Regular Board Meeting - January 8, 2020

1. Agenda Packet

   Documents:

   200108 AGENDA PACKET - POSTED 200103.PDF
Call Meeting to Order and Roll Call

Pledge of Allegiance to the Flag

Opportunity for Public Comment
Opportunity for members of the public to address the Board (Government Code Section 54954.6)

Chair's Presentation
KSDY 50 Bilingual Video on Sweetwater Authority's Innovative No Discharge Pipe Flushing Program

ACTION CALENDAR AGENDA
The following items on the Action Agenda call for discussion and action by the Board. All items are placed on the Agenda so that the Board may discuss and take action on the item if the Board is so inclined, including items listed for information.

1. Adoption of Resolution 20-01 of the Governing Board of Sweetwater Authority Recognizing, Honoring, and Commending Susan (Sue) Mosburg, Program Manager, Upon Her Retirement on December 30, 2019 from Sweetwater Authority

2. Items to be Added, Withdrawn, or Reordered on the Agenda

3. Approval of Minutes
   A. Special Board Meeting of December 10, 2019
   B. Regular Board Meeting of December 11, 2019

Consent Calendar Items
Items to be acted upon without discussion, unless a request is made by a member of the Board, the Staff, or the Public to discuss a particular item, including items listed for information. All consent calendar items are approved by a single motion.

4. Approval of San Diego Gas & Electric Demands and Warrants

5. Approval of Demands and Warrants (excludes the San Diego Gas & Electric Demands and Warrants)
6. Consideration to Approve Proposed Changes to the Rate and Rules and Supplement to the Rates and Rules by Adoption of Resolution 20-02
Recommendation: Approve the proposed changes to the Rates and Rules and the Supplement to the Rates and Rules; and adopt Resolution 20-02

7. Consideration to Extend the Current Five-year On-call General Construction Services Contract by Six Months (Operations Committee meeting of 1/2/20, Item No. 4. A.)
Recommendation: Authorize an extension of the current On-call General Construction Services contract with El Cajon Grading & Engineering Company, Inc., Lakeside, CA, for six months resulting in a new contract end date of August 1, 2020, and direct staff to begin the competitive process to select the next On-call General Construction Services contractor.

8. Consideration to Approve FY 2020-21 Budget Calendar (Finance and Personnel Committee meeting of 1/2/20, Item No. 4. A.)
Recommendation: Approve the FY 2020-21 Budget Calendar.

9. Consideration to Allow Developers to Pay Costs with a Credit Card (Finance and Personnel Committee meeting of 1/2/20, Item No. 4. B.)
Recommendation: Direct staff to establish a policy to accept credit card payments for developer costs through a Third-Party Fee Based Credit Card Processor.

Action and Discussion Items

10. Review Qualifications for On-call SCADA System Integration Professional Services (Operations Committee meeting of 1/2/20, Item No. 4. B.)
Recommendation: Approve the Operations Committee to conduct interviews as provided by the RFQ and provide input on interview questions.

11. New Business
A. Consideration of Appointment of Division 3 Member and Division 4 Alternate Nominees to the Citizens Advisory Committee

B. Consideration to Approve Modifications to the General Manager's Employment Agreement – Consideration to Approve Compensation and Adopt Resolution 20-03, Adopting a Revised Salary Schedule for All Employees, Effective July 1, 2019

C. Consideration of Performance Metrics for Taste and Odor Complaints (Item Requested by Director Martinez)

D. Consideration of Scope of Work, Meetings, and Transparency for the Working Group with Otay Water District (per Board direction on August 28, 2019)
E. Consideration to Study Providing Special Rates to Senior Citizens (Item Requested by Director Martinez) (No Enclosure)

12. Approval of Directors' Attendance at Meetings and Future Agenda Items

A. Council of Water Utilities Meeting, San Diego County – The Butcher Shop Steakhouse, San Diego – Tuesday, January 21, 2020, 8:00 a.m.

B. Per diem approval for Directors that wish to attend the Water Education for Latino Leaders (WELL) Conference, San Jose, CA – March 20-21, 2020

REPORTS AND INFORMATIONAL ITEMS

The following Agenda items are placed on the Agenda to allow the persons designated to provide information to the Board and the Public. There is no action called for in these items. The Board may engage in discussion on any report upon which specific subject matter is identified on the Agenda, but may not take any action other than to place the matter on a future Agenda.

13. Report of Legal Counsel

   • Recent/Upcoming Community Events: Frederika Manor - January 7, 2020

15. Reports by Directors on Events Attended
   Reports and discussion relating to events attended by the Directors.
   A. Council of Water Utilities – November 19, 2019
   B. San Diego Chapter California Special Districts Association Dinner Meeting – November 21, 2019
   C. Re:Border Binational Conference – November 25-26, 2019
   D. ACWA Fall Conference – December 3-6, 2019

16. Directors' Comments
   Directors' comments are comments by Directors concerning Authority business that may be of interest to the Board. Directors' comments are placed on the Agenda to enable individual Board members to convey information to the Board and the Public. There is no discussion or action taken on comments made by Board members.

CLOSED SESSION

At any time during the regular session, the Governing Board may adjourn to closed session to consider litigation, personnel matters, or to discuss with legal counsel matters within the attorney-client privilege. Government Code Section 54954.5.

A. Conference with Legal Counsel – Anticipated Litigation – Significant exposure to litigation pursuant to Government Code Section 54956.9 (d)(2): Two cases

B. Public Employee Performance Evaluation pursuant to Government Code Section 54957:
   Title: General Manager
C. Conference with Legal Counsel -- Existing Litigation pursuant to Government Code Section 54956.9 (d)(1):


17. Adjournment

This agenda was posted at least seventy-two (72) hours before the meeting in a location freely accessible to the Public on the exterior bulletin board at the main entrance to the Authority’s office and it is also posted on the Authority’s website at www.sweetwater.org. No action may be taken on any item not appearing on the posted agenda, except as provided by California Government Code Section 54954.2. Any writings or documents provided to a majority of the members of the Sweetwater Authority Governing Board regarding any item on this agenda will be made available for public inspection at the Authority Administration Office, located at 505 Garrett Avenue, Chula Vista, CA 91910, during normal business hours. Upon request, this agenda will be made available in appropriate alternative formats to persons with disabilities, as required by Section 202 of the Americans with Disabilities Act of 1990. Any person with a disability who requires a modification or accommodation in order to participate in a meeting should direct such request to the Board Secretary at (619) 409-6703 at least forty-eight (48) hours before the meeting, if possible.

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PUBLIC COMMENT PROCEDURES

Members of the general public may address the Board regarding items not appearing on the posted agenda, which are within the subject matter jurisdiction of the Governing Board. Speakers are asked to state name, address, and topic, and to observe a time limit of three (3) minutes each. Public comment on a single topic is limited to twenty (20) minutes. Anyone desiring to address the Governing Board regarding an item listed on the agenda is asked to fill out a speaker’s slip and present it to the Board Chair or the Secretary. Request to Speak forms are available at the Speaker’s podium and at www.sweetwater.org/speakerform.
RESOLUTION 20-01

RESOLUTION OF THE GOVERNING BOARD OF SWEETWATER AUTHORITY RECOGNIZING, HONORING, AND COMMENDING SUSAN (SUE) MOSBURG, PROGRAM MANAGER, UPON HER RETIREMENT ON DECEMBER 30, 2019 FROM SWEETWATER AUTHORITY

WHEREAS, Susan (Sue) Mosburg joined Sweetwater Authority in 2000 as Training Coordinator, and through her tenure at the Authority advanced through the positions of Senior Training Coordinator, Principal Training Coordinator, and Program Supervisor, with a title change to Program Manager in 2013; and

WHEREAS, Sue, as Program Manager, under the direction of the Director of Administrative Services, managed comprehensive programs including water use demand management (drought response planning; public information; sustainability, and customer rebate/incentive programs); risk management (occupational safety and health; security; emergency preparedness, response and recovery; liability and property claims adjusting; and insurance); and staff development (technical and safety training; organizational and leadership development; professional certification); and

WHEREAS, Sue, prior to joining the Authority, worked at the City of San Diego Water Department; and

WHEREAS, Sue served on the Authority’s Safety Committee and the Green Team; was a representative for an Authority bargaining group; and was a member of the Authority’s Recreation Association; and

WHEREAS, Sue is an active and well-respected member of the American Water Works Association, serving as a board member of the California/Nevada Section for over 12 years; and serving at the national level as Association Director on the Governing Board representing the California/Nevada Section since 2017; and

WHEREAS, Sue, in addition to her full-time job duties, is a wife, mother, and grandmother; and is an active member of her community, including participating in Poway Valley Gymnastics Booster Club as Team Parent Rep and Vice Chair, as Auxiliary President of Lakeside American Little League, and as a co-owner of a wedding photography business; and

WHEREAS, Sue has provided nearly 20 years of dedicated service to the Authority while gaining the respect of the Governing Board, staff, her peers, and industry in a manner that has also served customers of the Authority; and

NOW, THEREFORE, BE IT RESOLVED that the members of the Governing Board of Sweetwater Authority hereby approve formal recognition and gratitude to Sue Mosburg for her honorable service as Program Manager, her faithful adherence to the responsibilities of that position, and her personal commitment to the Governing Board, management staff, employees, and the customers of Sweetwater Authority.

PASSED AND ADOPTED at a Regular meeting of the Governing Board of Sweetwater Authority held on the 8th day of January 2020.

Steve Castaneda, Chair

ATTEST:

Ligia Perez, Board Secretary
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The Governing Board of Sweetwater Authority held a Special meeting on Tuesday, December 10, 2019, at the Sweetwater Authority Administrative Office, 505 Garrett Avenue, Chula Vista, California. Acting Chair Sotelo-Solis called the meeting to order at 4:03 p.m.

- **Roll Call**
  
  **Directors Present:** Josie Calderon-Scott, Jerry Cano, *José F. Cerda (left the meeting at 5:51 p.m.), Hector Martinez, *Jose Preciado (4:11 p.m.), and Alejandra Sotelo-Solis
  
  **Directors Absent:** Steve Castaneda
  
  **Management, Staff and Others Present:** General Manager Tish Berge, Assistant General Manager Jennifer Sabine, Legal Counsel Alison Alpert, and Board Secretary Ligia Perez. Staff members: Director of Water Quality Justin Brazil, Administrative Assistant Michael Garcia, Director of Engineering Ron Mosher, Director of Distribution Greg Snyder, Director of Finance Rich Stevenson, and Director of Administrative Services Dina Yorba.

- **Pledge of Allegiance to the Flag**

- **Opportunity for Public Comment** (Government Code Section 54954.3)
  
  There were no members of the public present.

- **Sexual Harassment Avoidance Training per AB 1825 and AB 1661 Provided by Alison Alpert of Best Best & Krieger**
  
  Ms. Alpert provided a presentation on discrimination and sexual harassment prevention in the workplace.

  *(Note: Director Preciado entered the meeting at 4:11 p.m.)*

  *(Note: Director Martinez left the meeting at 4:12 p.m. and reentered at 4:13 p.m.; left the meeting at 4:21 p.m. and reentered at 4:22 p.m.; left the meeting at 5:05 p.m. and reentered at 5:06 p.m.; left the meeting at 5:24 p.m. and reentered at 5:25 p.m.; and left the meeting at 5:26 p.m. and reentered at 5:28 p.m.)*

  *(Note: Director Cerda left the meeting at 5:51 p.m.)*

  The Board thanked Ms. Alpert for the informative training.
• **Adjournment**

With no further business before the Board, Vice Chair Preciado adjourned the meeting at 6:14 p.m.

Jose Preciado, Vice Chair

Attest:

Ligia Perez, Board Secretary
SWEETWATER AUTHORITY GOVERNING BOARD
MINUTES OF THE REGULAR MEETING

December 11, 2019

The Governing Board of Sweetwater Authority held a Regular meeting on Wednesday, December 11, 2019, at the Sweetwater Authority Administrative Office, 505 Garrett Avenue, Chula Vista, California. Chair Castaneda called the meeting to order at 6:00 p.m.

- **Roll Call**
  
  Directors Present: Josie Calderon-Scott, *Jerry Cano (left at 9:05 p.m.), Steve Castaneda, José F. Cerda, Hector Martinez, Jose Preciado, and Alejandra Sotelo-Solis

  Directors Absent: None


- **Pledge of Allegiance to the Flag**

- **Opportunity for Public Comment** (Government Code Section 54954.3)
  
  Roger Olson commented on construction permitting and communications with Authority staff regarding the Costa Vista RV Resort development.

  Alan Dingman commented on his high water bill.

  Mike Sampsel commented on the Citizens Advisory Committee meeting of December 5, 2019 and meeting audio recordings.

- **Chair’s Presentation**
  
  A. Municipal Information Systems Association of California (MISAC) Award for Excellence in Information Technology Practices

  Mitch Cochran, Award Chair of MISAC, presented an award to the Authority’s IS Department for Excellence in Information Technology Practices

  B. ACWA-JPIA President’s Special Recognition Award

  C. Recognition of Program Manager Sue Mosburg for American Water Works Association’s Section Leadership Award

  D. Comments from the Public Regarding Award Staff
ACTION CALENDAR AGENDA

1. Items to be Added, Withdrawn, or Reordered on the Agenda
   There were none.

2. Approval of Minutes
   A. Special Board Meeting of November 12, 2019
   B. Regular Board Meeting of November 13, 2019

   Director Preciado made a motion, seconded by Director Cano, that the Governing Board approve the minutes of the Special Board Meeting of November 12, 2019, and the Regular Board Meeting of November 13, 2019. The motion carried unanimously.

Consent Calendar Items

   Director Castaneda recused himself from consideration of Agenda Item 3 (Approval of San Diego Gas & Electric Demands and Warrants – Check numbers 152391, 152438, and 152503) due to his contract with Sempra Energy, parent company of SDG&E, which Director Castaneda disclosed on the record.

   (Note: Director Calderon-Scott left the room at 6:25 p.m.)

   Director Preciado made a motion, seconded by Director Cano, that the Governing Board approve consent calendar items three and four. Director Preciado pulled item five for discussion. The motion carried unanimously, with Director Calderon-Scott absent.

3. Approval of San Diego Gas & Electric Demands and Warrants – Check numbers 152391, 152438, and 152503

4. Approval of Demands and Warrants (excluding the San Diego Gas & Electric Demands and Warrants)

   Items Pulled from Consent Calendar for Discussion

5. Update on the Status of Qualifications for On-call SCADA System Integration Professional Services (Information Item) (Operations Committee meeting of 12/2/19 was cancelled)
   Staff Recommendation: No action was required by the Governing Board.

   (Note: Director Calderon-Scott reentered the room at 6:27 p.m.)

   No action was required by the Governing Board.

Action and Discussion Items

6. New Business
   A. Proposed Updates to the Rates and Rules and the Supplement to the Rates and Rules (Finance and Personnel Committee meeting of 12/4/19, Item No. 4. A.)
      Recommendation: Provide feedback on the proposed updates to the Rates and Rules.
Director Sotelo-Solis made a motion, seconded by Director Preciado, that the Governing Board approve the revisions to the Rates and Rules and the Supplement to the Rates and Rules as presented by staff. The motion carried unanimously.

Director Martinez made a motion, seconded by Director Preciado, that the Governing Board hold a Special Board meeting on developer processes. The motion carried unanimously.

B. Consideration to Approve Scope of Work for Feasibility Study on Maximizing Reservoir Assets and Developing New Water Resources (Operations Committee meeting of 12/2/19 was cancelled)

Staff Recommendation: Approve the Draft Scope of Work and direct staff to execute a contract with Gillingham Water.

Director Martinez made a motion, seconded by Director Cano, that the Governing Board approve the Draft Scope of Work and direct staff to execute a contract with Gillingham Water. The motion carried unanimously.

C. Consideration to Award a Contract to Utilis Inc. for Satellite Imagery System Leak Analysis (Operations Committee meeting of 12/2/19 was cancelled)

Staff Recommendation: Award a contract to Utilis Inc., San Diego, CA, in the amount of $60,000 in FY 2019-20, and $40,000 in FY 2020-21 to conduct four satellite imagery analyses of the Authority's water distribution system to determine if any leaks are evident.

(Note: Directors Cano and Sotelo-Solis left the meeting at 7:38 p.m.)
(Note: Director Sotelo-Solis reentered the meeting at 7:39 p.m.)
(Note: Director Martinez left the meeting at 7:40 p.m.)
(Note: Director Cano reentered the meeting at 7:41 p.m.)
(Note: Director Martinez reentered the meeting at 7:42 p.m.)

Director Preciado made a motion, seconded by Director Sotelo-Solis, that the Governing Board award a contract to Utilis Inc., San Diego, CA, in the amount of $60,000 in FY 2019-20, and $40,000 in FY 2020-21 to conduct four satellite imagery analyses of the Authority's water distribution system to determine if any leaks are evident. The motion carried unanimously.

D. Consideration to Award a Contract for the Remote Terminal Unit (RTU) Evolution and Judson Tank Electrical Rehabilitation Project (Operations Committee meeting of 12/2/19 was cancelled)

Staff Recommendation: Award a contract in the amount of $696,675 to National Electric Works, Inc., San Diego, CA, for Remote Terminal Unit (RTU) Evolution and Judson Tank Electrical Rehabilitation Project.

(Note: Director Cerda left the meeting at 7:45 p.m. and reentered the meeting at 7:46 p.m.)

Director Preciado made a motion, seconded by Director Cano, that the Governing Board award a contract in the amount of $696,675 to National Electric Works, Inc., San Diego,
CA, for Remote Terminal Unit (RTU) Evolution and Judson Tank Electrical Rehabilitation Project. The motion carried unanimously.

E. Election of Board Chair and Vice Chair for the 2020 Term and Consideration to Adopt Resolution 19-19 Appointing the Chair and Vice Chair

Director Cano made a motion, seconded by Director Calderon-Scott, that the Governing Board select Director Castaneda as Chair and Director Martinez as Vice Chair.

Director Preciado made a substitute motion, seconded by Director Cerda, that the Governing Board select Director Cerda as Chair and Director Sotelo-Solis as Vice Chair. The motion failed with Directors Cerda, Preciado, and Sotelo-Solis in favor, and Directors Calderon-Scott, Cano, Castaneda, and Martinez opposing.

Director Cano made a motion, seconded by Director Calderon-Scott, that the Governing Board select Director Castaneda as Chair and Director Martinez as Vice Chair, the following resolution:

RESOLUTION 19-19
RESOLUTION OF THE GOVERNING BOARD
OF SWEETWATER AUTHORITY APPOINTING
THE CHAIR AND VICE CHAIR FOR 2020

was passed and adopted by the following vote to wit:

Ayes: Directors Calderon-Scott, Cano, Castaneda, Cerda, Martinez, and Sotelo-Solis
Noes: Preciado
Absent: None
Abstain: None

F. Consideration to Approve 2020 Board Calendar

Director Sotelo-Solis made a motion, seconded by Director Cano, that the Governing Board approve the 2020 Board Calendar. The motion carried, with Directors Calderon-Scott, Cano, Castaneda, Cerda, Martinez, and Sotelo-Solis in favor, and Director Preciado opposing.

G. Consideration of Proposed Citizens Advisory Committee Dates and Times (Citizens Advisory Committee meeting of 12/5/19)

CAC Recommendation: Approve the proposed meeting schedule.

Sandy Naranjo, Chair of the Citizens Advisory Committee, reported on the December 5, 2019 meeting.

Director Sotelo-Solis made a motion, seconded by Director Cano, that the Governing Board approve the Citizens Advisory Committee meeting dates and times. The motion carried unanimously.

H. Consideration of Proposed Citizens Advisory Committee List of Relevant Issues (Citizens Advisory Committee meeting of 12/5/19)
CAC Recommendation: Approve the proposed list of relevant issues on Safety, Affordability, and Reliability

Mike Sampsel commented on the Citizens Advisory Committee list of relevant issues.

Director Sotelo-Solis made a motion, seconded by Director Preciado, that the Governing Board approve the Citizens Advisory Committee list of Relevant Issues on Safety, Affordability, and Reliability. The motion carried unanimously.

I. Consideration of Citizens Advisory Committee Input on Draft Customer Bill of Rights (Citizens Advisory Committee meeting of 12/5/19)

CAC Recommendation: Approve the recommended revisions to the Draft Customer Bill of Rights.

Mike Sampsel commented on reporting the vote outcomes of the Citizens Advisory Committee to the Governing Board.

(Note: Director Martinez left the room at 8:31 p.m. and reentered the room at 8:33 p.m.)

Director Sotelo-Solis made a motion, seconded by Director Cano, that the Governing Board approve the revisions made by the Citizens Advisory Committee to the Draft Customer Bill of Rights, and include a revision recommended by Legal Counsel de Sousa to remove “in compliance with the Americans with Disabilities Act” from the first bullet under “Professional Customer Service, Convenient Access, and Efficient Operations” and add “and complies with all laws” to the end of the last bullet. The motion carried unanimously.

J. Employee Engagement Survey Results (Information Item)

(Note: Director Sotelo-Solis left the room at 8:37 p.m. and reentered the room at 8:45 p.m.)

Director Cano made a motion, seconded by Director Calderon-Scott, that the Governing Board direct the General Manager to have the consultant from Energage present the results to the Board at a future meeting. The motion carried, with Directors Calderon-Scott, Cano, Castaneda, Martinez, Preciado, and Sotelo-Solis in favor, and Director Cerda opposing.

(Note: Director Cano left the meeting at 9:05 p.m.)

At 9:05 p.m. Director Castaneda called a short recess. The meeting was called back to order at 9:09 p.m. with Director Cano absent.

K. Legislative Advocacy Update – Federal and State Lobbying Efforts (Item Requested by Directors Cerda and Sotelo-Solis)

Director Sotelo-Solis made a motion, seconded by Director Castaneda, that the Governing Board approve briefings for individual Board members to meet with the Federal Lobbyist to exchange information that will help develop the Authority’s legislative strategy. The motion carried unanimously, with Director Cano absent.
L. iCommute Bike Month 2020 Mini-Grant Program (Item Requested by Director Martinez)

Director Martinez made a motion, seconded by Director Sotelo-Solis, that the Governing Board direct staff to apply for the iCommute Bike Month 2020 Mini-Grant Program. The motion carried unanimously, with Director Cano absent.

7. Approval of Directors’ Attendance at Meetings and Future Agenda Items

A. Per diem approval for Directors who wish to attend the CalDesal Annual Conference, Santa Barbara, CA – February 6-7, 2020

B. Per diem approval for Directors who wish to attend the Urban Water Institute’s Spring Water Conference, Palm Springs, CA – February 19-21, 2020

Director Sotelo-Solis made a motion, seconded by Director Preciado, that the Governing Board approve per diem for Directors who wish to attend the CalDesal Annual Conference, Santa Barbara, CA – February 6-7, 2020, and the Urban Water Institute Spring Water Conference, Palm Springs, CA - February 19-21, 2020. The motion carried unanimously, with Director Cano absent.

REPORTS AND INFORMATIONAL ITEMS

8. October Financial Reports

9. Report of Legal Counsel

There was none.

10. Management Report

A. Report of Assistant General Manager

Assistant General Manager Sabine reported on the sand mining Industry Forum; and rainfall at both the Sweetwater and Loveland Reservoirs.

B. Report of General Manager

General Manager Berge reported on the Authority’s participation in the Chula Vista Starlight Parade; the sponsorship of the ice skating rink at the National City Kimball Holiday Event; a staff meeting with the City of Chula Vista regarding the Bayfront Development; staff submitted a FEMA Grant application for the dam improvement project; the first committee meetings in January have been moved to Thursday, January 2, 2020 and provided a preview of agenda items; the General Manager will be on vacation and to reach Assistant General Manager Sabine with any needs; and reminded the Board of the Sweetwater Authority Holiday Event.

11. Reports by Directors on Events Attended

Chair Castaneda deferred items 11. A. through 11. D. to the next Board meeting.

A. Council of Water Utilities – November 19, 2019

B. San Diego Chapter California Special Districts Association Dinner Meeting – November 21, 2019
C. Re: Border Binational Conference – November 25-26, 2019
D. ACWA Fall Conference – December 3-6, 2019

12. Directors' Comments
   Director Sotelo-Solis thanked staff for their work and invited everyone to the Kimball Holiday event in National City.

CLOSED SESSION

At 9:35 p.m., the Board convened to meet in closed session with legal counsel for:

A. Conference with Legal Counsel – Anticipated Litigation – Significant Exposure to Litigation pursuant to Government Code Section 54956.9 (d)(2): One Case

B. Public Employee Performance Evaluation pursuant to Government Code Section 54957:
   Title: General Manager

C. Conference with Labor Negotiator pursuant to Government Code Section 54957.6:
   Agency Negotiators: Steve Castaneda, Chair
   Paula de Sousa, Legal Counsel
   Unrepresented Employee: General Manager

There was no need for a closed session on item:

D. Conference with Legal Counsel – Existing Litigation pursuant to Government Code Section 54956.9 (d)(1):

There were no minutes taken, and the session was not audio-recorded. At 9:58 p.m., Chair Castaneda declared the meeting to be in open session. No reportable action was taken by the Governing Board.

13. Adjournment

With no further business before the Board, Chair Castaneda adjourned the meeting at 9:59 p.m.

________________________
Steve Castaneda, Chair

Attest:

________________________
Ligia Perez, Board Secretary
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$211,696.55 Warrant Disbursements
## SWEETWATER AUTHORITY
### REVENUE FUND
#### Disbursements

**January 3, 2020**

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- Monthly legal fees and services
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- Monthly life insurance premium
- Water purchases
- Construction management - OD Arnold pump station
- Archaeological monitoring - main replacement
- Professional services - regulatory compliance
- Regulatory medical exams and tests
- Laboratory supplies
- Consulting services - public relations
- Monthly federal legislative affairs consultant
- SCADA - capital and expense projects
- Defined benefit plan
- CAL-Card purchases
- Laboratory testing
- Annual bond administrative fee
- Membership renewal
- Laboratory supplies
- Reimbursement - expenses
- Employer's contributions
- Monthly dental insurance premium
- Carwash rebate
- Annual membership renewal
- Payroll
- Employees' contributions
- Hazardous waste removal
- Membrane filter cleaning and restoration
- Monthly legal fees and services
- Safety shoes
- Water treatment chemicals
- Laboratory testing
- Monthly backup data storage service
- Laboratory testing
- Laboratory supplies
- Water treatment chemicals
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# SWEETWATER AUTHORITY
## REVENUE FUND DISBURSEMENTS

January 3, 2020

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**$3,702,028.10** Warrant Disbursements
SUMMARY
The Authority's Rates and Rules govern how the Authority provides new water service
and handles existing water service. The Rates and Rules are generally reviewed and
updated annually to incorporate changes in laws and regulations, clarify existing rules,
add new rules, and to modify or add new charges and fees. The Supplement to the
Rates and Rules (Supplement) is a companion document that contains fees and
charges other than those related to water rates and are referred to collectively as "Other
Fees." These Other Fees include such items as after-hours service calls or returned
check fees. The last update to the Rates and Rules and the Supplement was on
January 1, 2019.

At its December 11, 2019 meeting, the Board reviewed and approved the proposed
changes to the Rates and Rules and Supplement to the Rates and Rules (Supplement).
Both documents have been reviewed by staff and legal counsel and attached is a
summary of all the proposed changes. The only change made to the version reviewed
and approved by the Board on December 11, 2019, is the update to the effective date of
the revisions from January 1, 2020 to January 8, 2020. Adoption of Resolution 20-02
will formalize the approval.

FISCAL IMPACT
The Other Fees in the Supplement are set to recover the actual cost of the service
provided or to recover a future cost.

POLICY
The Board may, at its discretion, alter, amend, add to, or permit exceptions to the Rates
and Rules and the Supplement.

ALTERNATIVES
1. Approve the proposed changes to the Rates and Rules and Supplement to the
   Rates and Rules by Adoption of Resolution 20-02.
Memo to:  Governing Board
Subject:  Consideration to Approve Proposed Changes to Rates and Rules and Supplement to the Rates and Rules by Adoption of Resolution 20-02
Date: January 3, 2020
Page: 2 of 2

2. Make modifications to the proposed changes to the Rates and Rules and the Supplement to the Rates and Rules, for adoption at a later date.

STAFF RECOMMENDATION

Staff recommends that the Governing Board approve the proposed changes to the Rates and Rules and Supplement to the Rates and Rules by adoption of Resolution 20-02.

ATTACHMENTS
1. Summary of Changes
2. Rates and Rules and Supplement to the Rates and Rules
3. Resolution 20-02
Rates and Rules and Supplement to the Rates and Rules
Summary of Changes for 2020

Rates and Rules:
Sections 1 thru 17 – Throughout document
Pages 1 thru 43: Wordsmithing – clarification and format changes

Sections 1.3, 1.4, 2.7.1.D, 2.7.1.D, 4.2.1.F
Pages 4,9,10,17: Change reflects the Governing Board’s direction on September 25, 2019

Section 2.9. – Multiple Dwelling Units Serviced by One Meter
Page 11, 2.9.2: Accessory Dwelling Units (ADU): Clarification

Section 4.2. – Lateral for Private Fire Protection System
Page 17, 4.2.1. F & G: Commercial, Industrial, Government, Multi-Unit: Clarification

Section 5.3. – Transfer of Service
Page 22, 4.3.1. B & K: Application: Clarification

Section 5.6. – Discontinuance of Water Service
Pages 25 thru 31: Changes to reflect Senate Bill 998

Supplement to the Rates and Rules:
Sections 1 thru 5 – Throughout document
Pages 1 thru 12: Wordsmithing – clarification and format changes

Section 2 – Installation of Water Charges
Page 6, 2.1 A, C, D Charges for Permanent Meter and Lateral Service: Changes reflect the Governing Board’s direction on September 25, 2019

Section 4 – Other Fees, Charges, and Deposits
Page 9, 4.1.: After-Hours Service: Charge decreased due to Senate Bill 998 that caps the maximum to be charged for this service.
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Adopted by Resolution 17-18; 18-07; 18-22; 20-02
## RATES AND RULES

Effective January 8, 2020

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Adopted by Resolution 17-18; 18-07; 18-22; 20-02
RATES AND RULES

Effective January 8, 2020

1. DISTRIBUTION FACILITIES

1.1. Policy

Sweetwater Authority (Authority) is the sole public water system as defined by the California and Federal Safe Drinking Water Acts within the Authority’s jurisdictional boundaries. Authority policies require that new facilities necessary to provide water service to lands or developments be installed at the expense of the property owners or developers requesting service. Main extensions and related appurtenances (e.g., fire hydrants and water meter boxes) are generally limited to public rights-of-way. In special cases, if satisfactory easements are provided, installations in private roadways may be permitted at the discretion of the Authority.

The operation, repair, replacement, or enlargement of existing facilities necessary to maintain or improve continuing service to existing customers, and not associated with new demands on the system, is the responsibility of the Authority.

1.2. Standards

All facilities which are to become a part of the Authority’s system must be installed in accordance with plans approved by the Authority’s Engineer or its designee and the Authority’s adopted Standard Specifications for Construction of Water Facilities (Standard Specifications), copies of which are available at the Authority’s office and on the Authority’s website. All new construction work, except that performed by Authority personnel, shall be performed by a contractor holding a Class "A" License (General Engineering), Class C-34 License (Pipe-Laying), or other appropriate license for the work to be performed as determined by the Authority, and who has demonstrated experience in the type of construction to be undertaken. The Contractor shall be required to comply with all laws and regulations applicable to the work involved, including but not limited to the payment of the prevailing rate of wages in accordance with the applicable Labor Code requirements and related regulations.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
RATES AND RULES

1.3. **Financing**

The cost of installing new facilities required to serve a property or new development, together with any required offsite mains or other facilities, shall be advanced by the property owner or developer. All cost of installing new facilities are ineligible for payment plan consideration per Governing Board direction on September 25, 2019. This shall include the extension of facilities for the entire length of all streets and lots reserved for future streets, where applicable. Installation costs include but are not limited to design, construction, inspection costs, and indirect costs. Employee fringe benefit and overhead expenses are included in construction costs when Authority labor is used to install the new facilities and are a percentage of all labor time charged to the project. A portion of the sums so advanced shall be repayable to the property owner or developer under the circumstances set forth in Section 1.4.

1.4. **Construction Fees**

In order to recover the cost of constructing new facilities, the Authority may establish construction fees, whereby a portion of the cost of the mains serving a property or new development may be recovered from the property owners or developers whose property or development has frontage on the main and who did not contribute to the cost of the facilities at the time of construction and installation. When and if service connections are requested for properties and developments fronting the main within ten (10) years from its completion, connection fees will be collected for these properties for refunding a portion of the original construction fees to the property owners or developers under terms and conditions, which will be set forth in an agreement provided by the Authority. Where a water main extension project is paid for by the Authority, connection fees may also be established for all properties fronting the main and not contributing to the original project cost. As discussed in Section 1.3, costs for installing new facilities are to be paid by applicant and are ineligible to be financed through a payment plan with the Authority.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
1.5. Main in Excess of Minimum Standard Size

As a condition of service to a development, the Authority may require the construction or replacement of facilities in excess of the minimum standard size required to provide the service demands of the development. Determination of the size of the pipeline(s) is provided in the Authority’s latest version of the “Water Distribution System Master Plan.” If so conditioned, the Authority will enter into a reimbursement agreement with the developer/property owner to refund a portion of the excess cost of the required facilities in accordance with terms and conditions, which must be approved by the Governing Board.

2. METERS AND LATERALS

2.1. Definition

21.1. For the Purposes of these Rates and Rules:

A. A water lateral shall include the connection to the Authority’s water main, the pipe to the proposed meter location, a meter box, and an angle meter stop valve on the Authority’s side of the meter.

B. A meter installation includes the meter and a shut-off valve on the customer’s side of the meter.

C. The Authority retains ownership of and responsibility for the lateral and the meter.

D. The customer shall be responsible for all piping on the customer’s side of the meter and the connection to the customer’s valve on the customer’s side of the meter.

2.2. Connection to Water System

22.1. A Sole Public Water System:

A. The Authority is a sole public water system as defined by the California and Federal Safe Drinking Water Acts within the Authority’s jurisdictional boundaries.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
B. No other public water system shall operate by any means within the Authority's service area without the express authority of the Authority.

C. No person shall connect a water lateral or other pipe to any Authority water main, meter, or lateral without filing an application for water service pursuant to Section 2.3., and compliance with the requirements of the Authority's Standard Specifications governing the location and construction of the lateral, and installation of necessary backflow prevention devices.

D. No developer/property owner shall change the type of use of an existing water service without filing an application for water service pursuant to Section 2.3., and complying with the requirements of the Authority's Standard Specifications governing the location and construction of the lateral, and installation of necessary backflow prevention devices.

E. If a "material change" (e.g. Building Permit, sub-division of parcel, change in use, tenant improvement, etc.) is made to a property currently served by the Authority, the developer/property owner shall file an application for water service pursuant to Section 2.3., and comply with the requirements of the Authority's Standard Specifications governing the location and construction of the lateral and installation of necessary backflow prevention devices. This shall also include payment of all fees, if applicable, in accordance with the Supplement to the Rates and Rules (Supplement).

2.3. Application for Service

231. Any person requesting to connect to the Authority's water system shall comply with the following:

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
A. Furnish a legal description of the property upon which water is to be delivered; provide information regarding the type of development to be served (residential dwelling, apartment building, etc.) and type of service (domestic, combined domestic and private fire protection, agricultural, etc.); provide copies of any city or county approved building and grading plans, including, but not limited to, local fire protection agency flow requirements, site plan, floor plan, plumbing plan including total fixture-unit count and proposed water demands in gallons per day; and designate the location at which the meter is to be placed.

B. Complete an Application for Water Service.

C. Pay the Authority any applicable utility permit fees, Authority construction fees, Authority capacity fees, and any other fees and charges due and payable to the Authority for service to said property. As provided in Chapter 45, Section 5.9 of the County Water Authority Act, the Authority, as representative of the San Diego County Water Authority (CWA), shall collect and remit to the CWA the capacity charges imposed by the CWA. The ordinance of the CWA in effect at the time a water meter is obtained from the Authority, shall govern the amount of such charge, the persons liable therefore, and the procedures to be followed. The Authority shall not provide a water meter to any person requesting to connect to the Authority’s water system until that person has paid to the Authority all applicable fees and charges herein. As discussed in Section 1.3, costs for installing new facilities are to be paid by applicant and are ineligible to be financed through a payment plan with the Authority.

2.4. Location

241. Laterals and Meters:

A. All laterals shall front the parcel being served and shall be installed at right angles to the centerline of the right-of-way, clear of driveways, other water meters, and other obstacles.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
RATES AND RULES

Effective January 8, 2020

Special requirements of agencies having jurisdiction of the adjacent roadway or other rights-of-way may require an alternate location.

B. Meters will not be located on pipelines in easements except under certain conditions where no other distribution pipeline is adjacent to the property.

The meter box shall be installed and located in accordance with the Authority's Standard Specifications.

C. A lateral is composed of two (2) components: The Authority's side and the customer's side.

Reference shall be made to the Authority's Standard Specifications for the specific location of the delineation between the Authority's side and the customer's side of the system. Generally, the Authority's side is between the pipeline in the street and the water meter.

D. The customer's side begins after the water meter discharge and includes the customer's valve. Water meters shall not be located in driveways. Water service to a parcel shall be provided solely from the pressure zone in which it is located, and no parcel may be served water from more than one (1) pressure zone.

2.5. Cost

25.1. Water Service, Capacity Fees, and Deposits:

A. The cost of water service and capacity fees may be changed from time-to-time and will be contained in the Supplement.

B. The cost of water service may include applicable fees that result from a change in water use or a material change to a property.

C. Capacity credit(s) from an existing service on a parcel cannot be transferred to a separate parcel.
D. Capacity fees and installation deposits shall be paid no later than two (2) weeks following issuance of any building, tenant improvement, grading, or street improvement permit, or the start of any construction.

E. An application for water service shall be processed after payment of capacity fees (e.g., capacity, permit, inspection, etc.), and deposits (e.g., installation, abandonment, inspection, etc.), and the approved plans and permits from the jurisdictional agency (e.g., City of Chula Vista) are submitted, as required. As discussed in Section 1.3, costs for installing new facilities are to be paid by applicant and are ineligible to be financed through a payment plan with the Authority.

252. **Meter and Lateral:**

A. The cost of a meter and lateral installation is based on actual cost at the time of construction.

2.6. **Meter Size**

261. The Authority reserves the right to regulate the size, type, and location of each meter and lateral.

262. Meters for Single-Family Residences that require a fire protection system shall at a minimum be one (1) inch in diameter, and have an open orifice design to serve both the domestic and fire protection water service.

2.7. **Meter Size Change or Relocation**

271. **Contact the Engineering Department:**

A. The property owner must contact the Authority’s Engineering Department to obtain permission to change the meter size or relocate a meter.

B. **Increase** – A meter may be increased in size upon approval of a written request from the property owner or authorized property manager and payment of additional capacity charges for the proposed meter, as applicable.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
If a new service lateral is required, the new lateral installation costs and existing lateral abandonment costs shall be paid by the property owner. As discussed in Section 1.3, costs for installing new services are to be paid by applicant and are ineligible to be financed through a payment plan with the Authority.

C. **Reduction** – Provided a meter is not used for fire sprinklers, a meter may be reduced in size, to the allowable minimum requirement of the California Plumbing Code, on the same lateral at no cost to the customer upon approval of a written request from the property owner or authorized property manager. No refund will be provided for a reduction of meter size or surrender of service.

D. **Relocation** – A service and meter may be relocated upon approval of a written request from the property owner or authorized property manager, provided the new location complies with the Authority’s Standard Specifications. If a fire service is required for the property, the property owner shall obtain the appropriate approvals of the local fire protection agency. The new service installation cost and existing service and meter abandonment shall be paid by the owner. As discussed in Section 1.3, costs for installing new services are to be paid by applicant and are ineligible to be financed through a payment plan with the Authority. The Authority reserves the right to reduce the meter and/or lateral size if the water demands for the property do not warrant the larger size. The Authority may refuse to relocate a service if the main in the requested location is not adequate to meet required demands. In some cases, the meter may be relocated horizontally up to a maximum of eighteen (18) inches without the need to install a new service (e.g., relocating a meter out of a new driveway).
2.8. **Separate Meter for Each Parcel**  
Not more than one (1) parcel shall be supplied through one (1) meter, except upon special permission granted by the General Manager, or his or her authorized designee, such as to serve a structure containing multiple dwelling or residential units located on property owned in common by the multiple dwelling unit owners (e.g., a condominium).

2.9. **Multiple Dwelling Units Serviced by One Meter**  
291. **Multiple Dwelling Units:**  
A. A property owner or authorized property manager shall be responsible for the payment of water service fees and any other fees and charges, including fines and penalties, relating to a property when there is more than one (1) dwelling unit serviced by a single meter for such property.

B. A tenant of a Multiple Dwelling unit property may become a direct water customer of the Authority; however, a service agreement and security deposit shall be required.

C. Each newly constructed Multi-Unit residential structure or newly constructed mixed-use residential and commercial structure for which an application for a water connection, or more than one (1) connection, is submitted to the Authority shall measure the quantity of water supplied to each individual residential dwelling unit. Such measurements are a condition of new water service, as required by California Senate Bill SB-7 (September 25, 2016). The measurement may be taken by individual water meters or submeters.

D. The owner of the structure shall install individual meters or submeters that comply with all laws and regulations governing the approval of meter types or the installation, maintenance, reading, billing, and testing of meters, including, but not limited to, the California Plumbing Code and California Water Code.

*Adopted by Resolution 17-18; 18-07; 18-22; 20-02*
E. The existing equivalent dwelling units (EDU’s) and CWA capacity charges assigned to a Multiple Dwelling unit property shall remain unchanged when additional service lateral(s) and meter(s) are installed and the property’s water use remains unchanged. Under such conditions, the Authority shall not assign additional EDU’s to the new lateral(s) and meter(s) and the Authority shall report to CWA that the new meter(s) shall not be eligible for future CWA capacity credits.

292. Accessory Dwelling Units (ADU):

A. For purposes of imposing a capacity fee, an ADU is defined as a dwelling unit located in a residential parcel, which provides complete independent living facilities for one (1) or more persons and includes permanent provisions for living, sleeping, eating, cooking, and sanitation on the same parcel as the single-family dwelling is situated.

B. An ADU shall be charged an Authority capacity fee as one (1) equivalent dwelling unit, except as follows:

(1) An ADU added to the site of an existing single-family residence shall be exempt from the Authority capacity fee if the ADU requires no increase in the existing meter size based on the combined plumbing fixtures of the existing residence and ADU.

(2) ADUs within the space of an existing or proposed single-family residence, or an existing accessory structure including a pool house, garage, or studio, shall be exempt from the Authority’s capacity fee unless the combined plumbing fixtures of the residence and ADU require a meter size greater than that required to serve only the residence. For purposes of this section 2.9.2., “existing space” shall include an addition to a single-family residence or accessory structure that does not exceed 150 square feet.

C. ADUs that require an upsize of the meter solely to meet the requirement of a fire service shall be exempt from the capacity fee.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
2.10. Temporary Meter

2.10.1. Upon request:

A. A hydrant specific temporary meter may be provided to measure water used generally for construction activities where the installation of a permanent meter is not practical for service to a particular parcel, such as in land grading, street, and utility construction.

B. Temporary meters are normally installed on a single fire hydrant. Except as otherwise approved by the General Manager or his or her authorized designee, the account established with the customer requesting a temporary meter shall be issued for a period of time not to exceed twelve (12) months.

C. The size and location of the temporary meter installation shall be approved in advance by the Authority.

D. If the meter is not being used consistently with the conditions stated herein, the Authority reserves the right to require the customer to relocate, reduce the size of the meter, or discontinue the use of the temporary meter at any time, and for any reason, at the expense of the customer.

E. When a meter is to be installed on a fire hydrant within the boundaries of a fire protection agency that requires its approval, license, or permission, the customer shall obtain a permit from such agency prior to installation of the meter.

F. The customer shall be responsible for all damage to the meter that occurs as a result of improper use. See Supplement for current deposit requirements.

G. The customer shall be billed monthly for all water delivered through the temporary meter. Monthly bills must be paid promptly to maintain continuous service.

