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## REGULAR BOARD MEETING AGENDA

5:30 p.m. Tuesday, February 24, 2026  
Utica Headquarters | 1168 Booster Way, Angels Camp, CA 95222

View the meeting agenda packet: [www.uticawater.com/board-meetings](http://www.uticawater.com/board-meetings)

### UTICA BOARD OF DIRECTORS

Caroline Schirato – Chair  
Eric Bottomley – Vice Chair  
Bruce Tallakson – Secretary  
Alvin Broglio – Director  
Gary Conrado – Director

### ORDER OF BUSINESS

1. **Call to Order & Pledge of Allegiance**

2. **Roll Call**

3. **Approval of the Agenda**

4. **Public Comment**

Members of the public may address the Board on items not listed on the agenda. Comments are limited to five minutes. No action will be taken on items not on the agenda. The public is encouraged to work with staff to put items on the agenda for Board consideration.

5. **Closed Session**

A. Pursuant to Government Code § Section 54957.6: Labor Negotiation, District Representative: Erik Holt, General Manager, Unrepresented Employee: Conveyance and Regulatory Compliance Specialist

6. **Consent Calendar**

These items are expected to be routine and non-controversial. Unless a Board member pulls an item, all items will be approved together at one time without discussion.

- A. Approve minutes from the January 2026 Board Meeting (Sparks)
- B. Accept Financial reports for January 2026 (Sparks)
- C. Accept Generation report for January 2026 (Walker)
- D. Accept Water Conveyance Report (Rasmussen)
- E. Accept FERC Exemption Billing Report (Sparks)
- F. Accept Small Conduit Exemption Update (Sparks)
- G. Accept EAP Seminar Results (Sparks)
- H. Accept Owner's Dam Safety Program (ODSP) External Audit Report (Sparks)

## **7. Regular Agenda**

- A. Discussion/Direction of Corrective Action Plan Resulting from ODSP External Audit Authorizing the General Manager to Implement Changes  
(Erik Holt, General Manager)
- B. Form the Resources Ad-Hoc Committee to review water contractor rates  
(Erik Holt, General Manager)
- C. Form the Capital Improvement Plan Ad-Hoc Committee to review proposed Capital Improvement Projects  
(Erik Holt, General Manager)
- D. Discussion Formal Mid-Year Budget Update  
(Erik Holt, General Manager)
- E. Discussion/Action Future Regular Board Meeting date changes.  
(Erik Holt, General Manager)

## **8. Correspondence, Board / General Manager Reports, Future Agenda Items**

- A. Correspondence
- B. General Manager Report
- C. Board reports
- D. Future agenda items

## **9. Upcoming Board Meetings and Calendar Events**

- Regular Board Meeting, Tuesday, March 24, 2026, at 5:30 p.m
- Regular Board Meeting, Tuesday, April 28, 2026, at 5:30 p.m

➤ Regular Board Meeting, Tuesday, May 26, 2026, at 5:30 p.m

## **10. Adjournment**

### **Utica Mission Statement**

We are committed to preserving and protecting local control of our water resources through effective fiscal and operational management and assuring a safe and reliable water supply for municipal and agricultural stakeholders, while ensuring the quality and quantity of this precious resource for generations to come.

### **Americans With Disabilities Act**

In compliance with Title II of the Americans with Disabilities Act, 28 CFR Part 36, if you need special assistance to participate in this meeting, please contact the Utica office at (209) 736-9419 or email your request to [admin@uticawater.com](mailto:admin@uticawater.com). Notification in advance of the meeting will enable Utica to make reasonable accommodations to ensure accessibility to this meeting. Any materials distributed to the Board that relate to an item on the agenda are available at the Utica office 72 hours prior to the scheduled meeting.

### **Questions?**

Contact Utica at [admin@uticawater.com](mailto:admin@uticawater.com) or (209) 736-9419.



## Item 6A

[Return to Agenda](#)



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## REGULAR BOARD MEETING AGENDA

5:30 p.m. Tuesday, January 27, 2026  
Utica Headquarters | 1168 Booster Way, Angels Camp, CA 95222

View the meeting agenda packet: [www.uticawater.com/board-meetings](http://www.uticawater.com/board-meetings)

### UTICA BOARD OF DIRECTORS

Caroline Schirato – Chair  
Eric Bottomley – Vice Chair  
Bruce Tallakson – Secretary  
Alvin Broglio – Director  
Gary Conrado – Director

### ORDER OF BUSINESS

#### 1. Call to Order & Pledge of Allegiance

- The meeting was called to order at 5:34 p.m.

#### 2. Roll Call

- **Directors Present**
  - Director Schirato
  - Director Broglio
  - Director Bottomley
  - Director Tallakson
  - Director Conrado
- **Utica Staff Present**
  - Brandi Sparks, Accounting Technician
  - Erik Holt, General Manager
  - Frank Fields, O&M Superintendent
  - Kyle Rasmussen, Conveyance Supervisor

- Ryan Heryford, Conveyance and Compliance Specialist
- **Others Present**
  - Tom Quincy, UPUD

### 3. Approval of the Agenda

**Motion:** Director Bottomley made a motion to approve the agenda

**Second:** Director Tallakson

**Board Discussion:**

**Public Comment:**

**Vote:** 5-0-0

**Ayes:** Director Schirato, Director Broglio, Director Bottomley, Director Tallakson, Director Conrado

**Noes:** None

**Abstain:** None

**Absent:** None

### 4. Public Comment

Members of the public may address the Board on items not listed on the agenda. Comments are limited to five minutes. No action will be taken on items not on the agenda. The public is encouraged to work with staff to put items on the agenda for Board consideration.

- None

### 5. Consent Calendar

These items are expected to be routine and non-controversial. Unless a Board member pulls an item, all items will be approved together at one time without discussion.

