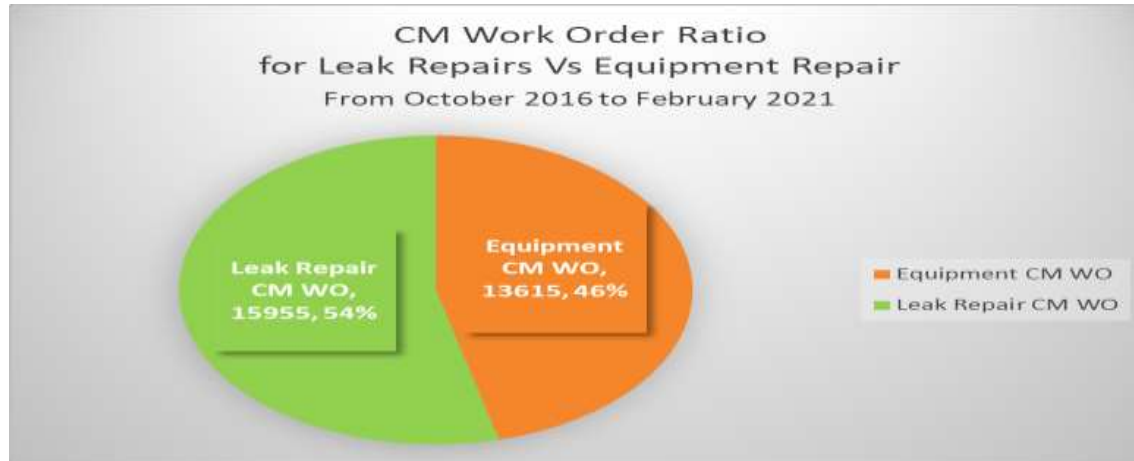


II. Equipment Preventive Maintenance to Corrective Maintenance *Work Order Completion*



Asset Management (February 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



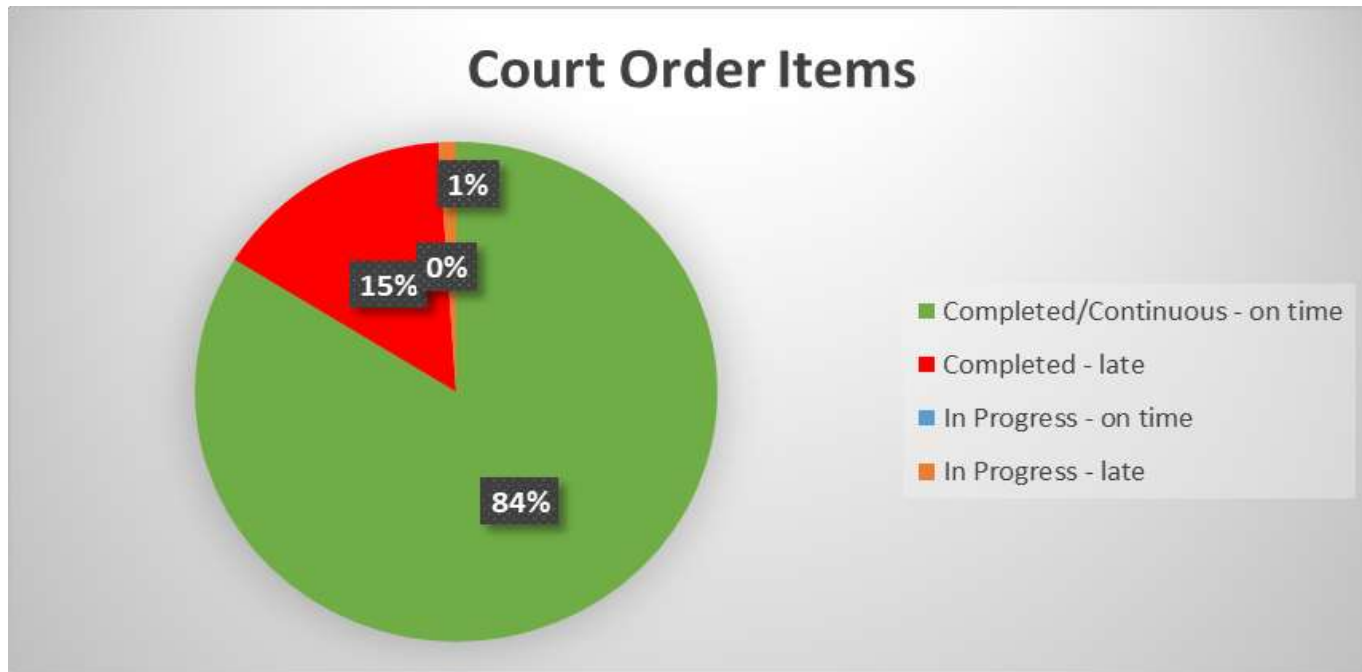
One Guam Update (through February 2021)

- 01- TMW
 - Next inspection is scheduled in April/May.
 - The license expires May 2021; GWA is requesting that the pumping rates be increased to permitted capacity from 800 to 900 gpm in the renew license agreement.
- 04-OEA Projects
 - Observation Wells/NGLA
 - Temporary Construction Easement (TCE) – GWA has not signed the TCES. Although OEA approval of transfer of funds request; the contractor has since pulled out and GWA will re-bid the project.
 - MOA with WERI is still pending the final determination of cost split;
 - Andersen has to be signatory due to the change in the DoD organization changes in the handling of utilities at Andersen.
- 05-Water to Camp Blaz
 - GWA is waiting for a formal request from the Marines on when Camp Blaz needs the water, how much and duration. The Navy will follow up with the Marines Camp Blaz Public Works leadership and then discuss with NAVFACMAR.
- 06-Strategy/Framework Discussion – Proposed Projects for continued discussion for interoperability
 - GWA and DOD have decided on 2 high priority projects
 - 2 High Priorities: Route 16 Intertie & Santa Rosa Intertie
 - Route 16 Intertie – GWA and the Navy will review the information and provide feedback.
 - Santa Rosa Intertie - Andersen working on a presentation for leadership. GWA needs a response from Andersen. This work will be added to the existing contract GWA has with is contractor current tank project.
 - 5 Medium Priority Projects
 - Connection to Route 7 (NRMC area) - this project will be further discussed; The Navy is still dealing with GAC project.
 - Potential support from AG-1 Well for Andersen -
 - Navy Adelup Tank, Potential Interconnect — Awaiting GWA completing alignment in their zone. Brett stated may be a while for this as contractor is doing work on some A-series wells and alignment on Route 4.
 - Andy South Intertie is at Tank 4 towards Route 15. GWA and DOD will share maps of lines in the area with

each other.

- Northern Forest Enhancement – Medium Priority – The Marines are looking into the feasibility of providing their own means of producing water for both this and the Southern forest Enhancement location.
- 07-Property Transfers
 - Transfer of Navy Laterals at Murray Road and NGLA Observation Well BPM-1 to GWA still pending Navy action
- 30-Other
 - Possible Navy WW Diversion to Agat
 - Coordination is ongoing for the details of capacity of Agat Santa Rita WWTP and the GWA's pre-treatment permit requirements.
 - AG-1
 - GWA requested clarification on who will be responsible for the maintenance of the water line connected to AG-1
 - GWA Planners verified the location of the waterline. Unfortunately, the water line is not where it shown on the map; there is no vehicular access, need to consider relocating the line into the existing road (expense involved) or cutting an access road near the line. The maintenance of the line will need to be reflected in the renewed license.

Court Order Summary (February 2021)



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

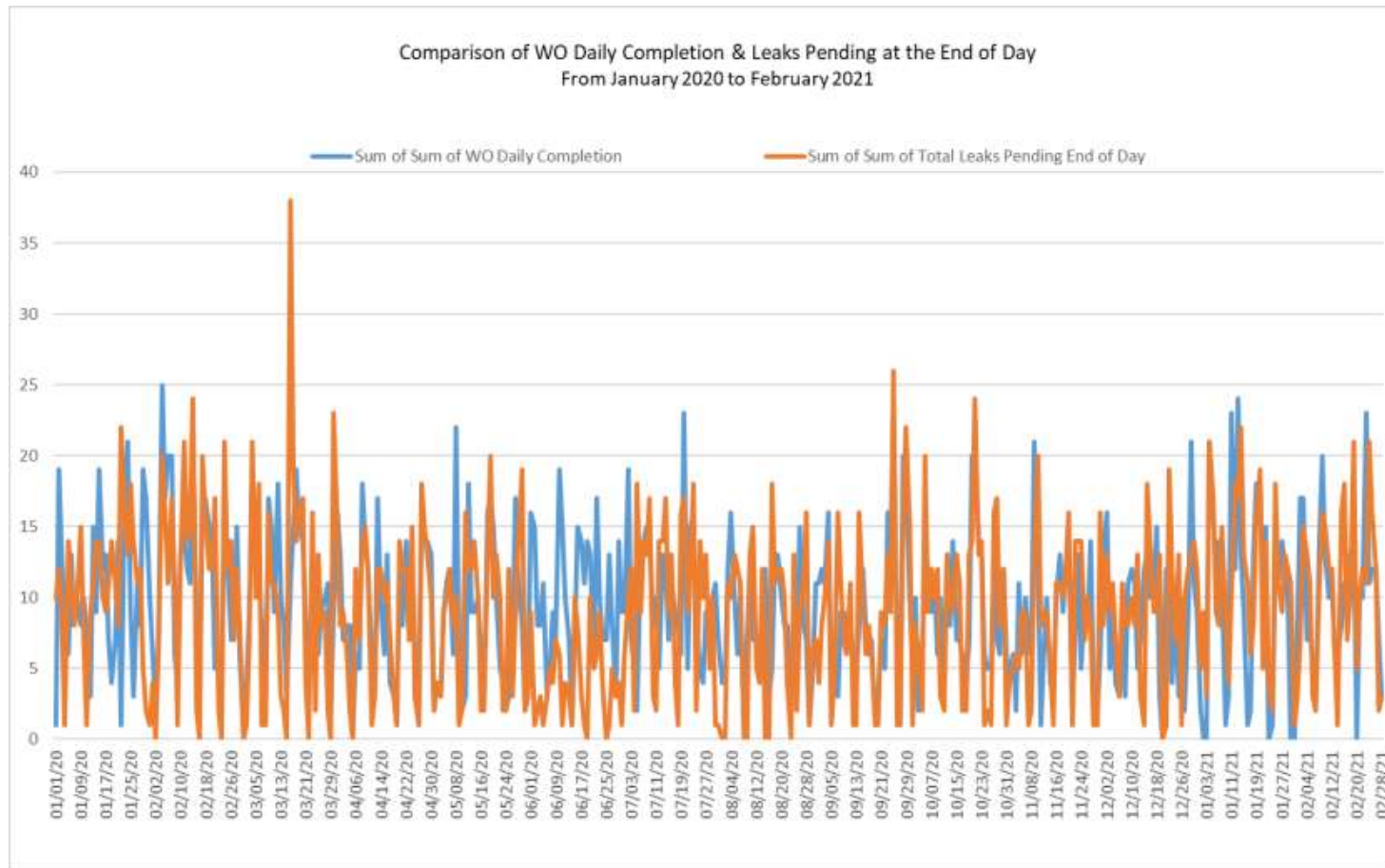
Court Order – Status Information (February 2021)

- 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):
 - February 8, 2021 SSO#378 - Redundo Luchan, Dededo - FOG
 - February 11, 2021 SSO#384 - Route 1, GPA Yigo Power Plant - FOG
 - February 13, 2021 SSO#385 - Route 1, GPA Yigo Power Plant - FOG
 - February 22, 2021 SSO#387 - Biradan Paluma, Paradise Estate, Dededo - FOG
 - February 28, 2021, SSO#391 - Aga Drive, Santa Rita - FOG

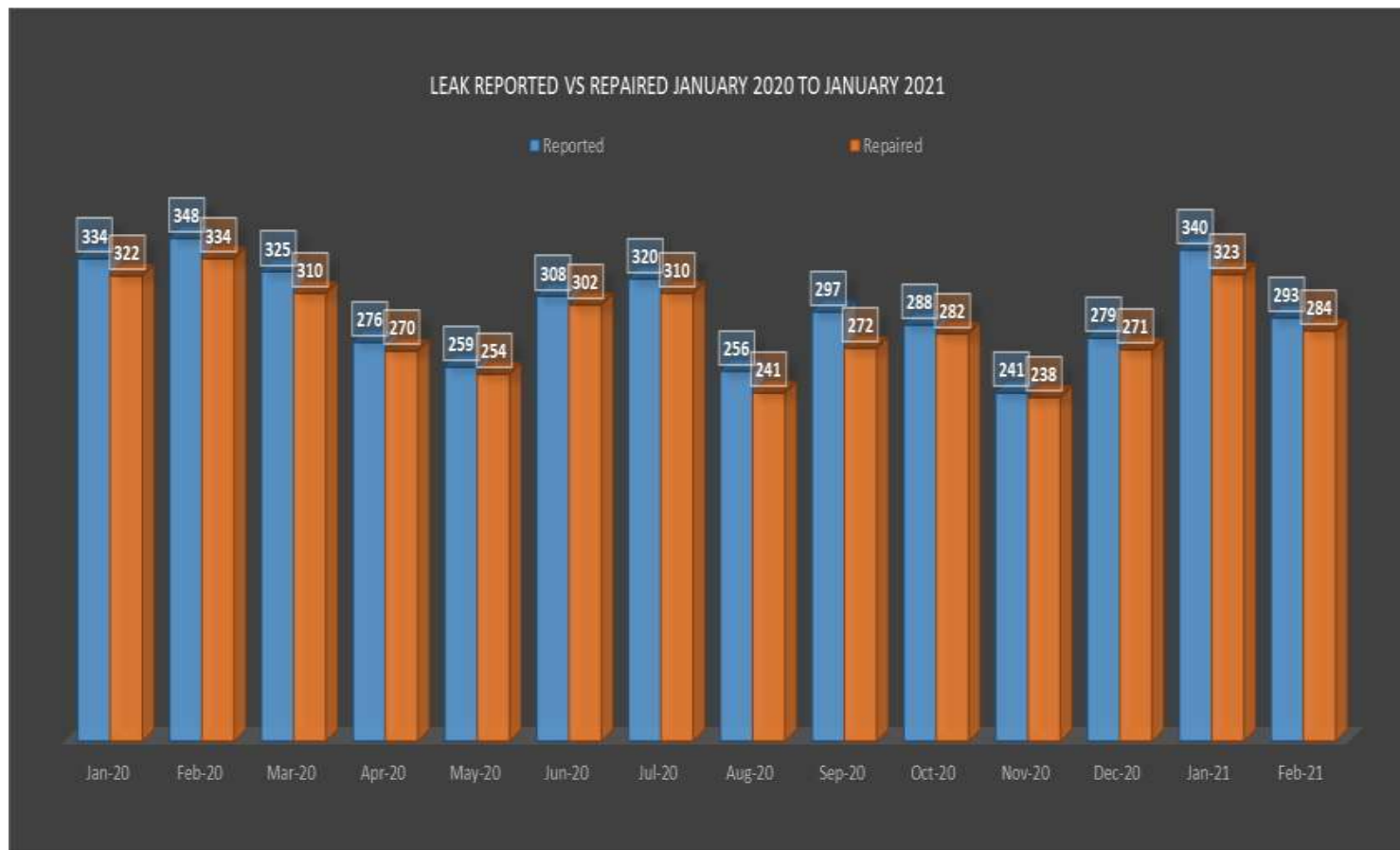
Land Acquisition Summary (through February 2021)

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. DLM to check with legal counsel 02/03/2021, update follow up sent 03/02/2021.
	Piti	Private	Received final comments from DoAg. Waiting on the archaeological report before we can submit 299 form. Waiting for permission from NPS to access the lot and perform the Archeological survey.
	Airport	Private	Petition to Approve Sale sent. Per family Attorney on 03/16/2021, still pending hearing date with Superior Court.
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. Further coordination between NPS and SHPO is pending to determine necessary approach for an archaeological survey. February 10, 2021 – Biological Survey at Asan Springs project site was performed, HDR report of findings is pending. However, based on a preliminary finding by HDR's biologist they have found snails close to the site, and within NPS proposed ROW, and outside the proposed ROW. Pending archaeological survey requirements from SHPO.