H. When the meter is no longer required, the installation deposit, less the unpaid water charges and any other accrued charges, shall be refunded to the customer within thirty (30) days.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
2.10.2. **Floating Temporary Meters:**

A. Floating temporary meters may be moved from one (1) fire hydrant to another by the customer in order to facilitate the completion of a project.

B. If any of the proposed locations are within the boundaries of a fire protection agency, each location must be approved and listed on the permit issued by said fire agency.

C. The customer may keep the temporary meter in his or her possession and relocate the meter to the approved locations as needed.

D. The customer shall be held responsible for any damage to, or loss of, the meter.

E. For billing purposes, the customer will be contacted each month by Authority staff to request a read from the meter, as stated in the temporary meter contract for “Floating Meters.” If a read is not provided to the Authority by the requested date, an estimated read will be billed to the customer.

F. The amount due to the Authority or the customer as a result of estimated read(s) will be reconciled when the meter is returned to the Authority by the customer.

2.11. **Cross-Meter Connection**

2.11.1. A cross-meter connection is deemed to exist when:

A. Authority records indicate there are locations where two (2) or more meters have service addresses other than what is shown on the service papers.

B. Typically, the properties and water meters in question are located side by side, resulting in an incorrect post-meter plumbing connection after meter services have been inspected.

*Adopted by Resolution 17-18; 18-07; 18-22; 20-02*
C. After an investigation has been conducted by Authority personnel, the account records will be corrected to reflect current information and to ensure each customer is billed correctly from that point forward. Unless it is determined that the cross-meters were caused by the Authority, no adjustments to water bills will be made as a result of any incorrect billing.

3. WATER PRESSURE

3.1. Guidelines

3.1.1. To be consistent with the guidelines set by the American Water Works Association, the Authority will design and maintain its water distribution facilities such that the following residual water pressures, measured at the water meter, will on an average basis, be available throughout the water distribution system:

A. Forty (40) pounds per square inch (psi) under average day conditions for any services installed after August 30, 1977;

B. Twenty (20) psi under emergency conditions, such as a fire, for existing and new customers; and

C. Any services installed prior to August 30, 1977, having less than forty (40) psi, are accepted “as is” or grandfathered at that pressure.

3.1.2. Higher pressures may exist depending upon a customer’s geographical and/or topographical location in the water distribution system.

3.1.3. The Authority will not be responsible for any damage, including damage to the customer’s property resulting from insufficient pressure, excessive pressure, or pressure fluctuations due to operation and maintenance of the water distribution system.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
3.1.4. Where water pressure exceeds eighty (80) psi, the Authority strongly recommends that the customer install a pressure regulating valve to protect the private plumbing.

3.1.5. Customer inquiries to determine or change pressure at the customer’s property will be submitted to the Engineering Department.

4. FIRE PROTECTION

4.1. Fire Hydrants

4.1.1. Responsibility:

A. Fire hydrants, including any required by the respective fire protection agency, on Authority mains are the property of the Authority.

B. The Authority maintains and repairs fire hydrants within its service area.

C. Refer to the Supplement for installation charges and penalty(ies) for unauthorized fire hydrant use.

4.2. Lateral for Private Fire Protection System

4.2.1. Commercial, Industrial, Government, Multi-Unit:

A. A private fire protection system, as required by the respective fire protection agency, is solely for fire protection purposes. No other water use shall be permitted from such a system and unauthorized use may be grounds for discontinuance of service.

However, a domestic service lateral may provide water or a fire service when authorized by the Engineering Department.

B. A private fire protection system is composed of two (2) components – The Authority’s side and the customer’s side. Refer to the Authority’s Standard Specifications for the specific location of the delineation between the Authority’s side and the customer’s side of the system.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
C. The Authority's side of the system includes a fire protection lateral connected to Authority's main, a valve at the main, and a lateral pipeline from the valve to the edge of the road right-of-way or easement in which the main is located or other location agreed upon by both parties.

D. A pipeline from the termination of the Authority's lateral shall be extended by the customer to serve the fire protection outlets, fire hydrants, or fire sprinkler system at the customer's service location.

E. The system on the property owner's side shall be constructed in accordance with requirements established by the respective public agency that is responsible for building permits.

F. The property owner at his or her expense shall install, or cause to be installed, and annually inspect a backflow prevention device for the private fire protection system. As discussed in Section 1.3, costs for installing new facilities are to be paid by applicant and are ineligible to be financed through a payment plan with the Authority.

G. The backflow prevention device shall be installed in accordance with the Authority's Standard Specifications; approved by an Authority Cross-Connection Control Specialist; include a detector meter. A minimum of an approved reduced pressure principle backflow prevention detector assembly (RPDA) shall be owned, installed, and maintained by the property owner at a location approved by an Authority Cross-Connection Control Specialist. The detector meter shall be provided by the Authority after installation of a backflow prevention device.

H. Any usage registered on the meter, other than for fighting fires, shall be billed to the account holder at the Authority's Commodity Rate for Business and Multi-Unit Accounts.
The Authority and its duly authorized agents shall have the right to ingress and egress from the premises for all purposes of making such inspections as it may deem necessary, and it shall have the right to attach any testing device or use any means which it may elect to ascertain the condition and use of the pipe and appurtenances.

I. The Authority shall have no responsibility for the proper functioning of the fire protection system or for the availability of water from its main for fire protection in the event of an emergency. It undertakes, at all times, to have adequate supplies available in its system for ordinary uses. The Authority is not a guarantor of continual service in quantities adequate for all purposes. The property owner specifically agrees as a condition of connecting to the Authority’s water system that the Authority shall incur no liability nor be subject to any damages resulting from a failure of malfunction of the fire protection lateral or fire sprinkler system, or from a lack of water in adequate quantity or pressure to make it fully effective.

4.2.2. Pre-Existing Unprotected Lateral for a Private Fire Protection System:

A. All existing unprotected fire service laterals are required to install an approved backflow prevention device as indicated in Section 4.2.1.F. of these Rates and Rules no later than April 25, 2023.

B. Customers of record with an existing private fire protection system that does not include an approved backflow prevention device must upgrade the unprotected private fire protection service lateral to include an approved backflow prevention device within four (4) years after receiving notice from the Authority that a backflow prevention device is required.

C. The notice must include the customer’s name and address, reference to this section, a deadline for compliance, the contact information for the Authority’s Cross-Connection Control Specialist, the process to comply,
and that not complying with the requirement to protect the private fire service lateral from a cross-connection may result in cancelation of service per Section 4.3 of these Rates and Rules.

D. The Authority's Cross-Connection Control Specialist will send follow-up reminder notifications thirty-six (36), twenty-four (24), twelve (12), and six (6) months prior to the required installation date. A final reminder notification will be sent to the customer of record three (3) months prior to the required installation date. Failure to send reminder notices does not affect the customer's obligation to install a backflow prevention device. Non-compliance with this section or any notice issued pursuant to this section by the required installation date will result in cancelation of service per Section 4.3 of these Rates and Rules.

4.2.3. Single-Family Residential:

A. If required by the respective fire agency, a private fire protection system for a Single-Family Residence will be constructed on the customer's side of the meter in accordance with requirements established by the respective public agency responsible for building permits.

B. The lateral for a Single-Family Residence requiring a fire protection system shall be one (1) inch in diameter minimum and serve both domestic and fire protection water service. The backflow prevention device for the lateral shall be approved by the Authority's Cross-Connection Control Specialist.

C. The Authority shall have no responsibility for the proper functioning of the fire protection system or for the availability of water from its main for fire protection in the event of an emergency.

D. The Authority will undertake, at all times, to have adequate water supplies available in its system for ordinary uses. The Authority is not a guarantor of continual service in quantities adequate for all purposes.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
E. The property owner shall specifically agree, as a condition of the connection, that the Authority shall incur no liability nor be subject to any damages resulting from a failure or malfunctioning of the fire protection lateral or fire sprinkler system, or from a lack of water in adequate quantity or pressure to make it fully effective.

4.3. Application and Cancellation of Service for Private Fire Protection

4.3.1. Application:

A. Any person requesting the installation of a private fire protection system shall submit an application for water service and pay all lateral installation costs (see Supplement for installation cost and monthly service charge).

B. Upon the transfer or sale of the property, the subsequent property owners shall sign a Private Fire Protection application in order to assume responsibility for a fire protection account.

C. If the property is rented or leased, and the Authority has authorized the tenant or lessee to be responsible for the account of such property, then in the event a new tenant or lessee occupies the premises, the owner of the property or authorized tenant or lessee shall sign a Private Fire Protection application in order to assume responsibility for a fire protection account.

D. Failure to return a signed application may result in the discontinuance of service and a letter of the pending discontinuance will be sent to the corresponding fire protection agency.

4.3.2. Cancellation:

A. It is mandatory that the customer provide written notification to the Authority no less than fifteen (15) days prior to the close of the customer’s water account.
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B. If the property is rented or leased, and the Authority has authorized the tenant or lessee to be responsible for the account for such property, then in the event a new tenant or lessee occupies the premises, the owner of the property or authorized tenant or lessee shall sign a Private Fire Protection application in order to assume responsibility for a fire protection account of the corresponding fire protection agency.

C. Termination for all accounts shall be implemented pursuant to the termination provisions in Section 5 below.

D. In emergencies, the Authority has the right, without prior notice, to shut off all or any part of its facilities and discontinue the service when deemed necessary for the purpose of making any repairs, alterations, additions, or to prevent possible contamination through cross-connected facilities of the customer, or to prevent the negligent or willful waste by the customer.

5. WATER SERVICE AND BILLING

5.1. Authority and CWA Fees:

A. The Authority's water service fees are comprised of a Readiness-to-Serve charge and a commodity charge.

B. From time-to-time, this water service fee may also include costs imposed on the Authority by CWA, which are passed through to the Authority's customers.

5.2. Charges

5.2.1. Readiness-to-Serve Charge:

A. The Readiness-to-Serve charge is a fixed charge established on the basis of the size of the water meter serving a property.

B. The charge is calculated to recover a portion of the Authority's fixed costs, such as costs of billing and collections, customer service, meter reading, meter maintenance, and capital and infrastructure.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
C. Any customer may avoid payment of the charge by an authorized disconnection from the facilities of the Authority.

5.2.2. Commodity Charge:

A. The commodity charge, or water charge, is a variable water usage charge calculated to recover the cost of providing water service, including the cost of purchasing, treating and pumping water, and maintaining system improvements.

B. All water registered by a meter is considered to have been consumed and will be billed to a customer for each unit of one-hundred (100) cubic feet of water (748 gallons), regardless of whether metered water use was unknown or unintentional.

C. See Supplement for current water service fees.

5.3. Transfer of Service

5.3.1. Application:

A. When applying for the transfer of water service responsibility from one customer to another, the applicant shall provide his or her name, address, phone number, date of birth, and Social Security number or California Driver License number to establish credit.

B. This information will be searched in the customer service database. All outstanding charges found in the customer’s name shall be paid prior to establishing service at any location within the Authority’s service area. This includes account balances due on a previous account or at a previous service address that are delinquent or have been referred to the Authority’s collection agency due to nonpayment. In addition, a security deposit may be required as shown in the Supplement.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
C. In the event that the applicant is unable or unwilling to provide credit information, the applicant shall deposit funds as a security deposit, as stated in the Supplement.

D. The security deposit collected will be applied toward the customer’s first billing after a satisfactory payment record has been established, or the security deposit will be applied to the customer’s account at the time the account is closed. See Section 5.9.H of this document for the definition of “satisfactory payment record.”

E. A new customer applying for water service will not be held liable for any previous customer’s outstanding water bill for the address where he or she is applying for service.

F. However, the Authority may require a security deposit from a subsequent customer for a rental property when any two (2) of the following conditions exist at the property within the previous thirty-six (36) months: 1) Water service was previously scheduled for discontinuance; 2) the bank has returned a check; 3) a previous account with the same service number was sent to the Authority’s collection agency; or 4) the water service has been disconnected for nonpayment.

G. The property owner or authorized property manager may assume responsibility for water service and will not be required to place a security deposit for water service at the address, unless they have an outstanding balance with the Authority that is past due. Water service will stay in the property owner’s name until such time as the property is sold or the outstanding balances have been paid in full.

H. Each time the customer is not present at the property for connection of water service, a missed water connection appointment charge will be assessed in the amount shown in the Supplement.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
I. In the event a water release form was signed (releasing the Authority from all liability and responsibility for any losses or damages resulting from open connections or faulty plumbing) and the meter registers water use at the time of connection, the water service will remain disconnected, and the customer or his or her designee will be required to be at the property for reconnection of service.

J. If the customer or designee is not present, then a missed water connection appointment charge will be assessed in the amount shown in the Supplement.

K. When an account is closed and charges remain unpaid for six (6) weeks following the mailing of the closing bill, service may not be established in the delinquent customer’s name at any location within the Authority’s service area until all outstanding charges have been paid. In addition, a security deposit may be required as shown in the Supplement. However, if service has been established at another location in the Authority’s service area prior to the six (6) weeks, the charges owed on the closed account will be transferred to the new account and be subject to the Authority’s delinquent notice and shut off process.

5.4. Payment of Bills

5.4.1. Payment and Location Options:

A. Administration Office—All water bills may be paid at the office of the Authority at 505 Garrett Avenue, Chula Vista, or mail payment to PO Box 2328, Chula Vista, California 91912-2328.

B. Convenience Store—Water bills may be paid at any 7-11 (24/7) location.

C. Telephone—Payments can be made with a credit card or electronic check (no additional charge) by calling 866-419-8408.
D. *Online* – To pay with an electronic check or credit card, please log-on to the Authority customer payment website. Follow instructions to make a one-time payment, or if interested sign-up for Automatic Payment. One-time payments will be reflected the next business day.

E. *Instructions for payment options* are on the back of customer water bills and also located on the Authority’s website: [www.sweetwater.org](http://www.sweetwater.org).

### 5.5. Billing Statement

5.5.1. *Bill Mail Date and Due Date:*

A. After water service has been provided to a customer pursuant to applicable rules, a bill shall be rendered at a time convenient to the Authority, but no later than nine (9) weeks after service is commenced.

B. The bill will normally be mailed on a Friday approximately one (1) week after the customer’s meter is read.

C. Payment of the amount of the bill shall be due and payable within fourteen (14) days after the bill is mailed.

D. The bill shall include all charges due and owing, including, but not limited to, service charges, plan check fees, and charges due pursuant to Section 11 of the Rates and Rules.

### 5.6. Discontinuance of Water Service

5.6.1. Water service charges are payable to the Authority once every two months or at such other frequency as determined by the Authority. All bills for water service are due and payable fourteen (14) calendar days after the mail date by the Authority. Any bills not paid within such period are considered delinquent. Once the bill is received, payment arrangements may be requested up until the time of disconnection on the 73rd day after the bill was mailed (see Section 2 for these alternatives).

5.6.2. After an account becomes delinquent, the following will occur:

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
A. On the 21st day after the water bill was mailed a reminder notice is mailed to the customer of record. In addition, the Authority will also send a notice to the actual occupants living at the service address under the following circumstances: Water is furnished by a master meter; water is furnished by an individual meter to a single-family dwelling, multi-unit residential structure mobile home or park, or farm labor camp and the owner, manager, or employer is the customer of record; or the customer of record's address is not the same as the service address. If service is provided by a master meter and the Authority is unable to provide notice to the occupants by mail, the Authority will make an alternative good faith effort to provide the notice to the occupants. The notice will inform the occupants that they have the right to become customers of the Authority without being required to pay the amount due on the delinquent account. Terms and conditions for occupants to become customers of the Authority are provided in Section 5 below.

B. Between the 45th and 50th day after the water bill was mailed, a second reminder notice is mailed to the customer of record and to the occupant if the bill remains unpaid.

C. Between the 61st and 66th day after the bill was mailed, an automated phone call and text message sent to the phone numbers on file informing the customer that their account is in a delinquent status, the water will be disconnected if it remains unpaid, a late fee may be assessed and that the customer may request a copy of this policy.

D. On the 71st day after the water bill was mailed, a late fee will be assessed to the account and a delinquent notice and a copy of this Policy will be left at a conspicuous place at the service address informing the occupant that service will be disconnected in forty-eight (48) hours due to non-payment of the water bill and a handling fee will be assessed to the account.

E. On the 74th day after the water bill was mailed, the Authority may disconnect water service for non-payment.

F. If the account remains unpaid for a full week, the account will be closed as of the date it was originally turned off for non-payment.
Any new customer wanting to start water service may need to provide documentation satisfactory to the Authority showing that they were not responsible for any of the water used during the time period the account was in a delinquent status.

5.6.3. Circumstances Under Which Residential Water Service Will Not Be Disconnected:

A. Minimum Payments – The Authority will carry a maximum balance of seventy-five ($75.00) to the next water bill with no penalties or late fees.

B. The Authority will not discontinue service while a customer’s payment is subject to an Authority-approved extension, amortization, or alternative payment schedule, and the customer remains in compliance with the approved payment arrangement. Prior to the 73rd day after the bill was mailed, the Authority may approve an extension, amortization or alternative payment arrangement for an outstanding balance with the understanding that all subsequent water bills must be kept current.

C. If a customer defaults on an Authority-approved extension, amortization or alternative payment arrangement, or fails to pay subsequent water bills while the payment arrangement is in place, the Authority may discontinue water service after posting a final notice of intent to disconnect service in a prominent and conspicuous location at the service address at least five (5) business days before disconnection of service.

D. If a customer defaults on an Authority-approved extension, amortization or alternative payment arrangement twice within a year, said customer will be ineligible to receive an extension, amortization or an alternative payment arrangement for one (1) year beginning on the date of the second default.

5.6.4. The Authority will not discontinue water service if all of the following conditions are met:

A. The customer, or a tenant of the customer, submits certification from a primary care provider that discontinuation of water service would be life threatening or pose a serious threat to the health and safety of a resident of the premises and

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
B. The customer is financially unable to pay within a normal billing cycle. This can be shown by either:

(1) Demonstrating that someone in the household is a recipient of one of the following programs:

- CalWorks
- CalFresh general assistance
- Medi-Cal
- Supplemental Security Income/State Supplementary Payment Program
- California Special Supplemental Nutrition Program for Women, Infants and Children

(2) Or declaring under penalty of perjury that household income is less than 200% of the federal poverty level; and

C. The customer is willing to enter into an alternative payment arrangement, including an extension, amortization, or alternative payment schedule with respect to the delinquent charges.

D. For customers who meet all of the above conditions, the Authority will offer one of the following options, to be selected by the Authority in its discretion: (1) an extension; (2) amortization of the outstanding balance; or (3) an alternative payment schedule.

E. The customer is responsible for demonstrating that the above conditions have been met. Upon receipt of documentation from the customer, the Authority will review the documentation within seven (7) days and either: (1) notify the customer of the alternative payment arrangement selected by the Authority and request the customer's signed assent to participate in that arrangement; (2) request additional information from the customer; or (3) notify the customer that he or she does not meet the above conditions.

F. The Authority may discontinue water service if a customer who has been granted a payment arrangement under this section and fails to do any of the following for sixty (60) days or more:

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
(a) to pay the outstanding balance by the extension date; (b) to pay any amount under the amortization schedule; (c) to pay any amount due under the alternate payment schedule; or (d) to pay his or her current charges for water service. The Authority will post a final notice of intent to disconnect service in a prominent and conspicuous location at the service address at least five (5) business days before disconnection of service. The final notice will not entitle the customer to any investigation or review by the Authority.

5.6.5. Disputing or Appealing a Water Bill:

A. A customer, by written request, may request a review of the water bill within seven (7) days of receiving said bill. While under review, the account will incur no late fees or penalties until the review is completed and the results reported to the customer. The Authority will provide a written determination to the customer. The Authority may, in its discretion, review untimely requests; however, such requests are not subject to appeal.

B. Any customer whose timely request for review has resulted in an adverse determination by the Authority, may appeal the determination to the Governing Board by filing a written notice of appeal with the Authority’s Board Secretary within ten (10) business days of the Authority mailing its determination. Upon receiving the notice of appeal, the Board Secretary will set the matter to be heard at a Governing Board meeting and mail the customer written notice of the time and place of the hearing at least ten (10) days before the meeting. The decision of the Governing Board shall be final. In addition, the Authority will not discontinue water service while an appeal to the Authority’s Governing Board is pending.

5.6.6. In a landlord-tenant situation the occupants can apply for water service pursuant to Section 5 of this Policy.

5.6.7. Restoration of Water Service:

A. Water service may be restored, with no reconnection fee, during regular business hours after payment is made in full in one of the following ways:

(1) Payment is made at the Authority Administration building.
(2) Payment is made on-line and a confirmation number is provided and payment is verified by the Authority.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
(3) Payment is made over the telephone through the Authority’s automated payment system and a confirmation number is provided and payment is verified by the Authority.
(4) Cash payment is made through an Authority approved vendor and a confirmation number is provided and payment is verified by the Authority.

B. Water service may be restored after regular business hours from 5:00pm to 9:00pm Monday through Friday and from 7:00am to 9:00pm on weekends and holidays when the following occurs:

1) Payment is made as stated in Section 5.6.7. A, numbers 2 through 4.
2) The customer agrees to the after-hours fee of $150.00 which will be added to their next water bill.

5.6.8. Interest Waiver:

A. For residential customers who demonstrate a household income below 200 percent of the federal poverty line, the Authority will waive interest charges on delinquent bills once every 12 months. The Authority will apply the waiver to any interest charges that are unpaid at the time of the customer’s request.

B. The Authority will deem a residential customer to have a household income below 200 percent of the federal poverty line if: (a) any member of the household is current recipient of CalWORKs, CalFresh general assistance, Medi-Cal, Supplemental Security Income/State Supplemental Payment Program or California Special Supplemental Nutrition Program for Women, Infants and Children; or (b) the customer declares under penalty of perjury the household’s annual income is less that 200 percent of the federal poverty level.

5.6.9. Procedures for Occupants or Tenants to Become Customers of the Authority:

A. This Section 5 only applies when a property owner, landlord, manager or operator of a residential service address is listed as the customer of record and has been issued a notice of intent to discontinue water service for non-payment.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
B. The Authority will make service available to the actual residential occupants if each occupant agrees to the terms and condition of service, including deposit requirements. However, if one or more occupants are willing to assume responsibility for subsequent charges to the account to the satisfaction of the Authority, or if there is a physical means, legally available to the Authority, of selectively discontinuing service to those occupants who have not met the requirements of the Authority's rules and regulations, the Authority shall make service available to occupants who have met those requirements.

C. To be eligible to become a customer without paying the amount due on the delinquent account, the occupant shall verify that the delinquent account customer of record is or was the landlord, manager, or agent of the dwelling. Verification may include, but is not limited to, a lease, rental agreement, rent receipts, a government document indicating the occupant is renting the property, or information disclosed pursuant to section 1962 of the Civil Code, at the discretion of the Authority.

D. If prior service for a period of time is a condition for establishing good credit with the Authority, residence and proof of prompt rent payment for that period of time is a satisfactory equivalent.

5.6.10. Other Provisions:

A. In addition to discontinuation of water service, the Authority may pursue any other remedies available for non-payment of water service charges including but not limited to: securing delinquent amounts by filing liens on real property, filing a claim or legal action, or referring the unpaid amount to collections.

B. The Authority reserves the right to discontinue water service for any violation of Authority policies, rules or regulations other than non-payment.

5.6.11. Contact Information:

For customer questions or assistance regarding a water bill, the Authority's Customer Service staff can be reached at 619-420-1413. Customers may also visit the Authority's Customer Service section in person Monday through Friday from 8:00 a.m. to 5:00 p.m. except on Authority holidays.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
5.7. Security Deposits

5.7.1. When a Security Deposit is Required:

A. A security deposit will be required if an applicant for service is unable to provide sufficient credit information.

B. A security deposit may be required from any customer who assumes responsibility for future water billings where the current customer has not paid the present bill. The party assuming responsibility is not required to pay the delinquent account.

C. The Authority reserves the right to require a security deposit from any customer who has been referred to the Authority’s collection agency.

D. The security deposit will be assessed to the existing account upon discovery, regardless of when the account was referred to the collection agency.

E. Interest will not be paid on security deposits, nor be charged on any late payments. Service to the customer shall be rendered according to the existing Rates and Rules.

F. The security deposit collected under this section is applied toward the customer’s first billing after one (1) year if a satisfactory payment record has been established, or the security deposit will be applied to the customer’s account at the time the account is closed.

5.8. Water Bill Adjustment

5.8.1. Authority and Board Action:

A. The General Manager or his or her designee, shall have the authority to compromise, and adjust payments and procedures established hereunder.

B. Adjustments are made pursuant to the One-Time Adjustments to Customers’ Water Bills policy.

C. Unless approved by the General Manager, no extension of time to pay any delinquent account shall exceed twelve (12) months.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
D. Any request to adjust a water bill by more than fifteen-hundred ($1,500) dollars, shall be presented to the Authority’s Governing Board for consideration and action.

5.9. Advance Payment

The Authority may, at its discretion, and for the convenience of its customers, require and/or accept in advance, the payment of an amount equal to the estimated water charge for a specific period of time (Example: The customer may deposit funds prior to an extended absence from the premises to cover expected water charges).

5.10. Returned Payments

5.10.1. Personal Checks:

A. Accounts will incur a returned payment charge when checks, automatic payments, and electronic checks are returned to the Authority by the bank due to insufficient funds, closed accounts, etc. The returned payment charge is shown in the Supplement. The customer and/or maker of the check will be notified that the bank has returned his or her check.

B. The Authority will not accept future check, automatic payment, or electronic check from a customer when two (2) returned payment charges are incurred within a twelve (12) month period, by the bank due to insufficient funds, closed accounts, etc. The Authority will accept payment in the form of a check, automatic payments, or electronic check after one (1) year of satisfactorily fulfilled account payments.

5.11. Credit Card/Electronic Check Payment

5.11.1. Chargebacks:

A. If the Authority receives a chargeback request, the account will incur a credit card chargeback fee as stated in the Supplement. The customer will be notified that a chargeback request was received.
RATES AND RULES

Effective January 8, 2020

B. After two (2) chargebacks, a notation will be made to the customer's account indicating that future credit card payments will not be accepted for a one (1) year period.

C. If the account holder makes a credit card transaction that is deemed to be fraudulent, a notation will be made to the customer’s account indicating that no future credit card payments will be accepted on the account.

5.12. After-Hours Service

5.12.1. Fees and Restoration:

A. The after-hours service fee, as shown in the Supplement, will be charged for a connection of water service outside of normal business hours. After-hours service connections are limited to the hours of 5:00 P.M. to 9:00 P.M. Monday through Friday and 7:00 A.M. to 9:00 P.M. on Saturday, Sunday or holidays.

B. Customers requesting restoration of water service that was a result of a delinquent water account must provide a payment confirmation number from the Authority's third-party payment processing vendor for service to be restored. The after-hours service fee will be charged, but is not required to be paid prior to connection. The after-hour limitations stated in 5.12.1 also apply.

C. When a representative is dispatched to the property for any of the above conditions, every effort will be made to contact the customer. If the customer is not present for the connection, the Authority will not send another representative to the property until proper arrangements have been made through the Customer Service section during regular business hours.

5.13. Emergency Shut-Off Service

5.13.1. Shut-off Valve:

A. The Authority includes a consumer shut-off valve as part of each new meter and lateral installation. The valve is installed on the customer's (discharge) side of the water meter and may be turned off by the customer to allow for plumbing repairs or in the event of a plumbing failure requiring emergency shut off.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
B. In no event shall the customer attempt to operate the Authority's valves on the street side of the meter.

C. Many older water meter and lateral installations do not include a consumer shut-off valve. In that event, customers are encouraged to install a shut-off valve at a convenient location in the private plumbing system. If an emergency occurs requiring a water service be shut off to allow repairs and no consumer shut-off valve has been installed, upon request, the Authority will dispatch its personnel to turn off service at the Authority's valve as soon as possible after receipt of the request. When the Authority is notified to restore service, the water will be turned on upon the availability of service personnel.

D. If a customer requires such emergency shut-off services from the Authority, outside of normal business hours, more often than twice in a twelve (12) month period, a fee for each subsequent service call will be charged, as shown in the Supplement.

6. METER FAILURE AND ADJUSTMENT OF BILLS

6.1. Meter Test

6.1.1. A customer may request that the meter through which water service is rendered be tested for accuracy.

6.1.2. The customer shall place a deposit for a meter test with the Authority to cover the cost of the test, as set forth in the Supplement. If it is found that the meter does not register more than five (5%) percent above true registration, the deposit for the meter test will be retained by the Authority.

6.1.3. If the meter is found to register more than five (5%) percent above the true registration, another meter will be installed by the Authority, and the deposit for the meter test returned to the customer and an adjustment of water charges made.

6.1.4. No adjustment in water charges shall be made for excess registration for more than four (4) months preceding the request by the customer for the test.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
6.1.5. Should any meter fail to register during any billing period, the customer will be billed for the estimated use as follows:

A. If the customer has a consumption history of one (1) year, the billing shall be for the amount used during the same period in the preceding year.

B. If the customer does not have a consumption history for the preceding year, the billing may be for the amount used during the billing period immediately prior to the period in which the meter failed to register, or may be based on a reading made on the replacement meter as adjusted to cover the complete billing period.

7. Resale of Water
No customer may profit from the sale of water delivered by the Authority.

8. Unauthorized Use or Waste of Water
No consumer shall use water upon any land other than that covered by the Application for Service, nor shall knowingly permit leaks or waste of water.

9. Authority's Right of Inspection and Access
Authorized Authority personnel shall have unrestricted access at reasonable hours to all premises supplied by the Authority to inspect the supply system, meters, or other measuring apparatus, and to see that the rules and regulations of the Authority are being observed.

10. Unauthorized Regulation of Water
No person, except duly authorized employees of the Authority, shall be permitted to operate, adjust, or modify in any way, any Authority facility or equipment.

11. Damage to Authority Property
Any damage occurring to a meter or other Authority facility, or any property of the Authority, caused by a customer/consumer must be paid for by the customer on presentation of a bill therefore.

12. Interruption of Delivery
In case of necessity, water may be shut off from the Authority's system, but such stoppage will be for the shortest practical time. Except in case of emergency, the customer will be notified in advance of such action wherever possible.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
13. **Hot Water and Steam Boiler Installations**

Hot water installations should be made in conformity with the applicable plumbing code. When water is used to supply a steam boiler, its owner shall supply a tank of sufficient capacity into which the service pipe will discharge to provide a supply for at least twelve (12) hours. The Authority will not be responsible for the safety of hot water heaters, boilers, or tanks on the premises of any consumer.

14. **Mailing Lists and Office Records**

The names and addresses of water customers or vendors, or correspondence of the Authority, shall not be publicly available, except to the extent required by law, and no mailing lists shall be prepared or provided by the Authority or by any of its officers or employees, which are compiled from records of the Authority.

15. **State Laws**

15.1. **Protection of Public Water Supplies**

For protection of public water supplies, many offenses are by state law made misdemeanors for which the offender may be criminally prosecuted. These include:

**Section 498, Penal Code**

Stealing water or property, taking water or property without the Authority’s knowledge, tampering with Authority equipment or making unauthorized connections.

**Section 592, Penal Code**

Intent to defraud, take water from any canal, ditch, flume, or reservoir.

**Section 607, Penal Code**

Unauthorized operation of gate or control of water supply, injuring tanks, flumes, reservoirs, etc.

**Section 624, Penal Code**

Willfully breaks, digs up, obstructs, or injures any water pipe or main, or any works erected for supplying buildings with water, or any appurtenances cutting or obstructing pipes, etc.

**Section 625, Penal Code**

Taking water after works have been closed or meter sealed.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
Section 117000, Health & Safety Code
Bathing (swimming) in reservoirs, etc.

Sections 7583-7605, et seq. Title 17, California Administrative Code
Regulations relating to cross-connections.

15.2. Corrective Actions
Cost for any corrective actions taken by the Authority as a result of any violations stated herein will be billed to the responsible party, including water use chargers based on meter readings, estimates, or fees charged, and charges necessary to recover costs for Authority property or equipment that has been damaged.

15.3. Unauthorized Use of Water
Unauthorized use of water through fire hydrants or other Authority facilities either by direct means or through the tampering of a temporary meter is a violation of state law for which the offender may be criminally prosecuted and be subject to fines listed in the Authority’s Supplement.

15.4. Civil Action for Damages
Civil Code Sections 1882-1882.6 permits the Authority to file a civil action for damages for the unauthorized taking of the Authority’s water, illegal and unauthorized connections to any facilities owned or used by the Authority, or interference with Authority property or facilities, and permit the recovery of three (3) times the amount of actual damage, plus the costs of suit and reasonable attorney’s fees.

15.5. Violations
Any violation of the Authority’s Rates and Rules shall be cause for the Governing Board, acting by and through its General Manager, to apply such penalties as may be provided by law, or to take any other action as deemed appropriate, including but not limited to, the discontinuance of potable water service.

16. Drought Response Plan
These Rates and Rules will be administered in conjunction with the Authority’s Drought Response Plan.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
17. Amendments

The Governing Board of Sweetwater Authority may, at its direction, alter, amend, add to, or permit exceptions to these rules and regulations.

Adopted by Resolution 17-18; 18-07; 18-22; 20-02
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1. CHARGES FOR WATER SERVICE

1.1. Metered Service:

A. Readiness-to-Serve Charge – Fixed charge for domestic, commercial, industrial, agricultural, public authority, and commercial-other customers. These charges are effective January 1, 2020 and were approved with adoption of the Sweetwater Authority (Authority) Governing Board’s Resolution 18-22.

<table>
<thead>
<tr>
<th>Meter Size</th>
<th>Bi-monthly Charge</th>
<th>Monthly Charge</th>
<th>Daily Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>$5_{10} \times \frac{3}{4}$</td>
<td>$19.24$</td>
<td>$9.62$</td>
<td>$.3207$</td>
</tr>
<tr>
<td>1 inch</td>
<td>28.66</td>
<td>14.33</td>
<td>.4777</td>
</tr>
<tr>
<td>1-1/2 inch</td>
<td>45.38</td>
<td>22.69</td>
<td>.7564</td>
</tr>
<tr>
<td>2-inch</td>
<td>64.18</td>
<td>32.09</td>
<td>1.0697</td>
</tr>
<tr>
<td>3-inch</td>
<td>122.24</td>
<td>61.12</td>
<td>2.0374</td>
</tr>
<tr>
<td>4-inch</td>
<td>206.30</td>
<td>103.15</td>
<td>3.4384</td>
</tr>
<tr>
<td>6-inch</td>
<td>415.24</td>
<td>207.62</td>
<td>6.9207</td>
</tr>
<tr>
<td>8-inch</td>
<td>684.62</td>
<td>342.31</td>
<td>11.4104</td>
</tr>
<tr>
<td>10-inch</td>
<td>1,041.388</td>
<td>520.69</td>
<td>17.3564</td>
</tr>
</tbody>
</table>

B. Charges for the water delivered through the meter are in addition to the Readiness-to-Serve Charge.

1.2. Water Commodity Charge:

A. A variable commodity charge for all water used based on units of one-hundred (100) cubic feet (HCF) (or 748 gallons) and billed in two (2) components: (1) The Authority’s Commodity Charge, which covers the cost of supplying, treating and distributing water from any of the Authority’s sources, including imported water, and (2) the San Diego County Water Authority (SDCWA) Wholesale Water Purchase Charge, which includes the SDCWA Municipal and Industrial Untreated Supply Rate, Transportation Rate, and Treatment Rate, and covers the cost of purchasing and importing water from SDCWA when necessary.

3 - Adopted by Resolution 17-18; 18-07; 18-22; 20-02
B. The SDCWA Wholesale Water Purchase Charge also recovers revenue to fund the Authority's rate stabilization fund, which will be used exclusively to offset impacts of reduced local water supply on rates. These charges are effective January 1, 2020 and were approved with adoption of the Governing Board's Resolution 18-22.

<table>
<thead>
<tr>
<th>Based on Units of Water Served</th>
<th>Authority Charge $/HCF</th>
<th>SDCWA Wholesale Water Purchase Charge $/HCF</th>
</tr>
</thead>
<tbody>
<tr>
<td>Single-family Residential:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tier 1: 0-10 HCF</td>
<td>3.82</td>
<td>0.79</td>
</tr>
<tr>
<td>Tier 2: 11-16 HCF</td>
<td>4.55</td>
<td>0.94</td>
</tr>
<tr>
<td>Tier 3: 17-27 HCF</td>
<td>4.69</td>
<td>0.96</td>
</tr>
<tr>
<td>Tier 4: 28+ HCF</td>
<td>5.65</td>
<td>1.16</td>
</tr>
<tr>
<td>Multi-family Residential</td>
<td>5.24</td>
<td>1.07</td>
</tr>
<tr>
<td>Commercial</td>
<td>5.01</td>
<td>1.03</td>
</tr>
<tr>
<td>Public Agency</td>
<td>6.19</td>
<td>1.27</td>
</tr>
<tr>
<td>Construction</td>
<td>7.57</td>
<td>1.55</td>
</tr>
</tbody>
</table>

1.3. SDCWA and Metropolitan Water District (MWD) Charges:

A. These charges reflect the pass-through charges from SDCWA and MWD. The charges are effective January 1, 2020 and were approved with adoption of the Governing Board's Resolution 18-22.

B. The six (6) components that apply to the pass-through charges are as follows:

   (1) The Infrastructure Access Charge (IAC) funds a portion of SDCWA's fixed costs. It is determined on the basis of the size of the meter serving a parcel and is a fixed charge levied on all retail meters within the service area.
SUPPLEMENT to Rates and Rules

<table>
<thead>
<tr>
<th>Meter Size</th>
<th>Bi-monthly Charge</th>
<th>Monthly Charge</th>
</tr>
</thead>
<tbody>
<tr>
<td>5/8 x 3/4 inch</td>
<td>$ 7.32</td>
<td>$ 3.66</td>
</tr>
<tr>
<td>1-inch</td>
<td>11.72</td>
<td>5.86</td>
</tr>
<tr>
<td>1-1/2 inch</td>
<td>21.96</td>
<td>10.98</td>
</tr>
<tr>
<td>2-inch</td>
<td>38.06</td>
<td>19.03</td>
</tr>
<tr>
<td>3-inch</td>
<td>70.28</td>
<td>35.14</td>
</tr>
<tr>
<td>4-inch</td>
<td>120.06</td>
<td>60.03</td>
</tr>
<tr>
<td>6-inch</td>
<td>219.60</td>
<td>109.80</td>
</tr>
<tr>
<td>8-inch</td>
<td>380.64</td>
<td>190.32</td>
</tr>
<tr>
<td>10-inch or larger</td>
<td>570.96</td>
<td>285.48</td>
</tr>
</tbody>
</table>

(2) The Customer Service Charge is the Authority’s allocation of SDCWA’s cost to support its customer service function. This charge is based on a three (3) year rolling average of water purchased from SDCWA and is twelve ($0.12) cents per HCF.

(3) The Emergency Storage Charge is the Authority’s allocation of the costs of SDCWA’s Emergency and Carryover Storage Program. This charge is based on a three (3) year rolling average of water purchased from SDCWA and is thirty-one ($0.31) cents per HCF.

(4) The Supply Reliability charge is the Authority’s allocation of the costs associated with SDCWA’s reliable water supplies. This charge is based on a five (5) year rolling average of water purchased from SDCWA and is twelve ($0.12) cents per HCF.

(5) The MWD Readiness-to-Serve charge is the Authority’s allocation of the cost of MWD’s charge to collect costs associated with standby and peak water deliveries and emergency storage. This charge is based on an agency’s ten (10) year rolling average of firm demands and is three ($0.03) cents per HCF.

(6) The Capacity Charge is the Authority’s allocation of the cost of MWD’s charge to collect the cost of providing peak capacity. This charge is based on the maximum daily flow of water purchases over the three (3) previous fiscal years and is three ($0.03) cents per HCF.
1.4. Separate Private Fire Protection Lateral:
These charges are effective January 1, 2020 and were approved with adoption of the Governing Board's Resolution 18-22:

<table>
<thead>
<tr>
<th>Lateral Size</th>
<th>Bi-Monthly Charge</th>
<th>Monthly Charge</th>
<th>Installation Charge</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-inch</td>
<td>$1.04</td>
<td>$0.52</td>
<td>By estimate only</td>
</tr>
<tr>
<td>1-1/2 inch</td>
<td>3.04</td>
<td>1.52</td>
<td>By estimate only</td>
</tr>
<tr>
<td>2-inch</td>
<td>6.48</td>
<td>3.24</td>
<td>By estimate only</td>
</tr>
<tr>
<td>3-inch</td>
<td>18.84</td>
<td>9.42</td>
<td>By estimate only</td>
</tr>
<tr>
<td>4-inch</td>
<td>40.14</td>
<td>20.07</td>
<td>By estimate only</td>
</tr>
<tr>
<td>6-inch</td>
<td>116.62</td>
<td>58.31</td>
<td>By estimate only</td>
</tr>
<tr>
<td>8-inch</td>
<td>248.54</td>
<td>124.27</td>
<td>By estimate only</td>
</tr>
<tr>
<td>10-inch</td>
<td>446.94</td>
<td>223.47</td>
<td>By estimate only</td>
</tr>
<tr>
<td>12-inch</td>
<td>721.92</td>
<td>360.96</td>
<td>By estimate only</td>
</tr>
</tbody>
</table>

2. INSTALLATION CHARGES

2.1. Charges for Permanent Meter and Lateral Service:

A. The charge for meter and lateral installations will be based on actual cost and requires an initial deposit based on an Engineering Department estimate. The charge will include the SDCWA capacity charge and the Authority capacity fees as required in the Rates and Rules. A final bill for costs not covered by the deposit or refund of excess deposit will be made to the customer upon completion of the work. Pursuant to action of the Governing Board on September 25, 2019, costs for installing new facilities are ineligible to be financed through a payment plan with the Authority.

B. Reduction in meter size on existing lateral: No service charge or refunds will apply.

C. Relocation of meter and lateral: The charge for meter and lateral relocations will be based on actual cost and requires an initial deposit based on an Engineering Department estimate. A final bill for costs not covered by the deposit or refund of excess deposit will be made to the customer throughout the project as needed and upon completion of the work.
As discussed in Section 2.1.A, costs for installing new facilities are ineligible to be financed through a payment plan with the Authority.

D. Increase in meter size: Charge will amount to any difference in the standard meter charge and cost of the new lateral; and will be based on actual cost and requires an initial deposit based on an Engineering Department estimate. A final bill for costs not covered by the deposit or refund of excess deposit will be made to the customer throughout the project as needed and upon completion of the work. The charge will also include any difference between the SDCWA capacity charge and the Authority capacity fees as required in the Rates and Rules. As discussed in Section 2.1.A, costs for installing new facilities are ineligible to be financed through a payment plan with the Authority.

2.2. Fire Hydrants:

A. Charges for fire hydrants will be for actual installation costs.

B. The charge for meter and lateral installations will be based on actual cost and requires an initial deposit based on an Engineering Department estimate. As discussed in Section 2.1.A., costs for installing new facilities are ineligible to be financed through a payment plan with the Authority.

C. A final bill for costs not covered by the deposit or refund of excess deposit will be made to the customer upon completion of the work.

2.3. Utility Payments:

A. In addition to the above water lateral, fire hydrant, and fire protection lateral installation charges, a charge for utility permit fees and applicable inspection deposits will be made to reimburse the Authority for such fees paid to that agency where work is performed.

B. The amount of the fees and deposits will be determined at the time of application for service as established by that agency having that jurisdiction. A final bill for costs not covered by the deposit or refund of excess deposit will be made to the customer upon completion of the work.
2.4. Fringe Benefit and Overhead Charge

A. Employee fringe benefit and overhead expenses are included in construction costs when Authority labor is used to install, maintain, or repair facilities and are a percentage of all labor time charged to the project.

Effective January 1, 2020

<table>
<thead>
<tr>
<th>Description</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fringe Benefit Charge</td>
<td>106%</td>
</tr>
<tr>
<td>Overhead Charge</td>
<td>45%</td>
</tr>
<tr>
<td>Total Employee Fringe Benefit and</td>
<td>151%</td>
</tr>
<tr>
<td>Overhead Charge</td>
<td></td>
</tr>
</tbody>
</table>

3. TEMPORARY SERVICE

3.1. Construction Meter

A. A Readiness-to-Serve charge will apply for this type of service equal to the monthly charge for a three (3) inch meter as stated in Section 1.1(A).