A. Approval of minutes from the December 2025 Board Meeting (Walker)-

**Approved**

B. Accept Financial reports for December 2025 (Walker)- **Accepted**

C. Accept Generation report for December 2025 (Walker)-**Accepted**

D. Accept Operations Report (Fields) - **Accepted**

E. Accept Water Conveyance Report (Rasmussen)- **Accepted**

F. Accept FERC Exemption Billing Report (Sparks) - **Accepted**

G. Accept Quarterly Grants Report (Walker)- **Accepted**

H. Accept Quarterly Training Report (Sparks) - **Accepted**

**Motion:** Director Broglio made a motion to approve the consent calendar

**Second:** Director Bottomley

**Board Discussion:** None

**Public Comment:** None

**Vote:** 5-0-0

**Ayes:** Director Schirato, Director Broglio, Director Tallakson, Director Conrado, Director Bottomley

**Noes:** None  
**Abstain:** None  
**Absent:** None

## 6. Regular Agenda

- A. Discussion/Action Election of officers and committee appointments  
(Brandi Sparks, Acting Clerk of the Board)

**Motion:** Director Broglio made a motion to nominate Director Schirato as Chair

**Second:** Director Conrado

**Board Discussion:** None

**Public Comment:** None

**Vote:** 5-0-0

**Ayes:** Director Schirato, Director Broglio, Director Conrado, Director Tallakson, Director Bottomley

**Noes:** None

**Abstain:** None

**MINUTE ENTRY:** Director Schirato presided over the remainder of the meeting

**Motion:** Director Schirato made a motion to nominate Director Bottomley as Vice Chair

**Second:** Director Broglio

**Board Discussion:** None

**Public Comment:** None

**Vote:** 5-0-0

**Ayes:** Director Schirato, Director Broglio, Director Conrado, Director Tallakson, Director Bottomley

**Noes:** None

**Abstain:** None

**Motion:** Director Broglio made a motion to nominate Director Tallakson as Secretary

**Second:** Director Bottomley

**Board Discussion:** None

**Public Comment:** None

**Vote:** 5-0-0

**Ayes:** Director Schirato, Director Broglio, Director Conrado, Director Tallakson, Director Bottomley

**Noes:** None

**Abstain:** None

Committee Appointments were assigned by Board Chair as follows:

- Budget Committee:
  - Alvin Broglio
  - Bruce Tallakson

B. Discussion/Action Appointment of JPIA Director  
(Brandi Sparks, Acting Clerk of the Board)

- Staff presented an item regarding the Association of California Water Agencies Joint Powers Insurance Authority (ACWA JPIA), which requires each member agency to designate a JPIA Director. The JPIA Director must be a member of the Board of Directors and serves as the agency's voting representative at JPIA Board meetings, held twice annually during the ACWA Spring and Fall Conferences. Staff also explained that if the JPIA Director is unable to attend, an Alternate Director may vote on the agency's behalf. The Alternate Director may be either another Board member or a designated authority staff member.

**Motion:** Director Schirato made a motion to nominate Director Tallakson as Director and Erik Holt as alternate

**Second:** Director Broglio

**Board Discussion:** None

**Public Comment:** None

**Vote:** 5-0-0

**Ayes:** Director Schirato, Director Broglio, Director Conrado, Director Tallakson, Director Bottomley

**Noes:** None

**Abstain:** None

C. Discussion/Action Selection of General Legal Counsel  
(Erik Holt, General Manager)

Mr. Holt discussed roles for David Cameron (General Counsel) and Roger Massudah (Water Rights) and requested Board guidance on their respective responsibilities.

**Board Discussion:**

Director Bottomley questioned Mr. Cameron's hourly rate, and Director Broglio stated that Mr. Cameron is less expensive than alternatives. Director Broglio also raised questions regarding FERC-related matters. Director Schirato stated that is a separate counsel. Mr. Holt clarified that General Counsel provides a broad range of legal support to the Board and the General Manager.

- Public comment: Frank Fields expressed his agreement with Mr Holt. that Roger Massudah should serve as the Water Rights specialist and that David Cameron should serve as Legal Counsel.

**Motion:** Director Bottomley made a motion to appoint General Legal Counsel to David Cameron and Water Rights Counsel to Roger Massudah.

**Second:** Director Schirato

**Board Discussion:** None

**Public Comment:** None

**Vote:** 5-0-0

**Ayes:** Director Schirato, Director Broglio, Director Conrado, Director Tallakson, Director Bottomley

**Noes:** None

**Abstain:** None

D. Discussion/Action Checking and Money Market Account Authorizations  
(Erik Holt, General Manager)

- Staff presented a current list of authorized signers on both Bank of Stockton checking and money market accounts and recommended the Board update the list of authorized signers.

**Motion:** Director Schirato made a motion to remove Interim General Manager Dave Andres, Ralph Chick, and Tom Quincy as authorized signers on the Bank of Stockton checking and money market accounts and to add General Manager Erik Holt, Director Eric Bottomley, and Director Bruce Tallakson as authorized signers on those accounts.

**Second:** Director Conrado

**Board Discussion:** None

**Public Comment:** None

**Vote:** 5-0-0

**Ayes:** Director Schirato, Director Broglio, Director Conrado, Director Tallakson, Director Bottomley

**Noes:** None

**Abstain:** None

E. Informational Update Mid-Year Budget Review  
(Erik Holt, General Manager)

- Mr. Holt requested to pull Agenda Item 6E and move it to the General Managers Report. All Directors agreed.

- F. Adopt Resolution of Appreciation for Dave Andres for his Interim General Manager Services  
(Brandi Sparks, Acting Clerk of the Board)

**Resolution 2026-01**

**Motion:** Director Tallakson made a motion to adopt Resolution 2026-01, Resolution of Appreciation for Dave Andres for his Interim General Manager Services.

**Second:** Director Broglio

**Board Discussion:** None

**Public Comment:** None

**Poll the Board:**

Director Schirato – Aye

Director Broglio – Aye

Director Bottomley – Aye

Director Tallakson – Aye

Director Conrado – Aye

**Vote:** 5-0-0

## **7. Correspondence, Board / General Manager Reports, Future Agenda Items**

### A. Correspondence

- Mr. Holt reported:
  - Cal OES requirements related to the Emergency Action Plan (EAP).
  - The Segale Road Association submitted a letter requesting road maintenance fees to help fund subdivision road repairs. An annual contribution of \$250 was proposed, and all Directors approved.

### B. General Manager Report

- Mr. Holt reported that he has completed his first two weeks, met with staff, and begun developing a vision and data-driven approach to operations. He also met with SWCA regarding the cultural resources letter and anticipates no issues.
- Mr. Holt stated that his initial focus is on the Capital Improvement Plan (CIP), followed by development of a Strategic Plan to guide future budgeting. An Ad Hoc committee is proposed to identify projects, needs, and priorities. Projects under \$50,000 will be classified as capital outlay, and projects over \$50,000 will be included in the CIP and ranked through 2033. Both FERC exemption and relicensing pathways remain under consideration. Director Schirato noted the District is currently in the middle of a CIP. Mr. Holt responded that the current CIP needs improvement.

Director Schirato noted a five-year plan existed and that Proposition 218 rates were based on the CIP, emphasizing the need to ensure costs are fully accounted for.