Leak Repair Summary (through February 2021)



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



Monthly Leak Report Cost (through February 2021)



Assumptions:

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



GWA Financial Overview

FEBRUARY 2021





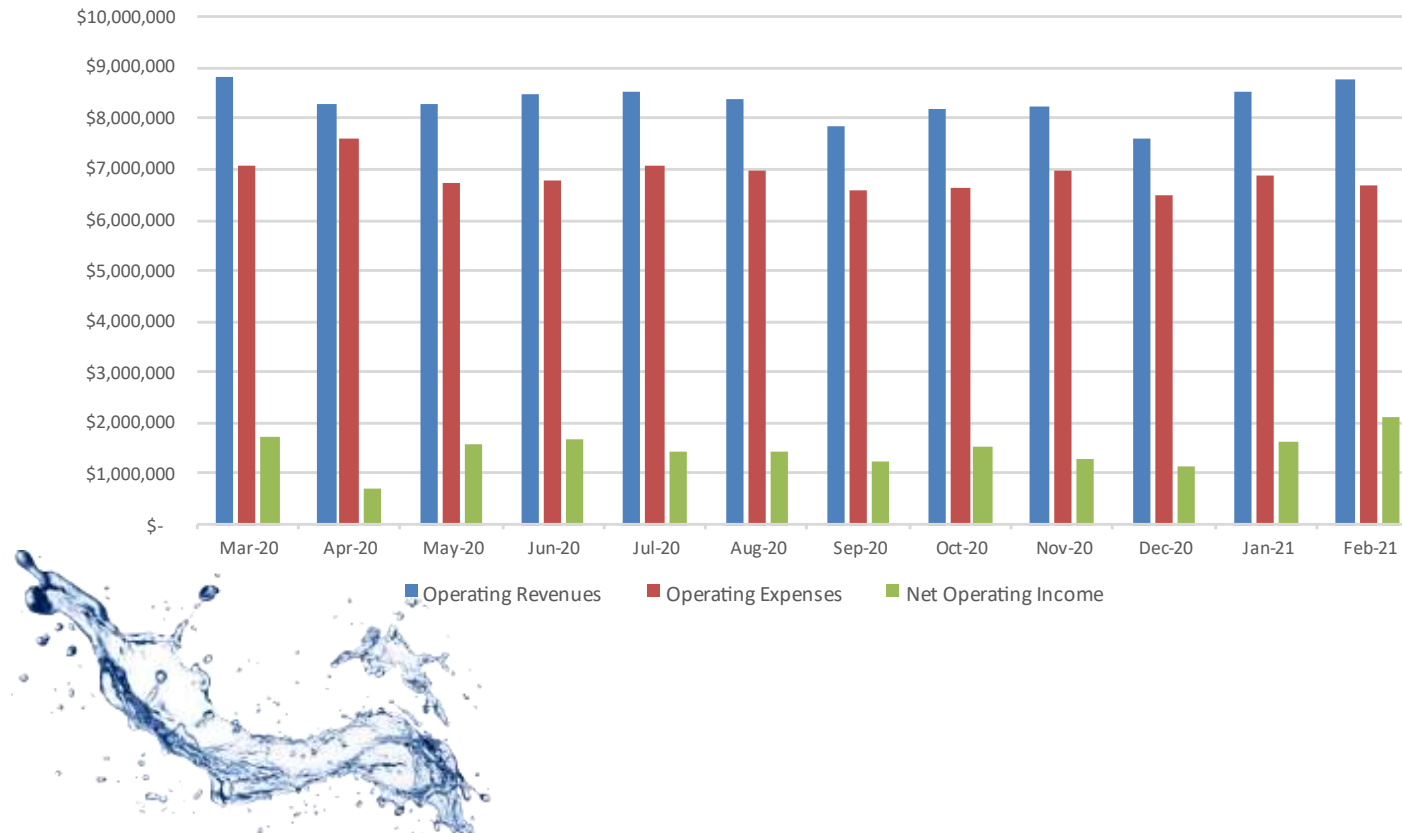
Key Financial Indicators

Indicator	Target	Jan-21	Feb-21
DSC YTD			
• Per Section 6.12 of Indenture	1.25	1.30	1.34
• Per PUC / CCU	1.40	1.30	1.34
Days – Cash on Hand	120 days	259 days	293 days
Collection Ratio			
• Month to Date	99%	91%	97%
• Year to Date	99%	95%	95%
Days Billed	30 days	32 days	29 days
Account Receivable Days	30 days	50 days	49 days
Account Payable Days	45 days	32 days	33 days
Employee Count	400 FTE	373 FTE	370 FTE
Water Demand			
• Month to Date	478,754	471,523	438,854
• Year to Date	2,393,771	1,760,915	2,199,768
Wastewater Flow			
• Month to Date	356,472	328,313	320,727
• Year to Date	1,782,382	1,245,027	1,565,754
Water Customers	42,839	43,086	43,202
Wastewater Customers	29,805	29,765	29,867



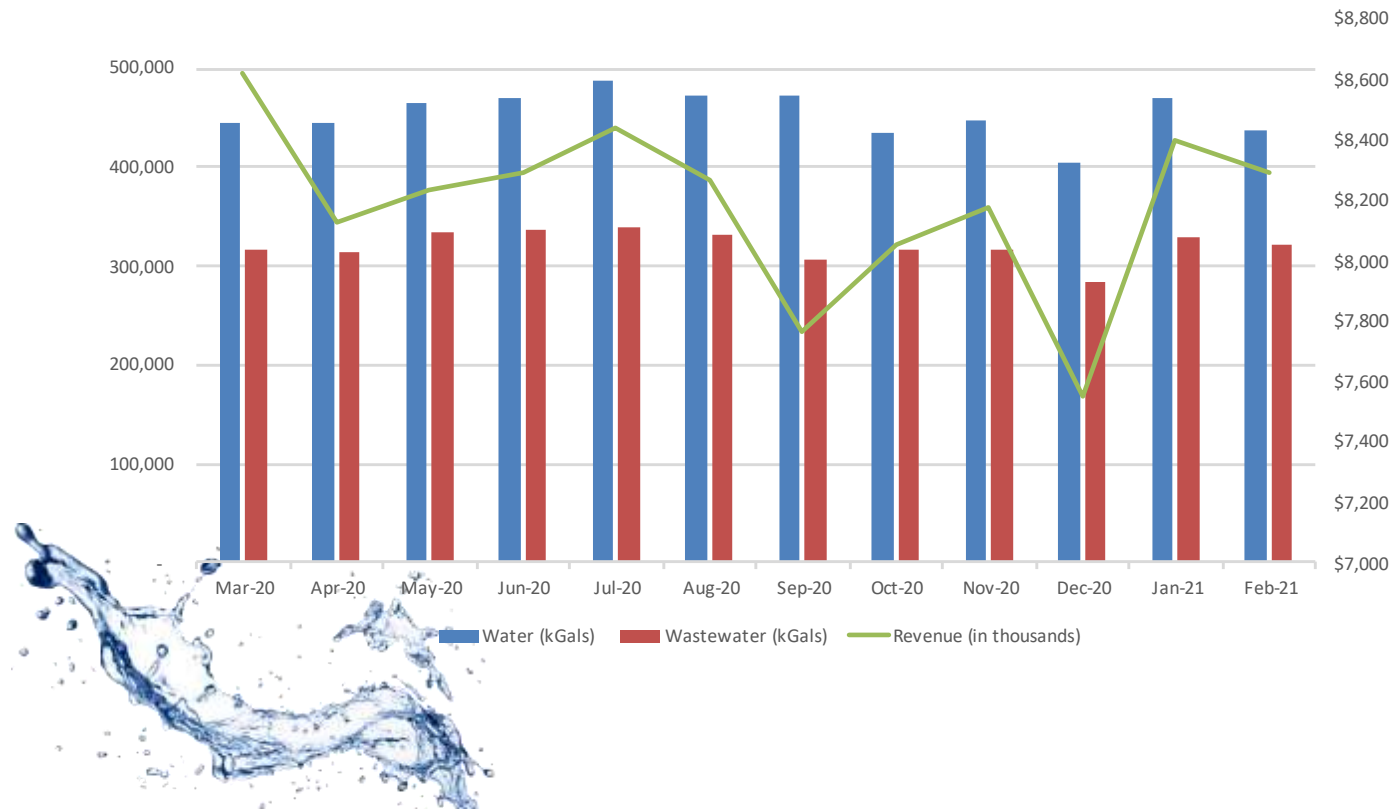


Income Statement





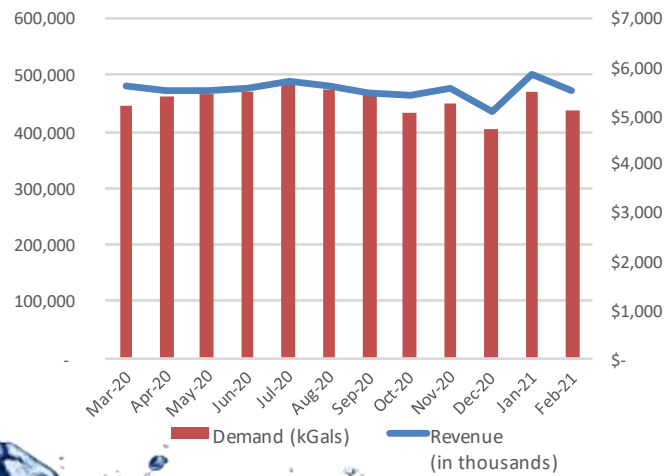
Overall Revenues and Demand



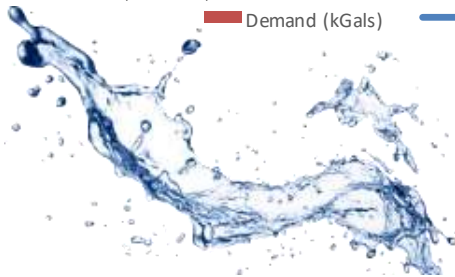
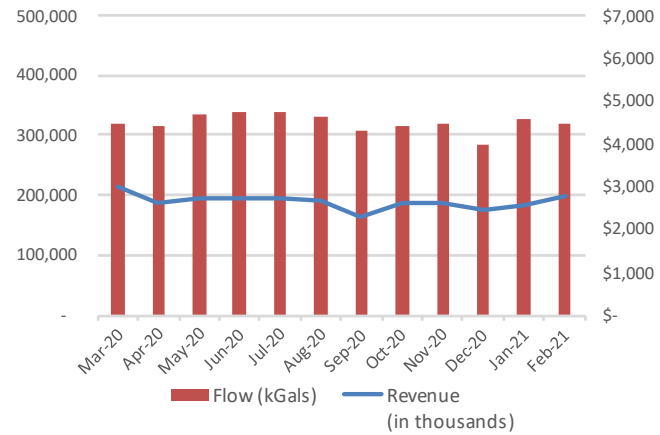