B. Charges for service for less than a thirty (30) day period will be prorated.

C. The water commodity charge will be as stated in Section 1.1.

D. The SDCWA-MWD surcharge is as stated in Section 1.3 (B) 1, 2, 3, 4, 5, and 6.

3.2. Additional Charges for Temporary Meters

<table>
<thead>
<tr>
<th>Meter</th>
<th>Approximate</th>
<th>Installation</th>
</tr>
</thead>
<tbody>
<tr>
<td>3-inch</td>
<td>400 GPM</td>
<td>$1,200.00</td>
</tr>
</tbody>
</table>

3.2.1. The following shall be deducted from the meter deposit once the meter has been returned to the Authority, and the closing bill will be calculated as follows:

A. Any unpaid charges for minimum monthly fees or water use.
B. The cost of any repairs required or replacement of parts lost or damaged.

C. The cost of a spanner wrench if one was issued and not returned – thirty ($30.00) dollars.

322. If there is a balance due, a closing bill will be mailed; if there is a credit balance, a refund check will be processed.

323. If the closing bill has not been paid within eight (8) weeks after the final bill is rendered, the account will be referred to the Authority's collection agency due to nonpayment.

324. Unauthorized use of water through fire hydrants or other Authority facilities either by direct means or through the tampering of a temporary meter shall be subject to an administrative fine of one-thousand ($1,000) dollars, plus the estimated cost of unauthorized water which will be billed to the responsible party.

4. OTHER FEES, CHARGES, AND DEPOSITS

| 4.1. After Hours Service | $ 150.00 |
| 4.2. Abandonment of Service | All lateral sizes By estimate only |
| 4.3. Billing Fee for Non-Compliant Floating Meters | 90.00 |
| 4.4. Credit Card Chargeback/Reversal Fee | 30.00 |
| 4.5. Delinquent Accounts |  |
| A. Late Fee | 35.00 |
| B. Handling Fee | 70.00 |
| C. Illegal Connection Fee | 185.00 |
| D. Damaged Padlock or Barrel Lock | 20.00 |
| E. Damaged 3/4-inch Locking Device | 25.00 |
| F. Damaged 1-inch Locking Device | 40.00 |
| G. Damaged 3/4-inch Locking Pipe Plug | 30.00 |
| H. Damaged 1-inch Locking Pipe Plug | 47.00 |
| 4.6. Deposit for Meter Test | $ 130.00 |
| 4.7. Drought-Related Fines |  |
**SUPPLEMENT to Rates and Rules**

**Effective January 8, 2020**

Administrative fines may be levied for violations of prohibited water conservation measures. See the Drought Response Plan for detailed information on these fines.

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Price</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.8.</td>
<td>Easement Quitclaims</td>
<td>$800.00</td>
</tr>
<tr>
<td></td>
<td>Process the removal of an Authority easement from a property as requested by the property owner. A value may be assessed, applicable to the easement, if it is determined that the Authority or its predecessor provided compensation to acquire the easement.</td>
<td></td>
</tr>
<tr>
<td>4.9.</td>
<td>Emergency Shut-Off Service</td>
<td></td>
</tr>
<tr>
<td></td>
<td>5/8-inch through 2-inch meter service</td>
<td>$55.00</td>
</tr>
<tr>
<td></td>
<td>3-inch and larger meter service</td>
<td>Actual cost, including overhead</td>
</tr>
<tr>
<td>4.10.</td>
<td>Estimated Service Damage Charge</td>
<td>$500.00</td>
</tr>
<tr>
<td>4.11.</td>
<td>Fire Flow Tests (per hydrant or location)</td>
<td>$1,400.00</td>
</tr>
<tr>
<td></td>
<td>Fire hydrant flow tests requested to complete fire sprinkler calculations or to determine available flow in a specific area.</td>
<td></td>
</tr>
<tr>
<td>4.12.</td>
<td>Hydraulic Flow Analysis (per hydrant)</td>
<td>$300.00</td>
</tr>
<tr>
<td>4.13.</td>
<td>Missed Water Connection Appointment</td>
<td>$40.00</td>
</tr>
<tr>
<td>4.14.</td>
<td>Remote Services</td>
<td>$790.00</td>
</tr>
<tr>
<td></td>
<td>Remote water services are not in compliance with the Authority’s construction specifications. This fee recovers the cost to process the approval by the Governing Board for a remote water service requested by the property owner, for a parcel that is land-locked and does not front a water main in an Authority easement or public right-of-way.</td>
<td></td>
</tr>
<tr>
<td>4.15.</td>
<td>Returned Check Charge</td>
<td>$30.00</td>
</tr>
<tr>
<td>4.16.</td>
<td>Security Deposit</td>
<td></td>
</tr>
<tr>
<td></td>
<td>A security deposit is calculated using twice the average bill for the service on the account for the previous twelve (12) months.</td>
<td></td>
</tr>
</tbody>
</table>
5. CAPACITY FEES

5.1. Collection of capacity fees is necessary to allocate the cost of existing infrastructure to new water connections or to existing water connections which require additional capacity to serve the property due to change in use or expansion of use.

5.2. This fee was established Resolution 17-02 on January 25, 2017:

A. Single-Family Residential:

<table>
<thead>
<tr>
<th>Effective Date</th>
<th>Capacity Fee (1)</th>
<th>Unit (2)</th>
</tr>
</thead>
<tbody>
<tr>
<td>July 1, 2018</td>
<td>$5,778</td>
<td>Equivalent Dwelling Unit</td>
</tr>
</tbody>
</table>

(1) Based on 2016 Capacity Fee study with a two-year phase-in.

(2) Equivalent Dwelling Unit = Single Family Residential Account, based on gallons per capita per day pursuant to the Authority's 2015 Urban Water Management Plan (91), and the average household size per US Census data (3.29 persons per household).
Other (Multi-Family Residential, Mobile Home, Irrigation or Commercial):

<table>
<thead>
<tr>
<th></th>
<th>EDU</th>
<th>Estimated Usage (3) (gallons per day)</th>
<th>Factor of Base EDU Capacity Fee (4)</th>
</tr>
</thead>
<tbody>
<tr>
<td>All Customers-Base</td>
<td>1</td>
<td>299</td>
<td>100%</td>
</tr>
<tr>
<td>Multi-Family Services</td>
<td>1</td>
<td>169</td>
<td>56%</td>
</tr>
<tr>
<td>Mobile Home Park Services</td>
<td>1</td>
<td>109</td>
<td>36%</td>
</tr>
</tbody>
</table>

(3) Based on FY water use presented in the 2015 Urban Water Management Plan.

(4) Discussion of EDU factors can be found in the 2016 Capacity Fee Study.
RESOLUTION 20-02

RESOLUTION OF THE GOVERNING BOARD OF SWEETWATER AUTHORITY ADOPTING AMENDED RATES AND RULES AS STATED IN EXHIBIT "A" TO THIS RESOLUTION AND AMENDING THE SUPPLEMENT TO THE SWEETWATER AUTHORITY'S RATES AND RULES AS STATED IN EXHIBIT "B" TO THIS RESOLUTION

RECITALS

WHEREAS, the Sweetwater Authority the (Authority) is a Joint Powers Agency created by a Joint Powers Agreement between the South Bay Irrigation District and the City of National City entered into pursuant to Government Code Section 6500 et seq.; and

WHEREAS, the Authority is authorized to recover its costs and impose fees for its services and other matters; and

WHEREAS, the Authority has adopted Rates and Rules and a Supplement to the Rates and Rules the (Supplement); and

WHEREAS, the Authority seeks to make certain changes to the provisions of the Rates and Rules, as set forth in Exhibit "A" hereto, and the Supplement to the Rates and Rules, as set forth in Exhibit "B" hereto, and

WHEREAS, the Authority has reviewed the Supplement to the Rates and Rules, has determined that various modifications are required including a reduction in the After Hours Service Fee set forth in Section 4.1, all as shown in the Supplement attached hereto as Exhibit "B," and no other fees contained in the Supplement were reconsidered or affected by this Resolution; and

WHEREAS, the Board reviewed proposed revisions to the Rates and Rules and the Supplement at its meeting on December 11, 2019.

NOW, THEREFORE, BE IT HEREBY RESOLVED, DETERMINED, AND ORDERED by the Governing Board of Sweetwater Authority as follows:

Section 1. The matters set forth in the Recitals to this Resolution are true and correct statements and are incorporated as an operative part of this Resolution and made findings and determinations of the Governing Board.

Section 2. The Rates and Rules as set forth in Exhibit "A" attached hereto are hereby adopted, and shall be effective January 8, 2020. The General Manager of the Authority is hereby authorized and directed to take all actions necessary to implement the Rates and Rules.

Section 3. The modifications to the Supplement to the Rates and Rules, including the reduction to the After Hours Service fee as set forth in the
RESOLUTION 20-02

Supplement to the Rates and Rules of Exhibit “B” are hereby adopted and shall be included in the Supplement and shall be effective on January 8, 2020.

Section 4. If any section, subsection, clause or phrase in this Resolution or the application thereof to any person or circumstances is for any reason held invalid, the validity of the remainder of this Resolution or the application of such provision to other persons or circumstances shall not be affected thereby. The Governing Board hereby declares that it would have passed this Resolution and each section, subsection, sentence, clause, or phrase thereof, irrespective of the fact that one or more sections, subsections, sentences, clauses, or phrases or the application thereof to any person or circumstance be held invalid.

Section 5. To the extent that this Resolution and the rates for the fees and penalties set forth herein are inconsistent with any prior resolution, ordinance, or any fees and penalties currently set forth in the Rates and Rules or Supplement, or other actions of the Governing Board, it is the explicit intention of the Board that this Resolution shall prevail.

Section 6. This Resolution shall take effect immediately upon adoption.

ADOPTED, SIGNED, AND APPROVED this 8th day of January 2020, by the following vote, to wit:

AYES:
NOES:
ABSENT:
ABSTAIN:

____________________________
Steve Castaneda, Chair

Attest:

____________________________
Ligia Perez, Board Secretary
EXHIBIT “A” TO RESOLUTION 20-02
SWEETWATER AUTHORITY RATES AND RULES
TO: Governing Board
FROM: Management
DATE: January 3, 2020
SUBJECT: Consideration to Extend the Current Five-year On-call General Construction Services Contract by Six Months

SUMMARY
The Authority has procured the services of On-call General Contractors to support its general construction needs since 1991. The type of work assigned to the On-call General Contractor varies significantly, ranging from replacing a valve at the Perdue Water Treatment Plant, for example, to water main extensions needed to support development projects. The current on-call contract for General Construction Services was executed on February 1, 2015, for a five-year term. El Cajon Grading & Engineering Company, Inc. (ECG), Lakeside, CA, a City of San Diego-listed Small Local Business Enterprise (SLBE), was selected as the Authority's On-Call General Contractor in 2015 and their five-year contract will end on February 1, 2020.

Based on the Authority's focus on the system-wide flushing program and the related staffing needs for this effort, work associated with installing water service laterals for private developments (also referred to as 2280s) and water facility relocations to accommodate street improvements in National City, Chula Vista, and the County have been assigned to ECG. The system-wide flushing program will continue through the end of FY 2019-20, so the need to temporarily reassign the 2280s and street improvement projects will continue through June 2020.

ECG has recently been assigned several 2280 projects, a water main extension project for the Ridgeway Apartments Development project, and the water facility relocations to accommodate the third and final phase of the Third Avenue Beautification project in Chula Vista. A change in the current On-Call General Contractor at this time would likely cause significant disruption, and potential delay, in the completion of these on-going projects. To maintain continuity of service for on-going projects and to provide the support needed to continue with the system-wide flushing program, staff is recommending that the on-call contract with ECG be extended six months.
Memo to: Governing Board
Subject: Consideration to Extend the Current Five-year On-call General Construction Services Contract by Six Months

January 3, 2020
Page 2 of 3

PAST BOARD ACTION
November 12, 2014 The Board awarded a five-year contract to El Cajon Grading & Engineering Company, Inc. for On-Call General Construction Services

FISCAL IMPACT
Funds for this work would be provided as follows: 1) through deposit accounts for developer projects, or 2) through funds budgeted in the FY 2019-20 Expense Budget, Street Improvements Capital Fund, or the Capital Contingency Fund.

POLICY
The Authority’s Procurement Policy & Procedures allows for contracts to be executed for up to five (5) years.

Strategic Plan Goal 1: Water Quality (WQ) -- Provide high quality water that meets regulatory requirements.
- Objective WQ2: Remove sediment and bacteria film build-up through unidirectional flushing of distribution pipelines (a three-year process) at 6-10 year intervals (Source: AWWA Partnership for Safe Drinking Water).

Strategic Plan Goal 2: System and Water Supply Reliability (SR) -- Achieve an uninterrupted, long-term water supply through investment, maintenance, innovation and developing local water resources.
- Objective SR6: Review plans submitted by Chula Vista, National City, and County of San Diego for street improvement projects to identify potential conflicts, then develop the most cost-effective facility modifications to avoid known or potential conflicts.
- Objective SR7: Review proposed development plans and install necessary infrastructure to ensure the facilities meet the required demand, achieve code compliance, avoid cross-connections, and have minimal-to-zero financial impacts to the Authority’s ratepayers.
- Objective SR9: Cost-effectively maintain facilities and infrastructure to optimize their useful life and performance.
Memo to: Governing Board  
Subject: Consideration to Extend the Current Five-year On-call General Construction Services Contract by Six Months  
January 3, 2020  
Page 3 of 3

ALTERNATIVES

1. Authorize an extension the current On-Call General Construction Services contract with El Cajon Grading & Engineering Company, Inc. (ECG), Lakeside, CA, for six months, resulting in a new contract end date of August 1, 2020 and direct staff to begin the competitive process to select the next On-Call General Construction Services contractor.

2. Issue a Request for Proposals immediately to select the next Authority's On-Call General Construction Services contractor, with the understanding that there may be a gap in coverage for general construction support services until the new contract is executed.

STAFF RECOMMENDATION

Staff recommends that the Governing Board authorize an extension the current On-Call General Construction Services contract with El Cajon Grading & Engineering Company, Inc., Lakeside, CA, for six months, resulting in a new contract end date of August 1, 2020 and direct staff to begin the competitive process to select the next On-Call General Construction Services contractor.

COMMITTEE RECOMMENDATION

The Operations Committee concurs with the Staff Recommendation.
TO: Governing Board

FROM: Management

DATE: January 3, 2020

SUBJECT: Consideration to Approve FY 2020-21 Budget Calendar

SUMMARY
The FY 2020-21 Budget Calendar identifies Finance and Personal Committee, Regular Board, and Special Board meetings recommended for the development and final adoption of the FY 2020-21 Strategic Plan Work Plan and FY 2020-21 Budget.

PAST BOARD ACTION
June 7, 2019 The Governing Board approved the FY 2019-20 Strategic Plan Work Plan and FY 2019-20 Budget

FISCAL IMPACT
The fiscal impact of the FY 2020-21 Strategic Plan Work Plan and the FY 2020-21 Budget will be presented during the Committee and Board meetings.

POLICY
Strategic Plan Goal 3: Financial Viability - Ensure long-term financial viability of the agency

- Objective FV1: Develop an annual budget that determines yearly expenditures, incorporates a five-year projection to track fiscal stability, and guides rate-setting decision-making.
  - 001.00 Develop initial budget calendar and identify key budget issues for the upcoming fiscal year

ALTERNATIVES
1. Approve the proposed FY 2020-21 Budget Calendar.

2. Direct staff to make revisions to the FY 2020-21 Budget Calendar and bring it back to the Board for consideration.
Memo to: Governing Board  
Subject: Consideration to Approve FY 2020-21 Budget Calendar  
January 3, 2020  
Page 2 of 2

**STAFF RECOMMENDATION**

Management recommends that the Governing Board approve the FY 2020-21 Budget Calendar.

**COMMITTEE RECOMMENDATION**

The Finance and Personnel Committee concurs with the Staff Recommendation.

**ATTACHMENT**

Proposed FY 2020-21 Budget Calendar
Sweetwater Authority  FY 2020-21 Budget Calendar

<table>
<thead>
<tr>
<th>February 2020</th>
<th>March 2020</th>
<th>April 2020</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Special Board Meeting</strong></td>
<td><strong>Finance Committee</strong></td>
<td><strong>Regular Board Meeting</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>May 2020</th>
<th>June 2020</th>
<th>July 2020</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Special Board Meeting</strong></td>
<td><strong>DRAFT:</strong> FY 2020-21 Budget and Strategic Plan Work Plan (draft budget includes operating, capital, reserves and revenue details)</td>
<td><strong>Final:</strong> FY 2020-21 Budget; and FY 2020-21 Strategic Plan Work Plan</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Date</th>
<th>Event Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>February 10</td>
<td>FY 2020-21 Strategic Plan Work Plan Development Workshop</td>
</tr>
<tr>
<td>March 18, 25</td>
<td>Review of Board input from February 10 Workshop and review of major FY 2020-21 Five-year Projection Assumptions</td>
</tr>
<tr>
<td>April 15, 22</td>
<td>Review Draft FY 2020-21 Five Year Financial Plan (including table of assumptions) and Draft Strategic Plan Work Plan</td>
</tr>
<tr>
<td>May 18</td>
<td><strong>DRAFT:</strong> FY 2020-21 Budget and Strategic Plan Work Plan (draft budget includes operating, capital, reserves and revenue details)</td>
</tr>
<tr>
<td>May 27</td>
<td>Follow-up Board Meeting as needed from budget or work plan input from prior meetings</td>
</tr>
<tr>
<td>June 10</td>
<td><strong>Final:</strong> FY 2020-21 Budget; and FY 2020-21 Strategic Plan Work Plan</td>
</tr>
</tbody>
</table>
This page intentionally left blank.
TO: Governing Board
FROM: Management
DATE: January 3, 2020
SUBJECT: Consideration to Allow Developers to Pay Costs with a Credit Card

SUMMARY
At its September 25, 2019 meeting, the Board directed staff to establish a policy explicitly stating that developers are not eligible for payment plans with the Authority when paying developer-associated costs. As an alternative financing mechanism, the Board directed staff to explore allowing developers to make payments with a credit card. Staff’s exploration resulted in the alternatives that are outlined in the attached Alternatives Methods for Processing Developer Credit Card Payments chart (Attachment). Regardless of the Board’s decision regarding the allowance of credit cards, developers will continue to be able to make payments by check.

Update: This item was previously presented to the Finance and Personnel Committee (Committee) on December 4, 2019. The Committee requested additional information from staff prior to referring a recommendation to the Governing Board. The attachment to this memorandum now includes the requested information.

PAST BOARD ACTIONS
September 25, 2019 The Board directed staff to develop a policy stating that payment plans are limited to customer water bills only and developers’ costs are not eligible for a payment plan; and directed staff to further explore allowing developers to pay costs with a credit card.

July 24, 2019 The Board received a report on FY 2018-19 Strategic Plan Work Plan Objective CS3 - Task 01.00: Develop a Cost Analysis of Providing Payment Plans to Developers and referred this item to the Finance and Personnel Committee for development of policy.

FISCAL IMPACT
The fiscal impact will be determined by the alternative selected.
Memo to: Governing Board  
Subject: Consideration to Allow Developers to Pay Costs with a Credit Card  
January 3, 2020  
Page 2 of 3

1. Third-Party Fee-Based Credit Card Processor: $0 annually in Authority paid credit card process fees since associated credit card fees are charged by the third-party processor directly to developers.

2. Administration Office Cashiers: $0 to $30,000 annually in Authority paid credit card processing fees based on the volume of payments; fees would need to be offset by non-rate revenue to ensure compliance with Proposition 2018 and avoid being subsidized by rate revenue.

3. Defer decision to accept developer credit card payments pending 12-month review: $0 fiscal impact for the Authority for the deferral period; the final fiscal impact would depend on the outcome of the Board’s review of staff’s evaluation.

**POLICY**

Strategic Plan Goal 4: Customer Service, Citizen Engagement, and Community Relations (CS): Provide high-quality customer service based on customer feedback and serve the community through education, outreach, and partnerships.

- Objective CS3: Explore and implement process improvements to better serve developer customers

**ALTERNATIVES**

1. Third-Party Fee-Based Credit Card Processor: Direct staff to establish a policy to accept credit card payments for developer costs through a Third-Party Fee-Based Credit Card Processor.

2. Administration Office Cashiers: Direct staff to establish a policy to accept credit card payments for developer costs through the Authority’s Administration Building Cashiers and to develop a procedure to ensure the additional incurred fees and fiscal impact avoid rate-revenue subsidy.

3. Defer decision to accept developer credit card payments pending 12-month review: Direct staff to review accepting developer credit card payments for a period of 12-months to evaluate whether there is sufficient interest by developers to pay by credit card to justify the additional administrative effort and cost.

**STAFF RECOMMENDATION**

Staff seeks the direction from the Governing Board on allowing developers to pay costs with a credit card.
Memo to: Governing Board  
Subject: Consideration to Allow Developers to Pay Costs with a Credit Card  
January 3, 2020  
Page 3 of 3

COMMITTEE RECOMMENDATION

The Finance and Personnel Committee recommends that the Governing Board direct staff to establish a policy to accept credit card payments for developer costs through a Third-Party Fee Based Credit Card Processor.

ATTACHMENT

Alternatives Methods for Processing Developer Credit Card Payments
This page intentionally left blank.
<table>
<thead>
<tr>
<th>Method</th>
<th>Description</th>
<th>Costs</th>
<th>Benefits</th>
<th>Considerations</th>
</tr>
</thead>
</table>
| Third-Party Fee-Based Credit Card Processor | - Add second on-line credit card processor just for developer payments that would process payments for a fee  
- The credit card processor only reverses disputed charges after a review of the SWA/developer agreement and if it is determined that a reversal is warranted  
- The service does allow for SWA initiated refunds | $0 for the Authority – associated credit card fees are charged by 3rd Party processor directly to developers | Provides option for developers to pay by credit card  
Eliminates any Proposition 218 compliance issue of credit card fees being subsidized by rate revenue | Require additional internal controls to manage new credit card payment process |
| Administration Building Cashiers            | Similar process to a customer paying a water bill in the Administration Building lobby with the Authority’s existing credit card processor | $0 to $30,000 annually in Authority paid credit card processing fees based on volume of payments – fees would need to be offset by non-rate revenue to avoid being subsidized by rate revenue | Provides an option for developers to pay by credit card | Additional staff time required to account for credit card fee costs to ensure that rate payers are not subsidizing developer credit card fees |
| Defer decision to accept developer credit card payments pending 12-month review | This would allow staff to evaluate if there is sufficient interest by developers to pay by credit card to justify the administrative effort and cost | $0 for the Authority – for the deferral period, final cost would depend on outcome of the Board’s review of staff’s evaluation | Establish volume of actual need to better determine if the additional cost or risk is warranted to take on processing developer cost through a credit card | Delays decision until additional information is gathered |
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TO: Governing Board

FROM: Management

DATE: January 3, 2020

SUBJECT: Review Qualifications for On-call SCADA System Integration Professional Services

SUMMARY
The supervisory control and data acquisition (SCADA) system integrator provides services to the Authority's operations that are critical to maintaining a safe and reliable drinking water supply. The existing five-year agreement between the Authority and the current consultant for SCADA integration professional services will expire on April 1, 2020. The scope of work for SCADA integration professional services includes a variety of tasks related to annual support and potential future capital projects. Examples of annual support tasks include:

- Maintaining hardware and software related to SCADA system operations
- Conducting operator training
- Performing annual planning
- Providing technical support for future capital projects that require SCADA integration including an iron and manganese removal system at the National City Wells and a powdered activated carbon feed system at the Perdue Water Treatment Plant

Background
Based on direction from the Board on the process of initiating a competitive selection process for ongoing professional services, a Request for Qualifications (RFQ) was approved by the Board and published on August 16, 2019.

In order to increase the pool of potential responders as compared to five years ago, the RFQ reflects a modified level of support expectation as follows:

- The emergency response time requirement was changed from 2 to 24 hours.
- The requirements for the panel fabrication services facility was changed from a commute time requirement of 2 hours to a location requirement of anywhere within the United States.
- Hardware and software specific certification requirements were changed from mandatory to negotiable by allowing prospective consultants to obtain them within an agreed-upon time period.
The Board-approved RFQ is provided as an attachment and outlines the submittal requirements and evaluation process.

Outreach

The first issuance of the RFQ was published on August 16, 2019, and was open for a 35-day period. Advertisement occurred on the Authority's public website, Ebidboard.com, and the American Water Works Association (AWWA). After this process, the Authority received one submittal. Upon receiving direction from the Board, staff published the re-issuance of the RFQ on October 10, 2019. The RFQ was open for a 45-day period and was advertised on the Authority’s public website and Ebidboard.com, and with the American Water Works Association (AWWA), the California Special Districts Association (CSDA), and the Association of California Water Agencies (ACWA).

The RFQ was both advertised and direct mailed for each issuing period. Examples of the advertisements and information used to identify potential integrators are provided in Attachment 1, Advertisements and Consultant Search. A detailed summary of staff actions taken to date for the RFQ re-issuance is included in Attachment 2. For direct mail, staff contacted consultants who were identified as potential firms of interest through a variety of methods including, web-based search tool, a listing of firms certified to work on equipment, referrals from others, and responding to those who expressed interest.

After this combination of outreach, relaxing the requirements, and providing a total of 89 days for response between both issuances of the RFQ, the Authority received two submittals. Integrators that did not submit qualifications stated the following reasons: lack of qualifications, distance from the Authority, agreements with competing integrators, inability to provide for 24-hour emergency response, and lack of resources to submit.

Review Process

The RFQ stated that the Operations Committee would evaluate the Statement of Qualifications (SOQ) and recommend a contract award to the Authority’s Governing Board. As outlined in the RFQ, the Authority noted that it would evaluate the desired qualifications as follows:

<table>
<thead>
<tr>
<th>Category</th>
<th>Maximum Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Qualifying Projects</td>
<td>45</td>
</tr>
<tr>
<td>Experience and Technical Competence</td>
<td>45</td>
</tr>
<tr>
<td>Consultant’s Organization and Key Personnel</td>
<td>10</td>
</tr>
</tbody>
</table>
Memo to: Governing Board  
Subject: Review Qualifications for On-call SCADA System Integration Professional Services  
January 3, 2020  
Page 3 of 4

The Operations Committee, with support from staff, evaluated the submittals and selected a short list of the two firms to interview.

PAST BOARD ACTIONS

October 2, 2019  The Board directed staff to re-issue the RFQ; allow a response time of 45 days; and advertise the RFQ with ACWA, AWWA, and CSDA.

July 24, 2019  The Board approved the On-Call SCADA System Integration Professional Services RFQ, and directed staff to convene the Operations Committee to review qualifications and make a recommendation to the Board.

June 12, 2019  The Board approved the FY 2019-20 Strategic Plan Detailed Work Plan. The plan directs staff to select a SCADA integrator pursuant to the competitive selection process.

FISCAL IMPACT

Total costs spent to advertise the RFQ were approximately $1,500 ($500 for the first issuance and $1,000 to re-issue the RFQ) plus staff time.

As part of the FY 2019-20 budget process, an amount of $100,000 was set aside for potential orientation and transition to a new integrator.

POLICY

The Purchasing Policy requires solicitation of proposals from consultants for professional services exceeding $75,000 and the selection of a consultant by the Consultant Selection Committee.

Strategic Plan Goal 1: Water Quality — Provide high quality water that meets regulatory requirements.

• Objective WQ6: Maintain and improve the Supervisory Control and Data Acquisition (SCADA) system for all treatment and distribution facilities as defined in the SCADA master plan.
  o 002.1 Select a SCADA integrator pursuant to the competitive selection process.

ALTERNATIVES

1. That the Operations Committee evaluates the SOQ submittals and recommend an integrator to the Governing Board for on-call SCADA System Integration Professional Services.

2. Other recommendations as identified by the Operations Committee.
STAFF RECOMMENDATION

Staff recommends that the Governing Board award a SCADA system integration on-call professional services contract in accordance with the evaluation criteria outlined in the RFQ.

COMMITTEE RECOMMENDATION

The Operations Committee wishes to conduct interviews as provided by the RFQ and seeks input from the Governing Board on interview questions.

ATTACHMENTS

1) Advertisements and Consultant Search
2) Summary of Actions
3) SOQ - Enterprise Automation
4) SOQ – RoviSys
5) Request for Qualifications
Advertising & Consultant Search

American Water Works Association (AWWA) “www.awwa.org”

Two banner ads were advertised on the AWWA website for a five-week period with a maximum of 10,000 views.
Ebidboard “www.ebidboard.com”

Ebidboard is a bid board that the Authority uses to advertise projects.

<table>
<thead>
<tr>
<th>On Call SCADA System Integration Professional Services</th>
<th>S2019-94</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>RFP/RFQ Name:</strong> On-Call SCADA System Integration Professional Services</td>
<td></td>
</tr>
<tr>
<td><strong>RFP/RFQ Type:</strong> Service</td>
<td></td>
</tr>
<tr>
<td><strong>Ownership:</strong> Public</td>
<td></td>
</tr>
<tr>
<td><strong>Is this a Federal Stimulus Project:</strong> No</td>
<td></td>
</tr>
<tr>
<td><strong>RFP/RFQ City, State:</strong> Chula Vista, California</td>
<td></td>
</tr>
<tr>
<td><strong>County:</strong> San Diego</td>
<td></td>
</tr>
<tr>
<td><strong>Local District:</strong> Sweetwater Authority</td>
<td></td>
</tr>
<tr>
<td><strong>RFP/RFQ or Contract Number:</strong> S2019-94</td>
<td></td>
</tr>
<tr>
<td><strong>RFP/RFQ Contacts:</strong> Justin Brazil</td>
<td></td>
</tr>
<tr>
<td><strong>Sweetwater Authority</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Water Quality</strong></td>
<td></td>
</tr>
<tr>
<td><strong>SJR Garrett</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Chula Vista, CA 91910</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Tel:</strong> (919) 494-2802</td>
<td></td>
</tr>
<tr>
<td><strong>Fax:</strong> (916) 476-6271</td>
<td></td>
</tr>
<tr>
<td><strong><a href="mailto:jbrazi@sweetwater.org">email</a></strong></td>
<td></td>
</tr>
<tr>
<td><strong>1st Advertise Date:</strong> 10/10/10</td>
<td></td>
</tr>
<tr>
<td><strong>2nd Advertise Date:</strong> 10/11/10</td>
<td></td>
</tr>
<tr>
<td><strong>Proposal Due Date:</strong> 12/03/19</td>
<td></td>
</tr>
<tr>
<td><strong>Proposal Due Time:</strong> 5:00 PM</td>
<td></td>
</tr>
<tr>
<td><strong>RFP/RFQ Description:</strong> Sweetwater Authority is seeking a SCADA System Integrator to provide SCADA system integration services to support its annual maintenance activities and modifications to the water system that may be required as a result of capital improvement.</td>
<td></td>
</tr>
</tbody>
</table>
Schneider Electric Integrator Locator Tool “https://www.schneider-electric.com/”

The Authority’s SCADA system is comprised of Schneider Electric products. Master alliances hold the most product specific certifications. Certified alliances hold most product specific certifications. Below are search results for master and certified alliances within the United States.

*Schneider Electric Master Alliances (1 System Integrator serves the water/wastewater market)*

*Schneider Electric Certified Alliances (11 system integrators serve the water/wastewater market)*
RFP Clearinghouse

Open RFPs and RFQs
CSDA's RFP Clearinghouse is a member benefit, where Requests for Proposals and Requests for Qualifications can be posted and viewed by CSDA members.

RFQ: On-Call SCADA System Integration Professional ...
By: Justin Brazil, 22 hours ago
Posted in: RFP Clearinghouse

Sweetwater Authority is seeking a SCADA System Integrator to provide SCADA system integration services to support its annual maintenance activities and modifications to the water system that may be required as a result of capital improvement. RFQ proposal ...

RFQ-On-Call SCADA System Integration Professional Services

1. RFQ-On-Call SCADA System Integration Professional Services

Posted 21 hours ago | view attached

Sweetwater Authority is seeking a SCADA System Integrator to provide SCADA system integration services to support its annual maintenance activities and modifications to the water system that may be required as a result of capital improvement.

RFQ proposal submissions (6 copies) shall be delivered to the address below by December 3rd, 2019 at 5:00 PM.

Sweetwater Authority
505 Garrett Avenue
Chula Vista, CA 91910
Attention: Justin Brazil, Director of Water Quality

Please contact Justin Brazil by phone at 619-409-6802 or by email at jbrazil@sweetwater.org for any questions regarding the RFQ.

For more information about Sweetwater Authority please visit www.sweetwater.org
Association of California Water Agencies (ACWA)

Exclusive email sent directly to ACWA members on October 16th, 2019.

WANTED: SCADA SYSTEM INTEGRATOR
CLICK TO VIEW RFQ

Sweetwater Authority (Authority) is seeking a SCADA System Integrator to provide SCADA system integration services to support its annual maintenance activities and modifications to the water system that may be required as a result of capital improvement.

Serving approximately 190,000 people in the southwest region of San Diego County, the Authority delivers water from various sources across nearly 400 miles of pipeline. The Authority’s SCADA system monitors and controls equipment at two dams, three water treatment plants, and numerous tanks and booster stations.

For more information and the full RFQ, click here.

QUESTIONS?
Contact Justin Brazil, Director of Water Quality
jbrasil@sweetwater.org
(619) 409-6802
In total, staff contacted 21 consultants, 17 of which requested a copy of the RFQ. A list of the consultants contacted throughout the process is provided below.

### Outreach

<table>
<thead>
<tr>
<th>Integrator</th>
<th>Contacted by Authority</th>
<th>Requested RFQ</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 AECOM</td>
<td>Los Angeles, CA</td>
<td>Yes</td>
</tr>
<tr>
<td>2 Computation</td>
<td>Bensenville, IL</td>
<td>Yes</td>
</tr>
<tr>
<td>3 Enterprise Automation</td>
<td>Irvine, CA</td>
<td>Yes</td>
</tr>
<tr>
<td>4 Frakes Engineering</td>
<td>Indianapolis, IN</td>
<td>No</td>
</tr>
<tr>
<td>5 George T Hall</td>
<td>Sparks, NV</td>
<td>Yes</td>
</tr>
<tr>
<td>6 Hazen &amp; Sawyer</td>
<td>San Diego, CA</td>
<td>Yes</td>
</tr>
<tr>
<td>7 Huffman Engineering</td>
<td>Lincoln, NE</td>
<td>Yes</td>
</tr>
<tr>
<td>8 Jacobs</td>
<td>Dallas, TX</td>
<td>Yes</td>
</tr>
<tr>
<td>9 JM Integration</td>
<td>Vacaville, CA</td>
<td>Yes</td>
</tr>
<tr>
<td>10 KDC</td>
<td>Los Alamitos, CA</td>
<td>Yes</td>
</tr>
<tr>
<td>11 Pacific Blue Engineering</td>
<td>Signal Hill, CA</td>
<td>Yes</td>
</tr>
<tr>
<td>12 Prime Controls</td>
<td>Lewisville, TX</td>
<td>Yes</td>
</tr>
<tr>
<td>13 Revere</td>
<td>Texarkana, TX</td>
<td>Yes</td>
</tr>
<tr>
<td>14 Richardson Logistic Controls</td>
<td>McKinney, TX</td>
<td>No</td>
</tr>
<tr>
<td>15 RoviSys</td>
<td>Aurora, OH</td>
<td>Yes</td>
</tr>
<tr>
<td>16 Stone Technologies</td>
<td>Chesterfield, MO</td>
<td>Yes</td>
</tr>
<tr>
<td>17 Techknowsion</td>
<td>Pleasant Hill, CA</td>
<td>Yes</td>
</tr>
<tr>
<td>18 TESCO</td>
<td>Sacramento, CA</td>
<td>Yes</td>
</tr>
<tr>
<td>19 TSI Controls</td>
<td>Irvine, CA</td>
<td>Yes</td>
</tr>
<tr>
<td>20 Wanderlich-Malec</td>
<td>Prairie, MN</td>
<td>No</td>
</tr>
<tr>
<td>21 Westin</td>
<td>San Marcos, CA</td>
<td>Yes</td>
</tr>
</tbody>
</table>
Request for Qualifications (RFQ) Re-Advertisement

Summary of Actions

10/10/19
RFQ re-advertised as follows:

- Sweetwater Authority (SWA) public website
- Ebidboard.com
- American Water Works Association (AWWA) website
- California Special District Association (CSDA) Request for Proposals (RFP) Clearinghouse
- Email blast to members of the Association of California Water Agencies (ACWA)

RFQ emailed to the following consultants that expressed interest during the first round of advertising in August and September:

- Tesco Controls (Sacramento, CA)
- TSI Controls (Irvine, CA)
- George T Hall (Sparks, NV)
- Wanderlich-Malec (Prairie, MN)
- JM Integration (Vacaville, CA)
- Westin (San Marcos, CA)
- KDC Systems (Los Alamitos, CA)
- Pacific Blue Engineering (Signal Hill, CA)
- Prime Controls (Lewisville, TX)
- Rovi Sys (Los Angeles, CA)
- Enterprise Automation (Irvine, CA)

Responses received:

- Pacific Blue responded by email that they will review the RFQ.
  
  They indicated that they do not meet the requirement that requires the consultant to have been in business for at least 10 years. Staff responded that they should consider submitting and provide a letter indicating why they believe they qualify without meeting the 10-year requirement.

- JM Integration responds by email that they have received the RFQ and would be pleased to submit a proposal.

10/11/19
RFQ emailed to the following who were identified through additional staff inquiries:

- Jacobs (Dallas, TX)

Contact(s) made or Response(s) received:
• Jacobs responded by email that they will review the RFQ.
• Spoke with Westin on the telephone to discuss the RFQ.

10/12/19
RFQ emailed to the following who were identified through additional staff inquiries:
  • Revere (Texarkana, TX)

10/14/19
Contact(s) made or Response(s) received:
  • Spoke with Revere to answer questions regarding the RFQ. Revere indicated that they are interested in submitting.

10/15/19
RFQ emailed to the following:
  • Hazen & Sawyer (San Diego, CA)

Response(s) received:
  • Rovi Sys responded by email that they would submit on the RFQ.

10/17/19
RFQ emailed to the following:
  • AECOM (Los Angeles, CA)

Contact made:
  • Contacted TechKnowsion, Inc. by telephone for interest in the SCADA RFQ as they were referred to Sweetwater Authority staff based on the ACWA advertisement.

10/18/19
Response(s) received:
  • TechKnowsion, Inc. responded that they reviewed the RFQ on the SWA website and will not submit because they cannot commit to the immediate telephone support requirement or the 24-hour onsite emergency response requirement.
10/22/19
Contact(s) made:
  • Phone contact made and/or voicemails left with those who had not acknowledged receipt of the RFQ.

10/23/19
Response(s) received:
  • Revere responded that they have a “gentlemen’s agreement” with Enterprise Automation to not compete with each other. They are both members of the Automation Alliance.

10/24/19
Response(s) received:
  • Hazen & Sawyer responded that they would not be submitting as the RFQ was not be a good fit for them.

10/25/19
RFQ emailed to the following:
  • The RFQ was emailed to Stone Technologies and Frakes Engineering. Both firms were located by visiting the Automation Alliance website.

10/28/19
Response(s) received:
  • Stone Technologies responded that they would not be submitting as the RFQ was not be a good fit for them and suggested that the Authority consider contacting Enterprise Automation.

11/12/19
Response(s) received:
  • Jacobs responded that they would not be submitting due to a lack of resources. They indicated that the 45-day period was sufficient, but that they had competing opportunities at this time.

11/13/19
Qualifications received:
  • A statement of qualifications (SOQ) was received.

11/21/19
Qualifications received:
  • A statement of qualifications (SOQ) was received.
11/26/19

Response(s) received:

- Tesco responded that they will not be submitting after consideration and review of their risk assessment for bidding this project. They stated that they declined submitting a proposal due to the qualification and experience requirements pertaining to Sweetwater Authority’s Citect SCADA system.
VOLUME I - Proposal

REQUEST FOR QUALIFICATIONS
FOR
ON-CALL SCADA SYSTEM INTEGRATION
PROFESSIONAL SERVICES

SWA FILE:- [S2019-94]

Prepared for: Sweetwater Authority

Submission Deadline: Prior to 5:00 p.m., Friday, September 20, 2019
6 copies

Proposal Contact: Justin Brazil
Director of Water Quality
Phone: (619) 409-6802

Mail-to Address: Sweetwater Authority
Administration Office
505 Garrett Ave.
Chula Vista, CA 91910

Proposed by: Enterprise Automation

Primary Contact: Alex Stipe, Inside Sales Manager
Email: alex.stipe@eaintegrator.com
Cell: (949) 378-7087
Address: 210 Goddard
Irvine, CA 92618
Phone: (949) 769-6000, ext. 124
Fax: (949) 769-6005

Master Alliance System Integrator
Life Is On Schneider Electric

CERTIFIED System Integrator Partner

CERTIFIED System Integrator Partner
INTOUCH
Volume I: Proposal

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5. Desired Qualifications ......................................................................................... 5
6. Costs ..................................................................................................................... 6
7. Exceptions to the RFQ .......................................................................................... 7
September 20, 2019

Attention: Justin Brazil, Director of Water Quality
Sweetwater Authority
505 Garrett Avenue
Chula Vista, CA 91910

Subject: REQUEST FOR QUALIFICATIONS FOR ON-CALL SCADA SYSTEM INTEGRATION PROFESSIONAL SERVICES, SWA FILE: [S2019-94]

Mr. Brazil

Thank you for this opportunity to present the following Statement of Qualifications for On-Call SCADA Integration Services for the Sweetwater Authority. Herein is Enterprise Automation’s (EA’s) response, which was completed in accordance with the Authority’s RFQ.

For the past 15 years, it has been an honor to be the Authority’s trusted partner for SCADA systems integration. During our tenure, EA has delivered every project on-time, within-budget, and at a level of quality that exceeds the Authority’s stringent standards. Additionally, EA has helped the Authority save hundreds of thousands of dollars by being proactive and by remediating the unsatisfactory work of other consultants and contractors during the design and construction phases of several capital projects.

We are grateful for the Authority’s business and appreciate your dedication to implementing and enforcing industry best practices and standards throughout the water department. EA is a better organization because of it.

The near-zero unplanned downtime over the past 15 years and continued reliability of the Authority’s water assets are a testament to the world-class automation platform we have built together.

We appreciate this opportunity to re-qualify ourselves and earn the Authority’s business once again by proving that we remain the most qualified and long-term cost-effective automation consultant to meet the Authority’s specific needs.
1 Partnership Approach

Although the municipal Systems Integration business has traditionally been a low-bid industry, the Authority has been on the forefront of a paradigm shift towards long-term and stable relationships with trusted automation partners.

The shift is primarily due to municipalities realizing that their SCADA system is a critical asset that must be maintained and upgraded no differently than their physical infrastructure, rather than treating it as an afterthought.

This realization is typically the result of an inflection point where it becomes obvious that their SCADA system has been neglected. The symptoms included finding that your SCADA hardware and software is on the verge of obsolescence, difficult and expensive to maintain, difficult for operations staff to use efficiently, and not providing the value and information that they expect and need. Due to the water staff’s proactiveness, the Authority’s SCADA system is not plagued with any of these problems.

In stark contrast to when the Authority initially contracted EA, long term engagements with SCADA Systems Integrators are no longer unusual among municipalities. In fact, within our own portfolio, EA’s relationship with the Authority is not unique.

We specialize in these established, consultative partnerships, and have been servicing most of our clients (both municipal and private) for as long as 16 years. These clients have continued to engage EA because they recognize that we maximize the value of their assets and reduce their long-term cost of ownership.

Below is an abbreviated list of current clients that have engaged EA on a long-term basis:

<table>
<thead>
<tr>
<th>Municipal Clients</th>
<th>Starting Year</th>
<th>No. Years Served</th>
</tr>
</thead>
<tbody>
<tr>
<td>City of Fresno</td>
<td>2008</td>
<td>11</td>
</tr>
<tr>
<td>City of Huntington Beach</td>
<td>2013</td>
<td>6</td>
</tr>
<tr>
<td>City of Santa Ana</td>
<td>2014</td>
<td>5</td>
</tr>
<tr>
<td>Orange County Sanitation District</td>
<td>2013</td>
<td>6</td>
</tr>
<tr>
<td>Water Replenishment District of Southern California</td>
<td>2017</td>
<td>2</td>
</tr>
<tr>
<td>Encina Wastewater Authority</td>
<td>2017</td>
<td>2</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Non-Municipal Clients</th>
<th>Starting Year</th>
<th>No. Years Served</th>
</tr>
</thead>
<tbody>
<tr>
<td>QSC Audio</td>
<td>2003</td>
<td>16</td>
</tr>
<tr>
<td>JR Simplot</td>
<td>2005</td>
<td>14</td>
</tr>
<tr>
<td>K&amp;N</td>
<td>2005</td>
<td>14</td>
</tr>
<tr>
<td>Hampton Products International</td>
<td>2008</td>
<td>11</td>
</tr>
<tr>
<td>B. Braun Medical</td>
<td>2013</td>
<td>6</td>
</tr>
</tbody>
</table>
2 Qualifications Summary

EA has earned every required certification specified in the RFP and far exceed the minimum quantity for most. Additionally, we meet all required and desired experience qualifications.