- Mr. Holt provided a Mid Year Budget Review: A high-level review was provided, noting office space lease income and interest earnings as key budget considerations. Mr. Holt reported that discussions regarding the Wyldridge lease resulted in a decision to abandon the project, as it was not deemed a prudent move. PG&E offered to refund the engineering fee, and the lease with NCPA was canceled.
- Mr. Holt proposed bringing in an independent IT consultant to assess needs and develop a plan, potentially as a CIP project. Director Broglio asked whether funds were available, and Mr. Holt confirmed \$30,000 is budgeted.
- Mr. Holt emphasized the importance of tours and proposed having the Angels Camp Visitors Bureau take over the program, requesting Board input. Director Bottomley stated tours are valuable for public education, and Director Broglio expressed support. Director Conrado noted this item is budgeted for. Mr. Holt said he would do more cost analysis and report back to the Board with a formal request for action.
- Public comment: Frank Fields, made a comment regarding the scope of work for the Murphys Powerhouse Transformer.
- Ryan Heryford made a comment about the Annual EAP Seminar scheduled for next week.

#### C. Board reports

- COA
  - Director Broglio- A city wide pavement project was approved, replacement of water meters to automated and have ordered the first half that have arrived, and have awarded contract for the other half.
  - Schirato: the City has extended no late fees or shut offs through March because of billing software change.
- UPUD
  - Director Tallakson reported that the Budget Committee met in November to review the mid-year budget, which will be presented at the February Board meeting. Staff is in the process of renovating the Murphys office, with efforts focused on restoring its historic character.
- Community at Large
  - Nothing to report, but wanted to thank Frank, Kyle and Ryan, for all your work in the November outage.

#### D. Future agenda items

- Directors requested a Formal Mid Year Budget Review be added to the Regular Board Meeting scheduled for February 24, 2026.

## 8. Upcoming Board Meetings and Calendar Events

- Regular Board Meeting, Tuesday, February 24, 2026, at 5:30 p.m
- Regular Board Meeting, Tuesday, March 24, 2026, at 5:30 p.m
- Regular Board Meeting, Tuesday, April 28, 2026, at 5:30 p.m

## 9. Adjournment

**Motion:** Director Broglio made a motion to adjourn the meeting at 6:47 p.m.

**Second:** Director Tallakson

**Board Discussion:** None

**Public Comment:** None

**Vote:** 5-0-0

**Ayes:** Director Schirato, Director Broglio, Director Tallakson, Director Bottomley, Director Conrado

**Noes:** None

**Abstain:** None

**Absent:** None

- The meeting was adjourned at 6:47 p.m.

### **Utica Mission Statement**

We are committed to preserving and protecting local control of our water resources through effective fiscal and operational management and assuring a safe and reliable water supply for municipal and agricultural stakeholders, while ensuring the quality and quantity of this precious resource for generations to come.

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### **Questions?**

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## Item 6B

[Return to Agenda](#)

# UTICA WATER AND POWER AUTHORITY

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**Date:** February 24, 2026  
**To:** Erik Holt, General Manager  
**From:** Brandi Sparks, Accounting Technician  
**Re:** Financial Report for January 2026

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## **Power Generation and Revenue:**

In January 2026, Angels Powerhouse (APH) generated \$61,993 in revenue. Murphys Powerhouse (MPH) generated \$105,891. The preliminary combined net revenue is \$167,884 for both powerhouses.

## **Water Sales and Irrigation:**

On July 1, staff issued invoices to contractors for the 2025-2026 Irrigation Season, totaling \$39,379.74. This month, past-due accounts were paid, totaling \$468; leaving no amounts outstanding. Additionally, Administration reconciled water usage to “true-up” the accounts; the Authority issued \$6,584 in invoices for additional water use to contractors and \$474 in credits to larger irrigation users (over 5 AF) whose on-season use was overestimated in the initial billing. This month all invoices were paid leaving no outstanding balances.

## **JPA Member Contributions:**

Joint Powers Authority member contributions are determined by the Utica Board of Directors, in coordination with the full JPA membership, during the annual budget development cycle. Each JPA member agency will pay \$407,000 in FY 2025-2026, per the June 24, 2025, Board Adopted Budget – invoiced each quarter to each entity for \$101,750. Due to accounting differences, Union Public Utility District (UPUD) is invoiced at the end of each quarter, while City of Angels (COA) is invoiced at the beginning. UPUD’s second-quarter invoice was issued on December 1, and COA’s third quarter invoice was issued on January 1.

## **Interest Income:**

The Authority’s funds are held in the Bank of Stockton's interest-bearing checking and money market accounts. These accounts earned \$4,956.91 in interest income in January 2026.

# Utica Water and Power Authority

## Budget vs. Actuals: FY 2025-2026 - FY26 P&L

July 2025 - June 2026

	TOTAL			
	ACTUAL	BUDGET	OVER BUDGET	% OF BUDGET
<b>Income</b>				
1200 Operating Income				
1200-01 NCPA Water Sales	280,750.00	0.00	280,750.00	
1200-02 COA Water Agreement	296,000.00	407,000.00	-111,000.00	72.73 %
1200-03 UPUD Water Agreement	101,750.00	407,000.00	-305,250.00	25.00 %
1200-04 Irrigation Water Contractors	46,658.75	54,000.00	-7,341.25	86.41 %
1200-05 1200-05 Slurry Line / CCWD Wheeling Fees		1,000.00	-1,000.00	
<b>Total 1200 Operating Income</b>	<b>725,158.75</b>	<b>869,000.00</b>	<b>-143,841.25</b>	<b>83.45 %</b>
1210 Power Sales				
1210-01 Angels Powerhouse - Power Sales	270,813.58	576,681.00	-305,867.42	46.96 %
1210-02 Murphys Powerhouse - Power Sales	609,794.53	1,124,321.00	-514,526.47	54.24 %
<b>Total 1210 Power Sales</b>	<b>880,608.11</b>	<b>1,701,002.00</b>	<b>-820,393.89</b>	<b>51.77 %</b>
1220 Other Income		0.00	0.00	
1220-01 Other Income	47.50		47.50	
<b>Total 1220 Other Income</b>	<b>47.50</b>	<b>0.00</b>	<b>47.50</b>	
1300 Interest Income	2,232.76		2,232.76	
1300-01 Interest Income	35,081.68	81,270.00	-46,188.32	43.17 %
<b>Total 1300 Interest Income</b>	<b>37,314.44</b>	<b>81,270.00</b>	<b>-43,955.56</b>	<b>45.91 %</b>
1310 Rent Income				
1310-01 Sierra HOPE Lease Agreement	5,328.00	21,312.00	-15,984.00	25.00 %
1310-02 Crown Castle MFB Tower Lease Agreement	33,662.40	27,847.00	5,815.40	120.88 %
1310-03 Hunter Reservoir Rental House	8,265.46	14,169.00	-5,903.54	58.33 %
1310-04 Cal.Net MFB Tower Lease Agreement	1,750.00	3,436.00	-1,686.00	50.93 %
<b>Total 1310 Rent Income</b>	<b>49,005.86</b>	<b>66,764.00</b>	<b>-17,758.14</b>	<b>73.40 %</b>
1340 Other Non-Operating Income				
1340-01 COA Sierra Hydrographics Pass Through	3,200.00	5,070.00	-1,870.00	63.12 %
1340-02 Other Income	2,500.99		2,500.99	
<b>Total 1340 Other Non-Operating Income</b>	<b>5,700.99</b>	<b>5,070.00</b>	<b>630.99</b>	<b>112.45 %</b>
1350 Reserve Income				
1350-01 FERC Relicensing / Exemption Reserve (transfer in)	400,500.00	400,500.00	0.00	100.00 %
1350-03 FERC Five Year Plan Reserve	40,000.00	40,000.00	0.00	100.00 %
1350-04 FERC 10 Year Plan Reserve	10,000.00	10,000.00	0.00	100.00 %
<b>Total 1350 Reserve Income</b>	<b>450,500.00</b>	<b>450,500.00</b>	<b>0.00</b>	<b>100.00 %</b>
1400 Grant Funding				
1400-01 Hunter Reservoir Fuels Reduction Project	283,200.00	557,941.00	-274,741.00	50.76 %
1400-02 Lower Utica Canal Wastegates and Gaging Stations Project		25,458.00	-25,458.00	
1400-06 Utica and Angels Canal Lining (USBR WaterSMART)	25,000.00	28,000.00	-3,000.00	89.29 %
1400-10 Utica Grants Administration (% of grant award)	19,778.00		19,778.00	
<b>Total 1400 Grant Funding</b>	<b>327,978.00</b>	<b>611,399.00</b>	<b>-283,421.00</b>	<b>53.64 %</b>
1500 Disaster Relief Reimbursements				
1500-01 FEMA 75% (New Year's Storm)		0.00	0.00	