Revenues and Demand

Water Revenue and Demand

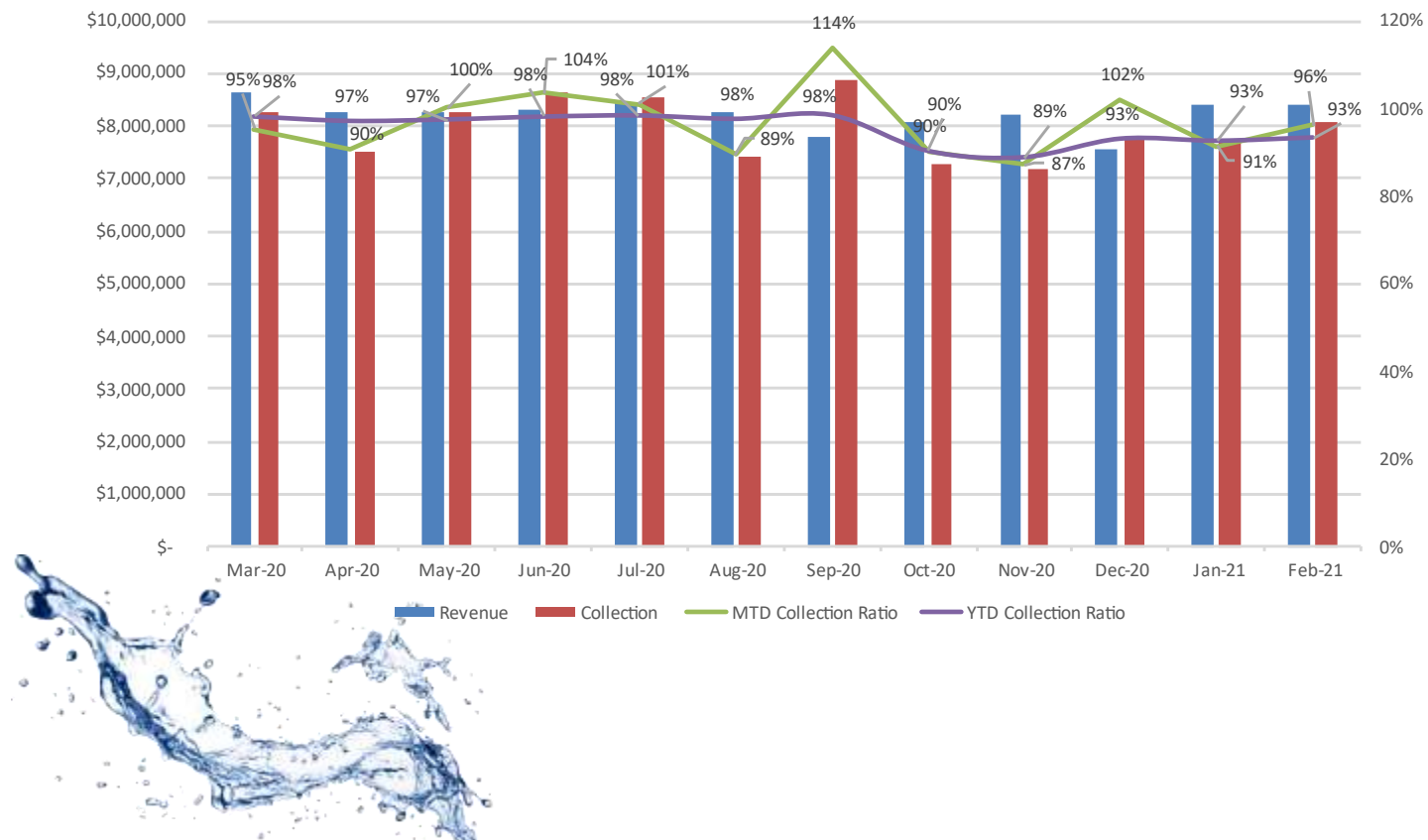


Wastewater Revenue and Flow





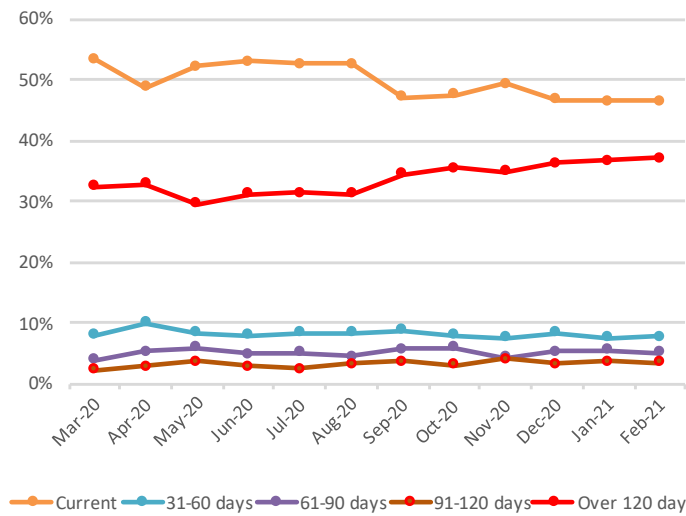
Overall Revenues and Collections



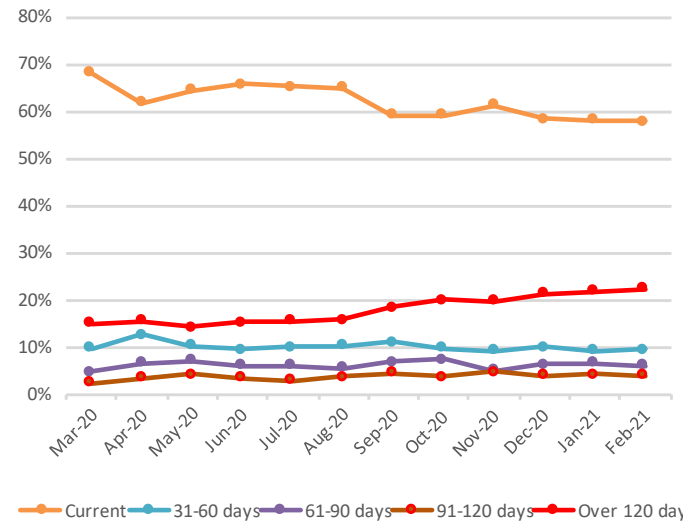


Overall – AR Aging

% of Aged AR Balance to Total AR Balance

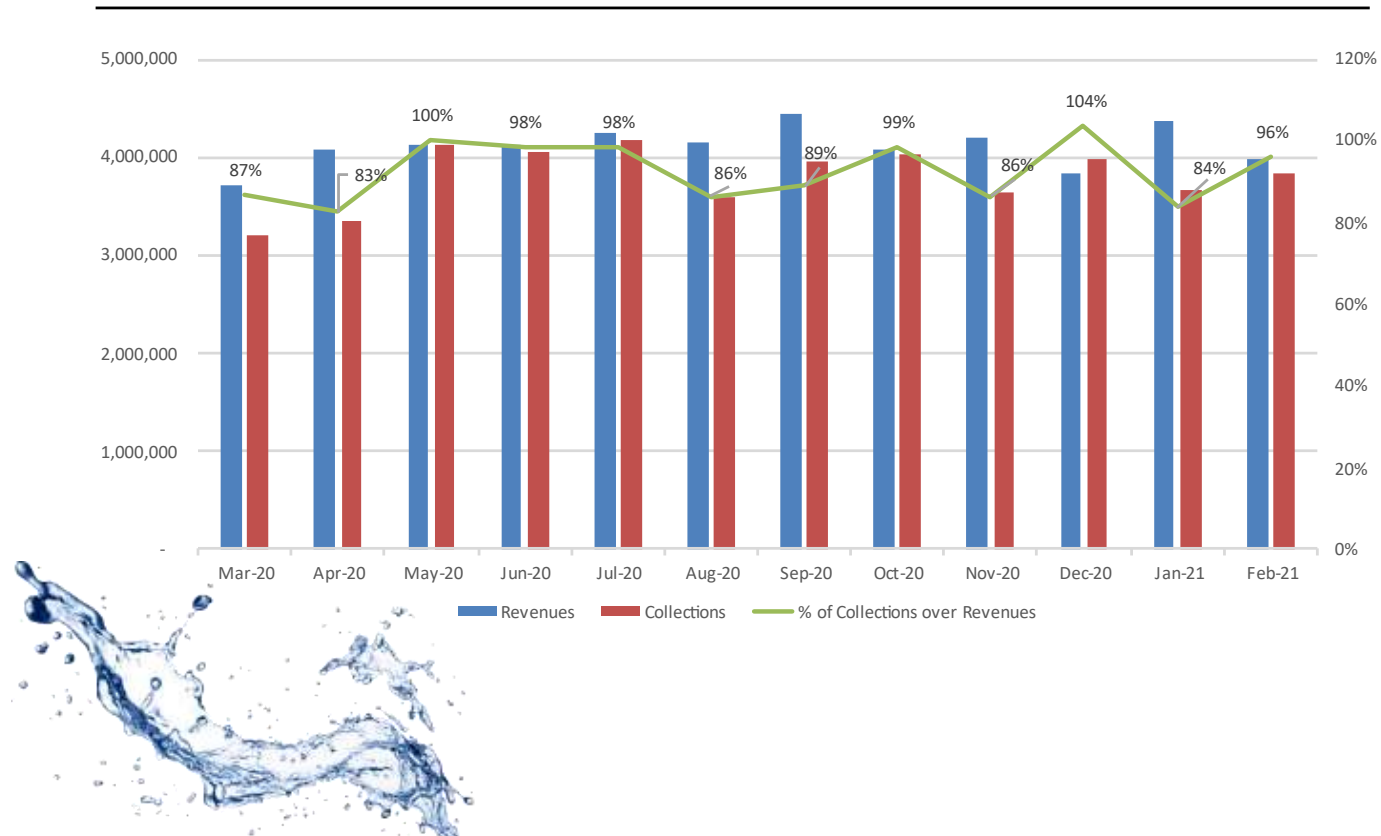


% of Aged AR Balance to Total AR Balance
(without Inactive Accounts)





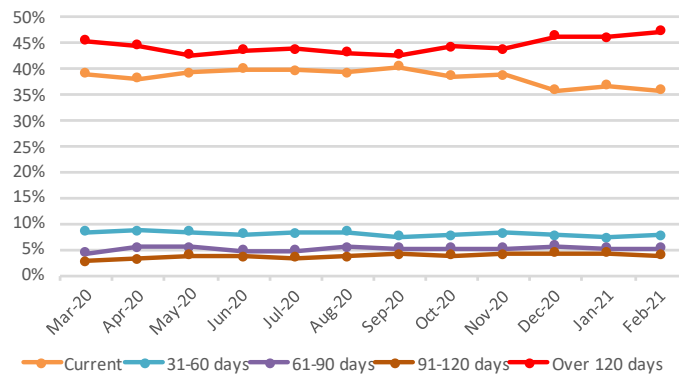
Residential Revenues and Collections





Residential - AR Aging

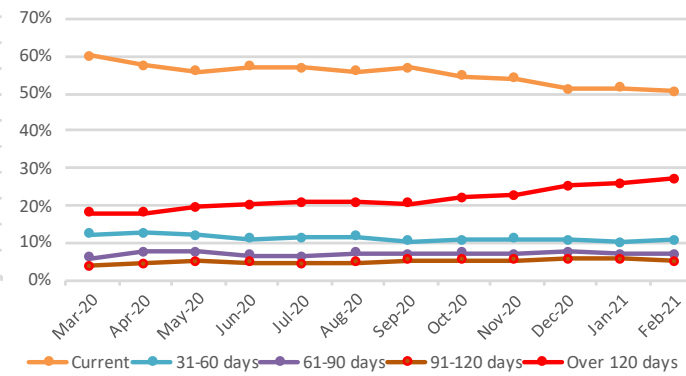
Residential - % of Aged AR Balance to Total AR Balance



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	4,570	902	500	332	5,334	11,719
Apr-20	4,738	1,065	680	404	5,510	12,396
May-20	4,555	982	632	445	4,953	11,566
Jun-20	4,592	917	562	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	644	504	5,249	12,277
Oct-20	4,683	952	640	480	5,387	12,142
Nov-20	4,923	1,037	653	522	5,569	12,703
Dec-20	4,475	965	707	528	5,770	12,445
Jan-21	4,800	958	682	560	6,016	13,016
Feb-21	4,695	1,017	673	495	6,180	13,060

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

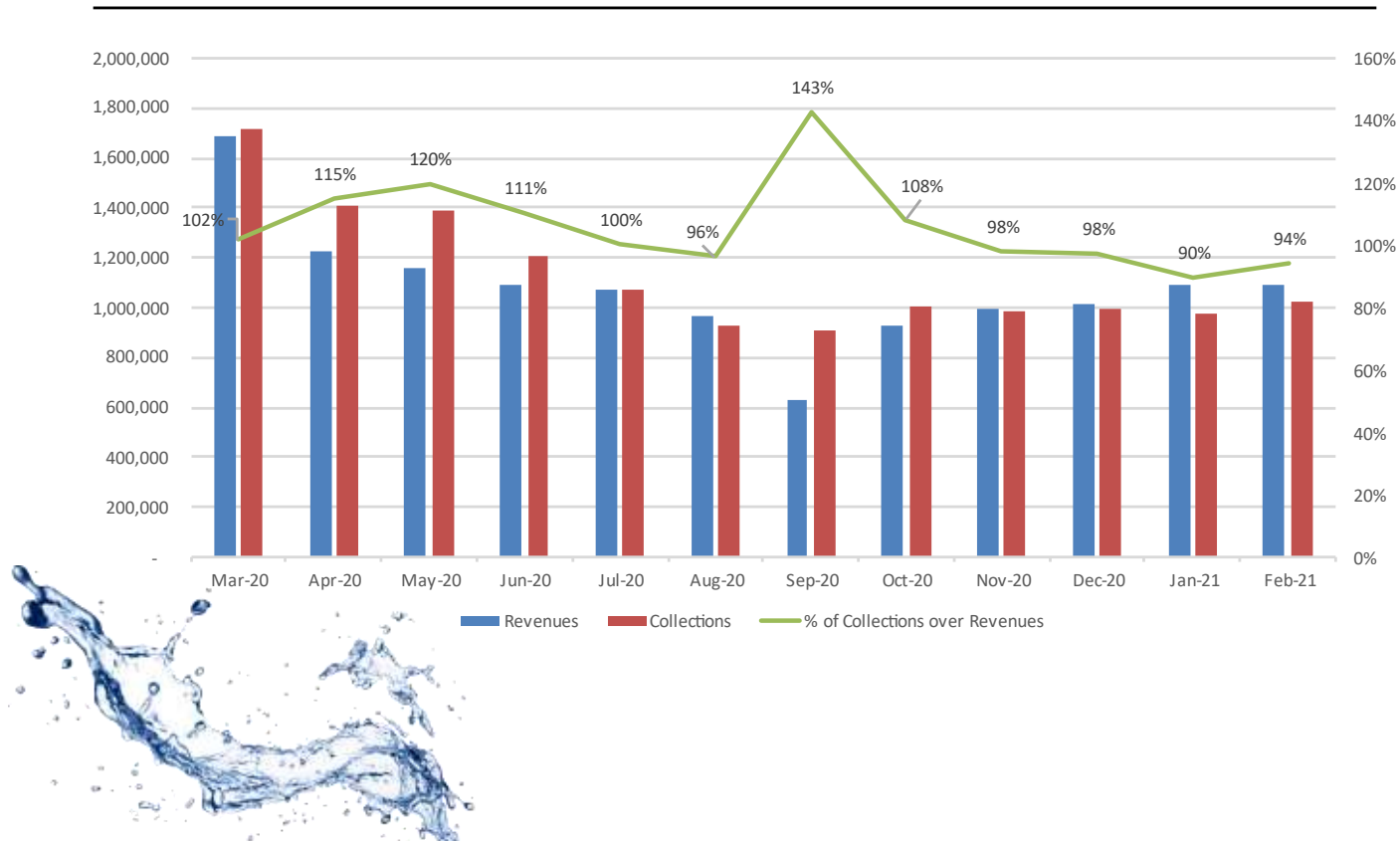


Residential (in '000)

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	608	461	1,793	8,677
Oct-20	4,647	922	608	446	1,825	8,507
Nov-20	4,857	1,000	616	484	2,037	8,994
Dec-20	4,448	932	665	486	2,189	8,718
Jan-21	4,766	925	646	513	2,400	9,250
Feb-21	4,657	984	632	458	2,518	9,248