We hold the greatest quantity of certifications and experience with the Authority’s specific SCADA platform technologies in the Country.

3 Enterprise Automation Background

I. **Schneider Automation Expertise:**

Enterprise Automation is the only Schneider Electric Master Alliance Partner in the USA (their highest level of certification) providing unparalleled access to the manufacturer and proven expertise with their products.

Additionally, we are Schneider’s first and only preferred partner in Water & Wastewater and the first to earn their PLC Modernization certificate for expertise with both the M340 and M580 platforms.

Because EA has such a close relationship with Schneider Electric and their local distributors, we will continue to ensure that the Authority never overpays for their SCADA hardware or software.

II. **Wonderware Expertise:**

Enterprise Automation carries the most Wonderware certifications of any integrator in California. We have also been invited and sponsored to become a Wonderware/AVEVA Endorsed Partner (their highest level of certification). Once the clerical portion of the process is complete, EA will be the only Wonderware/AVEVA Endorsed Partner in California.

Because EA has such a close relationship with Wonderware’s local distributor, Wonderware California, we will continue to ensure that the Authority has the correct licenses and never overpays for support or upgrades.
III. **Location:**

Our headquarters, where all engineering will be performed, is located in Irvine, CA which is approximately 86 miles from the Authority’s Administrative Office. This allows our engineers to respond to emergency support calls on site in a matter of hours in most cases. Rapid response times decrease the probability that the Authority will incur the additional costs of purchasing treated water, particularly during periods of peak demand.

![Location Map]

IV. **CSIA Certification:**

Enterprise Automation is one of only seven systems integrators in California who have passed the rigorous audit process to become CSIA Certified.

The audit encompasses industry best practices including general management, project management, system development lifecycle, quality assurance, and service and support.

The CSIA Certified designation is an endorsement that we operate a business founded on integrity, a continual drive for self-improvement, and strict adherence to best practices and industry standards (www.controlsys.org).
4 Scope Summary

The Authority is seeking to engage a partner who has a broad range of certified experience, is technically competent with a unique combination of hardware and software systems and leverages a systematic approach to industrial automation.

The selected consultant will be responsible for supporting the Authority’s SCADA platform through both annual support and capital projects, keeping the Authority’s long-term SCADA vision in mind.

The specific scope includes:

1. Managing the Authority’s source control and change management systems
2. Maintaining a secure environment for testing and validation (the Test Platform)
3. Testing and deploying updates to the Authority’s server operating systems on a monthly basis
4. Managing manufacturer support contracts for the Authority’s SCADA hardware and software assets, including negotiating and enforcing special pricing agreements for all applicable products
5. Providing annual operator training
6. Assisting the Authority in annual planning and budgeting for the upcoming fiscal year and 5-year time horizon
7. Providing routine and emergency technical support both remotely (via phone) and on-site when needed
8. Providing design and construction phase support associated with capital improvement projects

EA has been executing this scope for the Authority for over 14 years. Selecting EA as the Authority’s next consultant could save the Authority tens of thousands of dollars in staff and consultant training and alignment alone.
5 Conclusion

In conclusion, as Enterprise Automation’s Inside Sales Manager, I hereby submit our proposal which includes this cover letter and our Statement of Qualifications. I can be reached at our main number, 949-769-6000 ext. 124, via cell phone at 949-378-7087, or via email at alex.stipe@eaintegrator.com.

My contact address is:
   Enterprise Automation
   210 Goddard
   Irvine, CA 92618

This proposal is valid for a 90-day period from the date of submittal, September 20, 2019.

Again, we appreciate your consideration.

Sincerely

Alex Stipe
Inside Sales Manager
Enterprise Automation
2 Identification of Responder

a. Legal name and address of company:
   • Partners in Control Inc. dba Enterprise Automation is located at the following address:
     210 Goddard
     Irvine, CA 92618

b. Legal form of company (partnership, corporation, joint venture, etc.).
   • Enterprise Automation is a California S-Corporation.

c. Identify any parent companies.
   • Enterprise Automation does not have any parent companies.

d. Addresses of office(s) within the 24-hour commute limit and number of employees.
   • The address of our office is located above in section a. The commute from our office to the Authority’s Administrative Office or any of their treatment or distribution sites is typically between one and two hours.
   • Our office currently has 26 employees.

e. Addresses of fabrication facility and number of employees.
   • Enterprise Automation contracts the fabrication of panels to ESL Power Systems, Inc.
   • ESL Power Systems, Inc. currently has 107 employees and is located at:
     2800 Palisades Dr.
     Corona, CA 92880

f. Name, title, address and telephone number of a person to contact concerning the Statement of Qualification.
   • Alex Stipe
     Inside Sales Manager
     210 Goddard
     Irvine, CA 92618
     (949) 378-7087
3 Financial Relationships Disclosure

a. Identify all existing and past financial relationships between Consultant's firm and current members of the Authority's Governing Board and staff and entities for which said members are employed or have an interest, both past and present. If there are none, clearly state this.

There are no existing or prior financial relationships between Enterprise Automation and the current members of the Authority's Governing Board, staff, or entities for which the members are employed or have an interest, both past and present.

b. Identify all existing and past financial relationships between Consultant's proposed sub-Consultants and current members of the Authority's Governing Board and staff and entities for which said members are employed or have an interest, both past and present. If there are none, clearly state this.

Enterprise Automation does not have any proposed sub-Consultant groups that would be utilized on this project.
4 **Required Qualifications**

4.1 **General:**

1. *The Consultant’s primary business, or the primary business of a department within the Consultant’s firm, shall be SCADA Integration service for public and municipal entities.*

Over 85% of Enterprise Automation’s revenue is derived from providing SCADA integration and automation consulting services to the water and wastewater industries, specifically in Southern California. Our current municipal clients include:

<table>
<thead>
<tr>
<th>Client</th>
<th>Region</th>
</tr>
</thead>
<tbody>
<tr>
<td>City of Fresno</td>
<td>Central California</td>
</tr>
<tr>
<td>City of Huntington Beach</td>
<td>Southern California</td>
</tr>
<tr>
<td>City of Long Beach</td>
<td>Southern California</td>
</tr>
<tr>
<td>City of Newport Beach</td>
<td>Southern California</td>
</tr>
<tr>
<td>City of Santa Ana</td>
<td>Southern California</td>
</tr>
<tr>
<td>City of West Sacramento</td>
<td>Northern California</td>
</tr>
<tr>
<td>Encina Wastewater Authority</td>
<td>Southern California</td>
</tr>
<tr>
<td>Fallbrook Public Utilities District</td>
<td>Southern California</td>
</tr>
<tr>
<td>Orange County Sanitation District</td>
<td>Southern California</td>
</tr>
<tr>
<td>South Coast Water District</td>
<td>Southern California</td>
</tr>
<tr>
<td>Sweetwater Authority</td>
<td>Southern California</td>
</tr>
<tr>
<td>Water Replenishment District of Southern California</td>
<td>Southern California</td>
</tr>
<tr>
<td>Western Municipal Water District</td>
<td>Southern California</td>
</tr>
</tbody>
</table>

2. *The Consultant (as a firm) shall have been in the business of SCADA Integration for at least 10 years.*

Since Enterprise Automation was established in 1998, our core focus has been SCADA integration and automation consulting.

3. *Consultant’s lead engineer shall have at least 10 years of hands-on experience designing and implementing SCADA systems based on the Schneider Electric Citect SCADA platform and Schneider Electric PLC hardware, or equivalent.*

Adam Ekstrand is currently the Lead Engineer assigned to the Sweetwater Authority. He would retain this role if Enterprise Automation is awarded the contract associated with this RFQ.

Adam has 11 years of experience designing, fabricating, programming, and commissioning SCADA systems, including equipment and software based on the Schneider Electric Citect SCADA platform and Schneider Electric PLC hardware.

See *Volume II, Appendix A: Resumes* for additional information on Adam’s qualifications.
4. **Consultant shall provide a single Project Manager/Program Manager as the primary point of contact for all work assigned by the Authority. This Project Manager must have at least 5 years (total, with current firm or other employers) of experience in control systems integration.**

Luke Stephenson is currently the Project Manager assigned to the Sweetwater Authority. He would retain this role if Enterprise Automation is awarded the contract associated with this RFQ.

Luke has nine years of experience in control systems integration; four years of experience as VP of Engineering for VCORE Renewable Energies and five years of experience as a Project Manager and Operations Manager at Enterprise Automation.


5. **Preference will be given to Consultants whose place of business is located in the United States and within a 24-hour commute of the Authority’s Administrative office at 505 Garrett Avenue, Chula Vista, CA. The engineering expertise and work must be based in and be performed in said offices.**

Enterprise Automation is located at 210 Goddard, Irvine, CA 92618. All work will be performed at this office. The commute from this office to the Authority’s Administration office or any of their treatment or distribution sites is typically between one and two hours.
6. The Consultant shall provide panel fabrication services, either in-house or through a subcontractor. The panel fabrication facility shall be located in the United States.

Enterprise Automation contracts the fabrication of panels to ESL Power Systems, Inc. which is located at 2800 Palisades Dr., Corona, CA 92880.

ESL has been providing high-quality panel fabrication services since 1990. EA has chosen to work exclusively with ESL for over a decade due to their exceedingly high standards and industry leading quality assurance processes.
7. **Consultant shall have the capability of training operations and maintenance personnel in industrial control systems application.**

Enterprise Automation is experienced in providing training to all levels of our clients’ organizations and does so at the conclusion of all projects.

For municipal clients, we develop separate training courses for operators, engineers, and administrators, each focusing on subjects relevant to the audience.

Several of the training courses we have provided in the past include:

- PLC Hardware and Redundancy/Failure Training
- SCADA training on General Use, Programming, Graphics, Navigation, and Objects
- Specific Site or Area Operation
- Remote Access and Network Redundancy Training
- Source Control Training
- Server Hardware and Virtualization Administration Training
- Historian and Reports Training
- Alarm Dialer Training
8. **Consultant shall have experience with performing review of facility construction documents as they relate to SCADA.**

Enterprise Automation has performed dozens of interdisciplinary reviews of design documentation for municipality owners. The primary role of these Instrumentation, Control, and Electrical reviews is to:

- Be our client’s advocate, verifying that the design meets their needs
- Verify that the design incorporates our clients’ SCADA and I&C standards
- Verify that the design is accurate and complete
- Verify that the design is constructible

Recently, we have provided design reviews for the following clients:

<table>
<thead>
<tr>
<th>Client</th>
<th>Consultants Reviewed</th>
</tr>
</thead>
<tbody>
<tr>
<td>City of Santa Ana</td>
<td>Tetra Tech, Morales/Pham&amp; Assoc., ARA</td>
</tr>
<tr>
<td>Encina Wastewater Authority</td>
<td>Brown &amp; Caldwell, CDM Smith</td>
</tr>
<tr>
<td>J.R. Simplot</td>
<td>Axiom Engineers, Weatherly</td>
</tr>
<tr>
<td>Sweetwater Authority</td>
<td>MWH, CH2M Hill, NLine Energy</td>
</tr>
<tr>
<td>Water Replenishment District of Southern California</td>
<td>JF Shea, Tetra Tech, Hazen and Sawyer</td>
</tr>
</tbody>
</table>

See the following pages for several examples of the level of detail EA goes to when performing interdisciplinary consultant design reviews.
4.2 Certifications:

Enterprise Automation is proud to demonstrate that we have earned every required certification specified in the RFQ and far exceed the minimum quantity for most.

The effort required to obtain manufacturer certifications is not trivial. Over the past five years, EA has invested an average of over $100,000 per year to employee training and certifications. This significant expenditure ensures that our team is leading the industry in technology expertise, as verified by the manufacturers themselves.

It has taken years to accumulate our existing portfolio of certifications and we take pride knowing that each engineer has sacrificed their personal time and energy to pursue them. Therefore, in the sections below, where we’ve demonstrated our compliance with the RFQ’s required certification qualifications, we have indicated the individual effort required to obtain each.

Required Certifications:

1. The Consultant shall have one or more employees holding the following Schneider Electric Certifications, or ability to obtain

<table>
<thead>
<tr>
<th>Certification</th>
<th>SWA Requirement</th>
<th>EA Count</th>
<th>Min. Individual Hrs. to Earn</th>
</tr>
</thead>
<tbody>
<tr>
<td>Citect SCADA Certified Expert (CSCE) or Citect Certified Engineer (CCE)(^1)</td>
<td>1</td>
<td>4</td>
<td>60 hr experience</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>8 hr exam (total)</td>
</tr>
<tr>
<td>Networking Certified Professional (NCP)</td>
<td>1</td>
<td>11</td>
<td>8 hr preparation</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>2 hr exam</td>
</tr>
<tr>
<td>Unity Pro Certified Professionals (UCP)(^2)</td>
<td>1</td>
<td>11</td>
<td>57 hr experience</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>2 hr exam</td>
</tr>
</tbody>
</table>

EA currently holds the most Schneider Electric certifications in the USA.

2. The Consultant shall have one or more employees holding the following Wonderware Certifications, or ability to obtain

<table>
<thead>
<tr>
<th>Certification</th>
<th>SWA Requirement</th>
<th>EA Count</th>
<th>Min. Individual Hrs. to Earn</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wonderware Certified [Application Developer](^3)</td>
<td>1</td>
<td>5</td>
<td>36 hr training</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>6 hr exam</td>
</tr>
<tr>
<td>Wonderware Certified Historian Developer</td>
<td>1</td>
<td>5</td>
<td>16 hr experience</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>6 hr exam</td>
</tr>
</tbody>
</table>

\(^1\) CSCE designation is earned when passing three separate exams (CitectSCADA, Cicode, and Citect Architecture & Redundancy)

\(^2\) Unity Pro has been rebranded as EcoStruxure Control Expert, certifications in Appendix B may include either brand name

\(^3\) Note that the certification listed in the Authority’s RFQ “Wonderware Certified System Platform Certification” is a company-level certification. EA assumes the Authority intended to require proposers to have at least one “Wonderware Certified Application Developer” on staff, which is the individual certification awarded to engineers who have passed the Wonderware Application Developer exam. In addition to the individual certifications listed in the table above, EA has held the “Wonderware Certified System Platform” company-level certification since 2010.
3. The Consultant shall be competent in VMware virtualization with at least one employee holding VMware Professional Certification in Data Center Virtualization or Network Virtualization, or ability to obtain

<table>
<thead>
<tr>
<th>Certification</th>
<th>SWA Requirement</th>
<th>EA Count</th>
<th>Min. Individual Hrs. to Earn</th>
</tr>
</thead>
<tbody>
<tr>
<td>VMware Professional Certification in Data Center</td>
<td>1</td>
<td>1</td>
<td>35 hr training</td>
</tr>
<tr>
<td>Virtualization</td>
<td></td>
<td></td>
<td>40 hr self-study</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>6 hr exam</td>
</tr>
</tbody>
</table>

4. The Consultant shall have at least one employee who has completed the following course and possesses the certification(s) below, or ability to obtain

<table>
<thead>
<tr>
<th>Certification/Training</th>
<th>SWA Requirement</th>
<th>EA Count</th>
<th>Min. Individual Hrs. to Earn</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department of Homeland Security’s Industrial</td>
<td>1</td>
<td>1</td>
<td>40 hrs training</td>
</tr>
<tr>
<td>Control Systems Cyber Security (301) training</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Palo Alto Networks: Accredited Configuration</td>
<td>1</td>
<td>1</td>
<td>20 hr experience</td>
</tr>
<tr>
<td>Engineer (ACE) or Certified Network Security</td>
<td></td>
<td></td>
<td>2 hr exam</td>
</tr>
<tr>
<td>Engineer (PCNSE)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

5. The Consultant shall have at least one engineer who is licensed as a Professional Engineer in Electrical Engineering in the State of California.

<table>
<thead>
<tr>
<th>License</th>
<th>SWA Requirement</th>
<th>EA Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>CA Professional Engineer in Electrical Engineering</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>CA Professional Engineer in Control Systems</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td>Engineering (3 pending for 2019)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

See Volume II, Appendix A: Resumes for information on the numerous certifications our staff hold which are not required by this RFQ and Appendix B: Certifications for a copy of each.
4.3 Experience:

1. The Consultant shall have successfully completed one or more projects containing the following elements.

   a. *Citect SCADA HMI*

   Enterprise Automation is a world class CitectSCADA integrator, with a substantial quantity of Citect installs (100+). We are intimately familiar with Citect’s architecture and have applied redundancy to the Authority’s facilities and several municipal water and wastewater plants similar in function to the Authority’s facilities. In addition, we have provided redundant CitectSCADA solutions to dozens of clients in other industries.

   Below is a list of example projects where Enterprise Automation built and installed Citect SCADA HMI platforms for critical plants (including Sweetwater Authority):

<table>
<thead>
<tr>
<th>Client</th>
<th>Project</th>
</tr>
</thead>
<tbody>
<tr>
<td>City of Fresno</td>
<td>Groundwater distribution (260+ sites)</td>
</tr>
<tr>
<td>J.R. Simplot</td>
<td>Nitric acid plant</td>
</tr>
<tr>
<td>Rancho California Water District</td>
<td>Santa Rosa Water Reclamation Facility (6 MGD)</td>
</tr>
<tr>
<td>Sweetwater Authority</td>
<td>Robert Perdue Water Treatment Plant (30MGD)</td>
</tr>
<tr>
<td>Sweetwater Authority</td>
<td>Distribution (45 sites)</td>
</tr>
</tbody>
</table>

   b. *Ampla operations management software.*

   Enterprise Automation designed, developed, implemented, and currently manages Sweetwater Authority’s Ampla system. We are the only integrator in the country to have applied Ampla to improve water operations and are therefore uniquely prepared to provide support for the Authority’s system.

   c. *Virtualized SCADA infrastructure using VMware.*

   Enterprise Automation has made virtualization a standard practice when upgrading existing systems or developing new SCADA platforms.

   We routinely help clients in water and wastewater utilities, as well as other industries, understand the benefits of system virtualization. We are experts at implementing SCADA system virtualization from design through procurement and configuration, testing, deployment, and final acceptance.

   In addition to the production systems, Enterprise Automation provides clients with virtualized development environments where project modifications and upgrades can be thoroughly tested before deployment to the production systems. Enterprise Automation currently maintains several virtualized development systems for our clients in our own virtualized environment.
Below is a list of clients (including Sweetwater Authority) with whom we currently use the VMware virtualized SCADA infrastructure:

<table>
<thead>
<tr>
<th>Client</th>
<th>System</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>B. Braun</td>
<td>VMware vCenter Server, 11 Hosts, 66 VMs, Virtualized Test Platform</td>
<td>2014 to present</td>
</tr>
<tr>
<td>City of Fresno - Distribution</td>
<td>VMware vCenter Server, 3 Hosts, 12 VMs, Virtualized Test Platform</td>
<td>2010 to present</td>
</tr>
<tr>
<td>City of Fresno – NE Surface Water Treatment Plant</td>
<td>VMware vCenter Server, 2 Hosts, 13 VMs, Virtualized Test Platform</td>
<td>2016 to present</td>
</tr>
<tr>
<td>City of Huntington Beach</td>
<td>VMware vCenter Server, 3 Hosts, 34 VMs, Virtualized Test Platform</td>
<td>2014 to present</td>
</tr>
<tr>
<td>J.R. Simplot</td>
<td>VMware vCenter Server 3 Hosts, 16 VMs, Virtualized Test Platform</td>
<td>2008 to present</td>
</tr>
<tr>
<td>Santa Rosa Water Reclamation Facility</td>
<td>VMware vCenter Server, 3 Hosts, 13 VMs, Virtualized Test Platform</td>
<td>2013 to present</td>
</tr>
<tr>
<td>Sweetwater Authority</td>
<td>VMware vCenter Server, 3 Hosts, 29 VMs, Virtualized Test Platform</td>
<td>2005 to present</td>
</tr>
</tbody>
</table>

**d. Modicon M340 or M580 PLCs with Unity Pro programming.**

Enterprise Automation was an early adopter of Schneider’s Unity Pro software and has been using the software to engineer controls for municipal clients since 2006. Three Enterprise Automation engineers (still with the company) attended the original factory Unity Pro training in 2005, and this has been the company’s preferred PLC platform since then. Our experience with Unity Pro has been refined over the past thirteen years with implementations on a variety of Modicon PLC platforms including Quantum (with scanning of Modicon Advantys Ethernet I/O), Momentum, Premium, M340, and M580.

Enterprise Automation has designed, implemented, and managed Unity Pro programs on Schnedier Electric M340 and/or M580 PLCs for numerous clients. Several such clients are listed below:

<table>
<thead>
<tr>
<th>Client</th>
<th>Technology</th>
</tr>
</thead>
<tbody>
<tr>
<td>City of Huntington Beach</td>
<td>2 M340</td>
</tr>
<tr>
<td>City of Huntington Beach</td>
<td>1 M580</td>
</tr>
<tr>
<td>City of Santa Ana</td>
<td>5 M340</td>
</tr>
<tr>
<td>City of Santa Ana</td>
<td>1 M580</td>
</tr>
<tr>
<td>Encina Wastewater Authority</td>
<td>4 M580</td>
</tr>
<tr>
<td>Rancho California Water District</td>
<td>2 M340</td>
</tr>
<tr>
<td>Sweetwater Authority</td>
<td>12 M340</td>
</tr>
<tr>
<td>Water Replenishment District of Southern California</td>
<td>4 M340</td>
</tr>
<tr>
<td>Water Replenishment District of Southern California</td>
<td>2 M580</td>
</tr>
</tbody>
</table>
e. **Modicon M580 PLCs with remote I/O.**

Enterprise Automation has significant experience with Modicon M580 PLCs including project work with remote I/O that was provided for the Water Replenishment District of Southern California. We also have project experience working with Modicon M580 PLCs with other clients without remote I/O. In addition, we are contracted to install at least four Modicon M580 PLC units with remote I/O at Encina Waste Water Authority within the next year. These PLCs are already set up on a test rack at the Enterprise Automation Irvine office.

Four redundant M580 pairs set up on our test platform for configuration and testing

One redundant M580 pair and four individual site M340s set up on our test bench for testing and validation prior to deployment in the field
f. User security implemented through Microsoft Active Directory Domain Controller.

Microsoft Active Directory security is a standard feature on all the systems that Enterprise Automation develops, giving us extensive experience with the design, implementation, and management of this service.

Every platform listed in Section 4.3.1.c on page 12 utilizes an Active Directory security platform which was designed, developed, and implanted by EA.
## Desired Qualifications

### 5.1 Qualifying Projects

Please see Volume II, Appendix C: Project Profiles for additional details for each project listed below.

#### 5.1.1 Master/Professional Services Agreements

Enterprise Automation is currently engaged with the following clients to provide both annual and capital project support similar to that described in the Authority’s RFP:

<table>
<thead>
<tr>
<th>Project</th>
<th>Term</th>
<th>Description</th>
<th>Technologies</th>
<th>Cost</th>
<th>EA Fee</th>
<th>HW/SW</th>
<th>EA Personnel</th>
<th>Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Sweetwater Authority</strong></td>
<td></td>
<td>Same scope as indicated in RFP</td>
<td>Modicon PLCs, Citect SCADA, Wonderware Historian, VMWare</td>
<td>n/a</td>
<td>$11M (est. total)</td>
<td>n/a</td>
<td>Adam Ekstrand, Adrian Leon, Kyle Pickrell, Dave Lewis, Zack Gentry</td>
<td>Justin Brazil, Director of Water Quality, (619) 409-6802</td>
</tr>
<tr>
<td><strong>2. Water Replenishment District of Southern California</strong></td>
<td></td>
<td></td>
<td>Modicon PLCs, Wonderware SCADA, Wonderware Historian, VMWare</td>
<td>n/a</td>
<td>$2.25M (est. total)</td>
<td>n/a</td>
<td>Alex Coker, Kyle Pickrell, Michael Nguyen, Zack Gentry, Jasmine Jauregui</td>
<td>Phuong Watson, Senior Engineer, (562) 275-4246</td>
</tr>
<tr>
<td><strong>3. City of Santa Ana</strong></td>
<td></td>
<td>Test platform management, source control, change control, extension of staff, annual budgeting and planning</td>
<td>Modicon M340 PLCs, Dynac SCADA, VMWare</td>
<td>n/a</td>
<td>$1M</td>
<td>n/a</td>
<td>Adam Ekstrand, Dave Lewis, Kyle Pickrell, Zack Gentry, Bryce Williamson</td>
<td>Cesar Barrera, Principal Civil Engineer, (714) 647-3387</td>
</tr>
</tbody>
</table>
4. Encina Wastewater Authority

**Project:** Master Services Agreement  
**Term:** 2017-present, 5-year contract

**Description:** Bi-annual maintenance, software support renewals, as-needed integration services, test platform management, extension of staff, emergency support, annual budgeting and planning

**Technologies:** Modicon PLCs, CitectSCADA, Allen Bradley PLCs and SCADA, VMWare

**Cost:** n/a  
**EA Fee:** $15M (est. total)  
**HW/SW:** n/a

**EA Personnel:** Adam Ekstrand, Zack Gentry, Adrian Leon, Dave Lewis, Matt Price

**Contact:** Scott McClelland, Assistant General Manager, (760) 268-8837

5. City of Huntington Beach

**Project:** Professional Services Agreement  
**Term:** 2016-present, 2x 3-year contracts plus 1-year extension

**Description:** Bi-annual maintenance, software support renewals, as-needed integration services, test platform management, extension of staff, emergency support, annual budgeting and planning

**Technologies:** Modicon M340 PLCs, Wonderware SCADA, Wonderware Historian, VMWare

**Cost:** n/a  
**EA Fee:** $2.5M (est. total)  
**HW/SW:** n/a

**EA Personnel:** Alex Coker, Michael Nguyen, Jasmine Jauregui, Kyle Pickrell

**Contact:** Mike Fry, SCADA Coordinator, (714) 536-5206

5.1.2 Annual Support Projects

Enterprise Automation is currently engaged with the following clients to provide annual support similar to that described in the Authority’s RFP:

6. City of Fresno

**Project:** Annual Support Contract  
**Term:** 2014-present, renewed annually

**Description:** Bi-annual maintenance, software support renewals, test platform management, extension of staff, emergency support, annual budgeting and planning

**Technologies:** Modicon PLCs, Citect SCADA, Wonderware Historian, VMWare

**Cost:** n/a  
**EA Fee:** $164,043  
**HW/SW:** n/a

**EA Personnel:** Jasmine Jauregui, Zack Gentry

**Contact:** Chris Carroll, Water Manager, (559) 621-5481

7. JR Simplot Helm

**Project:** Master Services Agreement  
**Term:** 2007-present, renewed annually

**Description:** Quarterly routine maintenance, annual major maintenance software support renewals, automation consulting, test platform management, emergency support

**Technologies:** Citect SCADA, Wonderware Historian, Allen Bradley PLCs, VMWare

**Cost:** n/a  
**EA Fee:** $856,748  
**HW/SW:** n/a

**EA Personnel:** Adrian Leon, Dave Lewis, Alex Coker

**Contact:** Agus Sumantri, Process Engineer, (559) 866-5681
5.1.3 **Capital Support Projects**

The following projects are examples of instances where Enterprise Automation was engaged to provide capital project support similar to that described in the Authority’s RFP.

<table>
<thead>
<tr>
<th>8. City of West Sacramento</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Project:</strong> Distribution SCADA Upgrade</td>
<td><strong>Period:</strong> 2/2019 – present</td>
</tr>
<tr>
<td><strong>Description:</strong> Automation consulting and SCADA construction management, communications panel design, testing coordination and validation, deployment support, training</td>
<td></td>
</tr>
<tr>
<td><strong>Technologies:</strong> Modicon PLCs, Wonderware SCADA, Wonderware Historian, XetaWave Radios</td>
<td></td>
</tr>
<tr>
<td><strong>Cost:</strong> $4.43M</td>
<td><strong>EA Fee:</strong> $300,000 (est. total)</td>
</tr>
<tr>
<td><strong>EA Personnel:</strong> Alex Coker, Luke Stephenson, Dave Lewis</td>
<td><strong>Contact:</strong> Mike Llapitan, Wonderware California, (707) 473-3175</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>9. City of Huntington Beach</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Project:</strong> Sewer Lift Stations</td>
<td><strong>Period:</strong> Design 5/2014-6/2015</td>
</tr>
<tr>
<td></td>
<td>Implementation 10/2016-8/2018</td>
</tr>
<tr>
<td><strong>Description:</strong> Developed standardized control panel and SCADA standards for the City’s sewer lift stations, PLC programming, SCADA configuration, training</td>
<td></td>
</tr>
<tr>
<td><strong>Technologies:</strong> Modicon M340 PLCs, Wonderware SCADA</td>
<td></td>
</tr>
<tr>
<td><strong>Cost:</strong> unknown</td>
<td><strong>EA Fee:</strong> $231,551</td>
</tr>
<tr>
<td><strong>EA Personnel:</strong> Dave Lewis, Michael Nguyen</td>
<td><strong>Contact:</strong> Mike Fry, SCADA Coordinator, (714) 536-5206</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>10. City of Santa Ana</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Project:</strong> Walnut Pump Station</td>
<td><strong>Period:</strong> 5/2016 - present</td>
</tr>
<tr>
<td><strong>Description:</strong> Integration management services, developed functional specifications, developed SCADA specification, developed PLC program, developed OIT programs, network design, MCC design review, training</td>
<td></td>
</tr>
<tr>
<td><strong>Technologies:</strong> M340 PLC, Dynac SCADA,</td>
<td></td>
</tr>
<tr>
<td><strong>Cost:</strong> $5M (est. total)</td>
<td><strong>EA Fee:</strong> $287,940 (est. total)</td>
</tr>
<tr>
<td><strong>EA Personnel:</strong> Adam Ekstrand, Zack Gentry, Kyle Pickrell, Dave Lewis</td>
<td><strong>Contact:</strong> Cesar Barrera, Principal Civil Engineer, (714) 647-3387</td>
</tr>
</tbody>
</table>
5.2 Experience and Technical Competence:

1. Provide evidence of the experience and technical competence of the Consultant’s team, including evidence that the team has the required certification and experience.

   Enterprise Automation has the most Schneider Electric and Wonderware Certifications in the country. Collectively, our engineers have invested hundreds of hours to earn them.

   We believe that manufacturer certifications are the most effective way to validate an engineer’s experience and technical competence. Each requires a significant investment by both the engineer and the employer to achieve. EA takes pride in the nearly $100,000 we invest annually to ensure our engineers are the most qualified in the industry.

   Please see Section 4.2 Certifications and Appendices A and B for a full record our engineering staff’s professional experience and manufacturer certifications.

2. In order to provide the Authority with an understanding of the Consultant’s commitment to manufacturer training and certification, provide details of any current manufacturer certifications that have been awarded to individual staff. Include all training and certification certificates in an appendix.

   Section 4.2 provides details on every required certification which Enterprise Automation staff has earned.

   Please see Appendices A and B for a full record our engineering staff’s professional experience and manufacturer certifications, required or otherwise.
3. As noted in the RFQ, the Authority will provide a Test Platform for the Consultant’s use. Provide details of similar environments the Consultant has used for other clients. For each system, include details such as system architecture, technologies utilized, system size, and how the system was used by the Consultant and/or the client.

A foundational resource to provide world-class startups and reliable SCADA operation is a meticulously maintained test platform, which is an identical copy of the production SCADA computing platform used for ongoing development and testing. The test platform facilitates superior quality control processes whereby bugs are identified and mitigated prior to deploying system updates onsite.

In our state-of-the-art centralized data center and lab, we set up and configure a development and test environment for each client, which resembles the client’s SCADA architecture as close as practical.

The core of the test bench is each client’s SCADA test platform server, which closely mimics a large majority of their SCADA architecture, software, and computing foundation (e.g. Windows, SCADA, Historian, networks, etc.).

We currently host test platforms for the following clients:

<table>
<thead>
<tr>
<th>Client</th>
<th>System</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>B. Braun</td>
<td>VMware vCenter Server, 66 VMs</td>
<td>2014 to present</td>
</tr>
<tr>
<td>City of Fresno - Distribution</td>
<td>VMware vCenter Server, 12 VMs</td>
<td>2010 to present</td>
</tr>
<tr>
<td>City of Fresno – North East Surface Water Treatment Plant</td>
<td>VMware vCenter Server, 13 VMs</td>
<td>2016 to present</td>
</tr>
<tr>
<td>City of Huntington Beach</td>
<td>VMware vCenter Server, 34 VMs</td>
<td>2014 to present</td>
</tr>
<tr>
<td>J.R. Simplot</td>
<td>VMware vCenter Server, 16 VMs</td>
<td>2008 to present</td>
</tr>
<tr>
<td>Santa Rosa Water Reclamation Facility</td>
<td>VMware vCenter Server, 13 VMs</td>
<td>2013 to present</td>
</tr>
<tr>
<td>Sweetwater Authority</td>
<td>VMware vCenter Server, 29 VMs</td>
<td>2005 to present</td>
</tr>
</tbody>
</table>

All other clients have virtualized test platforms which we host on our own hardware.

Test platforms are used daily for all aspects of design, implementation, and testing during capital projects. Each new or updated configuration is subjected to a thorough testing process which can only be executed safely in the isolated environment that a test platform provides.
4. The Authority will require the Consultant to implement the Authority’s source control system and use it to manage all code and configuration across the facilities. Provide details of systems that perform this function that the Consultant has deployed for other clients. Include details such as the software used and the functionality of the system.

Enterprise Automation has been using source control, primarily Visual SVN, internally since 2010 and have installed it locally at 80% of our Municipal clients’ sites, including the Sweetwater Authority. EA developed the Authority’s full suite of source control protocols and procedures which meet or exceed industry best practices. They have been used hundreds of times to successfully develop and deploy software upgrades.

Existing Municipal Clients with EA Managed Source Control Systems

- City of Fresno
- City of Huntington Beach
- City of Long Beach
- City of Santa Ana
- Encina Wastewater Authority
- Fallbrook Public Utilities District
- Orange County Sanitation District
- Sweetwater Authority
- Water Replenishment District
- Western Municipal Water District

The image below is an excerpt from the Authority’s source control system. It provides an effective example of the level of detail EA includes in each entry and demonstrates how we maintain full transparency with each configuration change.
5. The Authority will require the Consultant to implement the Authority’s documented change control system to manage changes required to the SCADA system. Provide details of change control systems that the Consultant has implemented for other clients. Include details such as the software used and the functionality of the system.

Enterprise Automation has, through proven experience, developed the processes and procedures to properly implement change control for our clients that are simple to administer.

Along with documented change control procedures, Mantis BT (our preferred platform) allows EA’s engineers to log a change request, develop a proposed solution and price, obtain authorization to implement the change, and log all notes, within a single interface.

We utilize this software to track bugs and feature requests for our internal IT department, and even use it to track maintenance requests for our own building. It has become more than just a tool for clients and is now an integral part of our own business operations.

We have been using Mantis BT as our sole change control software since 2012 and have implemented it for over 80% of our clients, including the Sweetwater Authority. EA has managed and executed over 500 change requests since the Authority’s change control system was initially implemented.

<table>
<thead>
<tr>
<th>Existing Clients (Municipal and Otherwise) with EA-Managed Change Control Systems</th>
</tr>
</thead>
<tbody>
<tr>
<td>B. Braun</td>
</tr>
<tr>
<td>City of Fresno</td>
</tr>
<tr>
<td>City of Huntington Beach</td>
</tr>
<tr>
<td>City of Santa Ana</td>
</tr>
<tr>
<td>Encina Wastewater Authority</td>
</tr>
<tr>
<td>J.R. Simplot</td>
</tr>
<tr>
<td>Orange County Sanitation District</td>
</tr>
<tr>
<td>QSC Audio</td>
</tr>
<tr>
<td>Rancho California Water District</td>
</tr>
<tr>
<td>Sweetwater Authority</td>
</tr>
<tr>
<td>Water Replenishment District</td>
</tr>
</tbody>
</table>
6. The Authority will require the Consultant to establish a tiered technical support system as described in the RFQ. Provide details of similar services provided to clients including written procedures for accessing technical support if they exist.

EA provides technical support to every client we serve. Our support programs, whether 24x7 or 10x5, cover three support scenarios:

<table>
<thead>
<tr>
<th>Tier</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Routine, scheduled maintenance</td>
<td>Quarterly or bi-annual visits to assess system health (software and hardware), test and apply operating system and firmware updates, collect change requests, collect site backups</td>
</tr>
<tr>
<td>2. Urgent support</td>
<td>On-call, accessed via direct contact with EA personnel or via after-hours call service via dedicated phone number, typical phone response times are less than one hour and on-site within 2.5 hours</td>
</tr>
<tr>
<td>3. Non-urgent support</td>
<td>On-call, accessed via direct contact with EA personnel or via after-hours call service via dedicated phone number, typical phone response times are less than one hour and on-site within 2.5 hours</td>
</tr>
</tbody>
</table>

Urgent and non-urgent support is provided via three tiers:

1. **Phone Support**
   
   Phone support will be provided 24 hours, 7 days a week. After hours support is for critical problems only that are threatening safety or production.
   
   *Phone support is the first tier of support provided.*

2. **Remote Support**
   
   Remote support and diagnosis of problems by EA engineers will be provided where necessary. Remote access combined with phone support is typically the fastest and most efficient way to address urgent support needs.
   
   The Authority does not currently have or allow remote access to their system. EA will, though, provide this service in alignment with the Department of Homeland Security’s Industrial Control System division (ICS CERT) if the existing policy changes.
   
   *Remote support is the second tier of support provided and will be provided when phone support options have been exhausted.*

3. **On-site Support**
   
   Where necessary, EA engineers will provide on-site support, with 24x7 support clients (such as SWA) receiving priority scheduling.
   
   *On-site support is the third tier of support provided and will be provided when phone support and remote support options have been exhausted.*
7. Provide details of clients for which the Consultant currently serves as an extension of staff managing their SCADA system and implementing new features as needed. State the number of continuous years you have been under direct contract with each client.

EA is currently serving as an extension of staff, under either professional or master services agreements for the following clients:

<table>
<thead>
<tr>
<th>Client</th>
<th>Years Contracted</th>
<th>Contract Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>City of Huntington Beach</td>
<td>3 years</td>
<td>2016 - 2020</td>
</tr>
<tr>
<td>City of Santa Ana</td>
<td>1 year</td>
<td>2018 - 2021</td>
</tr>
<tr>
<td>Encina Wastewater Authority</td>
<td>2 years</td>
<td>2017 - 2022</td>
</tr>
<tr>
<td>Sweetwater Authority</td>
<td>14 years</td>
<td>2005 - 2020</td>
</tr>
<tr>
<td>Water Replenishment District of Southern California</td>
<td>3 years</td>
<td>2016 - 2021</td>
</tr>
</tbody>
</table>

Additionally, EA is routinely called to act as an extension of staff through capital and expense projects, where clients are unable to solicit long-term service agreements. Below is a list of clients which EA is currently contracted to provide integration and automation consulting services on one or more projects:

<table>
<thead>
<tr>
<th>Client</th>
<th>Year of Initial Engagement</th>
</tr>
</thead>
<tbody>
<tr>
<td>City of Fresno</td>
<td>2008, 33 projects</td>
</tr>
<tr>
<td>City of Long Beach</td>
<td>2018, 5 projects</td>
</tr>
<tr>
<td>City of West Sacramento</td>
<td>2018, 1 project</td>
</tr>
<tr>
<td>Orange County Sanitation District</td>
<td>2013, 7 projects</td>
</tr>
<tr>
<td>Western Municipal Water District</td>
<td>2018, 1 project</td>
</tr>
<tr>
<td>JR Simplot Helm</td>
<td>2007, 72 projects</td>
</tr>
<tr>
<td>K&amp;N Engineering</td>
<td>2005, 19 projects</td>
</tr>
<tr>
<td>QSC Audio</td>
<td>2003, 24 projects</td>
</tr>
<tr>
<td>Hampton Products, Int.</td>
<td>2008, 20 projects</td>
</tr>
<tr>
<td>B. Braun Medical</td>
<td>2013, 23 projects</td>
</tr>
</tbody>
</table>
5.3 Consultant’s Organization and Key Personnel:

All engineers work out of EA’s only office in Irvine, CA. For more details on each project team member’s experience and qualifications, please see Volume II, Appendix A: Resumes.

<table>
<thead>
<tr>
<th>Consultant’s Organization and Key Personnel:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chris Schleich Engineering Manager</td>
</tr>
<tr>
<td>Derrick Malcolm Consultant</td>
</tr>
<tr>
<td>Luke Stephenson Business Operations and Project Manager</td>
</tr>
<tr>
<td>Dave Lewis, P.E. Senior Engineer</td>
</tr>
<tr>
<td>Alex Coker, P.E. Controls Engineer II</td>
</tr>
<tr>
<td>Adrian Leon Controls Engineer II</td>
</tr>
<tr>
<td>Zack Gentry Controls Engineer II</td>
</tr>
<tr>
<td>Kyle Pickrell Controls Engineer II</td>
</tr>
<tr>
<td>Michael Nguyen Controls Engineer II</td>
</tr>
<tr>
<td>Bryce Williamson Controls Engineer I</td>
</tr>
<tr>
<td>Jasmine Jauregui Controls Engineer II</td>
</tr>
</tbody>
</table>

*note: project team may vary between individual projects depending on expertise required*
6 Costs

Please see the envelope included with this proposal for our rates sheet which is valid through 12/31/2020.
Section 6.10

*The Authority reserves the right to modify these insurance requirements, including limits, based on the nature of the risk, prior experience, insurer, coverage or other circumstances.*

a. Exception:
   This action is outside the control of the Consultant and no limit to the increases that may be requested has been specified. An increase in insurance coverage could increase premiums significantly, particularly in relation to Errors and Omissions insurance.

b. Recommendation:
   Add the following sentence to this section:
   In the event Consultant is required to increase insurance coverages above the limits already in place by Consultant, the Authority will reimburse Consultant at cost for any additional premium incurred. Any requested increase in insurance coverage is dependent upon the Consultant’s insurance carriers’ willingness to grant the requested increase.

Section 15.8

*Disputes. If any disputes should arise between the Parties concerning the work to be done under this Agreement, the payments to be made, or the manner of accomplishment of the work, Consultant shall nevertheless proceed to perform the work as directed by the Authority pending settlement of the dispute.*

a. Exception:
   This clause does not sufficiently protect both parties’ interest. We would like to add a clause to this section to clarify that if a dispute were to occur, that payments on any undisputed work would not be withheld.

b. Recommendation:
   Add the following sentence to this section:
   Payment shall not be withheld on any undisputed portions of Consultant’s invoices.
VOLUME II - Appendices

REQUEST FOR QUALIFICATIONS
FOR
ON-CALL SCADA SYSTEM INTEGRATION
PROFESSIONAL SERVICES

SWA FILE: [S2019-94]

Prepared for: Sweetwater Authority
Submission Deadline: December 3, 2019 6 copies

Justin Brazil
Proposal Contact: Director of Water Quality
Phone: (619) 409-6802

Mail-to Address: Sweetwater Authority
Administration Office
505 Garrett Ave.
Chula Vista, CA 91910

Proposed by: Enterprise Automation
Primary Contact: Alex Stipe, Inside Sales Manager
Email: alex.stipe@eaintegrator.com
Cell: (949) 378-7087
Address: 210 Goddard
Irvine, CA 92618
Phone: (949) 769-6000, ext. 124
Fax: (949) 769-6005

[Logo: Enterprise Automation]
[Logo: Master System Integrator]
[Logo: Schneider Electric]
Table of Contents

<table>
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<th>Tab</th>
</tr>
</thead>
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<tr>
<td>2. Appendix B: Certifications</td>
<td>2</td>
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<tr>
<td>3. Appendix C: Project Profiles</td>
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Appendix A: Resumes

Following is a collection of resumes of Enterprise Automation personnel who may be assigned to one or more Chino Desalter Authority tasks. Engineers are assigned based on technical expertise and availability.