	TOTAL			
	ACTUAL	BUDGET	OVER BUDGET	% OF BUDGET
1500-02 Cal OES 75% of 25% Remainder (New Year's Storm)		0.00	0.00	
<b>Total 1500 Disaster Relief Reimbursements</b>		<b>0.00</b>	<b>0.00</b>	
Unapplied Cash Payment Revenue	0.01		0.01	
<b>Total Income</b>	<b>\$2,476,313.66</b>	<b>\$3,785,005.00</b>	<b>\$ -</b>	<b>65.42 %</b>
			<b>1,308,691.34</b>	
<b>GROSS PROFIT</b>	<b>\$2,476,313.66</b>	<b>\$3,785,005.00</b>	<b>\$ -</b>	<b>65.42 %</b>
			<b>1,308,691.34</b>	
Expenses				
3000 Wages, Benefits & Burden				
3100 Power				
3101 Power Wages				
3101-01 Operations & Maintenance Superintendent	59,955.54	120,897.00	-60,941.46	49.59 %
3101-02 Hydroelectric Operator	39,009.49	78,853.00	-39,843.51	49.47 %
3101-03 Hydroelectric Operations Technician	48,874.94	84,906.00	-36,031.06	57.56 %
3101-04 On-Call	8,750.00	18,450.00	-9,700.00	47.43 %
3101-05 Hydro Management Leave	4,614.00	4,614.00	0.00	100.00 %
3101-10 Overtime	5,988.04	12,000.00	-6,011.96	49.90 %
<b>Total 3101 Power Wages</b>	<b>167,192.01</b>	<b>319,720.00</b>	<b>-152,527.99</b>	<b>52.29 %</b>
3102 Power Burden				
3102-01 Social Security, Medicare, State Unemployment Ins.	17,487.77	26,025.00	-8,537.23	67.20 %
3102-03 Workers Comp	6,439.24	15,823.00	-9,383.76	40.70 %
<b>Total 3102 Power Burden</b>	<b>23,927.01</b>	<b>41,848.00</b>	<b>-17,920.99</b>	<b>57.18 %</b>
3103 Power Benefits				
3103-01 Health Insurance - SDRMA	43,608.45	69,574.00	-25,965.55	62.68 %
3103-02 Health Reimbursement Account - EDIS	6,467.54	10,000.00	-3,532.46	64.68 %
3103-03 Dental/Vision/Chiro/Life Insurance - Choice Builder	3,056.86	3,895.00	-838.14	78.48 %
3103-04 CalPERS Pension	15,290.88	22,659.00	-7,368.12	67.48 %
3103-06 CalPERS Pension Unfunded Liability	8,619.80	8,548.00	71.80	100.84 %
<b>Total 3103 Power Benefits</b>	<b>77,043.53</b>	<b>114,676.00</b>	<b>-37,632.47</b>	<b>67.18 %</b>
<b>Total 3100 Power</b>	<b>268,162.55</b>	<b>476,244.00</b>	<b>-208,081.45</b>	<b>56.31 %</b>
3200 Water				
3201 Water Wages				
3201-01 Water Conveyance Supervisor	46,143.06	103,459.00	-57,315.94	44.60 %
3201-02 Senior Water Conveyance Operator	43,443.72	82,846.00	-39,402.28	52.44 %
3201-03 General Manager	75,178.47	153,192.00	-78,013.53	49.07 %
3201-04 Administrative Technician	38,773.34	61,589.00	-22,815.66	62.95 %
3201-05 Administrative Specialist	41,703.67	67,995.00	-26,291.33	61.33 %
3201-06 Conveyance and Compliance Specialist	45,695.69	75,046.00	-29,350.31	60.89 %
3201-09 IT Administrator	14,430.61	28,117.00	-13,686.39	51.32 %
3201-10 Overtime	3,716.68	10,000.00	-6,283.32	37.17 %
3201-11 Conveyance Management Leave		3,979.00	-3,979.00	
3201-12 Administration Management Leave	5,892.00	5,892.00	0.00	100.00 %
<b>Total 3201 Water Wages</b>	<b>314,977.24</b>	<b>592,115.00</b>	<b>-277,137.76</b>	<b>53.20 %</b>
3202 Water Burden				
3202-01 Social Security, Medicare, State Unemployment Ins.	31,891.08	48,017.00	-16,125.92	66.42 %
3202-03 Workers Comp - Ops, GM, and Office Staff	9,658.86	24,292.00	-14,633.14	39.76 %
<b>Total 3202 Water Burden</b>	<b>41,549.94</b>	<b>72,309.00</b>	<b>-30,759.06</b>	<b>57.46 %</b>
3203 Water Benefits				