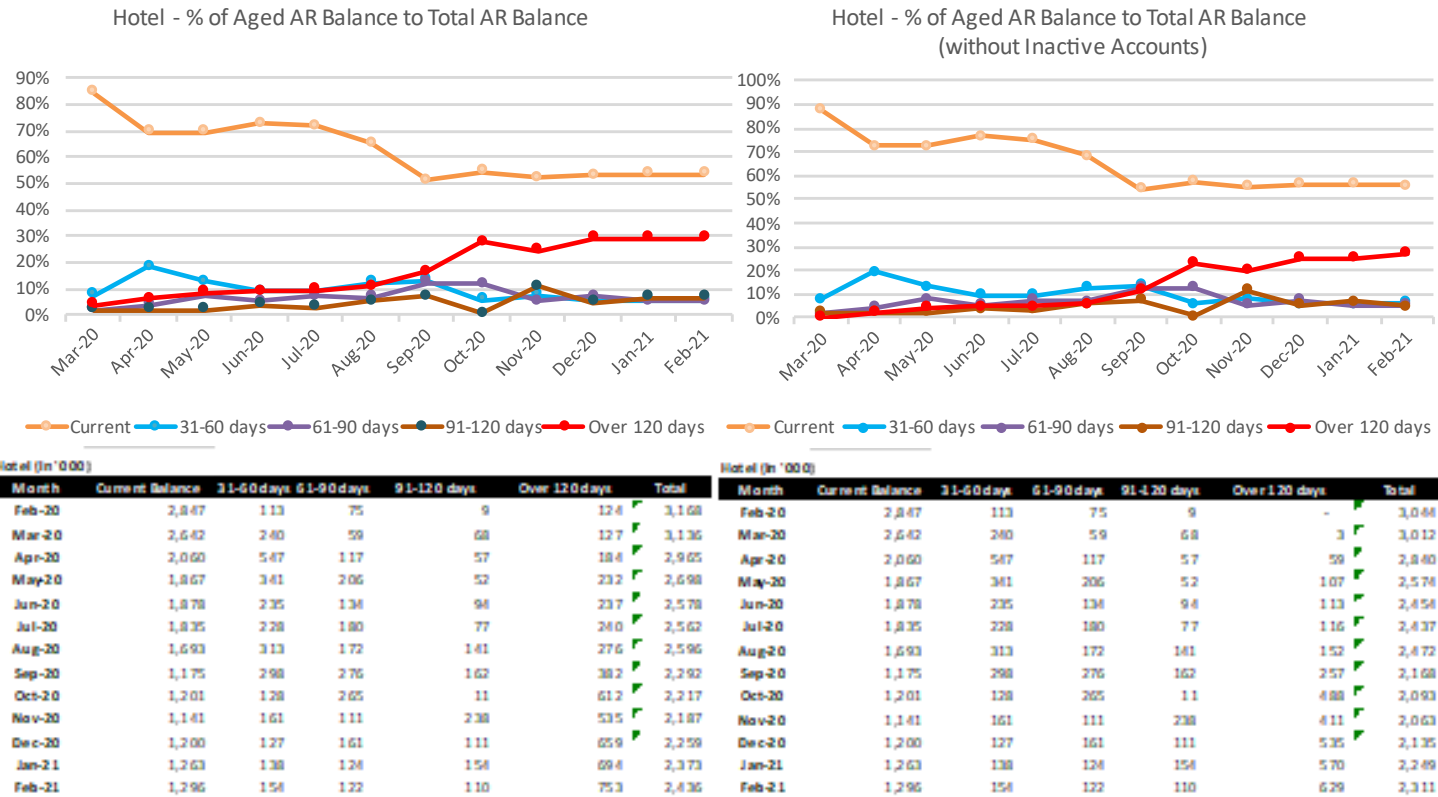


Hotel Revenues and Collections



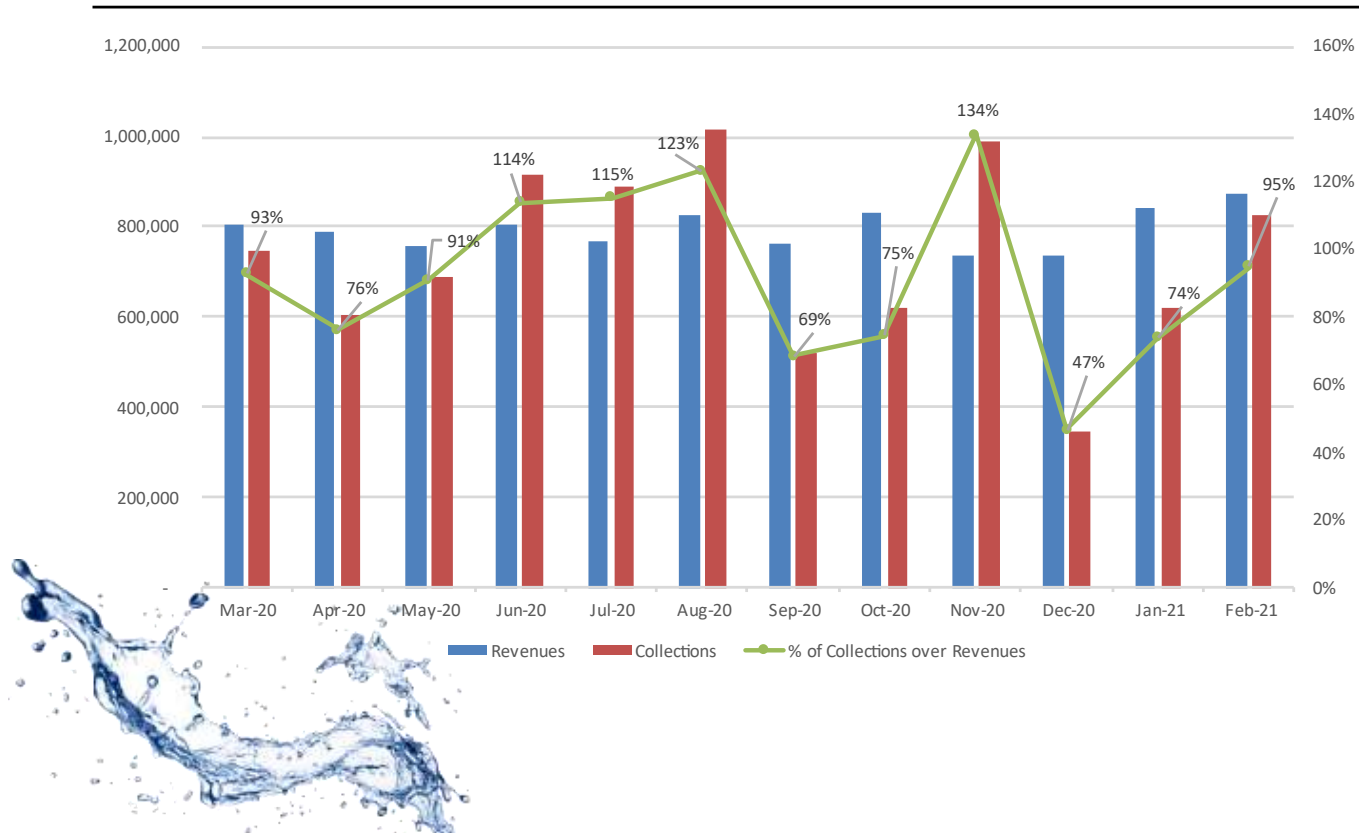


Hotel – AR Aging



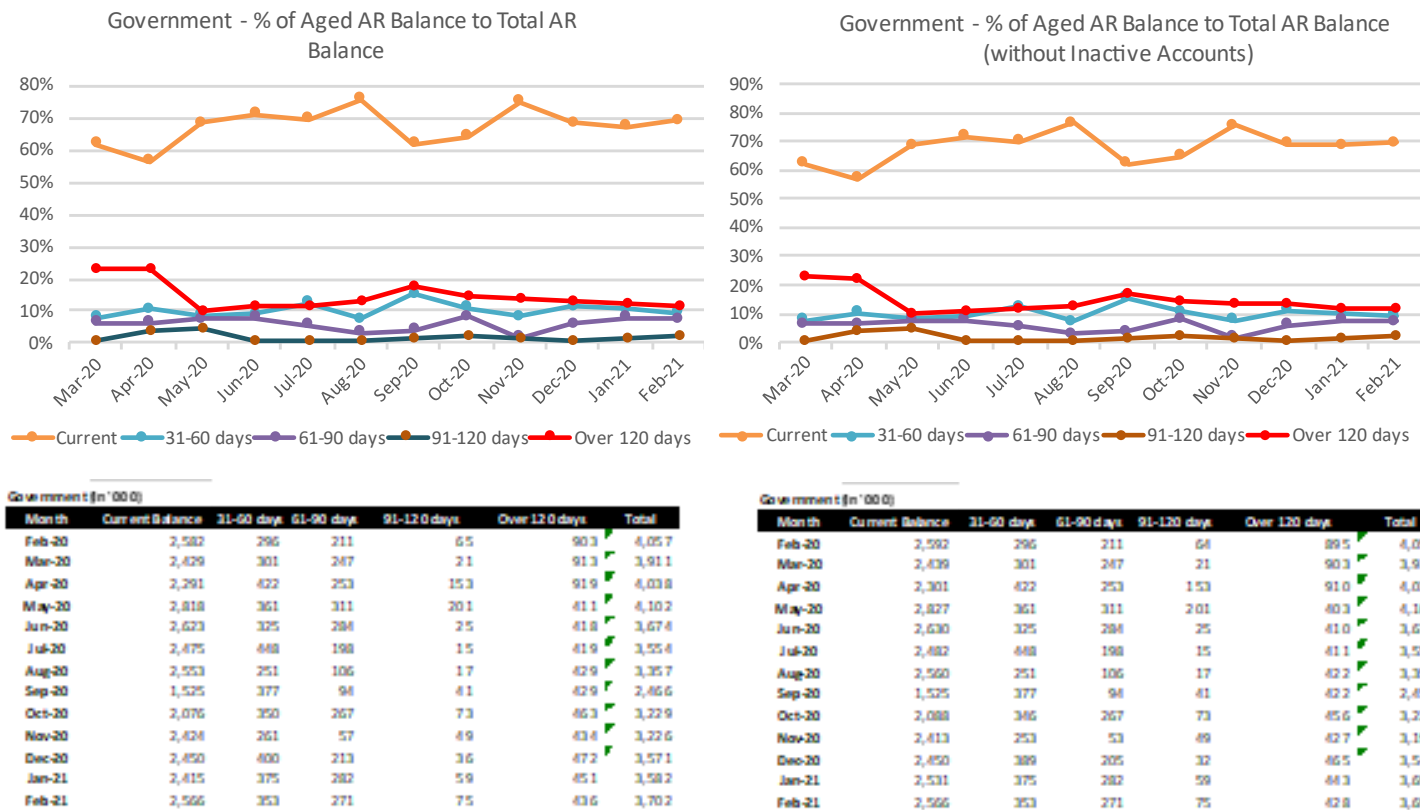


Government Revenues and Collections



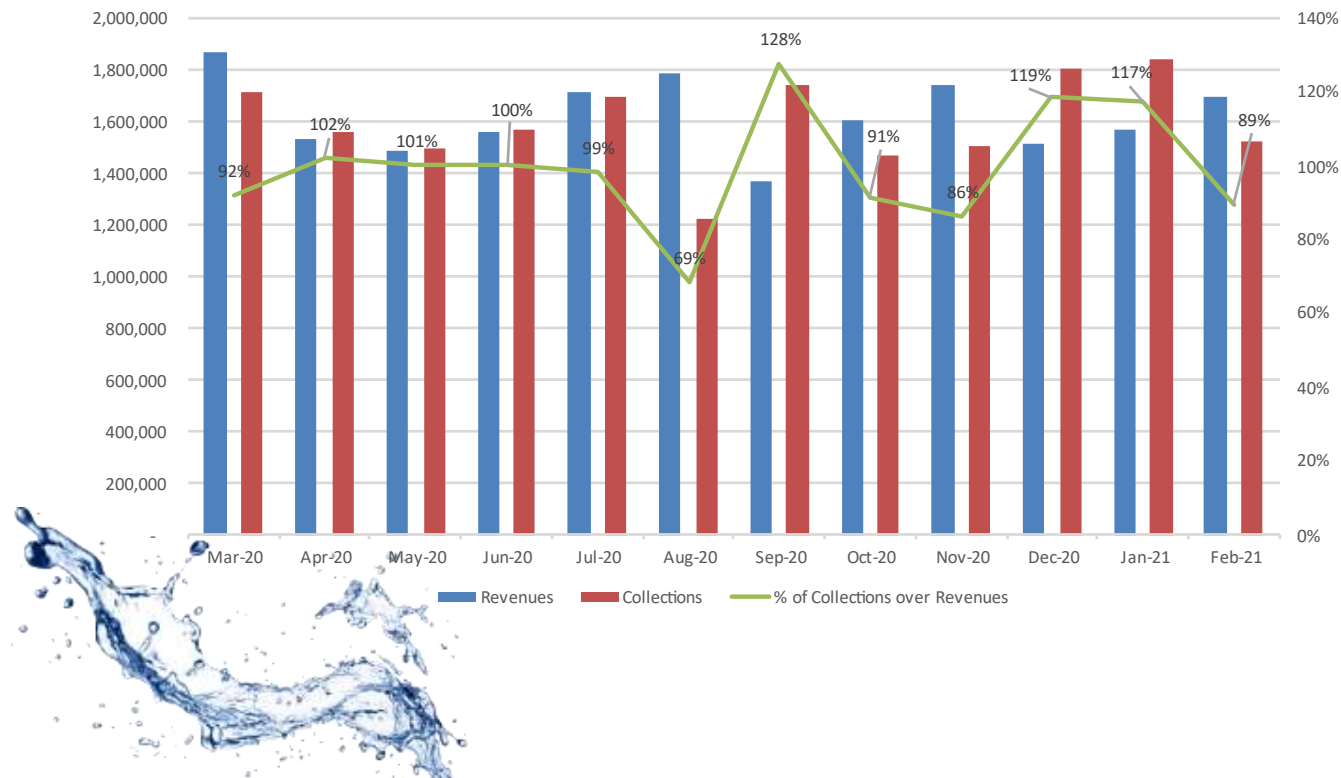


Government - AR Aging



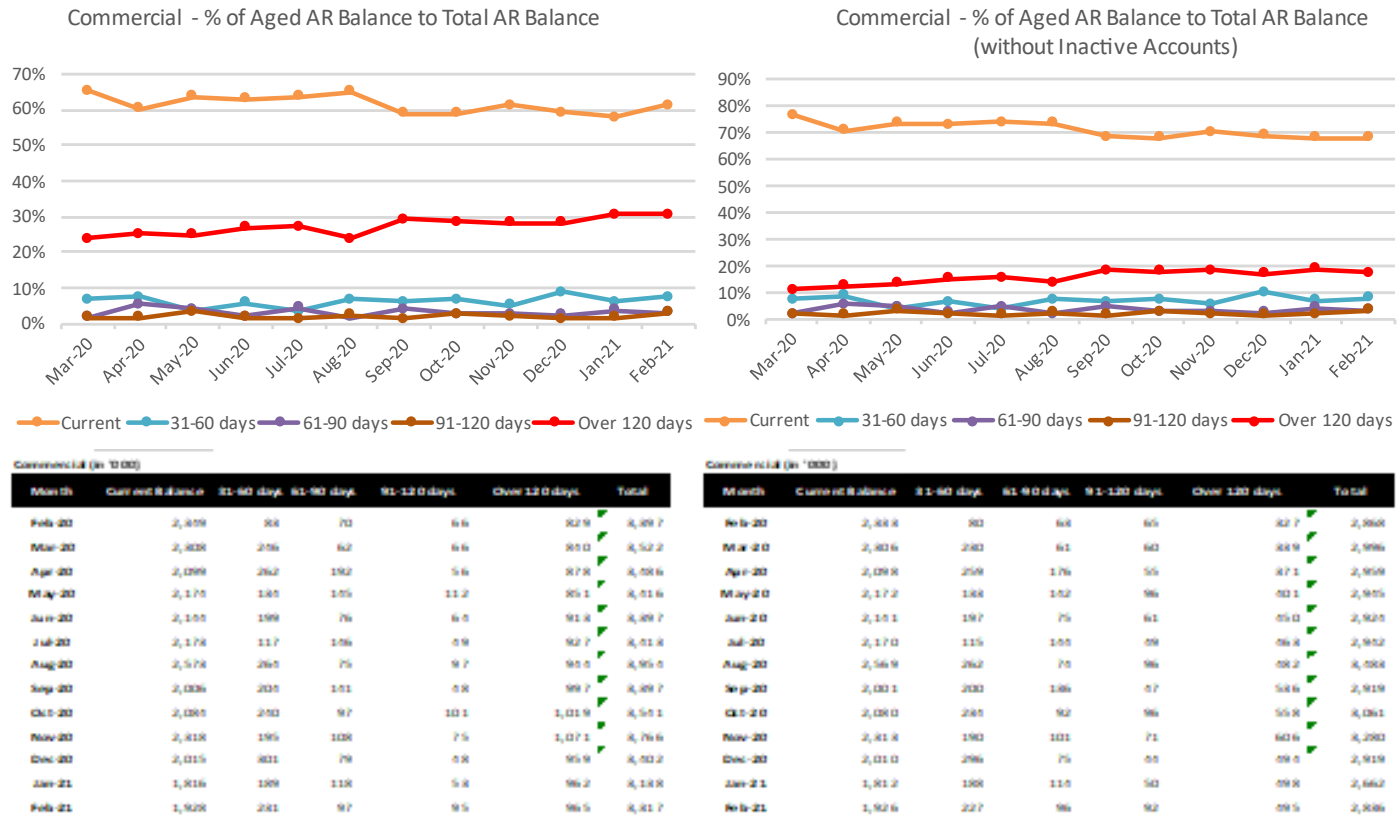


Commercial Revenues and Collections





Commercial - AR Aging





Financial Statement Overview

February 2021

There were 149 COVID-19 positive tests and 2 COVID-related fatalities reported during the month of February. Executive Order 2021-05 extended the public health emergency from March 1, 2021 to April 4, 2021. Executive Order 2021-04 placed Guam in PCOR3 effective February 22, 2021, allowing more businesses to reopen to the public.

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 February 28, 2021, 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.

By the end of February, Guam had received 51,300 vaccines and 52,027 or 101.42% were administered with 20,232 persons receiving both shots. In addition to the 35,260 vaccines allocated to Guam for the month of March, 1,300 doses of the Johnson & Johnson Janssen COVID-19 vaccine arrived in Guam on March 8. Effective March 15, eligibility for COVID-19 vaccines was expanded to adults 50 and older. The National Guard has been administering vaccines at the UOG fieldhouse and vaccines are also more widely available through certain clinics and pharmacies.

Despite the pandemic, about a third of payments continue to be made 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; the prototype is in testing.

On April 28, 2020, CCU Resolution 24-FY2020 granted the lifting of credit card limits on payments for non-residential accounts. To date, approximately 45% 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%
February 2021	41	\$91,653	\$1,843	2.01%

Compared to last year, water consumption is down 13% and wastewater flows are down 11% for the month of February. Water consumption in all customer classes for the month fell except for consumption in Agriculture, the Federal and local Government. Wastewater flows decreased for all classes except for Government and Residential, which increased by 10% and 5%.

Both Year to Date (YTD) water and wastewater demand were 11% lower than last year. Although residential demand is up by 5% for water and 6% for wastewater and Federal Government water demand is up 92%, it was not enough to offset reductions in the other customer classes.



YTD daily water consumption for the period is down 11% from 16,315 to 14,665 Kgals. YTD daily water consumption for the residential class increased by 6%, from 9,576 to 10,158 Kgals. The largest drop in YTD daily water consumption was in the hotel class, a 139% drop going from 2,825 to 1,183 Kgals.

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 were included. At the end of February, it was announced that the Department of Administration (DOA) would be managing the rental and utility assistance program. The pre-application was posted to the DOA website on March 3, 2021 and Phase 1 pre-applications are due March 19, 2021. A meeting was held with DOA, GWA, GPA, Guam Solid Waste and Guam Housing to discuss the pre-application process. DOA hopes to have the first round of payments go out in April; utilities were told that payments would be made directly to them for utility arrearages. There has been no additional information released regarding the direct assistance to water utilities that will be provided through the US Department of Health & Human Services.

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.

President Biden signed the COVID Relief Legislation that includes funding for state and local governments on March 11, 2021. At this point it is unclear whether additional funding might be made available to GWA from this relief package.

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 May. 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.

A workshop was held with the PUC Consultants to discuss the progress of the Cost of Service (COS) Study and the Rate Application Model (RAM) on March 11; at least one other presentation on the status of the other stipulated studies may occur before the end of March. The COS as well as the other studies required by the PUC stipulation are due to the PUC on March 31, 2021. 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 User Acceptance Test (UAT) is scheduled in late March and will allow all staff the ability to test the new software. 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.

A draft of the audit was provided to the OPA on February 26, 2021. GWA continues to be a low-risk auditee with no material weaknesses, no significant deficiencies and no questioned costs. We hope to issue the report before the end of March.

Balance Sheet

- Total Assets & Deferred Outflows of Resources of \$1.129B in September 2020 decreased by \$5.45M or by 0% to \$1.124B in February 2021. Current Assets decreased by \$6.5M primarily due to reductions in federal receivables, prepaid expenses, and restricted cash offset by increases in unrestricted cash and trade accounts receivable. Property, Plant and Equipment increased by \$10.5M due to increases in property net of accumulated depreciation and construction in progress. Other Noncurrent Assets decreased by \$9M primarily due to reductions in restricted cash. Cash on hand was calculated at 293 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 \$13.3M or 2% to \$856.7M in February 2021 primarily due to reductions in contractors payable and interest payable.
- Accounts Receivable days were 49 in February 2021 down from 50 days in January 2021 and Accounts Payable days were 32 in February and January 2021.