Contents:

<table>
<thead>
<tr>
<th></th>
<th>Name</th>
<th>Role</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Adam Ekstrand</td>
<td>(Lead Engineer)</td>
<td>1</td>
</tr>
<tr>
<td>2</td>
<td>Adrian Leon</td>
<td>(Controls Engineer II)</td>
<td>2</td>
</tr>
<tr>
<td>3</td>
<td>Alex Coker</td>
<td>(Controls Engineer II)</td>
<td>3</td>
</tr>
<tr>
<td>4</td>
<td>Bryce Williamson</td>
<td>(Controls Engineer I)</td>
<td>4</td>
</tr>
<tr>
<td>5</td>
<td>Dave Lewis</td>
<td>(Senior Engineer)</td>
<td>5</td>
</tr>
<tr>
<td>6</td>
<td>Jasmine Jauregui</td>
<td>(Controls Engineer II)</td>
<td>6</td>
</tr>
<tr>
<td>7</td>
<td>Kyle Pickrell</td>
<td>(Controls Engineer II)</td>
<td>7</td>
</tr>
<tr>
<td>8</td>
<td>Luke Stephenson</td>
<td>(Business Operations and Project Manager)</td>
<td>8</td>
</tr>
<tr>
<td>9</td>
<td>Michael Nguyen</td>
<td>(Controls Engineer II)</td>
<td>9</td>
</tr>
<tr>
<td>10</td>
<td>Zack Gentry</td>
<td>(Controls Engineer II)</td>
<td>10</td>
</tr>
</tbody>
</table>
Professional Summary

- **Engineering**
  Fifth year lead engineer with experience in industrial automation and controls concentrated on water and wastewater, including specialization in network architecture, PLC programming, advanced SCADA programming, SCADA standards development, virtualization, functional specification development, critical process cutover planning, field inspections, SCADA preventative maintenance, and project execution planning.

Formal Education

- Bachelor of Science, Electrical Engineering  
  Cal Poly – Pomona, 2010

Professional Certifications

- Citect SCADA Certified Expert (CSCE)  
  Schneider Electric, 2018
- Networking Certified Professional (NCP)  
  Schneider Electric, 2016
- PlantStruxure Certified Expert (PSXCE)  
  Schneider Electric, 2016
- Unity Pro Certified Professional (UCP)  
  Schneider Electric, 2016

Formal Training

- VTScada Advanced Configuration and Scripting  
  Trihedral, 2017

Significant Projects

- **Sweetwater Authority Desalination Facility Controls Upgrade**
  Lead Engineer for upgrade and expansion of complete control system for a groundwater desalination facility that was upgraded from 4MGD to 10MGD capacity. The plant required controls for 11 wells, 9 chemical injection systems, 6 reverse osmosis trains, 2 iron and manganese removal trains, 2 pumping stations and various miscellaneous systems. Project scope included function specifications for all plant equipment, design of fiber optic, coaxial and radio communication networks, design of 10 PLC I/O panels and 21 VFD panels. Configuration and testing activities included Unity Pro PLC programming for 12 PLCs, Citect SCADA screen development, as well as plant startup and commissioning services.

- **Rancho California Water District Distribution System SCADA Upgrade**
  Lead Engineer on a contract that upgraded RCWD’s water distribution SCADA system. The system upgrade involved replacing the legacy RSView32 system, MSSQL based zone optimization engine, and multiple Kepware communication drivers, with a virtualized Microsoft Domain based redundant CitectSCADA system. The new system replaced several driver variations with Modbus gateways over 900MHz radios to over 140 remote sites. Responsibilities included project team technical oversight, tag database conversion, cutover workshops, quality assurance, and lead programming for zone based pump energy optimization engine.

- **Rancho California Water District Water Recycling Facility Controls Platform Upgrade**
  Lead Engineer for platform upgrade implementation which included consolidating 8 computers and 25 network devices into enterprise class servers running virtualized computers with VMWare. Platform includes redundant InTouch 7.0 servers, thin clients, firewall for remote access, and UPS backup power. Network backbone replacement included redundant industrial managed switches, redundant power supplies, and redundant fiber optic ring install with self-healing configurations for SCADA communications with 10 redundant GE PLCs. Plant processes remained online and were not impacted at any phase of cutovers.
Adrian Leon, EIT
Certified: Unity Pro, Networking, PlantStruxure
Primary Location: Irvine, CA
Full-time Controls Engineer II, 5 years experience

Professional Summary

- **Engineering**
  Technical knowledge and experience including writing SCADA standards, writing SCADA specifications, Ethernet networking, Modicon/Schneider Electric Unity PLCs, Allen Bradley PLCs, FactoryTalk View, Schneider Electric CitectSCADA, Schneider Electric Vijeo Historian, Schneider Electric Ampla.

Formal Education

- Bachelor of Science, Mechanical Engineering
  Cal Poly - San Luis Obispo, 2013

Professional Certifications

- EcoStruxure Plant Certified – PLC Modernization
  Schneider Electric, 2018
- PlantStruxure Certified Expert (PSXCE)
  Schneider Electric, 2016
- Networking Certified Professional (NCP)
  Schneider Electric, 2016
- Unity Pro Certified Professional (UCP)
  Schneider Electric, 2016
- Vijeo Citect Certified Engineer (VCCE)
  Schneider Electric, 2017
- Wonderware Historian Server 2017 Update 2
  Wonderware, 2018
- Wonderware Application Server 2014 R2
  Wonderware, 2017
- Engineer In Training (EIT)
  State of California, 2012

Formal Training

- Wonderware Application Server 2014
  Wonderware, 2017
- CitectSCADA 7.3 Configuration, Architecture, and Redundancy
  Schneider Electric, 2014

Significant Projects

- **Sweetwater Authority**
  Desalination Plant Upgrade Reporting, MES, and Data Analytics
  Served as Lead Engineer and programmer on a project to upgrade their existing Ampla MES and reporting systems. The main goals of the project were to create a lasting system with no bugs, a new virtual machine, the latest revision of Ampla, and to incorporate changes required by a major SCADA and PLC upgrade project running in parallel.

- **Sweetwater Authority**
  Distribution System SCADA Upgrade
  Served as Project Engineer on a water distribution SCADA system upgrade. The project involved an upgrade to a newer version of CitectSCADA, remote site communication architecting, tag database conversion (5,000 tags), replacement of all existing HMI screens, and Historian and reporting updates. Responsibilities included renaming and readressing all tags to use new address and tagging standards, developing all new screens in CitectSCADA, and onsite commissioning.

- **J.R. Simplot**
  Ammonia Storage and Loading System
  Served as Project Engineer and programmer on a greenfield ammonia storage and loading facility for a nitric acid fertilizer plant. Responsibilities included programming the Allen Bradley based PLC and remote I/O system, development of both a CitectSCADA and FactoryTalk View ME based HMI, and onsite commissioning and startup.
Professional Summary

- Engineering
  Experienced SCADA and network architecture specialist. Specific experience in SCADA specification writing, SCADA standards development, VMware virtualization, networking, cyber security, Modicon/Schneider Electric Unity PLCs, Allen Bradley PLCs, FactoryTalk View ME, CitectSCADA, and Wonderware App Server and Historian.

Formal Education

- Bachelor of Science, Chemical Engineering Cal Poly Pomona, 2014

Professional Certifications

- Citect SCADA Certified Expert (CSCE) AVEVA, 2018
- Wonderware Application Server 2017 U2 AVEVA, 2019
- Palo Alto Networks Accredited Configuration Engineer (ACE) Palo Alto Networks, 2015
- EcoStruxure Plant Certified – Hybrid DCS Schneider Electric, 2019
- EcoStruxure Plant Certified – PLC Modernization Schneider Electric, 2018
- Networking Certified Professional (NCP) Schneider Electric, 2016
- PlantStruxure Certified Expert (PSXCE) Schneider Electric, 2016
- Unity Pro Certified Professional (UCP) Schneider Electric, 2016
- Professional Engineer, Control System Engineering, CS 7596 State of California, 2019
- VMware Certified Professional (VCP6-DCV) VMware, 2017

Formal Training

- Wonderware Application Server 2014 Schneider Electric, 2014
- VMware VCP6-DCV Training VMware, 2016

Significant Projects

- Sweetwater Authority Treatment Plant Hydroelectric Station
  Served as engineer on a project to implement a hydroelectric station used to generate electricity from a high pressure pipeline used as the raw water feed to a treatment plant. Responsibilities included: composition of the functional specification, development of new SCADA standards, programming of the Unity Pro based PLC, development of new CitectSCADA graphics and screens, and on-site startup and commissioning. Complex control strategies were used to minimize pressure and flow disruption on the pipeline while turbines spin up and down, while also optimizing turbine usage to maximize electricity generation for a particular flow regime.

- Water Replenishment District of Southern California Wonderware SCADA Template
  Served as engineer on a project to implement a standard Wonderware HMI menu interface used across five separate facilities. Responsibilities included: design and specification of the interface, programming of the ArchestrA graphics and InTouch windows, configuration of the backend Wonderware Galaxy, and on-site commissioning. The standard HMI interface allows for consistent system operation across all the district's facilities.
Bryce Williamson, EIT
Certified: Unity Pro, Networking, Wonderware Historian
Primary Location: Irvine, CA
Full-time Controls Engineer I, 1 years experience

Professional Summary

- **Engineering**
  First year Jr. Engineer with technical knowledge and experience programming with Schneider Electric and Allen Bradley PLCs. Has experience in programming and configuring in the following environments: Unity Pro, Citect SCADA, RSLogix 500, Studio 5000, and Wonderware Historian.

Formal Education

- Bachelor of Science, Mechanical Engineering University of California, Los Angeles, 2018

Professional Certifications

- Engineer In Training (EIT) State of California, 2018
- Wonderware Historian Server 2017 U2 AVEVA, 2019
- Network Certified Professional (NCP) Schneider Electric, 2019
- Unity Pro Certified Professional (UCP) Schneider Electric, 2019

Formal Training

- Wonderware Historian Server 2014 R2 Schneider Electric, 2018

Significant Projects

- **Encina Wastewater Authority**
  Investigated and programmed Allen Bradley PLCs for to reintegrate existing, but unused, feed pumps for the Ultra-Filtration (UF) system. The control system consisted of three Allen Bradley PLCs; two of which were used to control the 5 feed pumps for the UF system. Programming required configuring messaging between the PLCs as well as working across different Allen Bradley software. Frequent communications with the operators was necessary for programming a new five pump lead, lag control scheme with the new pumps added in.

- **Encina Wastewater Authority**
  Investigated several aspects of the CWRF facility as part of a comprehensive audit of the SCADA/Control system. The audit included an investigation and scoring of software, hardware, documentation, security, disaster recovery, training, and overall system performance. Created a draft audit summary document that highlighted key findings.

- **Encina Wastewater Authority**
  Served as a supporting engineer on a contract to design a new plantwide network architecture for the Encina Wastewater Facility. Created a technical memo used to highlight design decisions for part of a request for bid package for a general contractor. Created drawings of the network cabinets, fiber optic termination cabinets, and server room floor layout drawings in Visio.

- **Sweetwater Authority**
  Served as a supporting engineer on a contract to upgrade the existing Vijeo Citect Historian with a new Wonderware Historian. Installed and configured the Citect Connector, Wonderware Historian, and SQL server software on the virtual machines (VMs). Prepared testing plans, deploy plans, and a new training manual for the operators on the new system.
Professional Summary

- **Engineering**
  Over 24 years of Industrial automation and controls utilizing Modicon/Schneider Electric, Allen-Bradley, Barber-Colman/Eurotherm, Siemens, CitectSCADA, Wonderware InTouch, motion control, and VFDs. Specialties include Schneider Electric PLC programming and panel design, installation, and commissioning.

Formal Education

- Bachelor of Science, Electrical Engineering  
  University of Akron, 1993

Professional Certifications

- Unity Pro Certified Professional (UCP)  
  Schneider Electric, 2016
- Licensed Professional in Electrical Engineering  
  State of California

Formal Training

- Wonderware App Server 2014 R2 SP1  
  Schneider Electric, 2018

Significant Projects

- **Sweetwater Authority Desalination Expansion**
  Served as Engineer on a project to overhaul the SCADA system during the expansion of a reverse osmosis desalination facility. Responsibilities included field investigation of existing systems, the design of 11 new control cabinets for ground water wells and water treatment, the design of upgrade modifications for existing control cabinets, development of work orders to complete the upgrade. Worked in coordination with multiple contractors to perform onsite implementation and startup processes.

- **Sweetwater Authority Water Treatment Facility Control System Upgrade**
  Served as Project Engineer, panel designer and programmer on multiple contracts to upgrade a controls system for a 30M gallon water treatment facility. The projects involved modifications, additions, and upgrades to a redundant CitectSCADA server system, single and multi-monitor clients, historian, and AMPLA system. The scope of work included implementing a new Unity Pro based Modicon plant master PLC with Ethernet based field I/O. Responsibilities included field investigation of existing systems, field I/O panel design, Modicon Unity Pro programming and configuration, CitectSCADA programming, software standards development, software implementation, electrical design, onsite implementation and startup.

- **Rancho California Water District Waste Water Treatment Facility Controls System Documentation**
  Served as Project Engineer to document existing electrical, PLC, and SCADA controls at a 5M gallon waste water treatment facility. This documentation was then used in conjunction with the district to budget and schedule for a multiyear controls system upgrade for the facility. Responsibilities included collecting existing customer as-built drawings and verifying that they matched existing field control panel wiring, developing documentation on all existing control systems, and identification of possible future PLC and remote I/O panel locations.
Jasmine Jauregui, EIT
Certified: Citect SCADA, Wonderware App Server & Historian
Primary Location: Irvine, CA
Full-time Controls Engineer II, 4 years experience

Professional Summary

- Engineering
  Project Engineer with specialized experience in PLC/SCADA standards design, configuration, and reverse engineering of legacy systems. Experienced in programming and commissioning of Citect SCADA, Wonderware InTouch and ArchestrA, Allen Bradley PLCs, and Modicon/Schneider PLCs.

Formal Education

- Master of Science in Mechanical Engineering
  UCLA, 2015
- Bachelor of Science in Mechanical Engineering
  Loyola Marymount University, 2014
  - Minor in Applied Mathematics

Professional Certifications

- Engineer In Training (EIT)
  State of California, 2013
- Wonderware Application Server 4.1 2014 R2
  Wonderware, 2016
- Wonderware Historian 11.6 2014 R2
  Wonderware, 2018
- Vijeo Citect Certified Expert (VCCE)
  AVEVA, 2019
- Unity Pro Certified Professional (UCP)
  Schneider Electric, 2019
- Network Certified Professional (NCP)
  Schneider Electric, 2019

Formal Training

- Wonderware App Server 2014 R2
  Schneider Electric, 2015
- VTScada Advanced Configuration and Scripting
  Trihedral, 2017

Significant Projects

- City of Huntington Beach
  Water Production SCADA Replacement Design
  Investigated the existing Wonderware ArchestrA and InTouch based SCADA system and developed a SCADA Reference Specification to identify main components and structure of the existing system in preparation for the replacement design. The project involved developing a replacement design for the Water Production SCADA system. There was complex logic being handled by the HMI that needed to be identified and captured in the design replacement so it was important to interview the client and review those areas with them.

- Water Replenishment District of Southern California
  SCADA Standards
  Configured new HMI standards in a Wonderware ArchestrA based SCADA system. This project created Unity PLC and Wonderware SCADA standards for the new SCADA platform. Because the facility standards would be new to operations and management, frequent webinars were held with the client to engage input and review configurations throughout the design and development phases of the project.
Professional Summary

• Experience
Second year junior engineer with specific expertise in HMI and PLC configuration. Technical knowledge and experience with PLC/SCADA design, reverse engineering, networking, programming, installation, and commissioning of a variety of systems including VijeoCitect SCADA, Wonderware InTouch and ArchestrA, and Modicon/Schneider PLCs.

Formal Education

• Bachelor of Science, Mechanical Engineering Cal Poly – Pomona, 2016

Professional Certifications

• EIT (Engineer in Training) State of California, 2016
• Vijeo Citect Certified Professional (VCCP) Schneider Electric, 2017
• Wonderware Historian 11.6 2014 R2 Wonderware, 2017
• Network Certified Professional (NCP) Schneider Electric, 2019
• Unity Pro Certified Professional (UCP) Schneider Electric, 2019
• CitectSCADA Certified Engineer (CSCE) Schneider Electric, 2019

Formal Training

• VTScada Advanced Configuration and Scripting Trihedral, 2017

Significant Projects

• Sweetwater Authority Desalination Plant Upgrade Configuration
Played key role on expansion project for Desalination plant. Completed various project tasks during an ongoing one-year assignment to this project. Responsibilities included configuration, testing, and verification of dozens of SCADA screens; investigation and testing communications between third party power meters, Citect, and Modicon PLCs. Also involved in testing of SCADA software. This was the largest project the company had to date and many hurdles were overcome involving the project’s size and duration.

• Sweetwater Authority Desalination Plant Upgrade Commissioning
Served as Engineer during a six-week commissioning and deployment period at Sweetwater Authority's Desalination plant. Responsibilities included investigation and testing of numerous field devices, investigation and testing of communications between Modicon PLCs and field devices, and equipment PID tuning. EA worked with and around several subcontractors hired by the Authority during commissioning. This proved to be a unique challenge for coordination and required deployment plans and checklists to be developed far in advance and thoroughly reviewed with all parties involved.

• City of Santa Ana Walnut Pump Station Upgrade
Programmed new PLC and OIT systems for an upgraded pump station leveraging SCADA standards developed by another team member. The project involved significant system updates that required a new PLC and OIT to run the station effectively. Overcame numerous challenges regarding the communications between the station’s old SCADA system and upgraded SCADA system both running at the same time.
Professional Summary

- **Experience**
  Business, Project, and Engineering Management experience, including controls projects and industrial design-build projects. Record of accomplishment of proactively working with customers to identify problems and guide them through solutions to end results that provide relief and closure. Experience with managing internal teams and external resources to complete projects on time, on budget, and within scope.

**Formal Education**

- Master of Business Administration University of California, Irvine, 2019
- Bachelor of Science, Manufacturing Engineering Brigham Young University, Provo, 2010

**Certifications**

- Project Management Professional (PMP) Project Management Institute, 2017
- Engineer In Training (EIT) State of California, 2013

**Significant Projects**

- **Sweetwater Authority** RO Desalination Facility
  Project Manager on a 5 to 10 MGD reverse osmosis desalination plant expansion. The project involved a complete controls system and telemetry replacement for 11 remote groundwater wells, and the entire treatment plant. Oversaw the design, fabrication and delivery of 11 new PLC cabinets for remote groundwater wells, 21 new chemical pump VFD control panels, and 11 new plant PLC and remote IO cabinets. The project also included numerous client and designer workshops to define plant control schemes, brand new PLC and HMI programs as well as extensive startup and commissioning planning and support.

- **Sweetwater Authority** Hydroelectric Power Plant
  Project Manager over a small-scale Hydroelectric pressure reduction station. Oversaw the team of engineers tasked with developing a complex control strategy to provide consistent untreated water flow from San Diego County to the Perdue Water Treatment plant for processing. The system included complex constraints about the startup and sequencing of equipment, as well as interconnection and synchronization to the utility grid.

- **J.R. Simplot** Ammonia Storage and Loading System
  Served as Project Manager on a greenfield ammonia storage and loading facility for a nitric acid fertilizer plant. Responsibilities included project schedule and budget management, oversight of engineering team, coordination with larger contracting team to arrange witnessed testing and startup.

- **McCommas Bluff Landfill Gas to High BTU Plant Upgrades**
  With a previous employer, served as Engineering and Field Manager during a multi-year, $30M construction project. Directed the work of civil, electrical, mechanical and controls sub-contractors while overseeing in house design of the facility. Involved in process and piping design and drawing packages through startup and commission, and eventual turnover to client.

- **Graham Landfill Cogen Facility**
  With a previous employer, served as Engineering and Field Manager for a new $8M green power generation facility using landfill biogas to power three Caterpillar 3520 engine generators. The facility generated 4.5MW of continuous power for the local utility. Directed the work of civil, electrical, mechanical and controls sub-contractors while overseeing in house design of the facility. Involved in process and piping design and drawing packages through startup and commission, and eventual turnover to client.
Professional Summary

- **Engineering**
  Fourth year project engineer with specific expertise in Modicon PLC programming, Wonderware System Platform development, Magellis OITs, and Citect SCADA development. Combines technical knowledge, reverse engineering experience and diligent documentation to execute projects efficiently and effectively.

Formal Education

- Bachelor of Science, Chemical Engineering
  University of California, Irvine, 2016
  Minor in Materials Science and Engineering

Professional Certifications

- EIT (Engineer in Training)
  State of California, 2016
- Wonderware Application Server 4.1 - 2014 R2
  Wonderware, 2016
- Wonderware Historian 11.6 - 2014 R2
  Wonderware, 2017
- Networking Certified Professional (NCP)
  Schneider Electric, 2019
- Unity Certified Professional (UCP)
  Schneider Electric, 2019
- CitectSCADA Certified Engineer (CSCE)
  Schneider Electric, 2019

Formal Training

- Wonderware Application Server 4.1 - 2014 R2
  Schneider Electric, 2016

Significant Projects

- **Sweetwater Authority Fluoridation National City & Perdue**
  Started up a 30MGD water treatment upgrade after investigating, testing, and fixing bugs in the Citect SCADA development process. During the on-site deploy, successfully performed manual PID loop tuning on the new chemical pump system for optimal dosing control. Currently a primary developer and point of contact for water quality reports and historian data links.

- **City of Huntington Beach SCADA System Maintenance**
  Served as Engineer on a project to develop a replacement design for the 55MGD capacity Water Production SCADA system. Responsibilities included investigation of the existing Wonderware ArchestrA and InTouch based system and modification and development of ArchestrA IDE objects. Currently serving as Engineer on an ongoing project to implement wastewater lift station upgrades for 32 sites. Responsibilities include network architecture analysis, Modicon PLC programming and Magellis OIT programming.

- **Water Replenishment District (WRD) of Southern California SCADA Standards Implementation**
  Served as Engineer on a project to develop SCADA standards on Wonderware System Platform for future use in all facilities. I also assisted in the virtualization and networking of the District’s five geographically different physical sites. Responsibilities included development of ArchestrA IDE objects, InTouch programming, system virtualization, network documentation and design, and on-site start up.
Zack Gentry
Certified: Unity Pro, Networking, CitectSCADA
Primary Location: Irvine, CA
Full-time Controls Engineer II, 4 years experience

Professional Summary

- **Engineering**
  Technical knowledge and experience including designing PLC/SCADA standards, writing site functional descriptions, programming, installation, and commissioning of a variety of systems including CitectSCADA and Modicon/Schneider Electric PLCs.

Formal Education

- Bachelor of Science, Chemical Engineering - Minor in Materials Science and Engineering
  Cal Poly Pomona, 2015

Professional Certifications

- Water Distribution Operator, Grade D2 State of California, State Water Resources Control Board, 2019
- Vijeo Citect Certified Professional (VCCP) Schneider Electric, 2015
- Unity Pro Certified Professional (UCP) Schneider Electric, 2016
- Networking Certified Professional (NCP) Schneider Electric, 2016
- PlantStruxure Certified Expert (PSXCE) Schneider Electric, 2016
- CitectSCADA 2016 Cicode Programming Schneider Electric, 2018
- EcoStruxure Plant Certified – PLC Modernization Schneider Electric, 2018
- EcoStruxure Plant Certified – Hybrid DCS Schneider Electric, 2019

Significant Projects

- **Sweetwater Authority Desalination Facility Expansion**
  Served as Engineer on a project to overhaul the SCADA and control systems during the expansion of a 10-million gallon per day reverse osmosis desalination facility. Responsibilities included developing the functional specification for the facility and programming of the Schneider Electric Quantum and M340 Unity-based PLC programs, onsite commissioning and testing.

- **Encina Wastewater Authority Wastewater Facility SCADA Replacement Design**
  Served as Engineer on a project to replace the SCADA and controls system of a wastewater facility serving over 400,000 residents. Responsibilities included investigation of the existing control system to identify areas for networking and control systems improvements and designing, documenting, programming and testing of SCADA and PLC standards.

- **City of Fresno Water Treatment Plant SCADA Upgrade**
  Served as Engineer on a project to upgrade obsolete hardware and software for the facility’s control system. Responsibilities included conversion of the existing Hot Standby Quantum PLC program from Concept v2.6 to Unity Pro v11.0, reverse engineering of the communications between the plant’s main Quantum PLC and various obsolete field devices, re-programming the field device communications using Ethernet and serial, and programming the plant’s main Quantum PLC to control 18 additional valves, providing on-site support during commissioning and testing.
Appendix B: Certifications

Following is a collection of certifications earned by both Enterprise Automation as a company and individual staff members.

Note that several of the certifications listed in this proposal and on employee resumes had not yet been delivered by Schneider Electric at the time of writing this proposal and are absent from the list below. The following are the certifications that are currently held but absent from this appendix:

- Bryce Williamson
  - Networking Certified Professional
  - Unity Pro Certified Professional
- Jasmine Jauregui
  - Networking Certified Professional
- Kyle Pickrell
  - Networking Certified Professional
  - Citect SCADA Certified Expert
- Michael Nguyen
  - Networking Certified Professional
  - Unity Pro Certified Professional

If requested, Enterprise Automation can provide confirmation from Schneider Electric that these certifications have been earned.

Contents:

Organization Certifications

1. EA - CSIA Certified Member........................................................................................................1
2. EA - Schneider Electric Master Alliance Partner .................................................................2
3. EA - Wonderware System Platform Certified Systems Integrator .................................3

Staff Certifications

1. Alex Coker
   a. Wonderware Application Server Developer.................................................................5
   b. Citect SCADA Certified Expert..................................................................................6
   c. DHS ICS Cyber Security (301)..................................................................................7
   d. Networking Certified Professional..............................................................................8
   e. Palo Alto ACE..............................................................................................................9
   f. PlantStruxure Certified Expert ................................................................................10
   g. EcoStruxure PLC Modernization..............................................................................11
h. Unity Pro Certified Professional ............................................................... 12
i. VMWare VCP6-DCV ............................................................................. 13
j. Professional Engineer License .................................................................. 14

2. Adam Ekstrand
   a. Citect SCADA Certified Expert ............................................................... 15
   b. Networking Certified Professional ......................................................... 16
   c. PlantStruxure Certified Expert ............................................................... 17
   d. Unity Pro Certified Professional ............................................................. 18

3. Adrian Leon
   a. Wonderware Application Server Developer ............................................. 19
   b. Wonderware Historian Developer ............................................................ 20
   c. Networking Certified Professional ......................................................... 21
   d. PlantStruxure Certified Expert ............................................................... 22
   e. EcoStruxure PLC Modernization ............................................................. 23
   f. Unity Pro Certified Professional ............................................................. 24
   g. Vijeo Citect Certified Expert ................................................................. 25

4. Bryce Williamson
   a. Wonderware Historian Developer ............................................................ 26

5. Dave Lewis
   a. California Electrical Engineering P.E. License ........................................ 27
   b. Unity Pro Certified Professional ............................................................. 28

6. Jasmine Jauregui
   a. Wonderware Application Server Developer ............................................. 29
   b. Wonderware Historian Developer ............................................................ 30
   c. Vijeo Citect Certified Expert ................................................................. 31

7. Kyle Pickrell
   a. Wonderware Historian Developer ............................................................ 32
   b. Vijeo Citect Certified Professional .......................................................... 33

8. Michael Nguyen
   a. Wonderware Application Server Developer ............................................. 34
   b. Citect SCADA Certified Expert ............................................................... 35
   c. Wonderware Historian Developer ............................................................ 36
   d. Vijeo Citect Certified Expert ................................................................. 37
9. Zack Gentry
   a. Citect SCADA Certified Expert ................................................................. 38
   b. Networking Certified Professional ......................................................... 39
   c. PlantStruxure Certified Expert ............................................................... 40
   d. EcoStruxure PLC Modernization ............................................................ 41
   e. Unity Pro Certified Professional ............................................................. 42
   f. Vijeo Citect Certified Professional .......................................................... 43
Enterprise Automation has been audited and conforms to all requirements necessary to be a

CERTIFIED MEMBER

of the

CONTROL SYSTEM INTEGRATORS ASSOCIATION

March 29, 2017 – March 29, 2020

José M. Rivera, CSIA CEO

Lynda Patterson, FASAE, CAE, CSIA President

CSIA Member Since: 2006

CSIA Certified Since: 2017
Schneider Electric
Alliance Integration Partnership Certificate

Enterprise Automation
is a valued
Alliance Integration Partner with
Schneider Electric

Partnership number: SEAP1411US
Valid through: December 31, 2019

Authorised by

Andre Marino
Industry Business
Global VP End User Automation

Carlos Villa
VP, Industry US
North America Operations

Madiha Khalfi
System Integrator
Alliance Program Director

Partnership level: Master Alliance
Certification achieved:
Control System    HMI/SCADA    Modernization

Appendix B: Certifications
RFQ for On-Call SCADA System Integration
Professional Services SWA File: S2019-94
### Wonderware SI Company Profile

**Enterprise Automation**

Enterprise Automation is an incorporated engineering company servicing all phases of control systems integration, including specification development, panel design, PLC programming, SCADA configuration, network design, testing, startup, training, O&M documentation, and MES systems.

[VISIT WEBSITE](#)

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<th>SI Product Certifications:</th>
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<tr>
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<td>Industrial Application Server: 10</td>
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**References Available** (Available upon request)
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<td>Machinery</td>
<td>Medical Products</td>
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<td>Validation</td>
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### Integration Expertise:

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<td>Continuous Process</td>
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<td>Control System Hardware</td>
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<tr>
<td>Control System Software</td>
<td>Drive, Drive Systems, A/C &amp; DC</td>
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<tr>
<td>Manufacturing Management Systems</td>
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<tr>
<td>Process Controls</td>
<td>Process Visualization</td>
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</tbody>
</table>

### Company Info

210 Goddard  
IRVINE, CA 92618  
UNITED STATES

Total Employees: 21  
Engineers: 11  
Programmers: 11  
Outside Sales: 2

### Contact Info

Contact: Mr Scott Pickford  
Email: scott.pickford@eaintegrator.com  
Phone: 949 769 6000  
Fax: 949-769-6005
This is to Certify that

Alex Coker
Enterprise Automation

Is an Authorized
Wonderware Application Developer
for

CSI Application Server 2017 Update 2 Exam

Effective Date: 27 Feb 2019
Serial Number: 144963-17577-27022019
CERTIFICATE OF TRAINING

This is to certify that

Alex Coker

has successfully completed the requirements to be recognised as a

Citect SCADA Certified Expert (CSCE) Version 2016

Russell Ridgway (Training Manager)

03 October 2018

Date
Certificate of Training

Presented by the
Industrial Control Systems Cyber Emergency Response Team
U.S. Department of Homeland Security

To

Alexander Coker

For completion of the following course:
Industrial Control Systems Cyber Security (301) Training

May 5, 2017
This is to certify that
Alex Coker

Has successfully completed the requirements to be recognised as a Networking Certified Professional

On the
November 2, 2015

Tristan Powell
Training & Certification Manager
Process Automation

José Bonomo
Vice President Offer Management & Strategy
Hybrid Systems, Process Automation
Certificate of Accreditation

for

Palo Alto Networks ACE

is hereby granted to

Alex Coker

for successful completion of

Accredited Configuration Engineer (ACE) Exam - PAN-OS 6.1 Version

Date: 7/1/2015

Roger Connolly
Director of Education
This is to certify that

Alex Coker

Has successfully completed the requirements to be recognised as a

PlantStruxure Certified Expert

On the

25\textsuperscript{th} March 2016

Tristan Powell

Training & Certification Manager
Process Automation

José Bonomo

Vice President Offer Management & Strategy
Hybrid Systems, Process Automation
This is to certify that
Alex Coker

Has successfully completed the requirements to be recognised as
EcoStruxure Plant Certified - PLC Modernization

On the
20/09/2018

Tristan Powell
Global Training & Certification Manager
EcoStruxure Enablement, Industry Business

Christine Shim
Director
EcoStruxure Enablement, Industry Business
This is to certify that
Alex Coker

Has successfully completed the requirements to be recognised as a
Unity Pro Certified Professional

On the
March 24, 2016

Tristan Powell
Training & Certification Manager
Process Automation

José Bonomo
Vice President Offer Management & Strategy
Hybrid Systems, Process Automation
VMware is proud to award the title of
VMware Certified Professional 6
Data Center Virtualization
to
Alex Coker
in recognition of successful completion
of all certification requirements

CERTIFICATION DATE: Saturday, August 12, 2017
VALID THROUGH: Monday, August 12, 2019
CANDIDATE ID: VMW-01519246N-00574154
RENEWAL DATE: Saturday, August 12, 2017
Educational Services

This is to certify that
Adam Ekstrand

has successfully completed the requirements to be recognised as a
Citect SCADA Certified Expert (CSCE)
Version 2016

on 13/06/2018

AUTHORISED BY

Ted Saoumi
Business Development Manager

Karun Sukhwani
Services and Support Director
This is to certify that
Adam Ekstrand

Has successfully completed the requirements to be recognised as a Networking Certified Professional

On the
March 24, 2016

Tristan Powell
Training & Certification Manager
Process Automation

José Bonomo
Vice President Offer Management & Strategy
Hybrid Systems, Process Automation
This is to certify that
Adam Ekstrand

Has successfully completed the requirements to be recognised as a
PlantStruxure Certified Expert

On the
24th March 2016

Tristan Powell
Training & Certification Manager
Process Automation

José Bonomo
Vice President Offer Management & Strategy
Hybrid Systems, Process Automation
This is to certify that
Adam Ekstrand

Has successfully completed the requirements to be recognised as a
Unity Pro Certified Professional

On the
March 24, 2016

Tristan Powell
Training & Certification Manager
Process Automation

José Bonomo
Vice President Offer Management & Strategy
Hybrid Systems, Process Automation
This is to Certify that

Adrian Leon

Enterprise Automation

Is an Authorized

Wonderware Application Developer

for

Application Server 4.1 - 2014 R2

Developer ID: CSI6843
Effective date: 9/8/2017

Rashesh Mody
SVP Delivery & Partner Ecosystem
Schneider Electric Software Business
This is to Certify that

Adrian Leon
Enterprise Automation

Is an Authorized
Wonderware Application Developer
for

CSI Historian Server 2017 Update 2 Exam

Effective Date: 07 Dec 2018
Serial Number: 138813-16039-07122018
This is to certify that

Adrian Leon

Has successfully completed the requirements to be recognised as a Networking Certified Professional

On the

March 24, 2016

Tristan Powell
Training & Certification Manager
Process Automation

José Bonomo
Vice President Offer Management & Strategy
Hybrid Systems, Process Automation
This is to certify that

Adrian Leon

Has successfully completed the requirements to be recognised as a

PlantStruxure Certified Expert

On the

14th June, 2016

Tristan Powell

Training & Certification Manager

Process Automation

José Bonomo

Vice President Offer Management & Strategy

Hybrid Systems, Process Automation
This is to certify that
Adrian Leon

Has successfully completed the requirements to be recognised as
EcoStruxure Plant Certified - PLC Modernization

On the
20/09/2018

Tristan Powell
Global Training & Certification Manager
EcoStruxure Enablement, Industry Business

Christine Shim
Director
EcoStruxure Enablement, Industry Business
This is to certify that

Adrian Leon

Has successfully completed the requirements to be recognised as a Unity Certified Professional

On the

14/06/2016

Tristan Powell
Training & Certification Manager
Process Automation

Jose Bonomo
Vice President Offer Management & Strategy
Hybrid Systems, Process Automation
Educational Services

This is to certify that

Adrian Leon

has successfully completed the requirements to be recognised as a

Vijeo Citect Certified Expert (VCCE)

Version 2015

on 24/02/2017

AUTHORISED BY

Ted Saoumi
Manager, Educational Services

Karun Sukhwani
Services and Support Director
This is to Certify that

Bryce Williamson
Enterprise Automation

Is an Authorized
Wonderware Application Developer
for
CSI Historian Server 2017 Update 2 Exam

Effective Date: 09 Feb 2019
Serial Number: 138766-16039-07122018
BOARD FOR PROFESSIONAL ENGINEERS,
LAND SURVEYORS, AND GEOLOGISTS

This Is To Certify That Pursuant
To The Provisions of Chapter 7, Division 3 of the Business and Professions Code

David Paul Lewis

IS DULY LICENSED AS A
PROFESSIONAL ENGINEER
IN
Electrical Engineering
In The State of California, and Is Entitled To All The Rights and
Privileges Conferred In Said Code

WITNESS OUR HAND AND SEAL

Certificate No. E 21297

This 28th day of May, 2015, at Sacramento, California.

BOARD FOR PROFESSIONAL ENGINEERS,
LAND SURVEYORS, AND GEOLOGISTS

Richard B. Moore, P.L.S. – Executive Officer
Kathy Jones Irish – Board President
This is to certify that

Dave Lewis

Has successfully completed the requirements to be recognised as a Unity Certified Professional

On the
13/06/2016

Tristan Powell
Training & Certification Manager
Process Automation

Jose Bonomo
Vice President Offer Management & Strategy
Hybrid Systems, Process Automation
This is to Certify that

**Jasmine Panosian**

**Enterprise Automation**

Is an Authorized

**Wonderware Application Developer**

for

**Application Server 4.1 - 2014 R2**

Developer ID: CSI5823

Effective date: 2/21/2016

Rashesh Mody
SVP Delivery & Partner Ecosystem
Schneider Electric Software Business
This is to Certify that

Jasmine Panosian
Enterprise Automation
Is an Authorized
Wonderware Application Developer
for
Historian Server 11.6 - 2014 R2

Developer ID: CSI5823
Effective date: 1/20/2018

Rashesh Mody
SVP Delivery & Partner Ecosystem
Schneider Electric Software Business
CERTIFICATE OF TRAINING

This is to certify that

Jasmine Jauregui

has successfully completed the requirements to be recognised as a

Vijeo Citect Certified Expert (VCCE) Version 2015

Russell Ridgway (Training Manager)  

12 February 2019

Date
This is to Certify that

Kyle Pickrell
Enterprise Automation
Is an Authorized
Wonderware Application Developer
for
Historian Server 11.6 - 2014 R2

Developer ID: CSI6847
Effective date: 7/29/2017

Rashesh Mody
SVP Delivery & Partner Ecosystem
Schneider Electric Software Business
This is to certify that
Kyle Pickrell

Has successfully completed the requirements to be recognised as a
Vijeo Citect Certified Professional

On the
23/02/2017

Tristan Powell
Training & Certification Manager
Process Automation

Jose Bonomo
Vice President Offer Management & Strategy
Hybrid Systems, Process Automation
This is to Certify that

Michael Nguyen

Enterprise Automation

Is an Authorized

Wonderware Application Developer

for

Application Server 4.1 - 2014 R2

Developer ID: CSI6385

Effective date: 1/10/2017

Rashesh Mody
SVP Delivery & Partner Ecosystem
Schneider Electric Software Business
CERTIFICATE OF TRAINING

This is to certify that

Michael Nguyen

has successfully completed the requirements
to be recognised as a

Citect SCADA Certified Expert (CSCE) Version 2016

Russell Ridgway (Training Manager)

04 December 2018

Date
This is to Certify that

Michael Nguyen
Enterprise Automation
Is an Authorized
Wonderware Application Developer
for
Historian Server 11.6 - 2014 R2

Developer ID: CSI6385
Effective date: 9/20/2017

Rashesh Mody
SVP Delivery & Partner Ecosystem
Schneider Electric Software Business
CERTIFICATE OF TRAINING

This is to certify that

Michael Nguyen

has successfully completed the requirements
to be recognised as a

Vijeo Citect Certified Expert (VCCE) Version 2015

Russell Ridgway (Training Manager) 16 August 2018

Date

AVEVA Solutions Limited
High Cross
Madingley Road
Cambridge CB3 0HB
United Kingdom
Tel: +44 (0)1223 556655

aveva.com
@avevagroup
linkedin.com/company/aveva
Certificate of Achievement

This Certificate is Awarded to

Zack Gentry

for the successful completion of

Citect SCADA 2016 Programming with Cicode Exam

on 17 Dec 2018

Serial Number: 139100-13501-17122018
This is to certify that
Zack Gentry

Has successfully completed the requirements to be recognised as a Networking Certified Professional

On the
March 24, 2016

Tristan Powell
Training & Certification Manager
Process Automation

José Bonomo
Vice President Offer Management & Strategy
Hybrid Systems, Process Automation
This is to certify that

Zack Gentry

Has successfully completed the requirements to be recognised as a

PlantStruxure Certified Expert

On the

25th March 2016

Tristan Powell

Training & Certification Manager

Process Automation

José Bonomo

Vice President Offer Management & Strategy

Hybrid Systems, Process Automation
This is to certify that
Zack Gentry

Has successfully completed the requirements to be recognised as
EcoStruxure Plant Certified - PLC Modernization

On the
20/09/2018

Tristan Powell
Global Training & Certification Manager
EcoStruxure Enablement, Industry Business

Christine Shim
Director
EcoStruxure Enablement, Industry Business
This is to certify that

Zack Gentry

Has successfully completed the requirements to be recognised as a Unity Pro Certified Professional

On the

March 24, 2016

Tristan Powell
Training & Certification Manager
Process Automation

José Bonomo
Vice President Offer Management & Strategy
Hybrid Systems, Process Automation
This is to certify that

Zack Gentry

Has successfully completed the requirements to be recognised as a
Vijeo Citect Certified Professional

On the

09/12/2015

Tristan Powell
Training & Certification Manager
Process Automation

Jose Bonomo
Vice President Offer Management & Strategy
Hybrid Systems, Process Automation
Appendix C: Project Profiles

Following is a collection of 10 project profiles which demonstrate our expertise. All ten have been included to highlight how Enterprise Automation meets the Experience portion of Required Qualifications.

Contents:

1. Water Replenishment District – Automation Consultant................................. 1
2. City of Santa Ana – Change Manager MSA ...................................................... 2
3. City of Santa Ana – Programmer MSA............................................................. 3
4. Encina Wastewater Authority – MSA............................................................... 4
5. City of Huntington Beach – PSA...................................................................... 5
6. City of Fresno – Annual Support Contract ........................................................ 6
7. JR Simplot Helm – Annual Maintenance .......................................................... 7
8. City of West Sacramento – Consultant and Project Coordinator ..................... 8
9. City of Huntington Beach – Sewer Lift Station................................................... 9
10. City of Santa Ana – Distribution Pump Station............................................ 10
Customer Background

The Water Replenishment District of Southern California (WRD) is the largest groundwater agency in California, managing and protecting groundwater resources for 4 million residents in the US's most populated county. WRD owns and operates several assets including a 5MGD capacity desalter (Goldsworthy), an 8MGD advanced water treatment facility (LVL), and is in the process of constructing a second AWTF (GRIP/ARC) with expansion capacity of up to 29.6MGD.

Project Background

In 2016, WRD awarded EA a five-year professional services agreement to provide on-call SCADA integration services. WRD understood that they needed a long-term, trusted partner to manage their SCADA system.

The original scope of the contract included projects to combine separate Wonderware SCADA systems at their facilities into one centralized Wonderware Galaxy, to provide automation and SCADA consulting, and to act as an extension of staff through several ongoing capital projects. The GRIP/ARC project, in particular, was a challenging project during which EA has helped WRD’s contractors remain on track and standards compliant.

EA Solutions

EA’s key impact on WRD has been to implement several systems and procedures which promote standardization, improve testing processes, and improve their design requirements. EA has managed several integrators through this process, providing technical and operations training, reviewing designs and specifications, and participating in Factory Acceptance Testing.

EA’s influence has raised the bar for planning, deployments, and quality expectations.