	TOTAL			
	ACTUAL	BUDGET	OVER BUDGET	% OF BUDGET
3203-01 Health Insurance - SDRMA	72,079.09	150,384.00	-78,304.91	47.93 %
3203-02 Health Reimbursement Account - EDIS	10,796.34	15,000.00	-4,203.66	71.98 %
3203-03 Dental/Vision/Chiro/Life Insurance - ChoiceBuilder	4,287.36	6,520.00	-2,232.64	65.76 %
3203-04 CalPERS Pension	25,117.19	45,551.00	-20,433.81	55.14 %
3203-06 CalPERS Pension Unfunded Liability	13,129.70	12,821.00	308.70	102.41 %
<b>Total 3203 Water Benefits</b>	<b>125,409.68</b>	<b>230,276.00</b>	<b>-104,866.32</b>	<b>54.46 %</b>
<b>Total 3200 Water</b>	<b>481,936.86</b>	<b>894,700.00</b>	<b>-412,763.14</b>	<b>53.87 %</b>
<b>Total 3000 Wages, Benefits &amp; Burden</b>	<b>750,099.41</b>	<b>1,370,944.00</b>	<b>-620,844.59</b>	<b>54.71 %</b>
3201-02 Wages, Benefits & Burden				
Water	14.38		14.38	
<b>Total 3201-02 Wages, Benefits &amp; Burden</b>	<b>14.38</b>		<b>14.38</b>	
3202-01 Wages, Benefits & Burden	1,051.33		1,051.33	
4100 Maintenance & Repair				
4100-01 Road Maintenance	2,620.00	5,408.00	-2,788.00	48.45 %
4100-02 Flume Maintenance	83,956.54	103,000.00	-19,043.46	81.51 %
4100-04 Canal Maintenance	145.58		145.58	
4100-05 Property Maintenance	5,669.74	5,408.00	261.74	104.84 %
4100-06 Fuel for Vehicles and Equipment	10,449.12	18,000.00	-7,550.88	58.05 %
4100-07 Maintenance for Vehicles and Equipment	5,693.73	7,718.00	-2,024.27	73.77 %
4100-08 Temporary Labor	23,791.10	35,000.00	-11,208.90	67.97 %
4100-09 Powerhouses Maintenance and Supplies	4,063.23	13,230.00	-9,166.77	30.71 %
4100-10 Gaging Station Maintenance	797.42	6,000.00	-5,202.58	13.29 %
4100-11 Misc Supplies and Repairs	6,067.55	11,576.00	-5,508.45	52.41 %
4100-14 Dam and Spillway Maintenance	9,576.14	15,000.00	-5,423.86	63.84 %
4100-16 Irrigation Maintenance (Not Meter Replacement)	258.24	2,100.00	-1,841.76	12.30 %
<b>Total 4100 Maintenance &amp; Repair</b>	<b>153,088.39</b>	<b>222,440.00</b>	<b>-69,351.61</b>	<b>68.82 %</b>
4110 Misc. Supplies & Services				
4110-01 Office Services, Supplies, Equipment, Misc.	7,320.18	11,576.00	-4,255.82	63.24 %
4110-02 Employee Uniforms, Boots, PPE	333.81	5,150.00	-4,816.19	6.48 %
4110-04 Headquarters Cleaning	1,170.00	1,950.00	-780.00	60.00 %
<b>Total 4110 Misc. Supplies &amp; Services</b>	<b>8,823.99</b>	<b>18,676.00</b>	<b>-9,852.01</b>	<b>47.25 %</b>
4120 Leases & Subscriptions				
4120-02 Sierra Pacific Industries Lease	250.00	250.00	0.00	100.00 %
4120-03 Office Toshiba Copier Lease	2,509.51	2,336.00	173.51	107.43 %
4120-04 Software Subscriptions	3,764.75	8,755.00	-4,990.25	43.00 %
4120-06 Wylderidge Tower Lease NCPA	2,800.00	2,800.00	0.00	100.00 %
<b>Total 4120 Leases &amp; Subscriptions</b>	<b>9,324.26</b>	<b>14,141.00</b>	<b>-4,816.74</b>	<b>65.94 %</b>
4200 Property & Liability Insurance				
4200-01 ACWA/JPIA Auto & General Liability	37,275.20	37,180.00	95.20	100.26 %
4200-02 ACWA/JPIA Property Insurance	54,064.47	73,332.00	-19,267.53	73.73 %
<b>Total 4200 Property &amp; Liability Insurance</b>	<b>91,339.67</b>	<b>110,512.00</b>	<b>-19,172.33</b>	<b>82.65 %</b>
4200-03 ACWA / JPIA Cyber Liability	1,137.00	1,087.00	50.00	104.60 %
4300 Memberships				
4300-01 Association California Water Agencies	14,600.00	14,663.00	-63.00	99.57 %
4300-02 Tuolumne-Stanislaus Integrated Regional Water Management WAC	200.00	220.00	-20.00	90.91 %
4300-03 Mountain Counties Water Resources Association	1,443.00	1,497.00	-54.00	96.39 %