Statement of Operations and Retained Earnings

- Total Operating Revenues for February 2021 of \$8.8M were 7% or \$707K less than budget and 7% or \$707K less than February 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 February 2021 of \$41.3M were 13% or \$6.1M below budget of \$47.4M and \$5.4M or 12% below Year-to-Date Operating Revenues at February 2020 of \$46.7M.
- 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 February as well as the revenue totals:

Customer Class	FY2021		FY2020	
○ Residential	\$20,478,994	50.59%	\$18,533,815	40.11%
○ Commercial	\$8,138,577	20.11%	\$9,503,458	20.56%
○ Hotel	\$5,124,225	12.66%	\$11,557,748	25.01%
○ Government of Guam	\$4,017,780	9.93%	\$4,036,621	8.73%
○ Federal Government	\$2,510,123	6.20%	\$2,362,033	5.11%
○ Agriculture, Golf Course, Irrigation	\$209,211	.52%	\$218,442	.47%

- Total Operating Expenses for February 2021 of \$6.7M were \$801K or 11% lower than budget. Total Operating Expenses for February 2021 were 9% or \$675K less than February 2020 with decreases in most expense categories.



- Year to Date Operating Expenses in February 2021 of \$34.1M were \$3.2M or 9% lower than budget. Year to Date Operating Expenses in February 2021 were \$2.3M or 6% less than last year's \$36.4M.
- Earnings from Operations for February 2021 of \$2.1M were 5% or \$94K less than budget and 1% or \$31K less than February 2020. Change in Net Assets for February 2021 of \$167K were \$2.6M less than the \$2.8M budget mainly due to \$2.7M less in Grants and \$5.4M less than February 2020 due to \$4.7M less in grants.
- Year to Date Earnings from Operations as of February 2021 of \$7.2M were 28% or \$2.8M less than budget of \$10M and 30% or \$3.1M less than YTD Earnings of \$10.3M as of February 2020. Year to Date Change in Net Assets as of February 2021 of \$7.9M were \$6.1M or 44% less than budget of \$14M. Year to Date Change in Net Assets as of February 2021 were \$7.9M or 50% less than YTD as of February 2020 of \$15.7M with decreases of \$3.4M in Non-Operating Revenues net of Expenses and \$1.4M less in grants.

Key Financial Indicators

Indicator	Target	January 2021	February 2021
DSC YTD			
• Per Section 6.12 of Indenture	1.25	1.30	1.34
• Per PUC / CCU	1.40	1.30	1.34
Days – Cash on Hand	120 days	259 days	293 days
Collection Ratio			
• Month to Date	99%	91%	97%
• Year to Date	99%	95%	95%
Days Billed	30 days	32 days	29 days
Account Receivable Days	30 days	50 days	49 days
Account Payable Days	45 days	32 days	32 days
Employee Count	400 FTE	373 FTE	370 FTE
Water Demand			
• Month to Date	478,754	471,523	438,854
• Year to Date	2,393,771	1,760,915	2,199,768
Wastewater Flow			
• Month to Date	356,472	328,313	320,727
• Year to Date	1,782,362	1,245,027	1,565,754
Water Customers	42,839	43,086	43,202
Wastewater Customers	29,805	29,765	29,867

GUAM WATERWORKS AUTHORITY
February 28, 2021
FINANCIAL AND RELATED REPORTS
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GUAM WATERWORKS AUTHORITY
Balance Sheet
February 28, 2021

SCHEDULE A

ASSETS AND DEFERRED OUTFLOWS of RESOURCES	Unaudited February 28, 2021	Unaudited September 30, 2020	Increase (Decrease)
Current Assets			
Cash			
Unrestricted (Schedule G)	45,462,585	42,479,412	2,983,174
Restricted Funds (Schedule G)	28,988,317	30,072,502	(1,084,185)
Accounts Receivable Trade, Net of Allowance for Doubtful Receivables of \$8,837,593 at Feb 28, 2021 and \$8,027,857 at Sep 30, 2020	13,850,034	12,562,276	1,287,758
Federal Receivable	693,529	8,168,373	(7,474,844)
Other Receivable	540,470	901,928	(361,458)
Prepaid Expenses	845,099	2,615,782	(1,770,682)
Materials & Supplies Inventory, Net of Allowance for Obsolescence of \$64,131 at Feb 28, 2021 and \$64,131 at Sep 30, 2020	4,705,572	4,804,463	(98,890)
Total Current Assets	95,085,606	101,604,735	(6,519,128)
Property, Plant and Equipment			
Utility plant in service			
Water system	379,226,678	378,487,752	738,926
Wastewater system	492,117,959	480,533,485	11,584,474
Non-utility property	25,868,926	25,752,939	115,987
Total property	897,213,563	884,774,176	12,439,387
Less: Accumulated Depreciation	(353,772,875)	(343,114,822)	(10,658,052)
Land	5,240,187	5,240,187	-
Construction Work in Progress	154,019,963	145,342,590	8,677,373
Property, Plant and Equipment, net	702,700,839	692,242,131	10,458,708
Noncurrent assets			
Restricted cash (Schedule G)	207,227,609	219,203,039	(11,975,430)
Investments (Schedule G)	69,615,981	66,616,997	2,998,984
Total other noncurrent assets and deferred charges	276,843,590	285,820,035	(8,976,445)
Total Assets	1,074,630,035	1,079,666,901	(5,036,866)
Deferred outflows of resources			
Regulatory Assets	877,500	430,962	446,538
Debt defeasance due to bond refunding	32,491,316	33,351,801	(860,485)
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	1,124,038,547	1,129,489,360	(5,450,813)
LIABILITIES, DEFERRED INFLOWS of RESOURCES AND NET ASSETS			
Current Liabilities			
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	2,771,110	2,701,944	69,167
Accrued and Other Liabilities	1,432,660	1,238,863	193,798
Interest Payable	4,961,167	6,304,598	(1,343,431)
Accrued Payroll and Employee Benefits	1,014,993	354,780	660,214
Current portion of employee annual leave	521,113	616,114	(95,001)
Contractors' Payable	11,021,528	23,311,295	(12,289,767)
Customer and Other Deposits	2,200,554	2,199,462	1,091
Total Current Liabilities	33,193,126	43,602,055	(10,408,930)
Long Term Debt, less current maturities			
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	41,748,778	42,515,523	(766,745)
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	823,232,377	836,708,051	(13,475,674)
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	856,660,682	869,978,465	(13,317,784)
Net Assets	267,377,864	259,510,894	7,866,970
Total Liabilities, Deferred Inflows of Resources and Net Assets	1,124,038,546	1,129,489,360	(5,450,813)

GUAM WATERWORKS AUTHORITY
Statement of Operations and Retained Earnings
Comparative Budget vs. Actual for the period ending February 28, 2021

SCHEDULE B

	Month to Date Actual (Unaudited) February-21	Budget* February-21	Variance Favorable / (Unfavorable)
OPERATING REVENUES			
Water Revenues	5,333,883	5,863,373	(529,490)
Wastewater Revenues	2,717,230	3,226,426	(509,195)
Legislative Surcharge	243,822	274,214	(30,392)
Other Revenues	111,800	35,895	75,906
System Development Charge	363,909	77,442	286,467
Total Operating Revenues	8,770,644	9,477,350	(706,706)
OPERATING AND MAINTENANCE EXPENSES			
Water Purchases	485,723	718,609	232,886
Power Purchases	983,913	1,082,131	98,219
Total Utility Costs	1,469,635	1,800,740	331,105
Salaries and Wages	1,424,224	1,769,221	344,997
Pension and Benefits	547,461	606,991	59,531
Total Salaries and Benefits	1,971,684	2,376,212	404,528
Capitalized Labor and Benefits	(293,303)	(308,333)	(15,031)
Net Salaries and Benefits	1,678,381	2,067,879	389,497
Administrative and General Expenses			
Sludge removal	156,788	156,907	119
Chemicals	98,373	196,696	98,322
Materials & Supplies	132,114	140,935	8,822
Transportation	17,297	27,298	10,001
Communications	11,002	14,528	3,527
Claims	-	3,181	3,181
Insurance	78,330	78,685	355
Training & Travel	249	14,821	14,572
Advertising	4,059	11,346	7,287
Miscellaneous	103,497	103,896	399
Regulatory Expense	8,958	24,155	15,196
Bad Debts Provision	166,047	166,113	66
Total Administrative and General Expense	776,715	938,561	161,846
Depreciation Expense	2,153,081	1,855,919	(297,162)
Contractual Expense			
Audit & Computer Maintenance	109,552	125,904	16,352
Building rental	39,538	57,352	17,814
Equipment rental	32,722	71,524	38,802
Legal	-	563	563
Laboratory	8,570	35,382	26,812
Other	130,791	234,774	103,983
Total Contractual Expense	321,173	525,500	204,326
Retiree Supp. Annuities and health care costs	220,343	233,386	13,042
Contribution to Government of Guam	50,333	48,546	(1,787)
Total Retiree Benefits	270,677	281,932	11,255
Total Operating Expenses	6,669,663	7,470,530	800,867
Earnings (Loss) from Operations	2,100,981	2,006,820	94,161
Interest Income - 2010/13/14/16/17/20 Series Bond	2,208	128,299	(126,091)
Interest Income - Other Funds	723	29,550	(28,827)
Interest Income - SDC	545	2,488	(1,943)
Interest Expense - 2010/13/14/16/17/20 Series Bond	(2,480,584)	(2,638,329)	157,746
Contributions from Federal Government	-	-	-
Federal Expenditures	-	-	-
Loss on Asset Disposal	-	-	-
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	(11,890)	-	(11,890)
Total non-operating revenues (expenses)	(2,504,745)	(2,523,508)	18,763
Net Income (Loss) before capital contributions	(403,764)	(516,688)	112,925
Capital Contributions			
Grants from US Government	571,192	3,311,071	(2,739,879)
Grants from GovGuam & Others	-	-	-
Total Capital Contributions	571,192	3,311,071	(2,739,879)
Change in Net Assets	167,428	2,794,383	(2,626,955)
Debt Service Calculation			
Earnings From Operations	2,100,981	2,006,820	
System Development Charge	(363,909)	(77,442)	
Retiree COLA	50,333	48,546	
Interest/Investment Income	723	29,550	
Depreciation	2,153,081	1,855,919	
Balance Available for Debt Service per Section 6.12	3,941,210	3,863,393	
Working Capital Reserve Available for Debt Service	-	-	
Balance Available for Debt Service inclusive of reserves	3,941,210	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)	1.50	1.40	
Debt Service Coverage (1.40X) inclusive of reserves (PUC)	1.50	1.40	

*Adjusted budget

GUAM WATERWORKS AUTHORITY
Statement of Operations and Retained Earnings
Comparative for the period ending February 28, 2020 and 2021

SCHEDULE C

	Month to Date		Variance
	Actual (Unaudited)	Actual (Unaudited)	Increase /
	February-21	February-20	(Decrease)
OPERATING REVENUES			
Water Revenues	5,333,883	5,667,947	(334,064)
Wastewater Revenues	2,717,230	3,287,670	(570,440)
Legislative Surcharge	243,822	290,462	(46,640)
Other Revenues	111,800	162,951	(51,151)
System Development Charge	363,909	68,257	295,651
Total Operating Revenues	8,770,644	9,477,288	(706,644)
OPERATING AND MAINTENANCE EXPENSES			
Water Purchases	485,723	593,669	(107,946)
Power Purchases	983,913	1,250,180	(266,268)
Total Utility Costs	1,469,635	1,843,849	(374,214)
Salaries and Wages	1,424,224	1,669,707	(245,483)
Pension and Benefits	547,461	534,390	13,070
Total Salaries and Benefits	1,971,684	2,204,097	(232,413)
Capitalized Labor and Benefits	(293,303)	(280,174)	(13,129)
Net Salaries and Benefits	1,678,381	1,923,923	(245,542)
Administrative and General Expenses			
Sludge removal	156,788	96,739	60,049
Chemicals	98,373	219,332	(120,959)
Materials & Supplies	132,114	214,015	(81,901)
Transportation	17,297	43,667	(26,370)
Communications	11,002	6,853	4,149
Insurance	78,330	77,860	470
Training & Travel	249	35,486	(35,237)
Advertising	4,059	3,193	865
Miscellaneous	103,497	78,401	25,096
Regulatory Expense	8,958	16,321	(7,363)
Bad Debts Provision	166,047	185,889	(19,842)
Total Administrative and General Expense	776,715	977,756	(201,042)
Depreciation Expense	2,153,081	2,041,971	111,110
Contractual Expense			
Audit & Computer Maintenance	109,552	31,586	77,966
Building rental	39,538	36,253	3,284
Equipment rental	32,722	111,460	(78,738)
Legal	-	-	-
Laboratory	8,570	4,871	3,699
Other	130,791	131,772	(981)
Total Contractual Expense	321,173	315,943	5,230
Retiree Supp. Annuities and health care costs	220,343	191,260	29,083
Contribution to Government of Guam	50,333	50,333	0
Total Retiree Benefits	270,677	241,593	29,084
Total Operating Expenses	6,669,663	7,345,035	(675,373)
Earnings (Loss) from Operations	2,100,981	2,132,252	(31,271)
Interest Income - 2010/13/14/16/17/20 Series Bond	2,208	157,655	(155,446)
Interest Income - Other Funds	723	44,393	(43,670)
Interest Income - SDC	545	11,052	(10,507)
Interest Expense - 2010/13/14/16/17/20 Series Bond	(2,480,584)	(2,117,099)	(363,485)
Contributions from Federal Government	-	-	-
Federal Expenditures	-	-	-
Loss on Asset Disposal	-	(15,386)	15,386
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	(11,890)	(1,235)	(10,655)
Total non-operating revenues (expenses)	(2,504,745)	(1,875,559)	(629,185)
Net Income (Loss) before capital contributions	(403,764)	256,693	(660,457)
Capital Contributions			
Grants from US Government	571,192	5,284,656	(4,713,464)
Grants from GovGuam & Others	-	-	-
Total Capital Contributions	571,192	5,284,656	(4,713,464)
Change in Net Assets	167,428	5,541,349	(5,373,921)
Debt Service Calculation			
Earnings From Operations	2,100,981	2,132,252	
System Development Charge	(363,909)	(68,257)	
Retiree COLA	50,333	50,333	
Interest/Investment Income	723	44,393	
Depreciation	2,153,081	2,041,971	
Balance Available for Debt Service per Section 6.12	3,941,210	4,200,692	
Working Capital Reserve Available for Debt Service	-	969,418	
Balance Available for Debt Service inclusive of reserves	3,941,210	5,170,109	
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)	1.50	1.47	
Debt Service Coverage (1.40X) (PUC)	1.50		
Debt Service Coverage (1.75X) inclusive of reserves (PUC)		1.82	

GUAM WATERWORKS AUTHORITY
Statement of Operations and Retained Earnings
Comparative Budget vs. Actual for the period ending February 28, 2021