Contract Highlights

- Provided Full System Audit of 7 facilities and dozens of PLCs
- Developed SCADA, PLC, network, and tag naming standards
- Managed two systems integrators

Key Technologies:

- Allen Bradley PLCs
- Wonderware System Platform and Intouch HMI
- Wonderware Historian
- VMWare virtualization

Project Metrics:

- Est. Contract Value: $3M
- Contract Length: 5 years
Customer Background
The City of Santa Ana is located in the heart of Orange County, California and is approximately 27 square miles. The City provides potable drinking water for the City’s 334,000 residents and businesses. The City’s water production system consists of 22 wells, 4 pressure control stations, 7 Metropolitan Water District connections, 7 water booster stations, 8 reservoirs, and 2 sanitary sewer lift stations. Control and monitoring of the water system and sewer facilities is coordinated via the City SCADA system using a series of radios which transmit data from remote locations to the centralized City Home SCADA control room.

Project Background
The City normally uses design-bid-build project delivery mechanisms, which yields a variety of contractors implementing their water production facilities but they desired more consistent designs to streamline operations and maintenance. In order to make standardization a priority and instigate a cultural shift, the City decided they needed a qualified automation consultant to prepare standardized functional specifications, control panel drawings, automation program testing protocols, and change control mechanisms as a means to institute oversight for the City's contracted controls programmers.

EA Solutions
After being awarded the qualifications-based contract, EA met with City engineering and technicians to document their open and upcoming projects to identify immediate opportunities for automation improvement, in accordance with their construction schedules.

EA hosted several process control and standardization workshops with City personnel, and immediately used the decisions to develop functional specifications, electrical design standards, and test protocols for several pump stations in the design phase. Concurrently, EA created change control policies, a source control system, and developed documented programming standards for all future City projects to ensure their water facilities were consistent.

Key Insights
- SCADA Standards development
- Contractor design review
- Automation & Electrical standards
- Functional Specification Development
- Programmer oversight

Key Technologies:
- Modicon M340 PLCs
- Modicon Magelis OITs
- Radio communication

Project Metrics:
- Contract Period: 2018—Present
Customer Background

The City of Santa Ana is located in the heart of Orange County, California and is approximately 27 square miles. The City provides potable drinking water for the City’s 334,000 residents and businesses. The City’s water production system consists of 22 wells, 4 pressure control stations, 7 Metropolitan Water District connections, 7 water booster stations, 8 reservoirs, and 2 sanitary sewer lift stations. Control and monitoring of the water system and sewer facilities is coordinated via the City SCADA system using a series of radios which transmit data from remote locations to the centralized City Home SCADA control room.

Project Background

After many years of traditional design-bid-build projects which utilized low-bid systems integrators, the City decided they needed a list of pre-qualified systems integrators to perform all programming for their capital projects. They solicited proposal from systems integrators throughout Southern California with stringent qualification requirements including a diverse portfolio of both modern and legacy Modicon PLCs.

The selected consultant would be required to fully comply with and enforce the City’s full suite of instrumentation and controls standards which were mostly developed by EA through the concurrent Change Manager contract.

EA Solutions

EA was selected as one of the City's preferred programmers and was thus pre-selected to provide integration services on any future City project during the contract period.

EA will apply our industry-leading processes to rigorously document and track configurations using the City's Source and Revision Control systems, maintain detailed functional specifications, and ensure every program is subjected to our rigorous four-step testing process (desk-check, internal testing, FAT, and SAT) in order to deliver World Class Startups.

Key Insights

- As-needed systems integration services
- Re-programming City sites:
  - Pumping/Booster Stations
  - Pressure Reducing Stations
  - MWD connections
  - Reservoirs
  - Sewer Lift Stations

Key Technologies:

- Modicon M340 PLCs
- Modicon Magelis OITs
- Ethernet, fiber, radio communications

Project Metrics:

- Contract Period: 2018—Present
**Customer Background**

The Encina Wastewater Authority (EWA) is a public agency located in Carlsbad, California. EWA provides wastewater treatment services to more than 400,000 residents in northwestern San Diego County. EWA’s facilities and services are essential for protecting the local ocean environment, preserving public health, and providing recycled water resources for the region. Enterprise Automation has provided sole sourced automation and integration services to EWA since 2017 as part of a five-year professional services agreement.

**Project Background**

Since the current control system was originally implemented at Encina Water Pollution Control Facility (EWPCF), the system has been maintained and upgraded by EWA staff, low-bid integrators, and miscellaneous contractors. This approach lacked standardization and documentation, leading to network and reliability issues.

In 2017 the Authority developed and released an RFP to find an automation consultant who could overhaul the entire facility and develop a platform built on industry best practices and a pervasive standardization.

**EA Solutions**

EA was awarded the five-year Master Services Agreement and immediately set to developing a master plan for the future of the EWPCF.

The first task was to execute a thorough plant audit to fully understand the state of the existing system. The audit was followed by a SCADA evaluation to determine which platform was best suited for the site and the Authority’s operations staff. The final task before the first capital plant improvement project could begin was to develop a full suite of instrumentation and control standards.

EA is currently executing several concurrent projects to address the nearly 6,300 IO spread across seven plant areas.

**Key Insights**

- Contracted to architect and orchestrate a complete facility controls overhaul
- 6,300 IO over 7 plant areas
- 50+ existing PLCs

**Key Technologies:**

- Test Platform
- Source Control
- Change Control

**Project Metrics:**

- EA’s Services Value: $15M (proj. total)
- Initial Contract Period: 2017-2022
Customer Background

The City of Huntington Beach, California is a full service, predominantly residential city with a population of about 200,000 located in northwestern Orange County. The City owns and operates both the water utility and wastewater collection system serving its 200,000 citizens. Their assets include 27 sewer lift stations, 10 wells, 5 reservoirs, 16 flood stations, and 9 turnouts where imported water from MWD is resold to several local cities and agencies.

The City has engaged EA through two, consecutive, 3-year professional services agreements to provide as-needed SCADA integration and support to the City’s water utility department.

Project Background

In 2014, the City faced the challenge of locating and retaining a local systems integrator with the qualifications, references, resources, and dedication needed to meet the immediate and future needs of a public entity providing water and wastewater utilities to customers in a growing metropolitan area.

Specifically, the City needed three forms of support: on-call support for their legacy system, planning and execution of projects, and assistance with planning their replacement SCADA system, including an Emergency Operations Center (EOC).

EA Solutions

EA’s solution started with auditing existing assets, documenting pressing needs, and hardening the legacy system for improved reliability. The first priority and most significant improvement was virtualizing the City’s 30 computer platform, stratifying the SCADA networks, and isolating the water and wastewater Wonderware projects.

Upon completion, EA conducted preventative maintenance routines on a semi-annual basis, incorporating change requests for City operations as needed.

Concurrently, EA conducted workshops with the City to define their vision, preferred automation standards, and plan upgrade projects accordingly.
Customer Background

The City of Fresno operates a large potable water system that delivers drinking water to roughly 500,000 residential, commercial and industrial customers over 114 square miles. They also operate numerous treatment facilities that treat ground and surface water for residential and commercial use. A unique aspect of the City’s system is that pressure is entirely maintained by pumping zones, instead of elevated reservoirs and holding tanks.

Project Background

EA has been provide as-needed and routine support to the City of Fresno since 2014. Our scope of services has included maintaining the SCADA platforms at two surface water treatment facilities totaling 120 MGD and their distribution system which consists of 1,780 miles of pipeline, 140,992 service connections, and 260 active pump stations.

EA was the original integrator for much of the City's automation platform at the North East Surface Water Treatment Facility and the Distribution System, which have been deployed through several projects over the past 11 years.

EA Solutions

EA provides bi-annual support visits to each site, management of the City’s automation platform software support licensing, and on-call urgent support.

The typical process for bi-annual support includes testing and deploying Microsoft updates on the City's test platform at EA, performing on-site visual and digital health checkups on all SCADA assets, collecting CRs through operator and management interviews.

Although urgent support is included in the support contract, the City has rarely needed to use it as their systems have been highly reliable since contracting EA.

Key Insights

- Routine and urgent 10x5 support
- Test platform management
- Hardware and software inspections

Key Technologies:

- Modicon PLCs:
  - Momentum, Quantum, M340, M580
- CitectSCADA HMI
- Magelis OITs
- Vijeo Historian
- Wonderware Historian
- 900 MHz MDS radios

Project Metrics:

- Contract Period: 2014—Present, renewed annually
Customer Background

JR Simplot company, one of the oldest agribusinesses in the U.S., operates a high-quality fertilizer plant in the central valley of CA. Built in the 1950’s, and operated by J.R. Simplot company since the 1990’s, Enterprise Automation first began servicing the facility as controls integrator in 2006. As an aging facility that has gone through multiple operators, EA has been involved in numerous control system retrofit and expansion projects on site.

Project Background

Every year, like many industrial faculties, JR Simplot's Helm facility undergoes a routine and scheduled turnaround event where the entire process is taken offline for routine maintenance and renewal. As part of the process, EA has engineers on site to perform a deep cleaning and inspection of the SCADA and controls system. The inspection includes everything from physical IO and PLC panel refreshing to reviewing SCADA and PLC error logs and updating firmware.

EA Solutions

EA maintains 5 IOC (input/output cabinets) that contain roughly 750 IO. In addition, redundant Citect SCADA servers and Wonderware Historian are kept up to date with latest product release and firmware.

EA also proactively maintains hardware components, spares, and interviews staff for information about how the controls system is performing, rather than waiting for a call when something has gone wrong and the need is urgent.

EA has been JR Simplot Helm’s sole-sourced systems integrator for over 7 years.

Key Insights

- Annual SCADA maintenance
- WSUS Updates
- Test Platform maintenance
- Mechanical and digital inspections

Key Technologies:

- Citect SCADA
- Virtualized SCADA Platform
- Wonderware Historian
- AB ControlLogix
- AB Intelllicenter 580

Project Metrics:

- EA’s Services Value: $500k
- Project Length: 7 years
Customer Background

The City of West Sacramento, located in Eastern Yolo County, owns, maintains, and operates nine water sites for the treatment and distribution of clean safe drinking water to over 50,000 residents and a diverse mix of light and heavy industrial establishments.

The City’s nine sites contain various combinations of equipment, booster pumps, treatment processes, water storage, treatment chemical storage, control valves, monitoring and instrumentation. These sites and the Water Treatment Plant are networked together using the City’s existing Supervisory Control and Data Acquisition (SCADA) system to allow the City’s water treatment staff to continuously monitor and control water treatment and distribution facilities.

Project Background

Many of the components making up the existing SCADA system have become obsolete and are no longer supported by their manufacturer. In addition, the remaining components and equipment hardware is proprietary, which makes routine repairs and replacement extremely expensive.

In 2018 the City awarded E&M a design-build contract to replace the existing iFIX SCADA system with Wonderware System Platform and Modicon Unity Pro M340 PLCs. The project would require the rehabilitation of 46 sites, each with their own PLC panel and communications equipment. In total the estimated IO count is nearly 11,500. Due to the complexity of the project and EA’s expertise in SCADA integration management and standardization, E&M contracted EA to act as a project coordinator and management consultant.

EA Solutions

EA applied industry best practices and our proprietary closed-loop project management system to develop a project execution plan which would emphasize a design-first approach with particular focus on standards enforcement and documentation.

At the time this profile was written, the project team was closing out the design phase and preparing to start developing configurations.

Key Insights

- Full SCADA system and PLC upgrade
- Project coordination and execution consulting
- Standards and testing protocol enforcement

Key Technologies:

- Wonderware System Platform
- Modicon M340 & Allen Bradley ControlLogix PLCs
- XetaWave radios
- Prometheus PLC & SCADA Configuration Platform
- Wonderware Historian

Project Metrics:

- Project Value: $4.43M
- EA’s Services Value: $225k
- Project Length: June 2014—Present
Customer Background

The City of Huntington Beach, California is a full service, predominantly residential city with a population of about 200,000 located in northwestern Orange County. The City owns and operates both the water utility and wastewater collection system serving its 200,000 citizens. Their assets include 27 sewer lift stations, 10 wells, 5 reservoirs, 16 flood stations, and 9 turnouts where imported water from MWD is resold to several local cities and agencies.

The City has engaged EA through two, consecutive, 3-year professional services agreements to provide as-needed SCADA integration and support to the City’s water utility department.

Project Background

As a first step to modernize and rehabilitate the City’s aging sewer lift stations, they asked EA to develop a standardized panel design and PLC program that could be implemented whenever a full station rehab was undertaken. By creating a standard panel layout and functional program, new or rehabilitated sites could be implemented quickly and inexpensively. Additionally the standard design would allow the City to reduce training and maintenance costs as all sites would operate the same and require the same spare components.

EA Solutions

EA designed two standard panels, one for retrofit sites where a new back panel could be placed inside an existing enclosure, and one for new sites that would require a new enclosure. Both layouts were internally consistent, allowing IO and hardware to be shared across all sites and programs. Functional specifications were developed that allowed the same tested programing to be deployed at any of the lift stations sites, making upgrades more cost effective and maintenance much easier.

Key Insights

- Standardized Lift Station equipment and IO list
- Standardized control panel designs
  - Retrofit panel for existing enclosure
  - New panel and enclosure
- Standardized Unity Pro PLC program

Key Technologies:

- Modicon Unity Pro M340

Project Metrics:

- EA’s Services Value: $230k
- Project Length: 24 months
Customer Background

The City of Santa Ana is located in the heart of Orange County, California and is approximately 27 square miles. The City provides potable drinking water for the City’s 334,000 residents and businesses. The City’s water production system consists of 22 wells, 4 pressure control stations, 7 Metropolitan Water District connections, 7 water booster stations, 8 reservoirs, and 2 sanitary sewer lift stations. Control and monitoring of the water system and sewer facilities is coordinated via the City SCADA system using a series of radios which transmit data from remote locations to the centralized City Home SCADA control room.

The City utilizes a legacy Dynac SCADA which is slated for future replacement and has standardized on ModiconPLCs.

Project Background

EA was contracted in May of 2016 to support the City of Santa Ana in their effort to execute a complete mechanical and electrical rehabilitation of one of their most critical booster stations. EA’s original scope included documenting the site’s existing control system’s state, designing the new site control system, developing programming and configuration standards, and developing test documentation.

EA Solutions

After the originally contracted programmer notified the City that they would be unable to complete the project, EA was called upon to implement the PLC, OIT, and network designs which were developed during the original design project.

Our scope included assisting the City's SCADA programmer in configuring new screens in Dynac, developing new PLC and OIT programs according to the City’s specifications and standards, and deploying the configurations on site.

Key Insights

- Full SCADA and PLC upgrade
- SCADA Standards implementation
- Conversion from single point of failure PLC to distributed and segregated controls

Key Technologies:

- Unity Pro M340
- Magelis OIT
- Hirschmann network switches

Project Metrics:

- EA’s Services Value: $500k
- Project Length: May 2016—Present
Sweetwater Authority
Statement of Qualifications for
On-Call SCADA System Integration
Professional Services

For
Justin Brazil
Director of Water Quality
Sweetwater Authority
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619-409-6802
jbrazil@sweetwater.org

Prepared by
Adam Kelly
West Coast Business Development Mgr.
330-842-7732
Adam.kelly@rovisys.com
December 3rd, 2019

Mr. Justin Brazil, Director of Water Quality

Sweetwater Authority
505 Garrett Avenue
Chula Vista, CA 91910

Dear Mr. Brazil,

RoviSys is pleased to provide this qualification document for the On-Call SCADA System Integration Professional Services project. The requirements for this qualification packet were derived from the Sweetwater Authority request for pre-qualifications document dated October 10, 2019.

RoviSys was formed in April 1989 to provide timely, cost effective, reliable, and modern solutions to a wide range of systems applications using the best technology. Headquartered in Aurora, Ohio and with a local Los Angeles, California office among our nationwide regional locations, RoviSys has grown to over 800 engineers and $100 million in sales.

Our project team that we are targeting for the SCADA System Integration Professional Services project includes engineers and technicians that have the latest certifications from CSIA, Wonderware, Schneider, Cisco, VMware and ISA. These certifications are unmatched by any team in the Los Angeles metro area. Thanks to a large staff and highest level of accreditations, the RoviSys team is in the unique position to propose the professional services for this project in its entirety.

The entire RoviSys team is very excited about the opportunity to work with the Sweetwater Authority on this project. All members are committed to delivering quality work, on time, and within budget. We understand the technologies and we have the necessary industry experience. Our strong delivery and execution of this project will make this team a valued asset during the entire professional services project.

Please contact me with any questions or comments regarding this proposal. We look forward to the opportunity to present our approach and qualifications to the Sweetwater Authority in person.

Regards,

Dave Smrdel

Manager, Water Resources
Dave.smrdel@rovisys.com
216-346-8714
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1 Executive Summary

The Sweetwater Authority requires prequalification for the SCADA System Integration Professional Services project. As a Schneider certified partner and a Wonderware-endorsed select partner combined with our long history of executing similar types wastewater projects nationally, RoviSys feels that we would be a great partner in this ongoing support effort.

Our Mission

The RoviSys mission is: Provide our clients with automation and information integration solutions using the best technologies and platforms, regardless of who makes them, giving our clients choices. We provide uncompromising focus on customer satisfaction providing the best engineered process control solutions to meet your needs.

Background

RoviSys was formed in April 1989 to provide timely, cost effective, reliable, and modern solutions to a wide range of systems applications using the best technology. This primary philosophy and our focus on customer satisfaction enable and drives our continuous growth to over 800 engineers at multiple locations in North America, Asia, and Europe.

RoviSys is an independent integrator offering broad range expertise in current and legacy technologies applied across a wide variety of markets. We are focused on providing solutions that are a best fit for our customers giving them the freedom to choose solutions with the flexibility to integrate the best in class technologies for each of their system applications.

The most valuable asset at RoviSys is our staff. One of our greatest strengths is a diverse employee knowledge base that spans technologies and industries. Each of our employees has developed application experience in the many industries we serve. Considerable effort is committed to hiring, developing, and retaining personnel. Our personnel retention is among the best in the industry benefiting our customers by maintaining project team continuity.

RoviSys draws across all functions and employee skill sets to properly execute complex projects. In addition to our diverse technical skill sets, we employ Registered Professional Engineers (PE) as well as Project Management Professionals (PMP).

Summary

As an independent automation organization and an approved system integrator for a wide range of control systems and MES platforms, RoviSys is well suited to meet the diverse needs of the Sweetwater Authority. Our independence combined with our experience on multi-faceted projects results in efficiency and quality in execution.

When clients are asked why they return to RoviSys project after project, they indicate that it is RoviSys' ability to manage, deliver, and complete projects. Additionally, the integrity with which we execute their projects and the ongoing focus on customer satisfaction convinces them to look no further for their system integration and support needs whatever the industry.
2 California Office

RoviSys currently has a single office serving the Southern California region. Located in Thousand Oaks, California, this RoviSys office serves a variety of RoviSys vertical markets including: Life Sciences, Water/Wastewater, Consumer Packaged Goods, Chemicals and Oil/Gas.

The California office was initially established in 2017 with a staff of ten engineers. The staff consisted of a blend of seasoned engineers relocated from other RoviSys offices along with new hires coming from the local area businesses and universities. Today, RoviSys has more than 30 engineers based out of the original Thousand Oaks office and over 5 engineers working in Oceanside and San Diego.

Due to increasing limitations of office space, RoviSys will be moving to a newer, larger site still within the Thousand Oaks community, located at The Arbors office complex.

The target move date is December 1st, 2019. The expansion from the current 2,600 square feet to 7,300 square feet will enable continued growth of RoviSys staff and will provide the needed infrastructure to support many more clients and projects. With this new office location, RoviSys also has options to expand further without having to relocate as our staff and business continues to grow.
### 3 Technologies & Certifications

RoviSys is an independent integration company focused on helping our clients improve their operation by utilizing the best technology for the application, not force-fitting a solution based on a technology vendor relationship. We believe that having strong relationships with a variety of hardware and software providers ensures an in-depth understanding of the available technologies as well as a comprehensive toolset to successfully solve the most difficult problems.

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### 3.1 Schneider Electric

RoviSys is a Schneider Alliance partner with Certified Schneider Engineers. RoviSys has a long history of projects implementing and maintaining the Modicon 984, Momentum, and Quantum PLC platforms. We have also implemented systems using the latest Unity programming tools. Our project experience spans both batch and continuous process automation. RoviSys is an expert in migrating legacy systems to Quantum and from legacy Modicon systems to any modern platform. As an Alliance Partner, we maintain a Priority Support Membership providing us with a suite of development software to support these platforms. This membership also gives us priority telephone support access to solve client issues.

### 3.2 Citect SCADA/Ampla

RoviSys continues to build our manufacturing execution system toolset through our solution provider status with Citect and our experience deploying their SCADA and MES software. Citect has been providing solutions and software for manufacturing companies specializing in the delivery of innovative, reliable, and cost-effective solutions. CitectSCADA is a fully integrated Human Machine Interface (HMI) / SCADA solution that enables customers to increase return on assets by delivering a highly scalable, reliable control, and monitoring system. Configuration tools and powerful features enable you to quickly develop and deploy solutions for any size application.

Ampla, a high-quality, scalable MES solution delivers real-time access to plant and business information allowing key personnel to identify and act on opportunities to refine the workflow, maximize OEE, and to correct problems before they impact supply chain, regulation compliance and production.

### 3.3 Wonderware – Aveva/Schneider Industrial Software

RoviSys is a Wonderware Endorsed Systems Integrator. This partnership level, which is Wonderware’s highest, is achieved via a rigorous evaluation process conducted by Wonderware. To achieve this level RoviSys has certified engineers in all the Wonderware solutions including System Platform. In addition to passing the certification testing process, Wonderware also audited several of RoviSys’ large application implementations to ensure adherence to Wonderware’s design and implementation requirements. One of these installations is for a multi-site Municipal Wastewater customer. The installation has over 20,000 points, multiple integrated System Platform Galaxies, and multiple servers. This installation has become a showcase for Wonderware due to its complexity, size and proper integration techniques.
3.4 RoviSys Business and Industrial IT Services

RoviSys’ expertise includes the entire IT infrastructure – both the business side, and the industrial side. We view these as separate but integrated systems. Each side – business IT and industrial IT - has its own specialized role and requirements and RoviSys provides engineering and support for each. RoviSys views the convergence of these two worlds as an essential aspect of a contemporary enterprise. We are unique in that we design and support both business IT and industrial IT from an enterprise-wide perspective.

Where RoviSys stands out is in our ability to help you make the most of your IT infrastructure to support data analytics, business and manufacturing intelligence, and to use your IT infrastructure to help you make business decisions.

RoviSys has been involved with the design and development of industrial networks since our inception. As a process controls company, we focus on the network needs that are specific to your process control network and not only on the needs of a business network. Our extensive expertise in industrial and process control network design, development, and implementation assures you that your network will be robust, reliable and secure.

Network Solutions

- Network Architecture/Design
- Network Security, Intrusion Detection & Prevention
- Authentication, Authorization, Accounting (AAA)
- Remote Access Design

Network Assessment Services

- Mapping and asset inventory
- Comprehensive industrial network security assessment
- Vulnerability assessment.
- Penetration/security testing.
- Regulatory Compliance
- Performance testing

Cyber Security

- Firewalls, DMZs, Standards Compliance
- Network Security Policies
- Review of current policies
- Regulatory compliance
- Porous access restrictions
- Password practices
• Endpoint compliance

3.5 RoviSys Business and Industrial IT Certifications

RoviSys collectively has the following IT/OT applicable certifications:

- Cisco CCNA Industrial, CISSP
- VMWare Certified
- ISA/IEC 62443 Cybersecurity Specialist
- CompTIA Security+
- CompTIA Network+
- Schneider Electric Networking Certified Professional
- Microsoft MCSE
- Microsoft MCSA
- Extreme Networks Certified Network Associate

Cisco

RoviSys is part of the Cisco Channel Partner Program. Our IT staff maintains active Cisco certifications, including CCNA, CCNA Industrial, and CCDA, as well as specializations in IoT and Industrial IoT.

RoviSys is also part of Cisco’s Digital Integrator Solution Partner program. In this capacity, we help Cisco to understand and apply their products in process control systems on the manufacturing floor. In this role, we also help integrate traditional IT infrastructure with the OT systems on the manufacturing floor.

VMWare

RoviSys is a VMWare Professional Partner. We have the VMWare-certified staff that can help to design, develop and support a virtualized environment for your business IT needs or for your industrial IT needs. We are one of only a few VMWare partners that are qualified to implement VMWare in an industrial environment.

Rockwell Automation
RoviSys is one of only a few Rockwell partners to hold the **Industrial IT certification**. This specialty requires us to meet substantial requirements in the form of staff certifications to assure Rockwell Automation and our joint customers that we are qualified to design and develop robust and secure plant-wide network infrastructure according to industry-standard best practices.

### 3.6 Control System Integrators Association - CSIA

The Control System Integrators Association (CSIA) seeks to enable industries everywhere to have access to low-risk, safe, and successful applications of automation technology by advancing the business practices of the system integration industry. CSIA helps its members improve their business skills, provides a forum to share industry expertise and promotes best practices for business management. Founded in 1994, CSIA is a not-for-profit, global trade association for system integration companies and has more than 400 members in 27 countries.

As a Founding Member of CSIA, RoviSys is dedicated to leadership among systems integrators competing in today’s service-oriented marketplace. In 2001, RoviSys became one of the first Certified CSIA members. In 2004, the CSIA modified the certification process so that a small integrator does not have to meet the same qualifications and standards that a larger integrator such as RoviSys has to meet. RoviSys was recently re-certified to the highest level with the most substantial and stringent certification criteria.

### 3.7 International Society of Automation - ISA®

RoviSys is an active member of the International Society of Automation. Our clients benefit from both the utilization and adherence to the controls standards that are available from the ISA. All control algorithms implemented by RoviSys adhere to the standards dictated by the ISA and RoviSys engineers regularly attend ISA-sponsored training and industry events.
4 RoviSys Water/Wastewater Services

Complex water and wastewater automation challenges demand a seamless flow of information to scalable, reliable and secure systems. RoviSys provides successful, long-term automation solutions for industrial and municipal water utilities. Our focus on developing accurate system design specifications allows us to deliver projects on time and within budget. We deliver comprehensive water solutions to improve reliability, decrease downtime and meet regulatory requirements.

Since its founding in 1989 as one of the first control systems integrators in North America, RoviSys has evolved to become a leading independent provider of comprehensive process automation solutions and services. With the resources, experience and skills to solve and support any process automation and integration challenge, the company’s more than 800 engineers, developers and project managers make RoviSys an excellent choice for companies of all sizes looking for real solutions.

RoviSys Provides:

- Proven project management & collaborative approach
- Dedicated, expert engineers capable of creating solutions for demanding applications
- Extensive knowledge of modern control systems and legacy systems
- A commitment to providing the best independent solution
- Tailored Solutions for:
  - Pump & Lift Stations
  - Wastewater Treatment Plants
  - Domestic Water Distribution
  - Purification & Processing Stations
  - Desalination Plants
  - Asset Management
  - PLC & DCS Process Control Systems
  - SCADA, HMI & Reporting
  - Mobile Alarm Notifications
  - Network Design

The RoviSys commitment is simple: provide clients with world class information, integration, and process controls using the best available components and platforms, regardless of who makes them. In short, give clients choices.
Project Capabilities

RoviSys engineers utilize their industry process knowledge along with the advantage of our vendor independence to design control and data system solutions that best meet our clients’ performance and safety requirements.

Water & Wastewater Capabilities

- SCADA migration and upgrades including operator friendly overviews screens, enhanced navigation screens, improved trending capabilities, and alarm cleanup (prioritization).
- Program and review PLC logic for all controller platforms, including legacy systems.
- Remote monitoring of the SCADA system to provide remote visibility of the process, including read and/or write functionality.
- Remote alarm monitoring and alarm notification system via text or email.
- Automation of lift stations and remote pumping stations, with connections to the SCADA using cell modems or wireless technology.
- Development of control and automation standards to facilitate commonality between vendors supplied systems.
- Control system training using the existing logic and graphics to enhance the operation of the process.
- Development of custom (editable) reports to satisfy EPA requirements and local needs (daily influent/effluent, monthly summaries, etc.).
- Design specification writing, and consultation services focused on identifying the right control system for your specific application. As a CSIA certified independent system integrator we can review the functional requirements against the all control system offerings and make the best recommendation.
- Electrical design and instrumentation specification services, as well as energy management strategy.
- Data historian system upgrades including data interface, industrial network and end-user HMI system design and implementation.

RoviSys Support

RoviSys has proven that the key to growth is through customer support. RoviSys’ support begins with the initial design and continues through the life of the project, and beyond. We offer varying degrees of support contracts including 24/7 emergency support. Our wide-ranging pool of talented engineers, and years of process control automation expertise, makes us the right choice to provide and support your control and information system needs.
5 Project Experience

RoviSys has extensive experience providing automation and information systems at many water and wastewater sites across the country. The table below includes a large sample of the projects that RoviSys has completed and in some cases, are currently in progress:

<table>
<thead>
<tr>
<th>Project Name and Client</th>
<th>Services / Project Categories</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ventura Regional Sanitation District</td>
<td>Ventura, CA</td>
</tr>
<tr>
<td>North Pleasant Valley Groundwater Desalter</td>
<td>Camarillo, CA</td>
</tr>
<tr>
<td>Los Angeles Division of Water and Power</td>
<td>Los Angeles, CA</td>
</tr>
<tr>
<td>Trumbull County Mosquito Creek WTP Upgrade</td>
<td>Howland, OH</td>
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<tr>
<td>VTP Upgrades</td>
<td>Stratford, OH</td>
</tr>
<tr>
<td>Membrane Bio-Reactor Upgrade</td>
<td>Euclid, OH</td>
</tr>
<tr>
<td>HMI Upgrade</td>
<td>Sandusky, OH</td>
</tr>
<tr>
<td>Digester Upgrade</td>
<td>Newark, OH</td>
</tr>
<tr>
<td>Primary Treatment</td>
<td>Youngstown, OH</td>
</tr>
<tr>
<td>U/V Upgrade</td>
<td>Youngstown, OH</td>
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<tr>
<td>Primary Effluent Automation</td>
<td>Youngstown, OH</td>
</tr>
<tr>
<td>Secondary Improvements</td>
<td>Youngstown, OH</td>
</tr>
<tr>
<td>HMI Upgrade</td>
<td>Delaware County, OH</td>
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<tr>
<td>Second Stage Lift Station</td>
<td>NEORSD</td>
</tr>
<tr>
<td>Automation Program Management</td>
<td>NEORSD</td>
</tr>
<tr>
<td>V/VTP Upgrade</td>
<td>Pleasant Hills Authority</td>
</tr>
<tr>
<td>Southern RIEF PSIM</td>
<td>NEORSD</td>
</tr>
<tr>
<td>Easterly HMI-2</td>
<td>NEORSD</td>
</tr>
<tr>
<td>Southern Asset Center</td>
<td>NEORSD</td>
</tr>
<tr>
<td>V wastewater Controls</td>
<td>City of Oberlin, OH</td>
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<tr>
<td>V wastewater Controls</td>
<td>City of Ravenna, OH</td>
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<tr>
<td>SSA-12, and 3</td>
<td>NEORSD</td>
</tr>
<tr>
<td>Septage Receiving Station</td>
<td>Rittman, OH</td>
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<tr>
<td>V wastewater Automation Improvements</td>
<td>Grafton, OH</td>
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<tr>
<td>V water Plant Controls Upgrade</td>
<td>Pickerington, OH</td>
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<tr>
<td>V/VTP Blower Modifications</td>
<td>Wadsworth, OH</td>
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<td>V water Tower YFD Replacement</td>
<td>Kent, OH</td>
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<tr>
<td>Southern RIEF Instrument Maintenance</td>
<td>NEORSD</td>
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<tr>
<td>Southern RIEF PLC/HMI Maintenance</td>
<td>NEORSD</td>
</tr>
<tr>
<td>Euclid Creek, Tunnel Level Monitoring</td>
<td>NEORSD</td>
</tr>
<tr>
<td>Euclid Creek, Tunnel Pump Station</td>
<td>NEORSD</td>
</tr>
<tr>
<td>V water Treatment Plant Controls</td>
<td>Mantua, OH</td>
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<tr>
<td>V water Treatment Plant Upgrade</td>
<td>Windham, OH</td>
</tr>
<tr>
<td>V wastewater Modicon Conversion</td>
<td>Youngstown, OH</td>
</tr>
</tbody>
</table>
5.1 Northeast Ohio Regional Sewer District

**Project:** Support Services for Automation  
**Contractor:** HDR Engineering  
**Location:** Cleveland, OH  
**Time Frame:** 2014-2019  
**Plant Capacity:** Southerly=120 mgd, Westerly=35 mgd, Easterly=85 mgd  
**Engineering Hours:** 14,000 (combined)

**Project Description and Services Provided:** RoviSys was contracted to provide automation technical services and support to the Northeast Ohio Regional Sewer District. The main goal of this project was to supplement NEORSD’s Process Control and Automation (PC&A) department providing consulting and engineering services for various control system projects, support project delivery, development of RFP’s, development of associated documentation and to provide 24x7 emergency support for the REF facility and the balance of plant at all three of the District’s treatment plants, and collection sites.

Initial tasks were defined to include a variety of automation projects including modifications to the Wonderware SP3 HMI, Rockwell Automation OIT PanelView and Rockwell Automation PLC5/ControlLogix systems. In addition, RoviSys provided Wonderware SP3 training, Device Net diagnostics, ODMS (Oracle) modifications and Asset Management system assistance. Work orders varied from a single PLC with 50 IO points to more complicated tasks with multiple interacting PLC’s that utilized DeviceNet as well as classical IO, with over 500 total IO points.

Emergency support was (and continues to be) provided by RoviSys for all control and automation systems specifically for the REF facility as well as for the balance of all automation systems throughout the District.

**Technologies:** Rockwell Automation ControlLogix, PLC5, FactoryTalk View ME, PanelView Plus, GE Cimplicity and Wonderware System Platform 3.

**Owner:** Bob Meholif (NEORSD)  
**Email:** meholifb@neorsd.org  
**Phone:** 216-641-3200

**Contractor:** Cal Rozario (HDR)  
**Email:** Calcino.Rozario@hdrinc.com  
**Phone:** 216-912-4247

**Total RoviSys Fee:** $1.5MM  
**Total Project Cost:** $3MM
5.2 City of Camarillo Desalination Plant

**Project:** Desalination Plant SCADA  
**Customer:** City of Camarillo  
**Location:** Camarillo, CA  
**Time Frame:** 2019-Present (2021 Target Completion)  
**Capacity:** 4 MGD

**Engineering Hours:** 4,600  
**Project Description and Services Provided:** RoviSys was contracted to provide the I&C schedule on Camarillo’s greenfield desalination plant. The project scope includes:

- Provide hardware, software, and implementation of plant wide SCADA.
- Design and build a total of seven Control and remote IO Panels.
- Provide and configure computer hardware.
- Design, document, provide and configure network and communication equipment.
- Procure and setup point to point radio equipment.
- Procure, calibrate, and test flow, level, pressure, temperature, and analytical equipment.
- Training, documentation, and product data included in I&C scope.

**Technologies:** Rockwell ControlLogix, FactoryTalk View SE, Endress & Hauser Instrumentation, Cisco Network

**Electrical:** Brian Stamper  
**Email:** bstamper@taftelectric.com  
**Phone:** 805-207-2076

**Total RoviSys Fee:** $40MM (services)  
**Total Project Cost:** $1.35M
5.3 Los Angeles Department of Water & Power

**Project:** Wastewater Information Network (WIN) Phase 1  
**Customer:** Los Angeles Department of Water & Power (LADWP)  
**Location:** Los Angeles, CA  
**Time Frame:** 2019-Present  
**Capacity:** 680,000 customers  
**Engineering Hours:** 1,600

**Project Description and Services Provided:** LADWP contracted RoviSys to expand their OSIsoft PI data historian system to the potable water side of their business. The project goal is to develop and leverage the OSIsoft PI data to identify, prioritize and solve both process and business issues throughout their systems.

LADWP has identified over 30 use cases where the OSIsoft PI System can add value to their operations. RoviSys, along with our partner Arcadis, are continuing to refine these use cases, as well as develop new ones to capture ROI with this new system. RoviSys’ roles in the project includes documentation, SME advice, and use case implementation. During the implementation phase, RoviSys’ engineers are responsible for designing, enhancing, and testing use cases as determined by workshops run by Arcadis.

**Technologies:** OSIsoft PI, Rockwell ControlLogix, ESRI ArcGIS

**Owner:** Nicole Smith  
**Email:** Xiaozhou.Smith@ladwp.com  
**Phone:** (213) 367-0846

**Design/Engineer:** Raluca Constantinescu  
**Email:** raluca.constantinescu@arcadis.com  
**Phone:** 213.797.5263

**Total RoviSys Fee:** $207K (services)  
**Total Project Cost:** $539M

**Original Scheduled Completion Date:** December 2020
5.4 City of Euclid Wastewater Treatment Plant

**Project: Wastewater Treatment Pollution Controls Improvement (MBR)**

**Customer:** City of Euclid  
**Contractor:** Kokosing Construction  
**Location:** Euclid, OH  
**Time Frame:** 2016-Present (Target Completion June 2020)  
**Plant Capacity:** 66 MGD  
**Engineering Hours:** 5,000

**Project Description and Services Provided:** On behalf of the city of Euclid, Kokosing Construction selected RoviSys as the system integrator for the WWTP improvement project. This project includes development, procurement, and implementation of a plant wide SCADA system for the entire treatment process, that spans seven physical building locations.

RoviSys scope includes design and build of seven control panels, two network racks, redundant Virtual Machine hosts with FTView SE servers with Thin Client operator stations, local operator terminals including one for a Class 1 Div 2 hazardous location, remote access for system monitoring, integration of video cameras into the HMI, and supply of process instrumentation.

Kokosing is the Construction Manager at Risk (CMAR), assuming all responsibility for the successful completion of the project. Kokosing partnered with RoviSys as the system integrator to not only implement the control system, but to also assist the project engineer with the final design. RoviSys provided constructability reviews, adding valuable insight to the architecture of the network, as well as integration techniques for OEM equipment. A significant part of the project is the integration of the GE supplied Membrane Bio Reactor (MBR) into the plant wide SCADA. The system includes over 1300 field I/O signals.

The RoviSys team includes engineers certified in CISCO, Rockwell Automation, and E&H instrumentation.

**Owner:** Daniel Knecht (superintendent)  
**Email:** dknecht@cityofeuclid.com  
**Phone:** 216-289-2810

**Architect/Engineer:** Shawn Aiken (CT Consultants)  
**Email:** saiken@ctconsultants.com  
**Phone:** 440-530-2282

**Construction:** Matt Wilson (Kokosing)  
**Email:** maw2@kokosing.biz  
**Phone:** 216-626-0160

**Total RoviSys Fee:** $1.4MM - $600M hardware & software  
**Total Project Cost:** $120MM
6 Key Staff

Below are samples resumes of our project team. Once the project is established, RoviSys will not remove any key staff members without written approval from the Sweetwater Authority.

**Chas Boyden, PE, PMP**

**Project Manager**

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**Employment History**

<table>
<thead>
<tr>
<th>Since</th>
<th>Employment</th>
</tr>
</thead>
<tbody>
<tr>
<td>2000</td>
<td>RoviSys (Aurora, Oh)</td>
</tr>
<tr>
<td>3 Yrs</td>
<td>Rockwell Automation (Mayfield, OH)</td>
</tr>
<tr>
<td>2 Yrs</td>
<td>Automated Handling International (Erie, MI)</td>
</tr>
<tr>
<td>5 Yrs</td>
<td>BEC Engineering and Computing (Toledo, OH)</td>
</tr>
</tbody>
</table>

**Education**

- University Toledo, BS-Electrical Engineering
- University of Akron, Certificate in Applied Project Management
- National Institute of Technology, Electronics Engineering Technology

**Select Professional Work Experience**

**Program Manager**

Northeast Ohio Regional Sewer District (2016-Present)

- Onsite program manager of 30+ projects under the program portfolio called Automation Program Management.
- Organized programs and activities in accordance with the mission and goals of the organization.
- Maintaining and managing long-term goals.
- Developing a budget and project plan for project that would benefit the program.

**Project Manager / Owner-rep**

Bristol-Myers Squibb / AstraZeneca (2015-2016)

- Manage multiple international venders’ activities for new pharmaceutical packaging line.
- Coordinate SAT and validation efforts.

**Professional Memberships, Certifications, and Training**

- Profession Engineer license (P.E.) Control Systems in State of Ohio
- Project Management Professional Certification (PMP) from Project Management Institute.
- Certificate in Applied Project Management from the University of Akron
- IEEE member
Bryan Botirus - Manager – RoviSys CA Office

**Employment History**
Since 2013     RoviSys

**Education**
Cleveland State University – B.S. Electrical Engineering

**Select Professional Work Experience**

**Lead Engineer – City of Pickerington – Water Treatment Plant Upgrade**
Upgrade of existing RSView32 HMI system and integration of new chlorine pumps and chemical analyzer at the City of Pickerington’s Water Treatment Plant.

**Responsible For:**
- Migration of Rockwell Automation RSView32 HMI application to a FactoryTalk View Network Distributed implementation
- Integration of (2) new chlorine pumps, chemical analyzer, and associated control
- Setup of remote-access for system maintenance of both Water and Wastewater treatment plants for the City of Pickerington
- Configuration of Win-911 alarm paging system

**Lead Engineer – Confidential – PRY Wastewater Treatment Plant**
New installation of a ~500 I/O point redundant Allen-Bradley ControlLogix and FactoryTalk View Network Distributed control system for the PRY Wastewater Treatment Plant.

**Responsible For:**
- Overall lead of the design, configuration, and implementation of control system for project team (5 engineers)
- Specification and procurement of control system instrumentation for WWTP
- Electrical control panel design for (3) panels.
- Onsite startup/commissioning of new system installation including the management of electrical contractor

**Systems Engineer – City of Ravenna – Wastewater Treatment Facility I/O Additions**
Upgrade of the City of Ravenna Wastewater Treatment Facilities existing ControlLogix PLC and Intellution iFIX control system to include 30 new I/O points.

**Responsible For:**
- PLC and HMI configuration for the new I/O points
- Historian configuration and new report generation
- Electrical contractor management
- Onsite startup/commissioning of control system additions

**Project Manager - Amgen – ATO B7 Media/Harvest Tank Upgrade**
Upgrade of the existing ATO Building 7 Media and Harvest process legacy ABB DCS to DeltaV. Also, new automated functionality was designed and implemented for what we previously a heavily manual process. Overall system size was 8 units and ~650 I/O points.
Colleen Wolfgang – Project Engineer – Water Resources

Employment History
Since 2013   RoviSys

Education
Cleveland State University – B.S. Electrical Engineering

Select Professional Work Experience

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Katie Brewer - Project Engineer – RoviSys CA Office

Employment History
June 2017 – Present, RoviSys

Education
Miami University – B.S of Electrical Engineering
University of Pittsburgh – M.S. of Electrical Engineering

Select Professional Work Experience

Project Manager/Lead Engineer - Pleasant Hills Waste Water Authority – Waste Water Treatment Plant Improvements/Pleasant Hills, PA
- Responsible for overall design, development, configuration, and installation of a new Rockwell ControlLogix PLC, several remote IO panels, and all Human Machine Interface software for the water treatment plant.
- Configured FactoryTalk Historian and a new HMI Server to provide long-term data storage and plant-wide monitoring, trending, and reporting.
- Continued coordination with customer and other contractors to support phased commissioning of plant improvements and system testing.

Project Manager/Lead Engineer – Youngstown Waste Water Treatment Plant – Secondary Treatment Improvements, Primary Effluent Pumping Station Improvements, Ultraviolet Improvements, and Primary Treatment Improvements/Youngstown, Ohio
- Developed new PLC code in UnityPro for Modicon M580 PLCs and OIT graphics with Vijeo Designer to implement customer provided process control descriptions
- Managed project tasks and procurement of several PLC and local control panels, spare parts, and instrumentation elements to maintain multiple ongoing project schedules
- Created and maintained project documentation including panel drawings, instrumentation cutsheets, testing procedures, and training plans

Lead Engineer – Youngstown Waste Water Treatment Plant – Support Services and Lift Station Improvements/Youngstown Ohio
- Developed new PLC code in UnityPro for a Modicon M580 PLC to automate lift station level control
- Programmed an additional M580 PLC to serve as a data concentrator for data obtained via radio telemetry

Lead Engineer – Aqua Ohio Struthers Water Treatment Plant – Struthers, Ohio
- Reviewed and provided feedback on bid specifications including functional descriptions, P&ID drawings, and instrumentation installation details to support design-build
- Created initial project submittals including panel bill of materials, panel drawings, instrumentation lists, and project schedule
- Managed and delegated tasks to other team members to maintain overall project schedule
Matthew Kramer – Project Engineer – RoviSys CA Office

Employment History
Since 2011 RoviSys
2010 RoviSys Co-Op

Education
Ohio University, BS-Electrical & Computer Engineering June 2011

Select Professional Work Experience

Amgen – Technical Project Manager (AMGxxx)
- Overall Project Manager duties
- Projects include lifecycle upgrades for Rockwell-based systems
- Organized Weekly Team Meetings and Technical Team Meetings
- Created and managed Project Schedules
- Worked closely with a cross functional project team to deliver project requirements within budget and on-schedule.