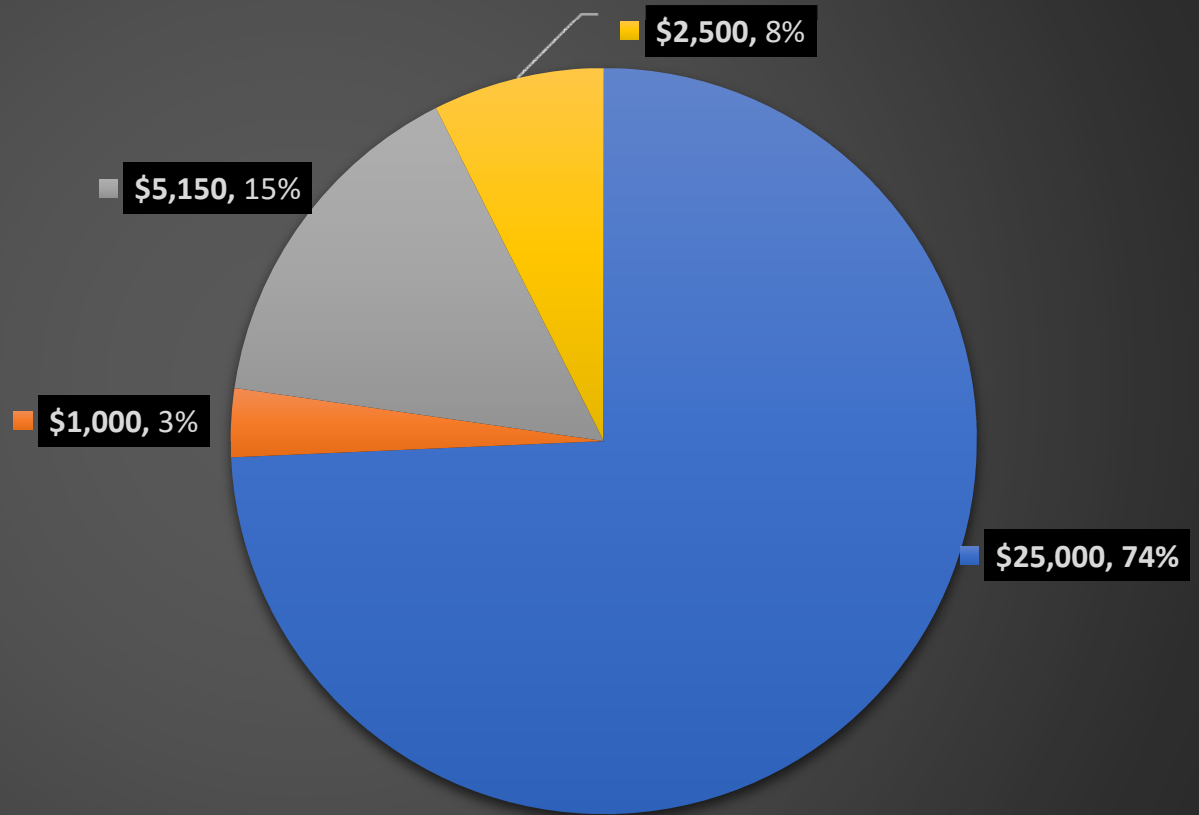
	TOTAL			
	ACTUAL	BUDGET	OVER BUDGET	% OF BUDGET
4300-04 Calaveras Historical Society		50.00	-50.00	
4300-05 California Special District Association	1,872.00	1,936.00	-64.00	96.69 %
4300-06 Amazon Prime	140.29	200.00	-59.71	70.15 %
4300-07 Farm Bureau - Calaveras Chapter	200.00	150.00	50.00	133.33 %
4300-08 Murphys Community Park Association		75.00	-75.00	
<b>Total 4300 Memberships</b>	<b>18,455.29</b>	<b>18,791.00</b>	<b>-335.71</b>	<b>98.21 %</b>
4400 Professional/Special. Services				
4400-01 Consulting Services	9,780.54	15,750.00	-5,969.46	62.10 %
4400-03 Chief Dam Safety Engineer	5,300.00	15,000.00	-9,700.00	35.33 %
4400-05 Murphys/Angels Powerhouse Inspection Reports	3,405.00	10,400.00	-6,995.00	32.74 %
4400-07 SCADA and PLC Programming	6,160.00	8,320.00	-2,160.00	74.04 %
4400-08 Certified Public Accountant	406.25	2,808.00	-2,401.75	14.47 %
4400-09 Annual Audit	4,331.91	14,000.00	-9,668.09	30.94 %
4400-10 General Legal Counsel	32,358.41	22,204.00	10,154.41	145.73 %
4400-11 FERC Exemption Legal Counsel	17,640.00	20,000.00	-2,360.00	88.20 %
4400-12 FERC Exemption General Services	58,810.80	50,000.00	8,810.80	117.62 %
4400-14 FERC Regulatory Compliance	31,140.97	50,000.00	-18,859.03	62.28 %
4400-16 FERC Exemption Consultants	353,032.30	330,500.00	22,532.30	106.82 %
4400-20 Hydrology Analysis Services	10,375.00	25,380.00	-15,005.00	40.88 %
4400-21 Community Education/Outreach	2,728.08	5,200.00	-2,471.92	52.46 %
4400-24 Grant Writing/Eng./Finance/Mgmt		5,000.00	-5,000.00	
4400-28 Website Maintenance and Support	3,500.00	6,000.00	-2,500.00	58.33 %
4400-29 GIS Mapping	843.75	5,200.00	-4,356.25	16.23 %
4400-31 Recruitment	5,265.32	1,000.00	4,265.32	526.53 %
4400-32 Water Rights Protection & Reporting		10,000.00	-10,000.00	
4400-33 Human Resources Consulting Support	2,484.00	1,500.00	984.00	165.60 %
4400-34 Revenue Meter Maintenance - CAISO	5,990.00	6,300.00	-310.00	95.08 %
4400-35 IT Outside Services		30,000.00	-30,000.00	
<b>Total 4400 Professional/Special. Services</b>	<b>553,552.33</b>	<b>634,562.00</b>	<b>-81,009.67</b>	<b>87.23 %</b>
4500 Governmental & Other Fees				
4500-02 FERC Annual Admin & Land Charge		11,000.00	-11,000.00	
4500-03 Dept Water Resources Dam Fees		75,920.00	-75,920.00	
4500-05 Powersoft Billing Software (MPH & APH)	500.00		500.00	
4500-06 County Taxes (Booster, Hunters)	1,631.60	400.00	1,231.60	407.90 %
4500-07 USA North 811 Annual Fee	300.00	300.00	0.00	100.00 %
4500-08 County Environmental Health Hazardous Waste		674.00	-674.00	
4500-09 CA Dept of Tax & Fee Admin - State Water Rights	2,282.70	2,500.00	-217.30	91.31 %
4500-11 United States Geological Service Fees		9,548.00	-9,548.00	
4500-12 Bank Charges	124.18	100.00	24.18	124.18 %
4500-13 Miscellaneous Fees and Expenses		1,000.00	-1,000.00	
4500-16 Wylderidge Road Fee	940.00		940.00	
<b>Total 4500 Governmental &amp; Other Fees</b>	<b>5,778.48</b>	<b>101,442.00</b>	<b>-95,663.52</b>	<b>5.70 %</b>
4600 Communications				
4600-01 Comcast	5,868.84	8,500.00	-2,631.16	69.05 %
4600-04 Verizon	6,038.73	11,000.00	-4,961.27	54.90 %
4600-05 Columbia Communications	462.84	975.00	-512.16	47.47 %
4600-06 Cal.Net	1,262.66	2,912.00	-1,649.34	43.36 %
4600-12 Starlink	1,800.00	4,320.00	-2,520.00	41.67 %