SCHEDULE D

	Year to Date		Variance
	Actual (Unaudited)	Budget*	Favorable /
	February-21	February-21	(Unfavorable)
OPERATING REVENUES			
Water Revenues	26,570,538	29,316,866	(2,746,328)
Wastewater Revenues	12,728,259	16,132,128	(3,403,869)
Legislative Surcharge	1,187,595	1,371,071	(183,476)
Other Revenues	227,322	179,474	47,848
System Development Charge	606,377	387,210	219,167
Total Operating Revenues	41,320,092	47,386,749	(6,066,657)
OPERATING AND MAINTENANCE EXPENSES			
Water Purchases	2,595,868	3,593,044	997,176
Power Purchases	4,874,099	5,410,657	536,558
Total Utility Costs	7,469,967	9,003,701	1,533,734
Salaries and Wages	7,799,371	8,846,104	1,046,733
Pension and Benefits	2,958,436	3,034,957	76,520
Total Salaries and Benefits	10,757,807	11,881,060	1,123,253
Capitalized Labor and Benefits	(1,521,233)	(1,541,667)	(20,434)
Net Salaries and Benefits	9,236,574	10,339,393	1,102,820
Administrative and General Expenses			
Sludge removal	666,679	667,535	856
Chemicals	637,803	918,478	280,674
Materials & Supplies	533,897	852,177	318,279
Transportation	190,857	190,988	132
Communications	67,494	72,642	5,148
Claims	24,951	25,903	952
Insurance	391,652	392,427	775
Training & Travel	9,316	120,104	110,789
Advertising	17,757	56,730	38,973
Miscellaneous	464,267	464,481	213
Regulatory Expense	71,438	120,774	49,336
Bad Debts Provision	809,727	810,566	839
Total Administrative and General Expense	3,885,838	4,692,804	806,966
Depreciation Expense	10,658,052	9,279,597	(1,378,456)
Contractual Expense			
Audit & Computer Maintenance	520,276	581,520	61,244
Building rental	206,865	206,960	95
Equipment rental	132,068	320,421	188,353
Legal	-	2,813	2,813
Laboratory	67,271	176,911	109,641
Other	639,399	1,338,872	699,473
Total Contractual Expense	1,565,878	2,627,498	1,061,619
Retiree Supp. Annuities and health care costs	1,044,864	1,166,928	122,065
Contribution to Government of Guam	251,667	242,730	(8,937)
Total Retiree Benefits	1,296,530	1,409,658	113,128
Total Operating Expenses	34,112,840	37,352,651	3,239,811
Earnings (Loss) from Operations	7,207,252	10,034,098	(2,826,846)
Interest Income - 2010/13/14/16/17/20 Series Bond	11,257	641,497	(630,240)
Interest Income - Other Funds	3,340	147,752	(144,412)
Interest Income - SDC	11,694	12,438	(744)
Interest Expense - 2010/13/14/16/17/20 Series Bond	(12,640,085)	(13,191,646)	551,561
Contributions from Federal Government	188,768	-	188,768
Federal Expenditures	(83,202)	-	(83,202)
Loss on Asset Disposal	-	-	-
Amortization of Discount, Premium and Issuance Costs	779,995	(115,388)	895,383
Defeasance due to bond refunding	(860,485)	(112,193)	(748,292)
Prior Year Adjustment	(78,632)	-	(78,632)
Total non-operating revenues (expenses)	(12,667,351)	(12,617,540)	(49,811)
Net Income (Loss) before capital contributions	(5,460,099)	(2,583,442)	(2,876,657)
Capital Contributions			
Grants from US Government	13,319,964	16,555,357	(3,235,393)
Grants from GovGuam & Others	7,106	-	7,106
Total Capital Contributions	13,327,069	16,555,357	(3,228,288)
Change in Net Assets	7,866,970	13,971,915	(6,104,945)
Debt Service Calculation			
Earnings From Operations	7,207,252	10,034,098	
System Development Charge	(606,377)	(387,210)	
Retiree COLA	251,667	242,730	
Interest/Investment Income	3,340	147,752	
Depreciation	10,658,052	9,279,597	
Balance Available for Debt Service per Section 6.12	17,513,934	19,316,966	
Working Capital Reserve Available for Debt Service	-	-	
Balance Available for Debt Service inclusive of reserves	17,513,934	19,316,966	
Debt Service			
Principal	3,862,500	3,862,500	
Interest	9,236,257	9,983,313	
Total	13,098,757	13,845,813	
Debt Service Coverage (1.25X) - per Section 6.12 (Indenture)	1.34	1.40	
Debt Service Coverage (1.40X) inclusive of reserves (PUC)	1.34	1.40	

*Adjusted budget

GUAM WATERWORKS AUTHORITY
Statement of Operations and Retained Earnings
Comparative for the period ending February 28, 2020 and 2021

SCHEDULE E

	Year to Date		Variance
	Actual (Unaudited)	Actual (Unaudited)	Increase /
	February-21	February-20	(Decrease)
OPERATING REVENUES			
Water Revenues	26,570,538	28,387,419	(1,816,881)
Wastewater Revenues	12,728,259	16,363,823	(3,635,564)
Legislative Surcharge	1,187,595	1,458,255	(270,660)
Other Revenues	227,322	283,877	(56,555)
System Development Charge	606,377	200,543	405,834
Total Operating Revenues	41,320,092	46,693,917	(5,373,825)
OPERATING AND MAINTENANCE EXPENSES			
Water Purchases	2,595,868	2,968,345	(372,477)
Power Purchases	4,874,099	6,642,737	(1,768,638)
Total Utility Costs	7,469,967	9,611,082	(2,141,115)
Salaries and Wages	7,799,371	7,925,139	(125,768)
Pension and Benefits	2,958,436	2,576,489	381,947
Total Salaries and Benefits	10,757,807	10,501,628	256,179
Capitalized Labor and Benefits	(1,521,233)	(1,430,297)	(90,935)
Net Salaries and Benefits	9,236,574	9,071,330	165,243
Administrative and General Expenses			
Sludge removal	666,679	599,109	67,570
Chemicals	637,803	834,248	(196,445)
Materials & Supplies	533,897	821,149	(287,252)
Transportation	190,857	240,893	(50,036)
Communications	67,494	51,451	16,043
Claims	24,951	31,693	(6,742)
Insurance	391,652	389,526	2,126
Training & Travel	9,316	94,734	(85,419)
Advertising	17,757	10,293	7,464
Miscellaneous	464,267	445,131	19,137
Regulatory Expense	71,438	188,923	(117,485)
Bad Debts Provision	809,727	925,118	(115,391)
Total Administrative and General Expense	3,885,838	4,632,268	(746,430)
Depreciation Expense	10,658,052	10,035,668	622,385
Contractual Expense			
Audit & Computer Maintenance	520,276	176,022	344,254
Building rental	206,865	181,500	25,365
Equipment rental	132,068	437,474	(305,406)
Legal	-	18,082	(18,082)
Laboratory	67,271	98,900	(31,629)
Other	639,399	912,170	(272,771)
Total Contractual Expense	1,565,878	1,824,147	(258,269)
Retiree Supp. Annuities and health care costs	1,044,864	950,343	94,521
Contribution to Government of Guam	251,667	251,669	(2)
Total Retiree Benefits	1,296,530	1,202,012	94,519
Total Operating Expenses	34,112,840	36,376,508	(2,263,667)
Earnings (Loss) from Operations	7,207,252	10,317,409	(3,110,158)
Interest Income - 2010/13/14/16/17/20 Series Bond	11,257	920,988	(909,731)
Interest Income - Other Funds	3,340	246,421	(243,081)
Interest Income - SDC	11,694	59,062	(47,369)
Interest Expense - 2010/13/14/16/17/20 Series Bond	(12,640,085)	(10,585,495)	(2,054,590)
Interest Expense - ST BOG	-	(32,208)	32,208
Contributions from Federal Government	188,768	-	188,768
Federal Expenditures	(83,202)	-	(83,202)
Loss on Asset Disposal	-	(118,143)	118,143
Amortization of Discount, Premium and Issuance Costs	779,995	599,849	180,146
Defeasance due to bond refunding	(860,485)	(344,878)	(515,607)
Prior Year Adjustment	(78,632)	(29,503)	(49,129)
Total non-operating revenues (expenses)	(12,667,351)	(9,283,906)	(3,383,445)
Net Income (Loss) before capital contributions	(5,460,099)	1,033,503	(6,493,603)
Capital Contributions			
Grants from US Government	13,319,964	14,684,422	(1,364,458)
Grants from GovGuam & Others	7,106	-	7,106
Total Capital Contributions	13,327,069	14,684,422	(1,357,353)
Change in Net Assets	7,866,970	15,717,926	(7,850,956)
Debt Service Calculation			
Earnings From Operations	7,207,252	10,317,409	
System Development Charge	(606,377)	(200,543)	
Retiree COLA	251,667	251,669	
Interest/Investment Income	3,340	246,421	
Depreciation	10,658,052	10,035,668	
Balance Available for Debt Service per Section 6.12	17,513,934	20,650,624	
Working Capital Reserve Available for Debt Service	-	4,847,088	
Balance Available for Debt Service inclusive of reserves	17,513,934	25,497,711	
Debt Service			
Principal	3,862,500	3,654,167	
Interest	9,236,257	10,585,495	
Total	13,098,757	14,239,661	
Debt Service Coverage (1.25X) - per Section 6.12 (Indenture)	1.34	1.45	
Debt Service Coverage (1.40X) (PUC)	1.34		
Debt Service Coverage (1.75X) inclusive of reserves (PUC)		1.79	

Guam Waterworks Authority
System Development Charges Project Status
As of February 28, 2021

SCHEDULE F

Funding Summary

Total available project funds	\$ 13,794,193
Total project expenditures and encumbrances	10,390,541
Total unobligated project funds	\$ 3,403,652

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	519,227	74,641	593,869
South Paulino Heights Waterline Upgrade	84,056	4,714	88,770
Talofofo Sewer Improvement	-	241,142	241,142
Groundwater Well Production Meter Rep.	-	151,207	151,207
	\$ 4,266,713	\$ 6,123,828	\$ 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 February 28, 2021	Unaudited September 30, 2020	Increase (Decrease)
UNRESTRICTED			
Change Fund	2,000	2,000	-
Petty Cash	4,450	4,450	-
BOG Deposit Accounts	10,181,857	5,561,165	4,620,693
BOG O & M Reserve	25,259,526	25,689,390	(429,865)
BOG CapEx Fund	10,014,753	11,222,407	(1,207,654)
Sub-total Unrestricted	45,462,585	42,479,412	2,983,174
RESTRICTED			
ANZ Bank	1,022	-	1,022
Bank Pacific	17,272	29,243	(11,972)
Bank of Hawaii	349,680	191,250	158,430
Community First FCU	2,324	1,976	349
First Hawaiian Bank	20,940	43,451	(22,511)
Bank Pacific Surcharge	905,352	420,680	484,672
Bank Pacific Escrow Deposit	821,609	842,331	(20,722)
BOG Customer Refunds	2,078,046	2,063,361	14,685
BOG Emergency Reserve Fund	6,244	6,243	-
BOG Sewer Hookup Revolving Fund	68,575	67,809	766
BOG Operation and Maintenance Fund	3,083,482	3,083,482	-
BOG Revenue Trust	392,002	254,619	137,382
BOG Revenue Trust Fund	5,539,470	7,929,291	(2,389,821)
BOG Capital Improvement Revenue Fund	5,595,835	5,361,363	234,471
	18,881,851	20,295,100	(1,413,250)
BOG - SDC Deposit	6,306,466	3,527,401	2,779,064
BOG - SDC CDs	3,800,000	6,250,000	(2,450,000)
Total SDC	10,106,466	9,777,401	329,064
Total Restricted	28,988,317	30,072,502	(1,084,185)
Reserve Funds			
BOG Series 2013 Construction Fund	5,928,878	8,647,934	(2,719,056)
BOG Series 2014 Refunding Construction Fund	219,108	219,099	9
BOG Series 2016 Construction Fund	63,671,289	68,518,206	(4,846,917)
BOG Series 2017 Refunding Construction Fund	5,480,888	6,206,732	(725,844)
BOG Series 2020A Construction Fund	122,993,330	-	122,993,330
BOG Series 2020A Capitalized Interest Fund	8,934,117	123,277,054	(114,342,937)
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	207,227,609	219,203,039	(11,975,430)
BOG OMRRRF Fund	17,423,213	17,423,213	-
USB Series 2013 Debt Service Fund	2,462,484	1,810,544	651,941
USB Series 2013 Debt Service Reserve Fund	12,031,688	12,031,688	-
USB Series 2014 Refunding Debt Service Fund	997,825	1,048,374	(50,550)
USB Series 2014 Refunding Debt Service Reserve Fund	7,735,394	7,735,395	(1)
USB Series 2016 Debt Service Fund	3,828,919	2,815,863	1,013,056
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	2,304,915	1,902,205	402,710
USB Series 2020A Debt Service Reserve Fund	6,659,700	6,659,700	-
USB Series 2020B Debt Service Reserve Fund	981,824	-	981,824
Total Investments	69,615,981	66,616,997	2,998,984
Total Restricted and Unrestricted Cash	351,294,492	358,371,949	(7,077,458)

CCU Regular Meeting March 23, 2021 - GWA

Guam Waterworks Authority
Accounts Receivable - Government (Active)
February 28, 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	\$ 19,367	\$ 15,671	\$ 12,898	\$ 12,484	\$ 236,826	\$	297,245
Guam Power Authority	25	180,492	-	-	-	-		180,492
Guam Memorial Hospital Authority	3	35,127	633	2,610	2,741	8,504		49,616
Guam Housing & Urban Renewal Authority	5	20,316	-	-	-	-		20,316
Guam Visitors Bureau	9	7,934	-	-	-	-		7,934
Port Authority of Guam	1	5,018	-	-	-	-		5,018
Guam Housing Corporation	1	39	-	-	-	-		39
Total Autonomous Agencies	51	\$ 268,292	\$ 16,304	\$ 15,508	\$ 15,225	\$ 245,330	\$	560,660
		47.85%	2.91%	2.77%	2.72%	43.76%		100.00%
Line Agencies								
Department of Education	52	\$ 292,340	\$ 277,690	\$ 186,597	\$ 72,898	\$ 3,866	\$	833,391
Mayors Council of Guam	60	16,552	21,511	9,771	10,124	74,498		132,456
Department of Parks & Recreation	14	53,264	26,537	24,944	16,662	5,619		127,026
Department of Public Works	12	46,318	4,114	56	92	7,060		57,640
Department of Chamorro Affairs	7	10,792	9,945	9,036	-	-		29,773
Department of Corrections	8	22,049	-	-	-	-		22,049
Guam Police Department	8	8,486	3,265	2,663	1,530	1,279		17,224
Department of Public Health & Social Services	8	2,473	2,481	1,443	1,195	1,719		9,310
Guam Fire Department	11	6,809	-	-	-	-		6,809
University of Guam	46	4,767	-	-	-	-		4,767
Department of Military Affairs/GUARNG	1	3,669	-	-	-	-		3,669
Department of Agriculture	6	1,703	-	-	-	-		1,703
Department of Customs & Quarantine	1	428	428	428	389	-		1,673
Division of Senior Citizens, DPHSS	2	299	378	274	207	130		1,288
New Guam Mental Health	1	1,109	-	-	-	-		1,109
Office of Technology	1	785	65	-	-	-		850
Guam Veterans Affairs office	2	351	358	138	-	-		847
Guam Solid Waste Authority	2	752	-	-	-	-		752
Department of Administration	3	300	358	-	-	-		659
Vietnam Veteran of America	1	542	-	-	-	-		542
Office of Civil Defense	2	528	-	-	-	-		528
Sanctuary, Inc.	1	518	-	-	-	-		518
Department of Mental Health	2	330	-	-	-	-		330
Department of Mental Health And Substance	1	329	-	-	-	-		329
Guam Public Library	6	278	-	-	-	-		278
Guam Police Department	1	239	25	-	-	-		264
Guam Energy Office	1	243	-	-	-	-		243
Department of Youth Affairs	3	229	-	-	-	-		229
Agat Mayor's office	1	-	26	26	26	26		103
The Office of The Dededo Mayor	1	95	-	-	-	-		95
Merizo Mayor	1	92	-	-	-	-		92
Total Line Agencies	266	\$ 476,672	\$ 347,181	\$ 235,375	\$ 103,122	\$ 94,197	\$	1,256,547
		37.94%	27.63%	18.73%	8.21%	7.50%		100.00%
Total as of February 28, 2021 (Active)	317	\$ 744,964	\$ 363,485	\$ 250,883	\$ 118,348	\$ 339,527	\$	1,817,207
		41.00%	20.00%	13.81%	6.51%	18.68%		100.00%

GUAM WATERWORKS AUTHORITY
Accounts Receivable Aging Summary by Rate Class
As of February 28, 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	442	\$ 2,566,215	\$ 353,466	\$ 271,183	\$ 75,292	\$ 435,595	\$ 3,701,752	16%	
Agriculture	402	40,739	6,048	2,844	2,185	54,640	106,455	0%	
Commercial I	2,659	1,301,848	112,634	78,890	81,896	415,514	1,990,783	9%	
Commercial II	30	221,861	60	53	65	206,643	428,682	2%	
Commercial III	297	404,532	118,318	18,047	13,224	343,113	897,234	4%	
Golf Course	16	2,098	606	-	-	-	2,704	0%	
Hotel	59	1,296,291	153,840	122,452	109,684	753,413	2,435,679	11%	
Irrigation	33	3,804	407	172	164	1,817	6,365	0%	
Residential	50,086	4,752,754	1,016,880	673,052	495,121	6,180,167	13,117,971	58%	
	54,024	10,590,142	1,762,260	1,166,693	777,631	8,390,903	22,687,627	100%	
		47%	8%	5%	3%	37%			

Less Allowance for Doubtful Accounts: (8,837,593)Net Accounts Receivable: **13,850,034**