Corning Display Technologies (CORxxx)
- Multiple new manufacturing line upgrades to Rockwell ControlLogix PLCs with GE iFix HMI’s.
- Authored Functional Specification, Design Documentation and Checkout Documentation
- Lead Client FATs
- Authored Code and HMI screens for Rolling Machine Area
- Provided Onsite Commissioning, Loop Checks and Startup support

Guardian Float Glass (GIC16B/GIC16C/GIC17A)
- Total control system upgrade for Hot End Control System Rebuild (Furnace, Tin Bath & Lehr) to Rockwell ControlLogix PLCs and GE iFix HMI’s. (~1,500 I/O)
- Lead Client FAT
- Authored Code and HMI screens for Furnace Area control
- Provided Onsite Commissioning, Loop Checks and Startup
- Provided Onsite Training for Operators and Engineering

Hickman Williams – Silo Blending (HWC16A)
- Addition of blending and processing system.
- Authored Functional Specification and I/O List
- Created control cabinet layout drawings and BOM
- Created process code utilizing Rockwell ControlLogix and HMI screens utilizing FTView and FTViewPoint.
- Provided Onsite Commissioning, Loop Checks, and Startup
- Provided Onsite Training for Operators and Engineering
7 Sweetwater On-Call SCADA Project Approach

RoviSys Project Execution Methodology

RoviSys utilizes a variety of “RoviSys Administrative Procedures” otherwise known as RAP’s to train and guide our engineering teams in the proper way to conduct business. Specifically, the RoviSys project execution methodology (RAP 302) guides a project from inception through completion. This methodology ensures that all projects are executed using proven, repeatable, and documented work practices. The RoviSys methodology is a sequence of clearly established phases where each phase has defined steps and deliverables. A key element at the heart of our methodology is communication. RoviSys maintains consistent, close contact with our clients to keep project personnel well-informed and projects on track.

Sweetwater Professional Services for SCADA System Support

RoviSys will use our standard project execution approach, but at times it would be tailored to fit simultaneous activities that may be required as multiple support projects are being executed. The diagram on the following page reflects our overall general approach in executing the Sweetwater project. Given that this is a support contract, certain portions of the execution methodology may not apply for a specific task or work order.
Sweetwater SCADA Support Project Execution Plan

Prior to Project Execution

1. Internal Kickoff Meeting
2. Client Kickoff Meeting
3. Develop Quality & Project Plan

Design Engineering

- System Design
  - Instrumentation
  - Control Panels
  - Loop Drawings
  - Submittals

- Software Design
  - Sweetwater Standards Review
  - Process Narratives Review
  - Control Logic Design
  - PCS Communication Design
  - Operator Graphics Design
  - Alarm Management Design

System Implementation

- Procurement
  - Instrumentation
  - Control System Hardware
  - Software

- Fabrication
  - Control System Enclosures

- Configuration
  - Control Logic
  - Operator Graphics
  - PCS Communication
  - Alarm Management

System Testing

- Test Documentation Development
  - Panel Test Plan
  - FAT Test Plan
  - SAT Test Plan

- System Testing
  - Panel Testing
  - System Staging
  - System Testing
  - Factory Acceptance Testing

On-Site Activities

- Installation
  - Instrumentation Installation/Calibration
  - Control Panels
  - Operator HMI Hardware
  - Communication Equipment

- Startup & Commissioning
  - Hardware Operation
  - Configuration Validation
  - Communication Validation
  - Loop Checks
  - Site Acceptance Testing
  - Operations Support

- Training
  - Operations
  - Technicians
  - Engineering

Project Closeout

- Project Closeout
  - Delivery of As Built Drawings/Documents
  - Lessons Learned Meeting
  - Ongoing Support Discussion

Activities in white box will be performed at RoviSys
Activities in blue box will be performed at client site

Repeated for Each Sweetwater Support Project On An "As Required" Basis

Weekly Status Meetings

Project Management and Quality Assurance

ATTACHMENT 4
8 Financial Relationships Disclosure

RoviSys does not have any existing and/or past financial relationships between RoviSys and current members of the Authority’s Governing Board and staff and entities for which said members are employed or have an interest, both past and present.
9 RoviSys California DIR Information

APPLICATION FOR
PUBLIC WORKS CONTRACTOR REGISTRATION

Registration Information
Type: Renewal
Period: September 6, 2019 – June 30, 2022

Contractor Information
Contractor Name: The RoviSys Company
Trade Name: Systems Integrator
License Type Number: PW-LR-1000371987

Contractor Physical Address
Physical Business Country: United States of America
Physical Business City/Province: Thousand Oaks
Physical Business Address: 2393 Teller Road Suite 110
Physical Business State: CA
Physical Business Postal Code: 91320

Contractor Mailing Address
Mailing Business Country:
Mailing Business Address:

Contact Info
Daytime Phone:
Mobile Phone:
Daytime Phone Ext.:
Business Email: adam.kelly@rov/sys.com
Applicant's Email: adam.kelly@rov/sys.com
Workers’ Compensation

Professional Employer Organization (PEO)

Do you lease employees through Professional Employer Organization?  No

Workers’ Compensation Overview

Insured by carrier

Carrier: Athans Insurance Agency, Inc.  
Policyholder Name: The RoviSys Company
Policy Number: 6042839841

Inception Date: August 1, 2019
Expiration Date: August 1, 2020

Certification

Yes  I certify that I do not have any delinquent liability to an employee or the state for any assessment of back wages or related damages, interest, fines, or penalties pursuant to any final judgment, order, or determination by a court or any federal, state, or local administrative agency, including a confirmed arbitration award.

Yes  I certify that the contractor is not currently debarred under Section 1777.1 or under any other federal or state law providing for the debarment of contractors from public works.

Yes  I certify that one of the following is true: (1) I am licensed by the Contractors State License Board (CSLB) in accordance with Chapter 9 (commencing with Section 7000) of the Business and Professions Code; or (2) my business or trade is not subject to licensing by the CSLB.

I understand refunds are not authorized

I, Adam Kelly, the undersigned, am, The RoviSys Company with the authority to act for and on behalf of the above named contractor. I certify under penalty of perjury that all of the above information provided is true and correct. I further acknowledge that any untruthful information provided in this application could result in the certification being cancelled.

I certify this on: 9/10/2019 9:42:18 PM

Legal Entity Information

Legal Entity Type: Corporation

Name: The RoviSys Company
# 10 RoviSys Sample Certificate of Insurance

**ACORD Certificate of Liability Insurance**

**Date (Issuance):** 7/19/2019

**Coverages:**

<table>
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<tr>
<th>Name</th>
<th>Type of Insurance</th>
<th>Effective Date</th>
<th>Expiration Date</th>
<th>Limit</th>
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<tbody>
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<td>Commercial General Liability</td>
<td>08/01/2019</td>
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<td>$1,000,000</td>
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</table>

**Certificate Holder:**

- **Name:** RoviSys Sample Certificate of Insurance
- **Address:** 1455 Danver Dr., Aurora, OH 44202

**Certificate of Insurance:**

- **Issued by:** Allianz Insurance Agency, Inc.
- **P.O. Box 373, Chagrin Falls, OH 44022

**Notes:**

- This certificate is issued as a matter of information only and does not constitute a contract between the issuing insurer(s), authorized representative, or producer, and the certificate holder. The certificate holder is an additional insured, and the policies described herein may be reduced by and claimed against other policies or contracts. Policies shown may have been reduced by and claims made.

**Cancellation:**

- **Should any of the above described policies be cancelled before the expiration date thereof, notice will be delivered in accordance with the policy provisions.**

**Signature:**

- **Authorized Representative:** [Signature]

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**ATTACHMENT 4**

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**ACORD 25 (2014)**

- **Page:** 28 of 28

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**Sweetwater Authority**

**Request For Qualification**

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**MD1**
Subject: REQUEST FOR QUALIFICATIONS FOR ON-CALL SCADA SYSTEM INTEGRATION PROFESSIONAL SERVICES
SWA FILE: [S2019-94]

To Whom It May Concern:

Sweetwater Authority (Authority) is seeking a SCADA System Integrator (Consultant) to provide SCADA system integration services to support its annual maintenance activities and modifications to the water system that may be required as a result of capital improvement.

A. BACKGROUND INFORMATION

The Authority serves a population of approximately 190,000 in the City of National City, the unincorporated area of Bonita, and the western portion of the City of Chula Vista. Water is sourced from the Sweetwater Reservoir and water wells (fresh and brackish) located in numerous locations within the Authority’s service area. Water system demands in excess of the local supply are obtained through imported water from the San Diego County Water Authority (SDCWA). The Authority’s SCADA system monitors and controls equipment at two dams (Loveland Reservoir and Sweetwater Reservoir), three water treatment plants (Robert A. Perdue Water Treatment Plant, Richard A. Reynolds Desalination Facility, and National City Wells), and numerous tanks and booster stations.

The Authority owns, operates, and maintains a SCADA system consisting of CitectSCADA Software, Wonderware Historian, Ampla Operations Management Software, and Modicon PLCs programmed with Unity Pro. The Authority considers SCADA to be a valuable asset that should be managed as an ongoing program, independent of, but parallel to, capital improvement projects, with a consistent SCADA team performing system planning, modifications, and maintenance. For this purpose, the Authority has previously entered into long term agreements with a SCADA Engineer and SCADA Integrator to provide on-call support. The five-year contract with the Authority’s current SCADA Integrator will expire in April 2020, and by Authority policy, the next on-call agreement will be determined by a competitive selection process. The Authority’s current SCADA Integrator is eligible to respond to this RFQ.
B. ACRONYMS AND ABBREVIATIONS

The following technical acronyms and abbreviations are used in this RFQ.


ESXi – The brand name of VMWare’s native hypervisor used to run virtual operating systems.

FCC – Facility Construction Contractor. The contractor with responsibility for executing a facility construction project.

FDC – Facility Design Consultant. The consultant with responsibility for designing and creating bid documents for a facility construction project.

HMI – Human Machine Interface.

I/O – Input / Output. Connections between PLCs and devices being controlled or monitored.

P&ID – Piping and Instrument Diagram. Drawings showing the relationship between process devices and the control system.

PLC – Programmable Logic Controller. An industrial control device that connects to instruments and devices to make control decisions, transmit status and alarms to SCADA, and receive control commands from SCADA operators.

RTU – Remote Terminal Unit. A cabinet installed adjacent to equipment monitored and/or controlled by SCADA containing a PLC, telemetry equipment, power equipment, and interface devices used to connect SCADA to remote equipment.

SCADA – Supervisory Control and Data Acquisition System. A collection of computers, software, operator workstations, RTUs and PLCs used to remotely monitor and control process equipment.

SQL – Structured Query Language. A programming language standard used to interact with databases.

VBA – Visual Basic for Applications. A Microsoft brand name for the programming language embedded in Microsoft Office programs.

WSUS – Windows Server Update Services. A Microsoft brand name for the network service used to manage software updates for Microsoft software.
C. AGREEMENT EXECUTION AND RENEWALS

The selected Consultant will be expected to execute the Authority's standard Agreement for Professional Services (Agreement) without modification. A copy of the agreement is provided in Attachment A. All services shall be performed on a time and materials basis in accordance with the standard hourly rates as submitted by the Consultant and the terms of the Agreement. The Agreement will be in effect for one year and renewable for four subsequent years on an annual basis at the Authority's discretion.

Consultant’s work will be authorized via individual task orders. Upon request by the Authority for a specific task order, the Consultant shall prepare a proposal that describes the scope of work including individual tasks, schedule, project team members, expected deliverables, total not-to-exceed project budget on a time and materials basis at rates specified in the Agreement, and any project-specific requirements prior to commencement of work. The Consultant shall provide all labor, equipment, and materials necessary to complete the scope of services described in the executed Task Order. The Authority will issue a Task Order based on the final negotiated Consultant’s proposal. The Task Order will also serve as the written Notice-to-Proceed to the Consultant for the specific project.

The Authority's Water Quality Department will serve as the administrative lead on the proposed Agreement, and individual task orders will be assigned and coordinated by the Water Quality or Engineering Department project managers as appropriate.

This RFQ does not commit the Authority to enter into an agreement for services, to pay any costs incurred in the preparation of a Statement of Qualifications, or to procure or contract for services or supplies. The Authority reserves the right to accept or reject any or all Statements of Qualifications received as a result of this request, to negotiate with any qualified source, or to cancel in part or in its entirety this RFQ, if it is in the best interest of the Authority to do so. The Authority shall not be obligated to contract any or all of the requested services to the retained Consultant. Further, even upon execution of the Agreement, the selected Consultant(s) will not be guaranteed any work under the on-call Agreement as services will only be requested as needed.

D. CONSULTANT SCOPE OF WORK

This section provides the Consultant with examples of services that may be required during the term of the Agreement. However, the Authority offers no guarantee as to the quantity or type of work that will actually be requested.

1. **Annual Support Tasks**: To maintain the SCADA System, the Authority requires the services of a SCADA System Integrator to perform the following tasks. While no specific quantity of work is guaranteed, the Authority has budgeted approximately $135,000 per year for professional services across the following categories.
a. **Source Control**: Maintain and manage source control of the SCADA system software components including Citect configuration, Ampla and Historian configuration, and PLC programs. Maintain the master copy of the software using Subversion version control software with a remote copy at the Authority’s Information Systems (IS) department.

b. **Test Platform Maintenance**: Maintain a Test Platform replicating the virtualized SCADA system infrastructure on which modifications to SCADA system components can be tested. The Authority will provide a 2U rack-mount server running VMWare ESXi and containing the virtualized copy of the SCADA infrastructure for the Consultant to operate and maintain in their offices. Maintain ESXi and firmware updates and reflect any SCADA system changes in the Test Platform. License key for ESXi will be provided by the Authority for use to incorporate the ESXi instance into an existing vCenter infrastructure. This server and any and all license keys remain the property of the Authority and must be surrendered upon the termination of the agreement.

c. **Software & Operating System Update Support**: As vendor updates to software components are released, apply the changes on the Test Platform, burn in, and test against the Authority’s documented procedures for Test Platform Procedure, Ampla Testing, and Historian Testing. Resolve any issues affecting SCADA reliability or performance with the vendors before recommending deployment to the live system. Upon Authority approval, perform deployment. This includes monthly testing and reporting on Operating System updates provided by Microsoft via the WSUS server included in the test platform infrastructure.

d. **Change Management System**:

   (1) Implement the Authority’s documented Change Management system, through which the Authority may submit Change Request (CR) modifications to the SCADA system software and the implementation of CRs can be logged.

   (2) Perform software upgrades against defined CRs, test and verify those changes utilizing the test platform, and deploy the changed software to the SCADA system in coordination with Authority staff.

e. **Software License Renewals**: Assist with annual software license renewals including negotiating with vendors for the best price, requesting and receiving proposals from distributor(s), and, upon Authority approval, procuring and distributing updated software licenses.
f. **Operator Training**: Perform annual operator training. Each year the Authority identifies topics related to their SCADA system on which they would like their personnel to receive training. The Consultant shall develop training materials for the requested topics and provide one day of training classes, typically onsite at the Perdue Water Treatment Plant. The Authority will provide a location for the training to occur, but the selected Consultant must provide all necessary equipment (e.g. laptop computers for use by students.)

g. **Annual Planning**: Assist the Authority in planning and budgeting for the upcoming fiscal year. This includes attending one or more meetings to discuss SCADA system needs and to develop the scopes of work for the required annual and capital project support. After the meeting, prepare and submit proposals for each task order for the coming fiscal year.

h. **Technical Support**:

   (1) **Routine and Emergency Troubleshooting**: Provide the Authority with tiered technical support as follows:

   (a) Immediate telephone support available on a 24/7 basis. During business hours, the Authority will call project personnel directly. For support after working hours, provide a single telephone number for a person or an answering service who can contact the appropriate Consultant personnel for a call back within one hour. Consultant shall begin remote (telephone call based) troubleshooting within two hours of receipt of notification by the Authority.

   (b) Escalation to on-site support if deemed necessary to resolve the problem. Consultant shall be on site within 24 hours of receipt of notification that on-site support is necessary.

   (c) Remote access to the SCADA system via the internet (or other means) is not available.

   (2) **Assist the Authority in generation of monthly “Automated Operational Metrics” report** which draws data from Ampla and presents the data in Excel spreadsheets using custom VBA modules. Including updating of existing custom SQL queries and VBA modules as necessary to support any modifications to the SCADA system that impact the data contained within the report.
(3) Perform necessary backfill of data across various levels of SCADA system from Citect Servers through Ampla layers as necessary due to gaps in data processed or errors discovered in data.

(4) Provide business hours support to IS staff to ensure reliable and complete data collection within the Ampla system when systems are taken offline for windows or other updates by IS staff. This can include stopping of services on Ampla and Historian servers, monitoring of backfill processes and restarting of services. Note that remote access to the Ampla and Historian servers located on the Authority “Business” network will be possible.

i. Security constraints:

   (1) Remote access to SCADA Network will not be permitted.

   (2) Remote access to select systems on Business Network will be permitted during business hours and will utilize two-factor authentication.

      (a) The following systems may be accessed remotely:

         1. Ampla.

         2. Historian.

     (b) Remote access requires annual acknowledgement of Authority Remote Access Policy, and a fixed source IP address.

   (3) No CD’s or USB sticks may be introduced into any Authority network or computing environment.

   (4) The Authority will provide an encrypted USB drive for use by the contractor when necessary to move data or files onto the SCADA network (e.g. new project files necessary for use during a deploy)

   (5) Unique passwords. The consultant will be assigned individual accounts on the SCADA domain for use. The passwords used on these accounts must be unique and not shared between the consultants’ staff or re-used on other clients’ SCADA systems.

   (6) Domain administration: Domain administration (moves/adds/deletes and joins) on the SCADA network is performed by SWA IS. The Consultants’ accounts will have local administrator permissions only on systems where required.
(7) Certain system level passwords will be shared by the Authority with the Consultant as necessary for SCADA system operation and update processes. These passwords must be digitally stored within an approved digital password “safe” and not shared between consultant staff who do not have direct reason to access them.

(8) Laptops (or other non-Authority owned computer systems) may NOT be connected to any Authority network environment.

(9) Ad-hoc wireless networks between equipment solely owned and operated by the Consultant will be permitted but may not be connected to any Authority network environment.

(10) The selected Consultant will be expected to sign and abide by the terms of the Authority Non-disclosure Agreement (NDA) with respect to SCADA operational and configuration data.

(a) Sample NDA attached.

(b) This includes no unencrypted transmission of SCADA system drawings or data (for example, sending such data via email is prohibited). The Authority will provide accounts on our secure file transfer system for use by the Consultant to share such files with Authority staff.

(11) Deployments of updates by the Consultant to the SCADA network, including Citect Projects, Software Updates or any other changes must be completed in coordination with Authority staff. Deployments will only be approved to occur on Monday through Thursday during normal business hours.

2. **Capital Project Support:**

In addition to Annual Support Tasks, from time to time, the Authority may have capital improvement projects that will require the addition or modification to facilities that are monitored and controlled by the SCADA system. When such projects occur, the Authority requires the SCADA System Integrator to implement the SCADA system design associated with the project. The Authority has recently completed major upgrades to its two water treatment plants and is in the process of upgrading its remote terminal units (RTUs). Accordingly, SCADA work associated with capital improvements projects that are required under this Agreement in the next five years is likely limited to the following projects:
RE: Request for Qualifications - SCADA System Integration Professional Services
October 10, 2019
Page 8 of 15

Projects Started Prior to Submittal Date of this RFQ:

- A new water storage tank.
- A valve control station linking the Authority’s water distribution system to the City of San Diego’s system.

Potential Future Projects:

- An iron and manganese removal system at the National City Wells.
- A powder activated carbon (PAC) feed system at the Robert A. Perdue Water Treatment Plant.

The Consultant’s scope of work associated with capital improvement projects will generally include the following tasks, depending on the magnitude of the project.

a. **Design Support**: During the design phase of a capital improvement project, the Consultant shall participate in design meetings with the Authority, the Authority’s SCADA Engineer, and the Facility Design Consultant (FDC) designing the project.

   (1) Determine, in conjunction with the Authority, SCADA Engineer, and FDC, how the project will be integrated into the SCADA system.

   (2) Provide input to FDC regarding the interface of the capital improvement project to the SCADA system.

   (3) Conduct workshops with the Authority, the Authority’s SCADA Engineer, and FDC to develop functional specifications detailing the PLC I/O, alarms, setpoints, and control strategies.

   (4) Review FDC’s design submittals as they relate to SCADA, including P&IDs, control schematics, I/O lists, control loop descriptions, and other SCADA-related drawings and specifications.

b. **Construction Phase Support**: During construction of the project, the Consultant shall perform the following tasks.

   (1) Review Facility Construction Contractor (FCC) submittals applicable to SCADA.

   (2) If required by the project, design, fabricate, test, and deliver new SCADA panels for installation by the FCC.
(3) If required by the project, develop "work orders" describing the modifications required to existing SCADA panels. Work order will typically be executed by the FCC.

(4) Develop new and/or modify existing detailed SCADA supervisory control logic, screens, reports, etc.

(5) Implement and test PLC and HMI programming to the specifications.

(6) Conduct Factory Acceptance Testing of revised SCADA system programming.

(7) Deploy the approved software to the live SCADA system, ensure the field equipment is communicating properly, and conduct a witnessed site acceptance test showing the resulting system works to the specifications. All Deployments must be scheduled and coordinated with Authority Staff and must not occur later in a given week than 3 pm on Thursday.

(8) In collaboration with the FDC and FCC, perform SCADA-related startup activities, assist with start-up of new processes, and conduct SCADA System Site Acceptance Testing.

(9) Provide training to the Authority’s operators on the changes to the SCADA system implemented on the project. The Authority will provide a location for the training to occur, but the selected Consultant must provide all necessary equipment (e.g. laptop computers to be used during training, by the students.)

E. AUTHORITY PROVIDED ITEMS

The items listed below will be provided, as applicable, by the Authority to the selected Consultant prior to commencing work:

1. Task Orders, including a detailed scope of work.

2. Detailed SCADA system documentation including network diagrams.

3. Standards, including the following:
   a. WSUS Ampla Testing 100.
   b. WSUS Historian Testing 100.
   c. WSUS Test Platform Procedure 106.

4. Test Platform including 2U rack-mount server with VMWare ESXi software and virtual machines, including all software licensing necessary for the test platform as well as operating systems and SCADA software running within the test platform.

**F. CONSULTANT PROVIDED ITEMS**

The items listed below are to be provided by the selected Consultant:

1. Insurance documentation. (Refer to the sample Agreement in Attachment A for insurance requirements.

2. Experienced, qualified personnel to perform the required work.

3. Equipment required to perform the work.

4. Separate invoices for each task order, submitted on a monthly basis.

5. Progress reports detailing activity since last report and upcoming activity, submitted on a monthly basis.

**G. STATEMENT OF QUALIFICATIONS REQUIREMENTS**

1. Statements of Qualification (SOQ) submitted in response to this RFQ shall be concise and well organized. Limit the SOQ to 50 pages plus appendices and exhibits.

2. The Consultant must format its SOQ according to Attachment B – Consultant's Statement of Qualifications.

3. It is not necessary to submit affidavits, certificates, or proof of insurance with the SOQ, but this information may be submitted, if desired.

4. The SOQ shall be signed by an individual authorized to bind the Consultant and shall contain a statement to the effect that the submittal is in effect for ninety (90) days.

5. Six (6) copies of the SOQ shall be delivered to:

   Sweetwater Authority
   505 Garrett Avenue
   Chula Vista, CA 91910
   Attention: Justin Brazil, Director of Water Quality
H. QUALIFICATIONS EVALUATION

The Authority will evaluate all SOQs based on the evaluation criteria presented in this section, as well as other information obtained through background information and references.

The Authority’s Governing Board will convene the Operations Committee for this RFQ. The Operations Committee is made of three Governing Board Members assisted by Authority staff key to SCADA operations. Using the established evaluation criteria, the Operations Committee will evaluate the SOQs based on the firms’ personnel and organization, experience, and other information included in the SOQ except for the cost data provided. To determine the firm(s) deemed most qualified to perform the requested services, the Operations Committee will evaluate responses to ensure the Consultant meets ALL Required Qualifications. Responses that do not meet ALL Required Qualifications may be rejected and not reviewed further. Those SOQs that clearly show the firm meets all Required Qualifications will be evaluated further and scored based on the criteria listed in Desired Qualifications, below.

The Operations Committee may choose to select a short list from the SOQs received based on SOQ evaluation, and conduct interviews of the short-listed firms. After the interviews, short-listed firms may be re-evaluated and ranked based upon the combined SOQ/interview process. The Authority reserves the right to eliminate the interview step of the procurement process and reserves the right to cancel the RFQ process.

After final selection by the Operations Committee, the Authority will enter negotiations with the selected firm. If negotiations fail, the Authority may enter negotiations with the second ranked firm. After negotiating a proposed agreement that is fair and reasonable, the Authority’s Governing Board will consider entering into the proposed agreement. The Authority’s Governing Board has the final authority to approve the agreement.

1. Required Qualifications: The following are the minimum required qualifications for proposers. Interested parties should not submit an SOQ if they do not meet these required qualifications.

   a. General:

      (1) The Consultant’s primary business, or the primary business of a department within the Consultant’s firm, shall be SCADA Integration service for public and municipal entities.

      (2) The Consultant (as a firm) shall have been in the business of SCADA Integration for at least 10 years.

      (3) Consultant's lead engineer shall have at least 10 years of hands-on experience designing and implementing SCADA systems based on the
Schneider Electric Citect SCADA platform and Schneider Electric PLC hardware, or equivalent.

(4) Consultant shall provide a single Project Manager/Program Manager as the primary point of contact for all work assigned by the Authority. This Project Manager must have at least 5 years (total, with current firm or other employers) of experience in control systems integration.

(5) Preference will be given to Consultants whose place of business is located in the United States and within a 24-hour commute of the Authority’s Administrative office at 505 Garrett Avenue Chula Vista, CA. The engineering expertise and work must be based in and be performed in said offices.

(6) The Consultant shall provide panel fabrication services, either in-house or through a subcontractor. The panel fabrication facility shall be located in the United States.

(7) Consultant shall have the capability of training operations and maintenance personnel in industrial control systems application.

(8) Consultant shall have experience with performing review of facility construction documents as they relate to SCADA.

b. Certifications:

(1) Because the Authority’s SCADA system currently uses Schneider Electric Citect SCADA software and Schneider Electric PLC hardware and software, the Consultant shall have one or more employees holding the following Schneider Electric Certifications, or ability to obtain within an agreed upon time period:

(a) Citect SCADA Certified Expert (CSCE) or Citect Certified Engineer (CCE).

(b) Networking Certified Professional (NCP).

(c) Unity Pro Certified Professionals (UCP).

(2) Because the Authority’s SCADA system currently uses Wonderware Historian, the Consultant shall have one or more employees holding the following Wonderware Certifications, or ability to obtain within an agreed upon time period:
(a) Wonderware Certified System Platform certification.

(b) Wonderware Certified Historian Developer.

(3) Because the Authority currently depends on virtualized infrastructure and a virtualized Test Platform, the Consultant shall be competent in VMware virtualization with at least one employee holding VMware Professional Certification in Data Center Virtualization or Network Virtualization, or ability to obtain within an agreed upon time period.

(4) Because the Authority has invested heavily in cyber security, the Consultant shall have at least one employee who has completed the following course and possesses the certification(s) below, or ability to obtain within an agreed upon time period:

(a) Department of Homeland Security’s Industrial Control Systems Cyber Security (301) training.

(b) Palo Alto Networks: Accredited Configuration Engineer (ACE) or Certified Network Security Engineer (PCNSE).

(5) Because the Consultant will be expected to design control panels for various capital improvement projects, show that the Consultant has at least one engineer who is licensed as a Professional Engineer in Electrical Engineering in the State of California.

c. Experience:

(1) The Consultant shall have successfully completed one or more projects containing the following elements. It is acceptable to show many projects with one or more of the specified elements; it is not necessary to show a single project with all the required elements.

(a) Citect SCADA HMI.

(b) Ampla operations management software.

(c) Virtualized SCADA infrastructure using VMware.

(d) Modicon M340 or M580 PLCs with Unity Pro programming.

(e) Modicon M580 PLCs with remote I/O.
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(f) User security implemented through Microsoft Active Directory Domain Controller.

2. Desired Qualifications

Evaluation criteria to be used by the Panel for Desired Qualifications are as follows:

<table>
<thead>
<tr>
<th>Category</th>
<th>Maximum Points</th>
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<tbody>
<tr>
<td>Qualifying Projects</td>
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</tr>
<tr>
<td>Experience and Technical Competence</td>
<td>45</td>
</tr>
<tr>
<td>Consultant’s Organization and Key Personnel</td>
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I. CONSULTANT SELECTION SCHEDULE

1. Statements of Qualifications (SOQs) must be received by the Authority's Water Quality Department NO LATER THAN 5:00 P.M., December 03, 2019. SOQs shall be delivered to the Authority's Administration Office at 505 Garrett Avenue, Chula Vista, CA 91910.

2. The Operations Committee will evaluate the SOQs and recommend a contract award to the Authority's Governing Board.

3. Following award, an Agreement between the Authority and the selected Consultant will be executed and a Notice to Proceed issued.

If you have any questions regarding this RFQ or the scope of work requested, please contact Justin Brazil, Director of Water Quality.

Sincerely,

SWEETWATER AUTHORITY

Justin Brazil
Director of Water Quality
619-409-6802
jbrazil@sweetwater.org
Enclosures:  Exhibit A – Agreement for Services
Exhibit B – Statement of Consultant's Qualifications
Exhibit C – Non-disclosure agreement
Attachment A

AGREEMENT FOR SERVICES
BETWEEN SWEETWATER AUTHORITY

[**CLICK & TYPE CONSULTANT NAME**]

This Agreement is made and entered into this day of [____] 20__ by and between SWEETWATER AUTHORITY (hereinafter referred to as the “Authority”), a joint powers agency operating under the Irrigation District Law, Water Code § 20500 et seq., and [**CLICK & TYPE CONSULTANT NAME**] (hereinafter referred to as “Consultant”).

RECITALS

A. The Authority is a public agency of the State of California and is in need of professional services for the following project: [**CLICK & TYPE PROJECT NAME**] (hereinafter referred to as “the Project”).

B. Consultant is duly licensed and has the necessary qualifications to provide such services.

C. The parties desire by this Agreement to establish the terms for the Authority to retain Consultant to provide the services described herein.

AGREEMENT

NOW, THEREFORE, IT IS AGREED AS FOLLOWS:

1. Services

   1.1 Consultant shall provide the Authority with the services described in the Scope of Services attached hereto as Exhibit “A” and by this reference incorporated herein (“Services”). Consultant warrants that it will perform the Services as set forth herein in a competent, professional and satisfactory manner.

   1.2 At any time during the term of this Agreement, the Authority may request changes in the Scope of Services, and any such change shall be processed by the Authority in the following manner: a letter outlining the changes shall be forwarded to the Authority by Consultant with a statement of estimated changes in fee or time schedule. An amendment to the Agreement shall be prepared by the Authority and executed by both parties before performance of such services or the Authority will not be required to pay for the changes in the scope of work. Such amendment shall not render ineffective or invalidate unaffected portions of this Agreement.

2. Compensation

   2.1 Subject to paragraph 2.2 below, the Authority shall pay for such Services in accordance with the Schedule of Charges set forth in Exhibit “B” and by this reference incorporated herein.

   2.2 Unless otherwise provide herein, Consultant will perform services on a time and material basis. In no event shall the total amount paid for services rendered by Consultant
AGREEMENT FOR SERVICES
BETWEEN SWEETWATER AUTHORITY
AND
[**CLICK AND TYPE CONSULTANT NAME**]
Pursuant to Exhibit “A” exceed the sum of $[**CLICK & TYPE AMOUNT**]. Periodic payments shall be made within thirty (30) days of receipt of an undisputed statement for services rendered. Payments to Consultant for work performed will be made on a monthly billing basis.

2.3 Payment shall not constitute acceptance of any work completed by Consultant.

3. Time of Performance

3.1 Consultant shall perform its services hereunder in a prompt and timely manner, in accordance with the Activity Schedule shown in Exhibit “C,” and shall commence performance upon receipt of the written Notice to Proceed from the Authority. The Notice to Proceed shall set forth the date of commencement of work. Consultant shall confer as requested with Authority representatives to review progress of work elements, adherence to work schedule, coordination of work, scheduling of review and resolution of problems which may develop.

3.2 Neither the Authority nor Consultant shall be considered in default of this Agreement for delays in performance caused by circumstances beyond the reasonable control of the non-performing party. For purposes of this Agreement, such circumstances include, but are not limited to, abnormal weather conditions, floods, earthquakes, fire, epidemics, war, riots, and other civil disturbances; strikes, lockouts, work slowdowns, and other labor disturbances, sabotage, or judicial restraint.

3.3 Should such circumstances occur, the non-performing party shall, within a reasonable time of being prevented from performing, give written notice to the other party describing the circumstances preventing continued performance and the efforts being made to resume performance of this Agreement.

4. California Labor Code Requirements

4.1 Consultant is aware of the requirements of California Labor Code Sections 1720 et seq and 1770 et seq., which require the payment of prevailing wage rates and the performance of other requirements on certain “public works” and “maintenance” projects. If the services are being performed as part of an applicable “public works” or “maintenance” project, as defined by the Prevailing Wage Laws, and if the total compensation is $1,000 or more, Consultant agrees to fully comply with such Prevailing Wage Laws, if applicable. Consultant shall defend, indemnify and hold the Authority, its elected officials, officers, employees and agents free and harmless from any claims, liabilities, costs, penalties or interest arising out of any failure or alleged failure to comply with the Prevailing Wage Laws. It shall be mandatory upon Consultant and all subconsultants to comply with all California Labor Code provisions, which include but are not limited to prevailing wages, employment of apprentices, hours of labor and debarment of contractors and subcontractors.

4.2 If the services are being performed as part of an applicable “public works” or “maintenance” project, in addition to the foregoing, then pursuant to Labor Code sections 1725.5 and 1771.1, Consultant and all subconsultants must be registered with the Department of Industrial Relations (“DIR”). Consultant shall maintain registration for the duration of the Project and require the same of any subconsultants. This Project may also be subject to
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AND

[**CLICK AND TYPE CONSULTANT NAME**]

compliance monitoring and enforcement by the DIR. It shall be Consultant’s sole responsibility to comply with all applicable registration and labor compliance requirements, including the submission of payroll records directly to the DIR.

5. **Standard of Care**

Consultant’s services will be performed in accordance with generally accepted professional practices and principles and in a manner consistent with the level of care and skill ordinarily exercised by members of the profession currently practicing under similar conditions.

6. **Insurance**

[**SWA RISK MANAGER TO REVIEW INSURANCE LIMITS PROJECT BY PROJECT BASIS**]
[**ESPECIALLY THE REQUIREMENT THROUGHOUT TO MAINTAIN THE INSURANCE FOR “24 months following the effective date of the project completion”**]

6.1 **Commercial General Liability and Automobile Liability Insurance** - Consultant shall provide and maintain the following commercial general liability and automobile liability insurance during the performance of all work under this Agreement, and for a minimum of twenty-four (24) months following the date of the Project completion and acceptance by the Authority, in amounts not less than specified herein, Commercial General Liability Insurance, in a form and with insurance companies acceptable to the Authority:

6.1.1 **Coverage** - Coverage for commercial general liability and automobile liability insurance shall be at least as broad as the following:

(a) Insurance Services Office (ISO) Commercial General Liability Coverage (Occurrence Form CG 0001)

(b) Insurance Services Office (ISO) Business Auto Coverage (Form CA 0001), covering Symbol 1 (any auto)

(c) Insurance Service Office (ISO) Excess Liability (if necessary)

6.1.2 **Required Provisions** - The general liability, auto liability and excess liability policies are to contain, or be endorsed to contain, the following provisions:

(a) The Authority its Board and each member of the Board, its officers, employees, agents, and the Authority’s designated volunteers are to be given insured status at least as broad as ISO endorsement CG 2010 11 85; or both CG 20 10 10 01 and CG 20 37 04 13 (or the CG 20 10 04 13 (or earlier edition date) specifically naming all of the Authority’s parties required in this agreement, or using language that states "as required by contract").

(b) All Sub-consultants hired by Consultant must also have the same forms or coverage at least as broad; as respects (via CG 20 38 04 13): liability arising out of activities performed by or on behalf of Consultant; products and completed operations of Consultant; premises owned, occupied or used by Consultant; and automobiles owned, leased,
hired or borrowed by Consultant. The coverage shall contain no special limitations on the scope of protection afforded to the Authority its Board and each member of the Board, its officers, employees, agents, and the Authority’s designated volunteers.

(c) It is understood and agreed to by the parties hereto and the insurance company(s), that the Certificate(s) of Insurance and policies shall so covenant and shall be construed as primary, and the Authority insurance and/or deductibles and/or self-insured retentions or self-insured programs shall not be construed as contributory using the ISO endorsement CG 20 01 04 13 or coverage at least as broad.

(d) Any failure to comply with reporting or other provisions of the policies including breaches of warranties shall not affect coverage provided to the Authority its Board and each member of the Board, its officers, employees, agents, and the Authority’s designated volunteers.

(e) Consultant’s insurance shall apply separately to each insured against whom claim is made or suit is brought, except with respect to the limits of the insurer’s liability.

(f) Policy limits shall not be less than the minimum limits described below. The limits of insurance required by this Contract may be satisfied by a combination of primary, and umbrella or excess insurance. Each umbrella or excess policy shall follow the same provisions as the primary policy.

(g) Each insurance policy required above shall provide that coverage shall not be canceled, except with notice to the Authority.

(h) Such liability insurance shall indemnify Consultant and his/her sub-consultants against loss from liability imposed by law upon, or assumed under contract by, Consultant or his/her sub-consultants for damages on account of such bodily injury (including death), property damage, personal injury, completed operations, and products liability.

(i) The general liability policy shall cover bodily injury and property damage liability, owned and non-owned equipment, blanket contractual liability, completed operations liability, explosion, collapse, underground excavation, and removal of lateral support.

(j) The automobile liability policy shall cover all owned, non-owned, and hired automobiles.

(k) All of the insurance shall be provided on policy forms and through companies satisfactory to the Authority.

6.2 Workers’ Compensation and Employer’s Liability Insurance – By his/her signature hereunder, Consultant certifies that he/she is aware of the provisions of Section 3700 of the California Labor Code which require every employer to be insured against liability for workers’ compensation or to undertake self-insurance in accordance with the provisions of that code, and he/she will comply with such provisions before commencing the performance of the work of this agreement.
6.2.1 **Coverage and Required Provisions** - Coverage for Workers’ Compensation and Employer’s Liability Insurance shall be at least as broad and/or be endorsed to include the following:

(a) Consultant shall provide, during the life of this Agreement, and for a minimum of twenty-four (24) months following the date of the Project completion, workers’ compensation insurance for all of the employees engaged in Work under this Agreement, on or at the Project site, and, in case any of sublet Work, Consultant shall require each sub-consultant similarly to provide workers’ compensation insurance for all the latter’s employees as prescribed by State law. Any class of employee or employees not covered by a sub-consultant’s insurance shall be covered by Consultant’s insurance.

(b) In case any class of employees engaged in work under this Agreement, on or at the Project site, is not protected under the Workers’ Compensation Statutes, Consultant shall provide or shall cause a sub-consultant to provide, adequate insurance coverage for the protection of such employees not otherwise protected.

(c) Consultant is required to secure payment of compensation to his employees in accordance with the provisions of Section 3700 of the Labor Code. Consultant shall file with the Authority certificates of its insurance protecting workers and shall provide certificates at any time upon request. Company or companies providing insurance coverage shall be acceptable to the Authority, if in the form and coverage as set forth in the Contract Documents.

(d) Consultant shall assume the immediate defense of and indemnify and save harmless the Authority, the Board, and each member of the Board, its officers, employees, agents, and consultants from all claims, loss, damage, injury, and liability of every kind, nature, and description brought by any person employed or used by Consultant, or any sub-consultant, to perform the Work under this Agreement regardless of responsibility or negligence. Consultant hereby agrees to waive rights of subrogation which any insurer of Consultant may acquire from Consultant by virtue of the payment of any loss. Consultant agrees to obtain any endorsement that may be necessary to effect this waiver of subrogation. The Workers’ Compensation Policy shall be endorsed with a waiver of subrogation in the favor of the Authority for all work performed by Consultant, its employees, agents and sub-consultants.

6.3 **Professional Liability (Errors and Omissions)** - Consultant will file with the Authority, before beginning professional services, a certificate of insurance satisfactory to the Authority evidencing professional liability coverage.

6.3.1 Consultant shall maintain such coverage continuously for a period of at least five (5) years after the completion of contracted work.

6.3.2 The retroactive date (if any) is to be no later than the effective date of this agreement. Consultant shall purchase a five-year extended reporting period i) if the retroactive date is advanced past the effective date of this Agreement; ii) if the policy is canceled or not renewed; or iii) if the policy is replaced by another claims-made policy with a retroactive date subsequent to the effective date of this Agreement.
6.4 Deductibles and Self-Insured Retentions - Insurance deductibles or self-insured retentions must be declared by Consultant, and such deductibles and retentions shall have the prior written consent from the Authority.

6.4.1 At the election of the Authority, Consultant shall either 1) reduce or eliminate such deductibles or self-insured retentions, or 2) procure a bond which guarantees payment of losses and related investigations, claims administration, and defense costs and expenses.

6.4.2 Policies containing any self-insured retention (SIR) provision shall provide or be endorsed to provide that the SIR may be satisfied by either the named or additional insureds, co-insurers, and/or insureds other than the First Named Insured.

6.5 Minimum Policy Limits Required - Consultant shall maintain limits no less than the following:

6.5.1 General Liability - Two million dollars ($2,000,000) per occurrence /Four million dollars ($4,000,000) aggregate or the full per occurrence limits of the policies available, whichever is greater for bodily injury, personal injury and property damage. If Commercial General Liability Insurance or other form with a general aggregate limit or products-completed operations aggregate limit is used, either the general aggregate limit shall apply separately to the project/location (with the ISO CG 2503, or ISO CG 2504, or insurer’s equivalent endorsement provided to the Authority) or the general aggregate limit and products-completed operations aggregate limit shall be twice the required occurrence limit.

6.5.2 Automobile Liability - One million dollars ($1,000,000) for bodily injury and property damage each accident limit.

6.5.3 Excess Liability (if necessary) - The limits of Insurance required in this agreement may be satisfied by a combination of primary and umbrella or excess Insurance. Any umbrella or excess Insurance shall contain or be endorsed to contain a provision that such coverage shall also apply on a primary and non-contributory basis for the benefit of the Authority (if agreed to in a written contract or agreement) before the Authority’s own primary or self Insurance shall be called upon to protect it as a named insured.

6.5.4 Workers Compensation and Employers Liability - One million dollars ($1,000,000) per occurrence.

6.5.5 Professional Liability - One million dollars ($1,000,000) per claim and $2,000,000 annual aggregate.

6.6 Acceptability of Insurers - Any insurance carrier providing insurance coverage required by the Contract Documents shall be admitted to and authorized to do business in the State of California and maintain an agent for process within the state, unless waived, in writing, by the Authority Risk Manager. Carrier(s) shall have an A.M. Best rating of not less than an A:- VII or better.
6.7 **Evidence Required** - Prior to execution of the agreement, Consultant shall file with the Authority a certificate of insurance (Acord Form 25 or equivalent) signed by the insurer’s representative evidencing the coverage required by this agreement.