	TOTAL			
	ACTUAL	BUDGET	OVER BUDGET	% OF BUDGET
<b>Total 4600 Communications</b>	<b>15,433.07</b>	<b>27,707.00</b>	<b>-12,273.93</b>	<b>55.70 %</b>
4700 Utilities				
4700-01 Calaveras Public Power Agency	5,341.60	5,750.00	-408.40	92.90 %
4700-02 PG&E	11,418.70	15,000.00	-3,581.30	76.12 %
4700-04 UPUD Water Service	292.54	1,000.00	-707.46	29.25 %
4700-05 City of Angels Water Service	3,900.03	5,100.00	-1,199.97	76.47 %
4700-07 Cal Waste Garbage & Recycling	1,633.02	2,700.00	-1,066.98	60.48 %
4700-08 Mountain Oasis Bottled Water	457.00	1,000.00	-543.00	45.70 %
4700-09 Ebbetts Pass Gas Propane	465.66	2,500.00	-2,034.34	18.63 %
<b>Total 4700 Utilities</b>	<b>23,508.55</b>	<b>33,050.00</b>	<b>-9,541.45</b>	<b>71.13 %</b>
4800 Travel & Training				
4800-01 Travel and Training	970.92	20,000.00	-19,029.08	4.85 %
4800-03 Mileage Reimbursement	116.13	1,500.00	-1,383.87	7.74 %
<b>Total 4800 Travel &amp; Training</b>	<b>1,087.05</b>	<b>21,500.00</b>	<b>-20,412.95</b>	<b>5.06 %</b>
4900 Information Technology				
4900-02 Computers, Software, Hardware, and Equipment	605.86	10,609.00	-10,003.14	5.71 %
<b>Total 4900 Information Technology</b>	<b>605.86</b>	<b>10,609.00</b>	<b>-10,003.14</b>	<b>5.71 %</b>
5000 Powerhouses				
5000-01 MPH Relay Protection Upgrade	26,668.50	0.00	26,668.50	
5000-11 Backup MPH Transformer		123,111.00	-123,111.00	
5000-12 MPH Static Exciter	87,885.71	100,000.00	-12,114.29	87.89 %
<b>Total 5000 Powerhouses</b>	<b>114,554.21</b>	<b>223,111.00</b>	<b>-108,556.79</b>	<b>51.34 %</b>
5100 Conveyance				
5100-06 Murphys Forebay Trash Rake Replacements		70,000.00	-70,000.00	
<b>Total 5100 Conveyance</b>		<b>70,000.00</b>	<b>-70,000.00</b>	
5200 General Projects				
5200-03 General Facilities	8,938.78	10,000.00	-1,061.22	89.39 %
5200-04 Feasibility Assessments		25,000.00	-25,000.00	
<b>Total 5200 General Projects</b>	<b>8,938.78</b>	<b>35,000.00</b>	<b>-26,061.22</b>	<b>25.54 %</b>
6100 Equipment & Material Purchases				
6100-02 Heavy Equipment & Attachments	22,541.69	29,000.00	-6,458.31	77.73 %
6100-03 Irrigation Meter Purch./Install	1,904.18	0.00	1,904.18	
6100-04 Tools and Equipment		6,000.00	-6,000.00	
<b>Total 6100 Equipment &amp; Material Purchases</b>	<b>24,445.87</b>	<b>35,000.00</b>	<b>-10,554.13</b>	<b>69.85 %</b>
6560 Payroll Expenses				
Taxes	1,399.15		1,399.15	
<b>Total 6560 Payroll Expenses</b>	<b>1,399.15</b>		<b>1,399.15</b>	
7000 FERC Relicensing/Exemption Reserve				
7000-01 FERC Relicensing/Exemption		300,000.00	-300,000.00	
<b>Total 7000 FERC Relicensing/Exemption Reserve</b>		<b>300,000.00</b>	<b>-300,000.00</b>	
7200 Operating Reserve Fund				
7200-01 Operating Reserve		30,000.00	-30,000.00	
<b>Total 7200 Operating Reserve Fund</b>		<b>30,000.00</b>	<b>-30,000.00</b>	
7400 FERC 5 Year Plan Reserve Fund	40,000.00		40,000.00	
7400-01 Five Year/Emergency Action Plan Re-Write		1,200.00	-1,200.00	
7400-02 Five Year/Tabletop Functional		1,800.00	-1,800.00	
7400-03 Part 12 Inspection and Potential Failure Mode Analysis		30,000.00	-30,000.00	

	TOTAL			
	ACTUAL	BUDGET	OVER BUDGET	% OF BUDGET
7400-04 Supporting Technical Information Documents		16,300.00	-16,300.00	
7400-05 Security Plan Rewrite		900.00	-900.00	
7400-06 Environmental & Public Use Inspections		4,800.00	-4,800.00	
7400-07 Dam Safety/Surveillance Monitoring Plans		1,800.00	-1,800.00	
7400-08 Owners Dam Safety Plan/Ext Audt		5,000.00	-5,000.00	
<b>Total 7400 FERC 5 Year Plan Reserve Fund</b>	<b>40,000.00</b>	<b>61,800.00</b>	<b>-21,800.00</b>	<b>64.72 %</b>
7500 FERC 10 Year Plan Reserve Fund				
7500-01 Murphys Afterbay Low Level Outlet ROV Inspec		3,000.00	-3,000.00	
7500-02 Murphys Afterbay Radial Gate Inspection		3,000.00	-3,000.00	
7500-03 Murphys Powerhouse Penstock ROV Inspection		6,000.00	-6,000.00	
<b>Total 7500 FERC 10 Year Plan Reserve Fund</b>		<b>12,000.00</b>	<b>-12,000.00</b>	
8000 Grants Expenditures				
8000-03 Hunter Reservoir Fuel Reduction Project	314,250.33	557,941.00	-243,690.67	56.32 %
8000-08 Automated Wastegates and Crossgates	34,084.67	50,000.00	-15,915.33	68.17 %
8000-10 Utica Canal Lining Project (USBR)	56,763.79	56,000.00	763.79	101.36 %
<b>Total 8000 Grants Expenditures</b>	<b>405,098.79</b>	<b>663,941.00</b>	<b>-258,842.21</b>	<b>61.01 %</b>
QuickBooks Payments Fees	16.36		16.36	
Unapplied Cash Bill Payment Expenditure	0.00		0.00	
<b>Total Expenses</b>	<b>\$2,227,752.22</b>	<b>\$4,016,313.00</b>	<b>\$ -</b>	<b>55.47 %</b>
			<b>1,788,560.78</b>	
NET OPERATING INCOME	<b>\$248,561.44</b>	<b>\$ -231,308.00</b>	<b>\$479,869.44</b>	<b>-107.46 %</b>
NET INCOME	<b>\$248,561.44</b>	<b>\$ -231,308.00</b>	<b>\$479,869.44</b>	<b>-107.46 %</b>

# January 2026 Reserve Contributions

- FERC Relicensing/Exemption Reserve
- FERC 10 Year Plan Reserve
- FERC 5 Year Plan Reserve
- Operating Reserve Fund