Days Receivables Outstanding

49

As of January 31, 2021

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

ACTIVE ONLY

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	436	\$ 2,566,215	\$ 353,356	\$ 271,128	\$ 75,280	\$ 428,490	\$ 3,694,470	20%	
Agriculture	382	40,739	6,048	2,844	1,970	13,518	65,119	0%	
Commercial I	2,445	1,299,161	110,397	78,397	78,964	226,483	1,793,403	10%	
Commercial II	29	221,861	60	53	65	62	222,101	1%	
Commercial III	282	404,532	116,886	17,912	12,914	268,718	820,962	5%	
Golf Course	16	2,098	606	-	-	-	2,704	0%	
Hotel	56	1,296,291	153,840	122,452	109,684	628,993	2,311,259	13%	
Irrigation	32	3,804	407	172	164	522	5,070	0%	
Residential	40,003	4,656,730	984,208	631,803	457,573	2,517,820	9,248,135	51%	
	43,681	10,491,431	1,725,809	1,124,761	736,615	4,084,607	18,163,223	100%	
		58%	10%	6%	4%	22%			

Less Allowance for Doubtful Accounts: (8,837,593)Net Accounts Receivable: **9,325,630**

As of January 31, 2021

ACTIVE ONLY

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	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**

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		
February 28, 2021	\$ 1,756,228 63%	\$ 141,619 5%	\$ 433,545 16%	\$ 24,711 1%	\$ 415,009 15%	\$ 2,771,110 100%		32
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	\$ 1,835,615 75%	\$ 147,584 6%	\$ 36,547 1%	\$ 57,911 2%	\$ 381,242 16%	\$ 2,458,900 100%		33

**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%	3,657,238	-1%
C Commercial	1,020,089	1,022,890	964,639	910,905	906,192	-1%	822,029	-9%	730,515	-11%
F Federal	1,168	1,180	2,508	1,813	1,602	-12%	1,338	-16%	2,523	89%
G Government	515,974	475,366	448,430	450,165	405,980	-10%	408,502	1%	393,059	-4%
H Hotel	999,116	1,008,087	1,004,525	989,723	1,079,919	9%	714,161	-34%	426,058	-40%
G Golf	6,850	6,770	5,252	2,741	2,793	2%	5,835	109%	2,169	-63%
A Agriculture	67,376	78,628	69,482	81,127	90,803	12%	84,492	-7%	62,225	-26%
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>5,657</u>	-35%
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>5,279,444</u>	-8%



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

Issues for Decision

Resolution No. 13- FY2021

Relative to Approving the Charge-off of Guam Waterworks Authority Receivables Deemed Uncollectible

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

It is good accounting practice to regularly review accounts receivable to ensure the Allowance for Doubtful Accounts is appropriate and to write off accounts that are deemed uncollectible. If uncollectible receivables are not written off regularly, eg annually, Accounts Receivable and the related Allowance become overstated.

The last write off was performed in May 2020. We are proposing this resolution currently to prepare accounts for the transition to the new system in May 2021.

Where is the location?

Not applicable

How much will it cost?

Proposed amounts to be charged off are \$1,533,670.

Account	Count	Amount
Trade Receivables	110	\$ 1,471,105
Accounts Receivable, Others	8	62,565
Total	120	\$ 1,533,670

Accounts Receivable, Others are for accounts billed to business from 2001 to 2017. Many of the smaller billings are for sewer discharge. The larger amounts are for work orders, the largest of which is to Coretech for work done between 2009 and 2012 totaling \$29,743. These businesses have all been recently contacted and we continue to work on collecting these outstanding amounts.

As receivables are written off, the Allowance is adjusted. The write off of receivables will not impact income as the amounts were expensed as the Allowance was adjusted, i.e., the write off will reduce the Accounts Receivable and the Allowance for Doubtful Accounts balances on the Statement of Net Position (aka Balance Sheet).

Note, if these receivables are eventually collected, the amounts will be recognized as Miscellaneous Income.

When will it be completed?

As soon as approved by the CCU.

What is the funding source?

Not applicable

The RFP/BID responses (if applicable):

Not applicable.



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. 13-FY2021

**RELATIVE TO APPROVING THE CHARGE-OFF OF GUAM WATERWORKS
AUTHORITY RECEIVABLES DEEMED UNCOLLECTIBLE**

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 Finance regularly reviews accounts receivable and recognizes that not all accounts will be collectible through the Allowance of Doubtful Accounts; and

WHEREAS, despite best efforts by GWA to collect outstanding balances, the age of certain receivables exceeds the statute of limitations per 7 GCA § 1134; and

WHEREAS, documentation for many of these receivables are not easily found; and

WHEREAS, it is good accounting practice to regularly write off accounts that are deemed uncollectible; and

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WHEREAS, after consideration of the aforementioned, management recommends GWA charge off \$1,533,670 as summarized herein and further detailed in Exhibit A:

Account	Count	Amount
Trade Receivables	110	\$ 1,471,105
Accounts Receivable, Others	8	62,565
Total	120	\$ 1,533,670

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 affirms management's recommendation to charge off these past due inactive receivables for accounts for which reasonable efforts were made to collect \$1,533,670; the breakdown by year is outlined in Exhibit A.

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

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

Certified by:

Attested by:

JOSEPH T. DUENAS
Chairperson

MICHAEL T. LIMTIACO
Secretary

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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: _____

ABENT: _____

ABSTAIN: _____

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Guam Waterworks Authority
Schedule of Proposed Receivables Charge Off
Summary by Fiscal Year and Class

Exhibit A

YEAR	AGRICULTURAL	COMMERCIAL	GOVERNMENT	HOTEL	RESIDENTIAL	TOTAL
<2014		\$ 34,165			\$	34,165
2014		5,994				5,994
2015	1,363	209,390	4,860		100,748	316,361
2016	13,145	84,675	1,117	110	819,811	918,858
2017	3,293	40,303			214,696	258,292
TOTALS	\$ 17,801	\$ 374,527	\$ 5,977	\$ 110	\$ 1,135,255	\$ 1,533,670

Commercial Total includes \$311,962 in Trade Receivables and \$62,565 in Other Accounts Receivable



Issues for Decision

Resolution No. 14-FY2021

Relative to Updating the Guam Waterworks Authority Overtime Policy for Exempt Employees

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

The objective of this resolution is to enhance consistency in the application and payment of overtime payment to its employees in compliance with the new criterion established in the recently amended federal Fair Labor Standards Act (FLSA). Management has determined the need to align existing pay policies with the FLSA, narrow the applicability of overtime related to emergency situations, and reduce potential overtime liability as a result of CCU Resolution No. 09-FY2010 (Appendix B) that authorized GWA's Exempt CTP employees to be eligible for overtime. This Resolution if approved, will supersede CCU Resolution No. 09-FY2019, authorized and approved on 23 March 2010.

Where is the location?

This action affects GWA employees in all locations. The authorization and application of overtime policies for all GWA employees holding CTP positions based on the Fair Labor Standards Act definitions of Non-Exempt and Exempt employees. GWA positions are identified and Non-Exempt or Exempt in Appendix A.

How much will it cost?

This action will result in cost avoidance by eliminating OT expenditures for exempt employees.

When will it be completed?

Payment of overtime for Non-Exempt CTP employees as listed on appendix A, effective immediately upon approval of this CCU Resolution.

What is the funding source?

Operations and Maintenance

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. 14-FY2021

**RELATIVE TO UPDATING THE GWA OVERTIME POLICY
FOR EXEMPT EMPLOYEES**

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, pursuant to Public Law 28-159 and Title 12, Chapter 14 of the Guam Code Annotated, the Consolidated Commission on Utilities has the power and authority to establish policy for the Guam Waterworks Authority (“GWA”) which includes creating policies applicable to all Certified, Technical and Professional employees; and

WHEREAS, the Guam Waterworks Authority is a Guam Public Corporation established and existing under the laws of Guam; and

WHEREAS, the Fair Labor Standards Act (FLSA), as amended in December 2019, and effective 16 January 2020; enforces the payment of overtime to employees meeting established criteria of positions deemed Exempt and Non-Exempt; and

WHEREAS, the CCU agrees with GWA Management that all employees holding CTP positions listed on appendix A as Non-Exempt be authorized overtime payment subject to proper budget authority and other GWA policies in place; and

WHEREAS, CCU Resolution No. 09-FY2010 authorized that all GWA Exempt employees be allowed to earn overtime under any circumstances subject to proper budget authority and other GWA policies in place; and

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

- 3 1. The recitals set forth above hereby constitute the findings of the CCU.
4 2. This Resolution shall supersede the previous policy contained in Resolution 90-
5 FY2010.
6 3. The CCU finds that GWA Management desires to enhance compliance with the
7 FLSA, as amended in December 2019 and effective 16 January 2020, by
8 allowing overtime payment to its employees holding CTP positions deemed as
9 Non-Exempt in Appendix A.
10 4. The CCU hereby authorizes GWA General Manager to further designate newly
11 created positions as necessary, pursuant to applicable FLSA criteria, as meeting
12 non-exempt status for subsequent inclusion in the GWA Position Inventory
13 shown in Appendix A.

14
15 **RESOLVED**, that the Chairman certified and the Board Secretary attests to the adoption
16 of this Resolution.

17 **DULY AND REGULARLY ADOPTED**, this 23rd day of March, 2021.

18
19 Certified by:

Attested by:

20
21
22 _____
23 **JOSEPH T. DUENAS**
24 Chairperson

MICHAEL T. LIMTIACO
Secretary

25 //

26 //

27 //

28 //

29 //

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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GWA Position Inventory by FSLA Exempt Status

Exempt Status	Job Code	Position Title	Total
Non-Exempt	0.230	Legal Secretary III	1
Non-Exempt	0.431	Utility Payroll Clerk II	1
Non-Exempt	0.432	Utility Payroll Clerk III	1
Non-Exempt	0.434	Utility Cashier I	1
Non-Exempt	0.435	Utility Cashier II	1
Non-Exempt	0.512	Computer Operator I	1
Non-Exempt	0.515	Computer Operator II	1
Non-Exempt	0.518	Computer Operator III	1
Non-Exempt	1.112	Utility Administrative Aide	1
Non-Exempt	1.117	Customer Service Representative	1
Non-Exempt	1.133	Utility Administrative Assistant	1
Non-Exempt	1.220	Land Agent I	1
Non-Exempt	1.221	Land Agent II	1
Non-Exempt	1.222	Land Agent III	1
Non-Exempt	1.433	Utility Storekeeper I	1
Non-Exempt	1.434	Utility Storekeeper II	1
Non-Exempt	1.445	Buyer I	1
Non-Exempt	1.446	Buyer II	1
Non-Exempt	2.387	Utility Accounting Technician I	1
Non-Exempt	2.388	Utility Accounting Technician II	1
Non-Exempt	2.389	Utility Accounting Technician III	1
Non-Exempt	2.509	Utility Personnel Assistant I	1
Non-Exempt	2.510	Utility Personnel Assistant II	1
Non-Exempt	2.640	Programmer Analyst I	1
Non-Exempt	2.641	Programmer Analyst II	1
Non-Exempt	2.685	GIS Analyst I	1
Non-Exempt	2.686	GIS Analyst II	1
Non-Exempt	2.687	GIS Analyst III	1
Non-Exempt	2.805	Legal Secretary I	1
Non-Exempt	2.806	Legal Secretary II	1
Non-Exempt	4.120	Safety Inspector I	1
Non-Exempt	4.121	Safety Inspector II	1
Non-Exempt	4.122	Safety Inspector III	1
Non-Exempt	4.242	Utility Compliance Inspector I	1
Non-Exempt	4.243	Utility Compliance Inspector II	1
Non-Exempt	4.244	Utility Compliance Inspector Leader	1
Non-Exempt	6.205	Construction Inspector I	1
Non-Exempt	6.206	Construction Inspector II	1
Non-Exempt	6.209	Construction Inspector III	1
Non-Exempt	9.305	Building Custodian	1
Non-Exempt	9.499	Trouble Dispatcher	1
Non-Exempt	9.521	Equipment Operator I	1
Non-Exempt	9.522	Equipment Operator II	1
Non-Exempt	9.523	Equipment Operator III	1
Non-Exempt	9.524	Equipment Operator IV	1
Non-Exempt	9.525	Equipment Operator Leader I	1
Non-Exempt	9.526	Equipment Operator Leader II	1
Non-Exempt	9.610	Shop Planner	1
Non-Exempt	9.740	Water Meter Maintenance & Repair Worker I	1
Non-Exempt	9.741	Water Meter Maintenance & Repair Worker II	1

GWA Position Inventory by FSLA Exempt Status

Exempt Status	Job Code	Position Title	Total
Non-Exempt	9.770	Water Meter Reader I	1
Non-Exempt	9.771	Water Meter Reader II	1
Non-Exempt	9.772	Water Meter Reader Leader	1
Non-Exempt	10.161	Automotive Mechanic I	1
Non-Exempt	10.162	Automotive Mechanic II	1
Non-Exempt	10.171	Heavy Equipment Mechanic I	1
Non-Exempt	10.172	Heavy Equipment Mechanic II	1
Non-Exempt	10.175	Heavy Equipment Mechanic Leader	1
Non-Exempt	10.208	Utility Trades Helper	1
Non-Exempt	10.251	Water / Sewer Maintenance Worker I	1
Non-Exempt	10.252	Water / Sewer Maintenance Worker II	1
Non-Exempt	10.255	Water / Sewer Maintenance Leader	1
Non-Exempt	10.261	Carpenter I	1
Non-Exempt	10.262	Carpenter II	1
Non-Exempt	10.265	Carpenter Leader	1
Non-Exempt	10.281	Electrician I	1
Non-Exempt	10.282	Electrician II	1
Non-Exempt	10.285	Electrician Leader	1
Non-Exempt	10.411	Pumping Station Operator I	1
Non-Exempt	10.412	Pumping Station Operator II	1
Non-Exempt	10.415	Pumping Station Leader	1
Non-Exempt	10.421	Sewer Plant Operator I	1
Non-Exempt	10.422	Sewer Plant Operator II	1
Non-Exempt	10.425	Sewer Plant Leader	1
Non-Exempt	10.431	Wastewater Maintenance Mechanic I	1
Non-Exempt	10.432	Wastewater Maintenance Mechanic II	1
Non-Exempt	10.435	Wastewater Maintenance Mechanic Leader	1
Non-Exempt	10.451	Water Plant Operator I	1
Non-Exempt	10.452	Water Plant Operator II	1
Non-Exempt	10.455	Water Plant Leader	1
Non-Exempt	10.461	Plant Electrical Instrument Technician I	1
Non-Exempt	10.462	Plant Electrical Instrument Technician II	1
Non-Exempt	10.463	Plant Electrical Instrument Technician Leader	1
Non-Exempt	10.500	Water & Wastewater Systems Control Dispatcher I	1
Non-Exempt	10.501	Water & Wastewater Systems Control Dispatcher II	1
Non-Exempt	10.880	Leak Detection Technician I	1
Non-Exempt	7.420	Utility Laboratory Technician I	1
Non-Exempt	10.881	Leak Detection Technician II	1
Non-Exempt	7.421	Utility Laboratory Technician II	1
Non-Exempt	10.882	Leak Detection Technician Leader	1
Non-Exempt	7.423	Utility Laboratory Technician Leader	1
Non-Exempt	10.947	Water Distribution System Manager	1
			1
Non-Exempt Total			93
Exempt	0.423	Payroll Supervisor	1
Exempt	0.521	Computer Operations Supervisor	1
Exempt	1.118	Customer Service Representative Supervisor	1
Exempt	1.435	Warehouse Supervisor I	1
Exempt	1.436	Warehouse Supervisor II	1
Exempt	1.438	Inventory Management Officer	1