6.7.1 Such evidence shall also include the following:

(a) Attached additional insured endorsements with primary & non-contributory wording for each policy

(b) Workers’ Compensation waiver of subrogation

(c) A copy of the Commercial General Liability declarations or endorsement page listing all policy endorsements, and confirmation that coverage includes or has been modified to include Required Provisions above. The Authority reserves the right to obtain complete, certified copies of all required insurance policies, at any time.

6.8 **Continuation of Coverage** - Consultant shall, upon demand of the Authority deliver evidence of coverage showing continuation of coverage for **not less than (5) years** following the termination or completion of this Agreement. Consultant further waives all rights of subrogation under this agreement. When any of the required coverages expire during the term of this agreement, Consultant shall deliver the renewal certificate(s) including the general liability additional insured endorsement and evidence of waiver of rights of subrogation against the Authority to the Authority at least ten (10) days prior to the expiration date. Failure to continually satisfy the Insurance requirements is a material breach of contract.

6.9 **Sub-Consultants** - In the event that Consultant employs other consultants (sub-consultants) as part of the work covered by this agreement, it shall be Consultant’s responsibility to require and confirm that each sub-consultant meets the minimum insurance requirements specified above. Consultant shall, upon demand of the Authority, deliver to the Authority copies such policy or policies of insurance and the receipts for payment of premiums thereon.

6.10 The Authority reserves the right to modify these insurance requirements, including limits, based on the nature of the risk, prior experience, insurer, coverage or other circumstances.

**7. Indemnification**

7.1 To the fullest extent permitted by law, Consultant shall defend (with counsel of the Authority’s choosing), indemnify and hold the Authority, its officials, officers, employees, volunteers, and agents free and harmless from any and all claims, demands, causes of action, costs, expenses, liability, loss, damage or injury of any kind, in law or equity, to property or persons, including wrongful death, in any manner arising out of, pertaining to, or incident to any acts, errors or omissions, or willful misconduct of Consultant, its officials, officers, employees, subcontractors, consultants or agents in connection with the performance of Consultant’s Services, the Project or this Agreement, including without limitation the payment of all damages, expert witness fees and attorneys’ fees and other related costs and expenses. Consultant’s
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[**CLICK AND TYPE CONSULTANT NAME**]

obligation to indemnify shall not be restricted to insurance proceeds, if any, received by Consultant, the Authority, its officials, officers, employees, agents, or volunteers.

7.2 To the extent required by Civil Code section 2782.8, which is fully incorporated herein, Consultant’s obligations under the above indemnity shall be limited to claims that arise out of, pertain to, or relate to the negligence, recklessness, or willful misconduct of Consultant, but shall not otherwise be reduced. If Consultant’s obligations to defend, indemnify, and/or hold harmless arise out of Consultant’s performance as a “design professional” (as that term is defined under Civil Code section 2782.8), then upon Consultant obtaining a final adjudication that liability under a claim is caused by the comparative active negligence or willful misconduct of the Authority, Consultant’s obligations shall be reduced in proportion to the established comparative liability of the Authority and shall not exceed Consultant’s proportionate percentage of fault.

8. Termination or Abandonment

8.1 The Authority has the right to terminate or abandon any portion or all of the work under this Agreement by giving ten (10) calendar days written notice to Consultant. In such event, the Authority shall be immediately given title and possession to all original field notes, drawings and specifications, written reports, and other documents produced or developed for that portion of the work completed, and/or being abandoned. The Authority shall pay Consultant the reasonable value of services rendered for any portion of the work completed prior to termination. If said termination occurs prior to completion of any task for the Project for which a payment request has not been received, the charge for services performed during such task shall be the reasonable value of such services, based on an amount mutually agreed to by the Authority and Consultant of the portion of such task completed but not paid prior to said termination. The Authority shall not be liable for any costs other than the charges or portions thereof, which are specified herein. Consultant shall not be entitled to payment for unperformed services, and shall not be entitled to damages or compensation for termination of work.

8.2 Consultant may terminate its obligation to provide further services under this Agreement upon thirty (30) calendar days' written notice to the Authority only in the event of substantial failure by Authority to perform in accordance with the terms of this Agreement through no fault of Consultant.

9. Compliance With All Laws

9.1 Consultant shall comply with all applicable laws, ordinances, codes, and regulations of the federal, state, and local government.

9.2 Consultant shall assist the Authority in obtaining and maintaining all permits required by federal, state, and local regulatory agencies.

9.3 Consultant is responsible for all costs of clean up and/or removal of hazardous and toxic substances spilled as a result of its services or operations performed under this Agreement.
10. **Organization**

   Consultant shall assign ________________ as the Project Manager. The Project Manager shall not be removed from the Project or reassigned without the prior written consent of the Authority.

11. **Maintenance of Records**

   Books, documents, papers, accounting records, and other evidence pertaining to costs incurred shall be maintained by Consultant and made available at all reasonable times during the Agreement period and for four (4) years from the date of final payment under the Agreement for inspection by the Authority.

12. **Job Site Responsibility**.

   If the services covered by this Agreement involve a construction phase of the Project, the Authority agrees that in accordance with generally accepted construction practices, the construction contractor will be required to assume sole and complete responsibility for job site conditions during the course of construction of the Project, including safety of all persons and property, and that this requirement shall be made to apply continuously and not be limited to normal working hours. Consultant shall not have control over or charge of, and shall not be responsible for, construction means, methods, techniques, sequences, or procedures, as these are solely the responsibility of the construction contractor.

13. **Assignment and Subconsultants**

   Consultant shall not assign, sublet, or transfer this Agreement or any rights under or interest in this Agreement without the written consent of the Authority, which may be withheld for any reason. Nothing contained herein shall prevent Consultant from employing independent associates, and subconsultants as Consultant may deem appropriate to assist in the performance of services hereunder.

14. **Conflicts of Interest**

   Identify all existing and past financial relationships (including consulting agreements) between **[**CLICK & TYPE CONSULTANT NAME**]** and members of the Authority’s Governing Board, and entities for which said members are employed, or have an interest, both past and present.

15. **General Provisions**

   15.1 **Independent Consultant.** Consultant is retained as an independent consultant and is not an employee of Authority. No employee or agent of Consultant shall become an employee of the Authority. The work to be performed shall be in accordance with the work described in Exhibit “A,” subject to such directions and amendments from the Authority as herein provided.
15.2 Notice. All notices permitted or required under this Contract shall be given at the following address, or at such other address as the parties may provide in writing for this purpose:

Authority:
SWEETWATER AUTHORITY
P.O. Box 2328
Chula Vista, CA 91912-2328
Attn: [**CLICK & TYPE MANAGER**]

Consultant: [**CLICK AND TYPE COMPANY**]
Attn: [**CLICK & TYPE CONTACT**]

The parties may designate, in writing, other individuals to whom notice is to be given. Notices shall be deemed to be received upon personal delivery to the addresses above; if sent by overnight delivery, upon delivery as shown by delivery service records; if sent by facsimile, upon receipt as confirmed by the sending facsimile equipment; if by United States Postal Service, five days after deposit in the mail.

15.3 Severability. The unenforceability, invalidity or illegality of any provision(s) of this Agreement shall not render other provisions of this Agreement unenforceable, invalid or illegal.

15.4 Integration. This Agreement represents the entire understanding of the Authority and the Consultant as to those matters contained herein, and supersedes and cancels any prior oral or written understanding, promises, or representations with respect to those matters covered hereunder. This Agreement may not be modified or altered except in writing, signed by both parties hereto. This is an integrated Agreement.

15.5 Survival. All rights and obligations hereunder that by their nature are to continue after any expiration or termination of this Agreement, including, but not limited to, the indemnification obligations, shall survive any such expiration or termination.

15.6 Time is of the Essence. Time shall be of the essence as to all dates and times of performance contained in this Agreement.

15.7 Third Party Rights. Nothing in this Agreement shall be construed to give any rights or benefits to anyone other than the Authority and Consultant.

15.8 Disputes. If any disputes should arise between the Parties concerning the work to be done under this Agreement, the payments to be made, or the manner of accomplishment of the work, Consultant shall nevertheless proceed to perform the work as directed by the Authority pending settlement of the dispute.

15.9 Laws, Venue, and Attorneys’ Fees. This Agreement shall be interpreted in accordance with the laws of the State of California. If any action is brought to interpret or enforce any term of this Agreement, the action shall be brought in a state or federal court situated in the County of San Diego, State of California. In the event of any such litigation between the parties, the prevailing party shall be entitled to recover all reasonable costs incurred, including reasonable attorney’s fees, as determined by the court.
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AND
[**CLICK AND TYPE CONSULTANT NAME**]

IN WITNESS WHEREOF, the parties have executed this Agreement as of the date first written above.

SWEETWATER AUTHORITY

By: ___________________________ By: ___________________________

(Authorized Representative of Consultant)

Name: Patricia “Tish” Berge Name: [**CLICK & TYPE NAME**]

Title: General Manager Title: [**CLICK & TYPE TITLE**]

Dated: __________________________ Dated: __________________________

Approved as to form:

______________________________
Paula C. P. de Sousa Mills
Legal Counsel
SWEETWATER AUTHORITY
AGREEMENT FOR SERVICES
BETWEEN SWEETWATER AUTHORITY
AND
[**CLICK AND TYPE CONSULTANT NAME**]

EXHIBIT “A”
SCOPE OF WORK

[**CLICK & INSERT PROPOSED SCOPE OF WORK**]
AGREEMENT FOR SERVICES
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AND
[**CLICK AND TYPE CONSULTANT NAME**]

EXHIBIT “B”
SCHEDULE OF CHARGES
EXHIBIT “C”
ACTIVITY SCHEDULE
Attachment B

Consultant’s Statement of Qualifications (SOQ)

Statements of Qualifications (SOQ) shall be concise, well organized and demonstrate the responder's experience applicable to the requirements of this RFQ. SOQ submitted in response to this RFQ shall be in the following order and shall include:

1. Introductory Letter: Describe firm’s basic understanding of the services identified. This letter should also contain an expression of the firm’s interest in the work, a statement regarding the qualifications of the firm to do the work, and any summary information that may be useful or informative to the Authority.

2. Identification of Responder:
   a. Legal name and address of company.
   b. Legal form of company (partnership, corporation, joint venture, etc.).
   c. Identify any parent companies.
   d. Addresses of office(s) within the 24-hour commute limit and number of employees.
   e. Addresses of fabrication facility and number of employees.
   f. Name, title, address and telephone number of a person to contact concerning the Statement of Qualification.

3. Financial Relationships Disclosure:
   a. Identify all existing and past financial relationships between Consultant's firm and current members of the Authority's Governing Board and staff and entities for which said members are employed or have an interest, both past and present. If there are none, clearly state this.
   b. Identify all existing and past financial relationships between Consultant's proposed sub-Consultants and current members of the Authority's Governing Board and staff and entities for which said members are employed or have an interest, both past and present. If there are none, clearly state this.
   c. For a list of the Authority's Governing Board members, see the following link:

   http://www.sweetwater.org/35/Governing-Board
4. Required Qualifications: Provide documentation addressing each of the required qualifications. Reference appropriate portions of the following sections if needed.

5. Desired Qualifications:

   a. Qualifying Projects:

      (1) Provide a list of past and on-going projects during the past five (5) years for which the proposing firm provided services similar to those described in this RFQ. Include projects that demonstrate both the Annual Support and Capital Project Support requirements of this RFQ. Limit the list to no more than 10 projects the Consultant feels are most relevant to the RFQ.

      (2) For each project, include the following:

         (a) A brief description of the project, date initiated, date completed (if applicable).

         (b) Name of owner and owner's project manager with phone number.

         (c) Identify role of the key personnel proposed for the Authority’s project.

         (d) Project costs including the following:

            (1) Overall project cost.

            (2) Consultant’s fee for technical services.

            (3) Consultant’s fee for hardware and software provided.

      (3) Present the experience of any subconsultants in a similar manner.

      (4) Highlight those projects that are used to meet the Experience portion of the Required Qualifications.

      (5) Higher scores will be awarded for projects that use the specific hardware and software combinations used by the Authority.

   b. Experience and Technical Competence:

      (1) Provide evidence of the experience and technical competence of the Consultant’s team, including evidence that the team has the required certification and experience.
(2) In order to provide the Authority with an understanding of the Consultant’s commitment to manufacturer training and certification, provide details of any current manufacturer certifications that have been awarded to individual staff. Include all training and certification certificates in an appendix.

(3) As noted in the RFQ, the Authority will provide a Test Platform for the Consultant’s use. Provide details of similar environments the Consultant has used for other clients. For each system, include details such as system architecture, technologies utilized, system size, and how the system was used by the Consultant and/or the client.

(4) The Authority will require the Consultant to implement the Authority’s source control system and use it to manage all code and configuration across the facilities. Provide details of systems that perform this function that the Consultant has deployed for other clients. Include details such as the software used and the functionality of the system.

(5) The Authority will require the Consultant to implement the Authority’s documented change control system to manage changes required to the SCADA system. Provide details of change control systems that the Consultant has implemented for other clients. Include details such as the software used and the functionality of the system.

(6) The Authority will require the Consultant to establish a tiered technical support system as described in the RFQ. Provide details of similar services provided to clients including written procedures for accessing technical support if they exist.

(7) Provide details of clients for which the Consultant currently serves as an extension of staff managing their SCADA system and implementing new features as needed. State the number of continuous years you have been under direct contract with each client.

c. Consultant’s Organization and Key Personnel: Provide an organizational chart showing the relationship and titles of key personnel. Describe proposed Consultant’s organization, including identification and responsibilities of key personnel and subconsultants. Identify specialty subconsultants and their specific role. For each of the key personnel, identify their main work location. Identify the Project Manager who will be responsible for the direct supervision and coordination of integration activities.

6. Costs: Attach a separate, sealed envelope marked “Confidential – Costs” to the SOQ. Include a list of all individuals who are expected to work on this project with name, position, and hourly billing rate. Include a statement that these rates will be used as billing rates,
without increase through December 30, 2020, when preparing fee proposals for specific task orders. All services shall be compensated based on the Consultant's hourly rate schedule. These rates shall reflect all costs related to required equipment, personnel, vehicle, mobilization/demobilization, and insurance requirements, inclusive of overhead and profit.

7. Exceptions to the Request for Qualifications: The proposer shall certify that it takes no exceptions to this RFQ, including but not limited to the Authority’s Professional Services Agreement (PSA), as attached. If the respondent does take exception(s) to any portion of the RFQ or PSA, the specific portion of the RFQ or PSA to which exception(s) is taken shall be identified and proposed alternative language provided and explained.
NON-DISCLOSURE / CONFIDENTIALITY AGREEMENT

This Non-Disclosure / Confidentiality Agreement ("Agreement") is entered into this <DAY> day of <MONTH>, <YEAR> by and between <COMPANY> with offices at <ADDRESS> (hereinafter "Recipient") and Sweetwater Authority, with offices at 505 Garrett Avenue, Chula Vista, CA 91910 (hereinafter "Authority") for the purpose of preventing the unauthorized disclosure of Information as defined below.

RECATIALS

WHEREAS, Recipient and the Authority agree to enter into a confidential relationship with respect to the disclosure of certain proprietary and confidential information; and

WHEREAS, the Authority wishes to protect the confidentiality of such confidential information in accordance with the terms of this Agreement.

NOW THEREFORE, Recipient and the Authority agree as follows:

AGREEMENT

1. Confidential Information. For purposes of this Agreement, "Information" shall include, but not be limited to, customer information or other information or material that has or could have commercial value or other utility to the Authority, and shall also include, but not be limited to all data, materials, products, technology, computer programs, specifications, manuals, business plans, software, marketing plans, financial information, internal processes and procedures, Geographic Information System ("GIS") data, and other information disclosed or submitted, orally, in writing, or by any other media, to Recipient by the Authority. Nothing herein shall require the Authority to disclose any of its Information to Recipient.

To the extent that any Information has been furnished and/or disclosed to Recipient prior to the date of this Agreement, such Information shall be covered by, and subject to, all terms and provisions of this Agreement.

2. Obligations of Recipient. Recipient agrees that Information is to be considered confidential and proprietary to the Authority, and Recipient shall hold the same in confidence, and shall not use the Information other than for the purposes of its business with the Authority.

In consideration for the disclosure of Information, the Recipient agrees that Recipient shall not at any time or in any manner, either directly or indirectly, divulge, disclose, communicate, publish, or otherwise reveal in any manner any Information to any other party whatsoever without the specific prior written authorization of the Authority which may be withheld for any or no reason. Recipient shall not, without prior written approval of the Authority, use for Recipient’s own benefit, publish, copy, or otherwise disclose to others, or permit the use by others for their benefit or to the detriment of the Authority, any Information.

GIS layers are to be solely retained by the Recipient. In no instance are GIS layers to be placed on the Internet, sold, leased, copied, loaned, disclosed, or transferred, in whole or part to other public agencies, private individuals, private firms, non-profit entities, or any other party. The Authority shall not be liable for the accuracy of the GIS information.

Recipient shall return to the Authority any and all records, notes, and other written, printed, or tangible materials in its possession pertaining to Information immediately upon the Authority’s request.
Recipient will protect the Information and treat it as strictly confidential. A violation of this Section 2 shall be a material violation of this Agreement.

3. **Indemnification.** Recipient shall take all necessary action to protect the confidentiality of the Information. Recipient shall indemnify, defend and hold the Authority harmless from and against any and all claims, liabilities, expenses or damages arising from or in connection with Recipient’s breach of this Agreement.

4. **Time Period.** The confidentiality and nondisclosure provisions of this Agreement shall survive the termination of this Agreement and Recipient’s duty to hold the Information in confidence shall remain in effect until the Authority sends Recipient written notice releasing Recipient from this Agreement.

5. **Legally Compelled Disclosure.** In the event that a Recipient is requested or otherwise becomes legally compelled (by oral questions, interrogatories, requests for information or documents, subpoena, criminal or civil investigative demand or similar process) to disclose any Information, the Recipient will provide the Authority with prompt written notice so that the Authority may seek, with Recipient’s cooperation, a protective order or other appropriate remedy and/or waive compliance with the provisions of this Agreement. The Authority will advise the Recipient promptly of the action it intends to take. In the event that such protective order or other remedy is not obtained, or that the Authority waives compliance with the provisions of this Agreement, the Recipient will furnish only that portion of the Information that is legally required and will exercise its best efforts to obtain reliable assurance that confidential treatment will be accorded the Information.

6. **California Public Records Act.** Recipient understands and agrees that any and all documents prepared, used, or received by the Recipient either directly or indirectly in the performance of services under an agreement and any and all documents related to this Agreement, including this Agreement itself, may be subject to the California Public Records Act and may be subject to specific disclosure requirements. Should Recipient receive any request for Information, Recipient shall immediately provide such request to the Authority for review and response.

7. **Information Transmission.** If the Information is to be transmitted electronically, transmission of said Information shall only be transmitted encrypted utilizing a pre-selected common data encryption key whether via electronically, optical or magnetic media, or any other form of computer data media. No transmission of Information shall be transmitted without the use of an encryption key.

8. **Not a License.** Nothing contained herein shall be construed as granting or conferring any rights, by license or otherwise, in any Information. Information may pertain to prospective or unannounced products, services, or utilities, and Recipient agrees not to use any Information as a basis upon which to develop or have a third party develop a competing or similar product or service.

9. **Relationships.** Nothing contained in this Agreement shall operate to create a relationship of the Recipient as a partner, party to a joint venture, agent, employee, or independent contractor of the Authority for any purpose, unless otherwise agreed to in writing by the parties.

10. **Waiver.** Either party’s failure to insist, in any instance, upon strict performance by the other party of any of the terms of this Agreement or to exercise any right or privilege provided herein, shall not relieve the other party of any of its obligations under this Agreement, whether of the same or similar type, and shall not be construed as a waiver of any continuing or subsequent failure to perform or delay in performance of any term herein. This Agreement and each party’s obligations shall be binding on the representatives, assigns and successors of such party.

11. **Irreparable Injury.** Recipient acknowledges that any breach or threatened breach of this Agreement may cause irreparable injury to the Authority and that Recipient will be entitled to seek specific performance and injunctive relief as remedies for any breach or threatened breach of this Agreement, in addition to any other remedies available at law or equity. Recipient agrees to notify the Authority in
writing of any actual or suspected misuse or unauthorized disclosure of the Information that may come to Recipient’s attention.

12. Governing Law. This Agreement shall be governed by and construed in accordance with the laws of the State of California. Any legal action or proceeding brought to interpret or enforce this Agreement, or which in any way arises out of the parties activities undertaken pursuant to this Agreement, shall be brought in the appropriate state or federal court in the County of San Diego, California.

13. Severability. The unenforceability, invalidity, or illegality of any provision(s) of this Agreement shall not render the other provisions unenforceable, invalid, or illegal.

14. Integration. This Agreement expresses the complete understanding of the parties with respect to the subject matter and supersedes all prior proposals, agreements, representations and understandings. This Agreement may not be amended except in a writing signed by both parties.

15. Headings. Headings used in this Agreement are provided for convenience only and shall not be used to construe meaning or intent.

IN WITNESS WHEREOF, this Agreement has been duly executed by the undersigned on the dates set forth below and will become effective upon the latter of such dates should they differ.

**AUTHORITY (Sweetwater Authority) **

Signed: ______________________________
Print Name: ___________________________
Title: ________________________________
Date: ________________________________

**RECIPIENT (<COMPANY>) **

Signed: ______________________________
Print Name: ___________________________
Title: ________________________________
Date: ________________________________
TO: Governing Board
FROM: Management
DATE: January 3, 2020
SUBJECT: Consideration of Appointment of Division 3 Member and Division 4 Alternate Nominees to the Citizens Advisory Committee

SUMMARY
At its September 11, 2019 meeting, the Board appointed the initial nominees to the Citizens Advisory Committee in accordance with Policy 522, Citizens Advisory Committee (CAC). The following individuals were appointed to serve on the CAC:

<table>
<thead>
<tr>
<th>Nominating Board Member</th>
<th>Primary</th>
<th>Alternate</th>
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<tr>
<td>Josie Calderon-Scott</td>
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<td>Dave Schlesinger</td>
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<td>Jerry Cano</td>
<td>Bill Sendt</td>
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<td>Todd Vorhees</td>
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<td>Jose F. Cerda</td>
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<td>Cesar Fernandez</td>
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<td>Hector Martinez</td>
<td>Beatrice Fernandez</td>
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<tr>
<td>Alejandra Sotelo-Solis</td>
<td>Sandy Naranjo</td>
<td>Jeanette Reyes</td>
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Director Preciado has nominated Arcelia Magaña as the primary member to the CAC for Division 3.

Director Martinez has nominated Saul Hernandez as the alternate member to the CAC for Division 4.

PAST BOARD ACTIONS
- September 11, 2019: The Governing Board approved to appoint the initial nominees to the Citizens Advisory Committee
- April 2019: The Governing Board approved the formation of a Citizens Advisory Committee (CAC). The policy for the CAC was approved in July of 2019.

FISCAL IMPACT
The FY 2019-20 Budget includes some funds for CAC administrative expenses.
Memo to: Governing Board
Subject: Consideration of Appointment of Division 3 Member and Division 4 Alternate Nominees to the Citizens Advisory Committee

January 3, 2020
Page 2 of 2

POLICY
Strategic Goal Plan 4: Customer Service, Citizen Engagement and Community Relations: Provide high-quality customer service based on customer feedback and serve the community through education, outreach and partnerships.

- Objective CS5: Establish a Citizens Advisory Committee to advise the Authority in accordance with parameters set by the Board.

Policy 522, Citizens Advisory Committee

ALTERNATIVES
1. Approve Director Preciado’s Member nominee for Division 3 and Director Martinez’s Alternate nominee for Division 4.

2. Other direction as determined by the Governing Board.

STAFF RECOMMENDATION
Staff seeks direction from the Governing Board.

ATTACHMENT
Board Policy 502 – Citizens Advisory Committee
POLICY 522 – CITIZENS ADVISORY COMMITTEE

POLICY

To establish policy for the operation and administration of the Sweetwater Authority Citizens Advisory Committee (CAC) established by the Governing Board (Governing Board) of the Sweetwater Authority (Authority) on April 10, 2019, and to provide the CAC with clear and concise operating guidelines to perform their duties.

PROCEDURE

I. Background:

The Citizen’s Advisory Committee (CAC) was established by a vote of the Governing Board of the Authority on April 10, 2019, for the purpose of providing citizen and rate payer involvement in advising the Authority on ways it could improve its efficiency with regard to Authority operations and with regard to executing the Authority’s Strategic Plan.

II. Composition and Selection:

A. The CAC will consist of seven (7) members (Members) and seven (7) alternate members ( Alternates). Terms for the initial Members/ Alternates will be staggered between approximately two (2) and four (4) years for the initial cycle, determined by lot or other game of chance during the meeting in which Members/ Alternates are formally appointed by the Authority Governing Board. All terms thereafter will be four (4) years. Members and Alternates shall not be subject to term limits. Terms for Members/ Alternates designated as having approximately two (2) year terms, shall end in January 2021, and terms for Members/ Alternates designated as having approximately four (4) year terms, shall end in January 2023.

B. Members and Alternates will be selected as follows:

Each Authority Director shall make a nomination of one Member and one Alternate to the CAC. For Authority Directors who are members of the Board of Directors of South Bay Irrigation District (SBID), nominees shall be residents of the nominating Director’s SBID division. For Authority Directors who are appointed by National City, nominees shall be residents of National City.
C. For the initial selection of CAC Members and Alternates the process of nominating Members/Alternates, shall be completed no later than August 31, 2019 unless otherwise determined by the Governing Board.

D. The Governing Board shall consider formal appointment of initial nominees to the CAC at a regular meeting in September 2019. In the event any Authority Director fails to make nominations for Members/Alternates to the CAC prior to the August 31, 2019 deadline specified in Section C, above, formal appointment of any such nominee shall take place at the soonest practicable meeting of the Authority Governing Board following the nomination. Following the appointment of the initial CAC Members/Alternates, the appointment of nominees to fill expired terms on the CAC shall occur at a regular meeting of the Governing Board in January or February of odd numbered years.

III. Orientation/ Establishment of Meeting Date and Times/ Conduct for Meetings:

A. Once appointed to the CAC by the Governing Board, Authority staff will provide a briefing/orientation to Members/Alternates at the first regular meeting of the CAC on the mission of the Authority and an overview of the Authority’s Strategic Plan and Work Plan for the applicable fiscal year. This briefing/orientation for the initial CAC Members/Alternates shall be held no later than October 31, 2019. Thereafter, the biennial briefing/orientation of Members/Alternates shall be held in conjunction with the first CAC meeting following new appointments by the Governing Board in odd numbered years.

B. Following the briefing/orientation by Authority staff, the initial CAC will convene and determine: (1) a proposed list of relevant issues following the implementation schedule set forth in the Authority’s Detailed Work Plan (short term of 0 – 2 years, medium term of 2 – 5 years, and long term of more than 5 years) to be considered by the CAC, and (2) a proposed schedule for meeting dates and times (with meetings to be held no less than quarterly), for presentation to the Authority Governing Board by December 31, 2019, for the Governing Board’s prioritization and approval. Management will inform the Board of any staffing or budgetary impacts associated with the CAC proposed list of relevant issues or meeting dates and times. Thereafter, the CAC shall present its proposed list of relevant issues to be reviewed by the CAC and its proposed schedule for meeting dates and times (with meetings to be held no less than quarterly), after the second CAC meeting of each odd numbered year.

Approved on July 24, 2019
C. The CAC will meet on its established meeting dates, as approved by the Governing Board. Meetings will comply with the Ralph M. Brown Act and will be held at one of the Authority’s facilities. The CAC shall meet no less than quarterly and only conduct business when a full quorum consisting of more than 50% of the current Members/Alternates are present (with Alternates voting only when the regular Member is absent). The business of the CAC will be conducted in accordance with Roberts Rules of Order and approve motions with a majority of the CAC quorum voting in favor. Anything less than a majority of the CAC quorum voting in favor of a particular motion represents a failed motion.

D. CAC Members/Alternates may attend SWA Committee and Governing Board meetings and provide individual or organized public comment regarding CAC approved recommendations on items or issues to be considered by the Governing Board. When representing the CAC, the Member/Alternate public comment must reflect the official position of the CAC as determined by an official motion garnering the requisite number of affirmative votes as specified in Section III.C. above. In all cases where applicable, Authority staff will convey information on official CAC recommendations to the applicable Authority Committee and/or the Authority Governing Board prior to or as part of the Governing Board’s consideration of the items or issues under consideration. The CAC should deliver CAC approved recommendations to Authority staff in time to reasonably be added to reports provided to the Governing Board. The Detailed Work Plan approved by the Governing Board provides the framework for what items will be considered by the Governing Board and when those items will be considered. Authority staff should notify the CAC, in all instances where practicable given operational constraints, as to applicable deadlines for receipt of official CAC recommendations, to enable compliance with scheduling legal requirements.

E. The CAC may make formal requests for information from Authority staff in support of the approved list of relevant issues to be reviewed by the CAC, and Authority staff shall make every reasonable effort to provide requested information in a timely fashion in order to enable to allow the CAC to make the most informed decision possible. Notwithstanding the foregoing, requests by the CAC for information and/or research will be channeled through the General Manager and any requests for substantive information and/or research that entail substantial effort or cost will be channeled through the Board, for the Board’s consideration and formal direction. Individual CAC Members/Alternates may request information, which will be provided in accordance with the Public Records Act.

Approved on July 24, 2019
IV. **Membership Removal:**

A. CAC Members and Alternates are subject to removal at any time by a majority vote of the Board of Directors, or as indicated below.

B. If a CAC Member or Alternate is absent for three (3) consecutive meetings, unless excused for good cause by the Chair of the Governing Board, Authority staff will contact the Member or Alternate by phone or in writing and inform him or her of this section. If the Member or Alternate misses a fourth (4th) consecutive meeting, he or she shall be removed through a written notification from the Chair of the Governing Board.

C. To vacate a position, a CAC Member or Alternate shall send a written resignation letter to the Board of Directors.

D. If a CAC Member or Alternate ceases to be a resident of the division from which he or she was appointed (if appointed by a Director from SBID) or of National City (if appointed by a Director from National City), the Member or Alternate is deemed to have resigned his or her CAC membership.
SECOND AMENDMENT TO EMPLOYMENT AGREEMENT

This Second Amendment to Employment Agreement ("Second Amendment") is made the 8th day of January, 2020, between SWEETWATER AUTHORITY (hereinafter referred to as "SWEETWATER") and PATRICIA (TISH) BERGE (hereinafter referred to as "EMPLOYEE").

RECITALS

EMPLOYEE has served in the position of General Manager of SWEETWATER, a joint powers agency providing water service to users within the boundaries of the South Bay Irrigation District and the City of National City, since June 26, 2017, pursuant to an Employment Agreement and First Amendment to Employment Agreement.

SWEETWATER and EMPLOYEE seek to amend the terms of the Employment Agreement to set the compensation of EMPLOYEE for the fiscal year beginning July 1, 2019, while leaving all other terms of employment the same.

AGREEMENT

This Second Amendment to Employment Agreement amends the Employment Agreement approved June 14, 2017, as amended, as follows:

1. Annual Compensation

EMPLOYEE shall be paid an annual salary of $231,165.62 payable in biweekly installments, retroactively to July 1, 2019, as provided for in the Agreement, based on the annual evaluation of EMPLOYEE.

2. All other terms of the Agreement shall remain in full force and effect.

IN WITNESS WHEREOF, the parties hereto have executed this First Amendment to the Employment Agreement on the 8th day of January 2020.

DATED: ________________________

Patricia Berge

SWEETWATER AUTHORITY

DATED: ________________________

Steve Castaneda
Chair of the Governing Board
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RESOLUTION 20-03

RESOLUTION OF THE GOVERNING BOARD OF SWEETWATER AUTHORITY
ADOPTING A REVISED SALARY SCHEDULE FOR ALL EMPLOYEES
EFFECTIVE JULY 1, 2019

WHEREAS, the Governing Board of Sweetwater Authority ("Authority") has approved Memorandum of Understanding (MOUs) with the three labor organizations at the Authority and negotiated an amendment to the General Manager's Employment Agreement; and

WHEREAS, the salary schedule was previously updated and adopted consistent with the terms of the MOUs; and

WHEREAS, following the review of the General Manager, the Board approved the Second Amendment of her Employment Agreement pursuant to the terms of the Employment Agreement; and

WHEREAS, the salary schedule has been updated consistent with the terms of the Second Amendment to the Employment Agreement; and

WHEREAS, CalPERS regulations require that employee salaries be included on the publicly approved Salary Schedule; and

WHEREAS, it is necessary for the Governing Board to adopt the Salary Schedule at a publicly noticed meeting.

NOW, THEREFORE, IT IS RESOLVED by the Governing Board of the Authority as follows:

1. The revised Salary Schedule attached hereto as Attachment 1 and incorporated herein by this reference, is hereby adopted with an effective date of July 1, 2019.

PASSED AND ADOPTED by the Governing Board of the Authority at a Regular meeting duly held on the 8 day of January 2020, by the following vote:

AYES: 
NOES: 
ABSENT: 
ABSTAIN:

______________________________
Steve Castaneda, Chair

Attest:

______________________________
Ligia Perez, Board Secretary
### SWEETWATER AUTHORITY
### MONTHLY PAY RANGE – ALL POSITIONS
#### Fiscal Year 2019-2020

**7/01/2019**

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<tr>
<th>Position</th>
<th>Pay Range</th>
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1 Draft Revision 1.2.2020
### SWEETWATER AUTHORITY
### MONTHLY PAY - RANGE - ALL POSITIONS
### Fiscal Year 2019-2020

**07/01/2019**

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<th>Position</th>
<th>Pay Range</th>
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<td>Warehouse Worker I</td>
<td>4,512-5,485</td>
</tr>
<tr>
<td>Warehouse Worker II</td>
<td>4,981-6,055</td>
</tr>
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</table>
SWEETWATER AUTHORITY
MONTHLY PAY – RANGE – ALL POSITIONS
Fiscal Year 2019-2020

07/01/2019

<table>
<thead>
<tr>
<th>Position</th>
<th>Range</th>
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<tbody>
<tr>
<td>Biologist</td>
<td>8,810-10,708</td>
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<tr>
<td>Chemist</td>
<td>6,089-7,401</td>
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<tr>
<td>Chief System Operator</td>
<td>8,525-10,362</td>
</tr>
<tr>
<td>Director of Water Quality</td>
<td>13,412-16,303</td>
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<tr>
<td>Habitat Maintenance Worker I</td>
<td>4,512-5,485</td>
</tr>
<tr>
<td>Habitat Maintenance Worker II</td>
<td>4,981-6,055</td>
</tr>
<tr>
<td>Instrument and Control Technician I</td>
<td>4,741-5,763</td>
</tr>
<tr>
<td>Instrument and Control Technician II</td>
<td>5,233-6,361</td>
</tr>
<tr>
<td>Instrument and Control Technician III</td>
<td>5,777-7,022</td>
</tr>
<tr>
<td>Laboratory Supervisor/Regulatory Analyst</td>
<td>8,525-10,362</td>
</tr>
<tr>
<td>Laboratory Technician I</td>
<td>5,106-6,206</td>
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<tr>
<td>Laboratory Technician II</td>
<td>5,636-6,851</td>
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<tr>
<td>Plant Maintenance Supervisor</td>
<td>8,576-10,424</td>
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<tr>
<td>Plant Maintenance Technician I</td>
<td>4,741-5,763</td>
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<tr>
<td>Plant Maintenance Technician II</td>
<td>5,233-6,361</td>
</tr>
<tr>
<td>Plant Maintenance Technician III</td>
<td>5,777-7,022</td>
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<tr>
<td>Plant Maintenance Technician Leadworker</td>
<td>6,536-7,944</td>
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<tr>
<td>Systems Operator I</td>
<td>5,365-6,520</td>
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<tr>
<td>Systems Operator II</td>
<td>6,069-7,377</td>
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<tr>
<td>Systems Operator III</td>
<td>6,699-8,143</td>
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<td>Water Quality Clerk I</td>
<td>4,512-5,485</td>
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<tr>
<td>Water Quality Clerk II</td>
<td>4,860-5,907</td>
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<tr>
<td>Water Quality Services Technician I</td>
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<tr>
<td>Water Quality Services Technician II</td>
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<tr>
<td>Water Treatment Plant Operator I</td>
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<tr>
<td>Water Treatment Plant Operator II</td>
<td>6,221-7,562</td>
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<tr>
<td>Water Treatment Plant Operator III</td>
<td>6,867-8,347</td>
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<td>Water Treatment Plant Operator Supervisor</td>
<td>7,672-9,325</td>
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<td>Water Treatment Plant Operator Trainee</td>
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</tr>
<tr>
<td>Water Treatment Superintendent</td>
<td>10,482-12,741</td>
</tr>
</tbody>
</table>

In addition to the above salary ranges, individuals who are assigned the following duties will receive the designated additional pay:

Standby Pay:

- Regular: $28.00/day
- Weekend: $35.00/day
- Holidays: $50.00/day

Out of Class – Acting Pay:

Minimum 2.5% increase dependent upon assignment.

Shift Differential Pay:

- 2% or 4% (Depending on shift)
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TO:                Governing Board
FROM:             Management
DATE:             January 3, 2020
SUBJECT:          Consideration of Performance Metrics for Taste and Odor Complaints

SUMMARY
This item is before the Governing Board per the request of Director Martinez, who asked that performance metrics for Taste and Odor Complaints be placed on a future agenda for discussion and possible direction.

The Governing Board began receiving Quarterly Performance Measurement Reports after development of the Strategic Plan. The taste and odor performance metric was proposed as an indicator of water quality. There is no industry benchmark for taste and odor. At that time the average annual number of taste and odor complaints based on data since FY 2000-01 was 89, or approximately 4.9 per 1,000 acre-foot (AF) of water sold. A benchmark for taste and odor complaints was set at less than two complaints per 1,000 acre feet of water sold, which would equate to approximately 40 complaints per year or less, due to the amount of water sold at that time. This was an aggressive goal and difficult to meet under certain conditions, such as treating local reservoir water during turnover events or algae blooms. In August 2013, after considerable discussion by the Board, the benchmark was raised (relaxed) to less than 3.5 customer complaints per 1,000 AF of water sold. This benchmark is reported to the Board both on a quarterly basis and rolling twelve months calculation.

PAST BOARD ACTION(S)
April 12, 2017   The Governing Board adopted the 2017 Strategic Plan Update
August 8, 2012  The Governing Board adopted the Strategic Plan

FISCAL IMPACT
Fiscal impact is dependent upon direction given by the Governing Board.

POLICY
Strategic Plan Goal 1: Water Quality (WQ) – Provide high quality water that meets regulatory requirements.
Memo to: Governing Board
Subject: Consideration of Performance Metrics for Taste and Odor Complaints
January 3, 2020
Page 2 of 2

- Objective WQ1: Meet identified Water Quality benchmarks for Taste and Odor, Turbidity, Color, and Chlorine residual (Source: EPA National Primary Drinking Water Regulation Secondary Standard)
  o 001.00 Minimize taste and odor events to less than 3.5 complaints per thousand acre-feet of water sold and report results (Quarterly)

Strategic Plan Goal 6: Administrative Effectiveness (AE) – Provide efficient and effective administrative systems and procedures in accordance with best management practices.

ALTERNATIVES
There are none identified.

STAFF RECOMMENDATION
Staff seeks direction from the Governing Board.
Re: Forming a Working Group with Otay Water District and Sweetwater Authority

Dear President Thompson and members of the Board:

This letter serves as an invitation from the Sweetwater Authority Governing Board (Board) to form a working group to jointly explore the potential and feasibility of using recycled water to augment existing local water supplies available to our mutual customers.

At its August 28, 2019 meeting, the Board voted unanimously to ask for your participation to form a working group. Earlier this year, the Board authorized the commission of a consultant study to analyze approaches to increase local water supplies. One such approach includes the use of Title 22 reclaimed water to achieve that goal. Since the Otay Water District is a regional leader in the production and effective use of recycled water, we believe that the active participation of your organization is critical to achieving a quality analysis.

The Authority sees this initiative as a potential first step in efforts to secure a strategic water source for the benefit of our combined customer base. We ask that you seriously consider our invitation. If approved, we can determine specifics such as the scope of work, make-up of the committee, and meeting times and dates.

Please contact the Authority’s General Manager Tish Berge with your response at 619-409-6701 or at tberge@sweetwater.org. Thank you for your consideration and we look forward to your reply.

Sincerely,

Steve Castaneda
Board Chair

cc: Mark Watton, General Manager, Otay Water District
    Tish Berge, General Manager, Sweetwater Authority

A Public Water Agency
Serving National City, Chula Vista and Surrounding Areas
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November 22, 2019

The Honorable Steve Castaneda  
Board Chairman  
Sweetwater Authority  
505 Garrett Avenue  
Chula Vista, CA 91912-2328

Re: A Working Group with Otay Water and Sweetwater Authority to Examine Recycled Water Use Opportunities

Dear Chair Castaneda:

This is in response to your letter, on behalf of the Sweetwater Authority Board, inviting the Otay Water District (Otay) to participate in a working group to share information and assist with a study that your agency is commissioning to explore the feasibility of using recycled water to augment existing water supplies.

The Otay Board considered your invitation at its November 6th meeting and voiced support for the formation of the working group. The Board has appointed Mark Robak and Tim Smith to an Ad-Hoc Otay committee. The committee members will work with the two directors from your agency to form the working group.

For the initial meeting, I recommend that Mark Watton contact Tish Berge to set a time and place for that meeting, with concurrence from the working group. At that meeting, the working group can advise our respective General Managers as to staffing or other support desired for the working group.

The Ad-Hoc committee is looking forward to learning what your study will consider and discussing the scope of the project and the District’s Board will be very interested to see what this working group finds and may recommend to our two boards.

I look forward to a good working relationship and fruitful results.

Sincerely,

Mitch Thompson  
President, Board of Directors

cc: Mark Robak, Director, Otay Water District  
Tim Smith, Director, Otay Water District  
Mark Watton, General Manager, Otay Water District  
Tish Berge, General Manager, Sweetwater Authority

RECEIVED  
DEC 6 2019  
Sweetwater Authority
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EIGHTH ANNUAL

WELL CONFERENCE

Climate Change and Political Climate Impacting California Water

March 20-21, 2020

San Jose Marriott
301 S Market St
San Jose, CA 95113

Register Here:
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MANAGEMENT MONTHLY REPORT
ORGANIZATIONAL PERFORMANCE DASHBOARD (FOR THE MONTH ENDING NOVEMBER 30, 2019)

Rainfall/Runoff

- Loveland Reservoir
  - Rainfall: 6.16"
  - FYTD: 6.77
  - Annual Average: 15.19"
- Sweetwater Reservoir
  - Rainfall: 4.06"
  - FYTD: 4.20"
  - Annual Average: 11.30"

Watershed Runoff (Loveland)
- 448.8 AF
  - November 2018: 22.8 AF
Watershed Runoff (Sweetwater)
- 343.3 AF
  - November 2018: 62.6 AF

Total Monthly Production
- 1,293.40

Water Production and Cost
Perdue Plant Daily Production MGD
- Average: 9.4
- Max (11/13/2019): 14.8
- Min (11/30/2019): 4.6

Cost to Treat Water per AF (Variable Costs)
- $148
- $330
- $142

Water Storage
- Loveland Reservoir Capacity: 25,387 AF
  - November 2018: 46% Full
- Sweetwater Reservoir Capacity: 28,079 AF
  - October 2019: 32% Full

Water Loss

- Natural Pipe Aging: 1
- Hit by Contractor: 0
- Tree Root/Settlement: 2
- Fittings, Gaskets, etc.: 0
- Trench Settlement: 1

Water Efficiency Outreach: 28

Administrative
- No. of Funded Positions: 133
- No. of Vacancies: 4
- No. of Positions Filled: 129
- No. of Recruitments: 2
- Hours of Training: 181.25
- Total Attendees: 131

Financial
- Fiscal Year-to-Date Water Sales
  - Actual: 7,819
  - Budget: 7,687

Expenditures (millions)
- Operating: $20.6
- Capital: $5.1
- FYTD Actual: $46.0
- Budget: $26.4

Percent Remaining
- 55%
- 81%

Customer Service
- Delinquent Accounts: 146
- Credit Card Transactions: 7,173
- High Bill Investigations: 43
- Walk-in Customer Assistance: 3,166
- Water Efficiency Outreach: 5
- Taste and Odor Complaints: 1
- New Accounts: 372