GWA Position Inventory by FSLA Exempt Status

Exempt Status	Job Code	Position Title	Total
Exempt	1.448	Buyer Supervisor I	1
Exempt	1.449	Buyer Supervisor II	1
Exempt	1.451	Supply Management Administrator	1
Exempt	2.005	Budget Analyst	1
Exempt	2.01	Administrative Officer	1
Exempt	2.02	Management Analyst I	1
Exempt	2.021	Management Analyst II	1
Exempt	2.022	Management Analyst III	1
Exempt	2.023	Management Analyst IV	1
Exempt	2.059	Utility Services Administrator	1
Exempt	2.07	Chief Budget Officer	1
Exempt	2.12	Program Coordinator I	1
Exempt	2.121	Program Coordinator II	1
Exempt	2.122	Program Coordinator III	1
Exempt	2.123	Program Coordinator IV	1
Exempt	2.149	Contracts & Small Claims Administrator	1
Exempt	2.195	Grants Administrator	1
Exempt	2.33	Accountant I	1
Exempt	2.331	Accountant II	1
Exempt	2.332	Accountant III	1
Exempt	2.366	Internal Auditor	1
Exempt	2.379	Controller (Unclassified)	1
Exempt	2.39	Utility General Accounting Supervisor	1
Exempt	2.522	Communications Manager	1
Exempt	2.535	Personnel Specialist I	1
Exempt	2.536	Personnel Specialist II	1
Exempt	2.537	Personnel Specialist III	1
Exempt	2.538	Personnel Specialist IV	1
Exempt	2.559	Personnel Services Administrator	1
Exempt	2.585	Employee Development Specialist I	1
Exempt	2.586	Employee Development Specialist II	1
Exempt	2.587	Employee Development Specialist III	1
Exempt	2.631	Network Systems Administrator	1
Exempt	2.661	Asset Man. and Maint. Information System Officer	1
Exempt	2.67	Information Technology Manager	1
Exempt	2.675	Systems & Programming Administrator	1
Exempt	2.678	Network Analyst	1
Exempt	4.125	Safety Supervisor	1
Exempt	4.14	Senior Regulatory Analyst	1
Exempt	6.226	Right of Way Supervisor	1
Exempt	6.237	GIS/LIS Manager	1
Exempt	6.261	Engineer II (Associate)	1
Exempt	6.262	Engineer III (Senior)	1
Exempt	6.264	Engineer Supervisor	1
Exempt	6.28	Chief Engineer, PE (GWA)	1
Exempt	6.281	Assistant Chief Engineer	1
Exempt	6.283	Senior Engineer, PE	1
Exempt	6.285	Engineer I (Junior)	1
Exempt	6.315	Planner I	1
Exempt	6.316	Planner II	1

GWA Position Inventory by FSLA Exempt Status

Exempt Status	Job Code	Position Title	Total
Exempt	6.317	Planner III	1
Exempt	6.318	Planner IV	1
Exempt	7.13	Biologist I	1
Exempt	7.131	Biologist II	1
Exempt	7.132	Biologist III	1
Exempt	7.23	Chemist I	1
Exempt	7.231	Chemist II	1
Exempt	7.232	Chemist III	1
Exempt	7.248	Monitoring Laboratory Services Administrator	1
Exempt	9.527	Equipment Operator Supervisor	1
Exempt	9.742	Water Meter Maintenance & Repair Supervisor	1
Exempt	9.773	Water Meter Reader Supervisor	1
Exempt	10.177	Heavy Equipment Mechanic Supervisor	1
Exempt	10.257	Water / Sewer Maintenance Supervisor	1
Exempt	10.417	Pumping Station Supervisor	1
Exempt	10.427	Sewer Plant Supervisor	1
Exempt	10.437	Wastewater Maintenance Mechanic Supervisor	1
Exempt	10.438	Centralized Wastewater Maintenance Superintendent	1
Exempt	10.457	Water Plant Supervisor	1
Exempt	10.498	Trouble Dispatcher Supervisor	1
Exempt	10.499	Chief Water and Wastewater Systems Dispatcher	1
Exempt	10.883	Leak Detection Technician Supervisor	1
Exempt	10.883	Utility Laboratory Technician Supervisor	1
Exempt	10.934	Operations & Maintenance Manager	1
Exempt	10.938	Wastewater Collection Superintendent	1
Exempt	10.942	Wastewater Plant Superintendent	1
Exempt	10.944	Wastewater Construction / Maintenance Superintendent	1
Exempt	10.944	Water Construction / Maintenance Superintendent	1
Exempt	10.945	Water Treatment Plant Superintendent	1
Exempt	11.009	Equipment Maintenance Superintendent	1
Exempt	11.011	Plant Electrical Instrument Superintendent	1
Exempt	11.012	Source Control Manager	1
Exempt	11.026	Cross Connection Control Manager	1
Exempt	41.063	General Manager (GWA) (Unclassified)	1
Exempt	41.095	Assistant General Manager Administration & Support (Unclassified)	1
Exempt	41.096	Assistant General Manager Operations (Unclassified)	1
Exempt	(blank)	Assistant Chief Financial Officer (Unclassified)	1
Exempt	(blank)	Assistant General Manager Collection & Distribution (Unclassified)	1
Exempt	(blank)	Assistant General Manager Compliance & Safety (Unclassified)	1
Exempt	(blank)	Assistant General Manager Production & Treatment (Unclassified)	1
Exempt	(blank)	Chief Financial Officer (GWA)	1
Exempt	(blank)	Information Security Administrator	1
Exempt	(blank)	Senior Engineer Supervisor, PE	1
Exempt	(blank)	Staff Attorney	1
Exempt	(blank)	Training & Development Manager	1
Exempt Total			101
Grand Total			194

APPENDIX B

**GUAM CONSOLIDATED COMMISSION ON UTILITIES
RESOLUTION NO. 09 – FY2010**

**RELATIVE TO AUTHORIZING OVERTIME FOR CERTIFIED TECHNICAL
EMPLOYEES OF THE GUAM WATERWORKS AUTHORITY WHO WERE
PREVIOUSLY EXEMPT UNDER THE FAIR LABOR STANDARDS ACT**

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 the Guam Power Authority (“GPA”); and

WHEREAS, pursuant to Guam Public Law 28-159, and Title 12, Chapter 14 of the Guam Code Annotated, the Consolidated Commission on Utilities has the power and authority to establish policy for the Guam Waterworks Authority, which includes creating policies applicable to all Certified, Technical and Professional employees of the Guam Waterworks Authority; and

WHEREAS, the Fair Labor Standards Act, as amended in 2004, list certain minimum standards for employees who may be deemed to be exempt from overtime; and

WHEREAS, exempt GWA employees are working longer hours and becoming “burnt out” just to ensure that GWA can continue to provide service to its customers given the fact that it is difficult for GWA to hire senior personnel who are properly certified to occupy the positions as evidenced by many open and continuous job announcements; and

WHEREAS, GWA Management has determined that as a matter of policy all Certified Technical and Professional employees occupying exempt positions should no longer be exempt from earning overtime since many of GWA’s supervisors and managers work long hours with no additional compensation for that additional work in order to ensure that the best service is provided to GWA’s customers; and

WHEREAS, the CCU agrees with GWA Management that all CTP exempt employees should be allowed to earn overtime subject to proper budget authority and other GWA policies in place to ensure that overtime is not abused.

1 **WHEREAS**, GWA management recommends that the personnel budget for FY2010 be
2 amended to add an additional four hundred twenty thousand dollars (\$420,000) for the purposes
3 of covering personnel budget shortfalls including increments for non-CTP positions, increases in
4 costs of benefits and CTP exempt overtime costs.

5
6 **WHEREAS**, GWA management further recommends that the CCU reaffirms prior year
7 personnel budgets that were contingent on funding.

8
9
10 **NOW BE IT THEREFORE RESOLVED**, the Consolidated Commission on Utilities
11 does hereby approve the following policy:

- 12
13 1. Under P.L. 28-159 and Title 12, Chapter 14 of the Guam Code Annotated, the
14 Consolidated Commission on Utilities has the power and authority to establish policy
15 for the Guam Waterworks Authority.
- 16 2. In light of all the hard work and dedication that FLSA exempt CTP employees
17 provide with no additional compensation, all CTP employees who were previously
18 exempt from overtime are no longer exempt and may now earn overtime.
- 19 3. All overtime to be paid under this resolution is subject to proper budget authority and
20 GWA policies in place to ensure that overtime is not abused.
- 21 4. The personnel budget for FY2010 is hereby amended to add an additional four
22 hundred twenty thousand dollars (\$420,000) for:
- 23 a. the cost to migrate the CTP pay scale from the 5th to the 15th
24 percentile for CTP employees estimated at \$145,600, effective April
25 1, 2010
- 26 b. the increments for non CTP and “pay for performance” for CTP
27 employees in FY2010 estimated at \$108,006
- 28 c. exempt overtime costs estimated at \$165,800

29 **RESOLVED**, that the Chairman certified and the Board Secretary attests to the adoption
30 of this Resolution.
31
32

DULY AND REGULARLY ADOPTED, this 23rd day of March 2010.

Certified by:

Attested by:



SIMON A. SANCHEZ, II
Chairperson



GLORIA B. NELSON
Secretary

I, Gloria B. Nelson, 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>4</u>
NAYS:	<u>0</u>
ABSTENTIONS:	<u>0</u>
ABSENT:	<u>1</u>





Issues for Decision

GWA Resolution No. 16-FY2021 / GPA Resolution No. 2021-07

Relative to Confirming Management's March 2020 Employee Pandemic Pay Determination

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

The objective is to confirm and approve GWA and GPA management's determination that Management followed and applied the required emergency pay provisions of the DoA Personnel Rules and Regulations to all essential employees reporting for duty to their normal work stations during the declared pandemic emergency.

Where is the location?

Not applicable

How much will it cost?

Not applicable.

When will it be completed?

As soon as approved by the CCU.

What is the funding source?

Not applicable

The RFP/BID responses (if applicable):

Not applicable.



CONSOLIDATED COMMISSION ON UTILITIES

Guam Power Authority | Guam Waterworks Authority

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

GPA RESOLUTION NO: 2021-07
GWA RESOLUTION NO. 16-FY2021

**CONFIRMING MANAGEMENT'S MARCH 2020 EMPLOYEE
PANDEMIC PAY DETERMINATION**

WHEREAS, the Governor of Guam issued Executive Order 2020-04 effective March 16, 2020 directing all Government operations to shut-down with the exception of essential services; and

WHEREAS, in order to comply with the Executive Order, the Guam Power Authority (GPA) and Guam Waterworks Authority (GWA) closed all facilities to the public however, adequate crews and other personnel were maintained to provide critical power, water and wastewater services to its customers; and

WHEREAS, GPA and GWA management requested guidance from the Department of Administration and the Attorney General regarding the application of the existing DoA Personnel Rules and Regulations, which were adopted by GWA, referencing pay during a declared emergency; and

WHEREAS, GPA and GWA management received limited guidance which conflicted with and did not clearly clarify the application of emergency pay provisions of the DoA Personnel Rules and Regulations; and

WHEREAS, after lengthy management discussion and review by legal counsel, management determined that without any clear guidance to the contrary, the emergency pay provisions of the DoA Personnel Rules and Regulations would be applied strictly and across the board; and

1 **WHEREAS**, GPA and GWA actions taken conformed with the AG opinion of May 14,
2 2020;

3
4 **NOW BE IT RESOLVED**, the Consolidated Commission on Utilities does hereby
5 confirm and approve of GWA and GPA management's determination to follow and apply the
6 required emergency pay provisions of the DoA Personnel Rules and Regulations to all essential
7 employees reporting for duty to their normal work stations from March 14, 2020 to May 11, 2020
8 during the declared emergency.

9
10 **FURTHER RESOLVED**, that the Chairman certifies and the Board Secretary attests to
11 the adoption of this Resolution.

12
13 **DULY AND REGULARLY ADOPTED AND APPROVED THIS 23RD DAY OF**
14 **MARCH 2021.**

15 Certified by:

Attested by:

16
17 _____
18 **JOSEPH T. DUENAS**

17 _____
18 **MICHAEL T. LIMTIACO**

19 Chairperson

Secretary

20 Consolidated Commission on Utilities

Consolidated Commission on Utilities

21
22 **SECRETARY'S CERTIFICATE**

23
24 **I, Michael T. Limtiaco**, Board Secretary of the Consolidated Commission on
25 Utilities (CCU), as evidenced by my signature above, do hereby certify as follows:

26
27 The foregoing is a full, true and correct copy of the resolution duly adopted at a
28 regular meeting by the members of the Guam CCU, duly and legally held at a place properly
29 noticed and advertised at which meeting a quorum was present and the members who were
30 present voted as follows:

31 AYES: _____

32 NAYS: _____

33 ABSENT: _____

34 ABSTAIN: _____

GUAM WATERWORKS AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

EXECUTIVE MANAGEMENT

NAME OF EMPLOYEE	
POSITION TITLE	General Manager
DIVISION	Executive
DEPARTMENT	
EVALUATION PERIOD	

NAME OF DIRECT SUPERVISOR	CCU
POSITION TITLE	
DIVISION	
DEPARTMENT	
EVALUATION PERIOD	

Updated Nov2020

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. 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
------------	----------------------------	---------------------------------------

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
-----	-----------------------------------------------------

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

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

4.5	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.

Rating		Annual Quarterly
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

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

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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GWA GENERAL MANAGER	EVALUATION PERIOD:	RATING:
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Conclusion of Evaluation

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

Employee :Name : _____ Signature : _____ Date : _____

CCU Acknowledgement

CCU: _____ Date: _____
(authorization) CCU Chairperson

Comments :

Employee Acknowledgment

Signature : _____ Date : _____

GUAM POWER AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

MANAGERS

NAME OF EMPLOYEE	
POSITION TITLE	General Manager
DIVISION	General Manager
DEPARTMENT	Executive
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 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.
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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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UPDATED 11.10.20

4

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	
------------	--------------------------	--------------------------------------	--

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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GPA GENERAL MANAGER	EVALUATION PERIOD:	RATING:
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Conclusion of Evaluation

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

Employee :Name : _____ Signature : _____ Date : _____

CCU Acknowledgement

CCU: _____ Date: _____
(authorization) CCU Chairperson

Comments :

Employee Acknowledgment

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	
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 (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 metrics associated with low risk auditee 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, prompt collection of revenue
1.1.4	Maintain required reserves and debt service coverage requirements using bond indenture metrics of 1.2 – 1.5
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

Annual Rating

1.2	Organize, staff, coordinate and direct financial planning activities for GWA budget
------------	-------------------------------------------------------------------------------------

1.2.1	Oversee and direct the development and preparation of annual budgets
1.2.2	Prepare Five-year projections for audit ratings 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

1.3	Organize, staff, coordinate and direct CIP, bond and grant financing for GWA
-----	------------------------------------------------------------------------------

1.3.1	Work with GM and management team to develop, secure approval and implement plan of finance to support CIP, to include IFICIP, 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
-----	--------------------------------------------------

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 turnaround 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

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, 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 good 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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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	
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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
------------------	-----------------------------

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
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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.

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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
-----------	---------------------------

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	
POSITION TITLE	Chief Financial Officer
DIVISION	Finance
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
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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
------------	----------------------------	---------------------------------------

Annual Rating

1.1	Plan, organize, staff, direct and coordinate all accounting activities of the Authority.
------------	------------------------------------------------------------------------------------------

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.
------------	---------------------------------------------------

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
------------	------------------------------------------	---------------------------------------

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
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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 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

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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

Updated 11/12/20

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	
GPA CHIEF FINANCIAL OFFICER	EVALUATION PERIOD:	RATING:

Conclusion of Evaluation

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

Employee :Name : _____ Signature : _____ Date : _____

CCU Acknowledgement

CCU: _____ Date: _____
(authorization) CCU Chairperson

Comments :

Employee Acknowledgment

Signature : _____ Date : _____

GUAM POWER AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

MANAGERS

NAME OF EMPLOYEE	
POSITION TITLE	General Counsel
DIVISION	Board
DEPARTMENT	Executive
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	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.
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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
-----	-------------------------------------------------------------------------

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	
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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

	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 proposes 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
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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
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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	
GPA STAFF ATTORNEY	EVALUATION PERIOD:	RATING:

Conclusion of Evaluation

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

Employee :Name : _____ Signature : _____ Date : _____

CCU Acknowledgement

CCU: _____ Date: _____
(authorization) CCU Chairperson

Comments :

Employee Acknowledgment

Signature : _____ Date : _____

GUAM WATERWORKS AUTHORITY



WORK PLANNING AND PERFORMANCE EVALUATION FORM

MANAGERS

NAME OF EMPLOYEE	
POSITION TITLE	General Counsel
DIVISION	Executive
DEPARTMENT	Legal
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	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
------------	---------------------------------------------------------------------------

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
-----	-----------------------------------------------------------

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
-----	-------------------------------------------------------------------------

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	
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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

	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 proposes 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
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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
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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	
GWA STAFF ATTORNEY	EVALUATION PERIOD:	RATING:

Conclusion of Evaluation

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

Employee :Name : _____ Signature : _____ Date : _____

CCU Acknowledgement

CCU: _____ Date: _____
(authorization) CCU Chairperson

Comments :

Employee Acknowledgment

Signature : _____ Date : _____