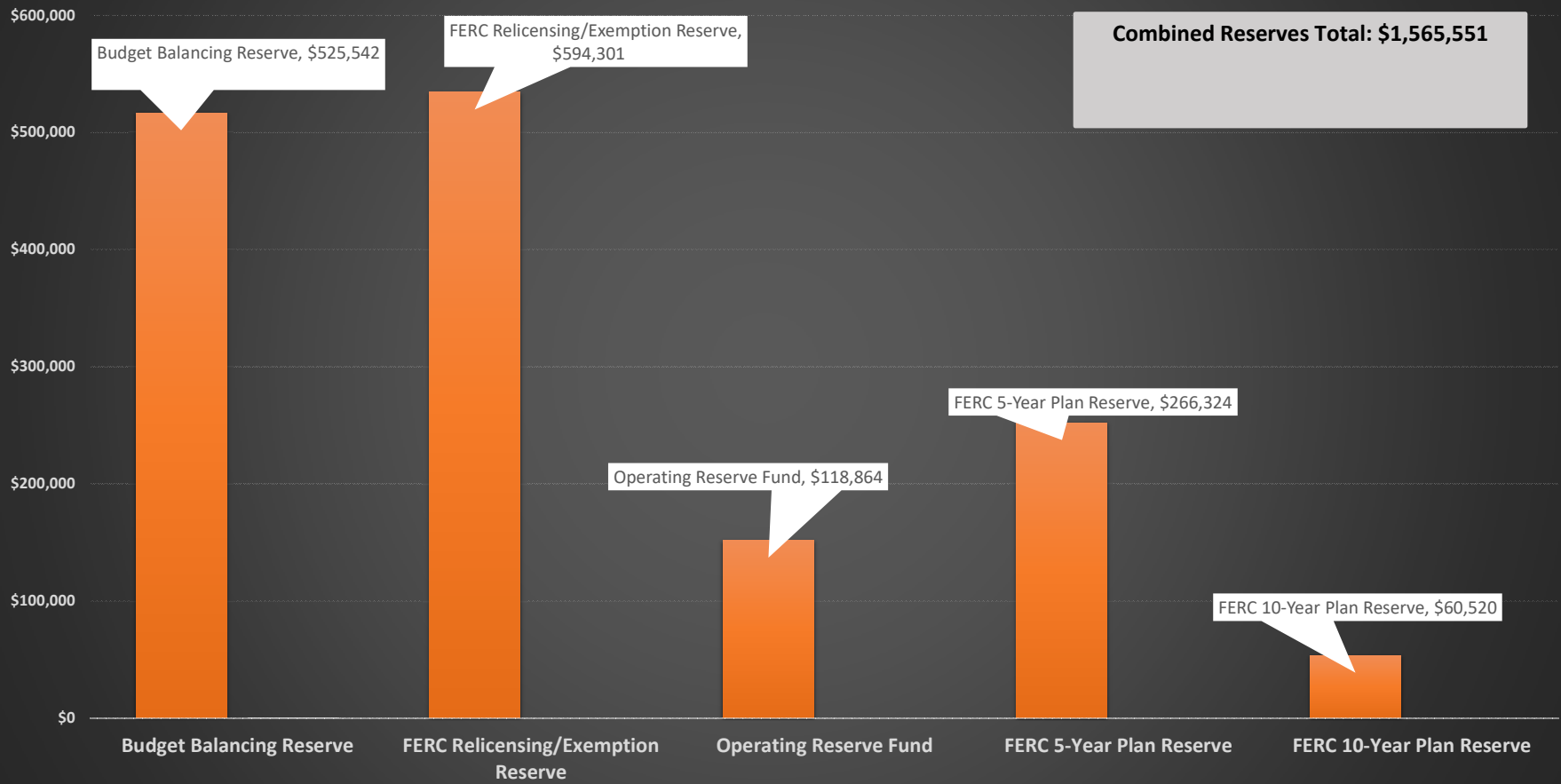
# Expenses by Vendor Summary

## Utica Water and Power Authority

January 1-31, 2026

VENDOR	TOTAL
A-1 Sharpening & Small Engine	524.44
A T.E.E.M. Electrical Engineering Inc.	4,320.00
Atkinson, Andelson, Loya, Rudd & Romo Professional Corporation	1,232.50
Byron Krempf	4,875.00
Calaveras Power Agency	995.20
CAL FIRE	2,646.99
Cal-Waste	234.88
Choice Builder	1,048.46
City of Angels	435.98
Columbia Communications, Inc.	77.14
Comcast Business	909.71
Crawford Bookkeeping	242.45
Fleet E-Payments	1,556.83
General Supply Co.	512.29
Hammer Down	147.16
John Kessler	2,590.00
Kaylee Dillashaw	2,070.00
Krazan & Associates, Inc	5,200.00
Krisman Enterprises	182,000.00
Luz Ortigoza	150.00
Mbi Setl Med	4,066.60
Megger Systems & Services Inc	500.00
Modesto Steel Company Inc	242.91
Mountain Oasis Purified Water	402.00
Pacific Gas & Electric Co	2,199.46
Power Business Technology	8.95
QuickBooks Payments	16.36
SDRMA	18,096.07
Sebastian M. Martz	97.86
Sierra HR Partners, Inc	1,770.43
Sierra Pacific Industries	250.00
Stantec	16,045.88
Starlink	360.00
State Compensation Insurance Fund	2,296.50
SWCA Environmental Consultants	8,922.16
The Red Store	22.71
Toshiba Financial Services	201.02
UPUD.	84.18
Verizon Wireless	861.64
<b>TOTAL</b>	<b>\$268,213.76</b>

## Utica Reserves Totals: January 2026





## Item 6C

[Return to Agenda](#)



**January**

**2025**

Water Year 1 as of May 1, 2025

RAINFALL		APH	MPH
Rainfall	January	4.90	5.80
WYTD rainfall	10/1/25- 9/30/26	21.20	20.15
	WYTD this time last year	10.85	11.40

**GENERATION**

ANGELS (sold to PG&E)	
FROGTN_1_UTICAA	
PG&E has NOT concurred	724

MURPHYS (sold to PG&E)	
FROGTN_1_UTICAM	
PG&E has NOT concurred	1,482

<b>TOTAL GENERATION:</b>	<b>2,206</b> MWhr
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**REVENUES**

January 2026 projected scheduled generation:

\$61,993	APH (.851) @ \$96.05 (1)
\$105,891	MPH (1.90) @ \$73.50
\$167,884	Projected Total

January 2025 actual received generation:

\$69,351	APH (0.8) @ \$95.78
\$108,937	MPH (1.4) @ \$73.50 (2)
\$178,289	Actual Total

(1) Note that even though the APH ReMAT PPA is at \$89/MWh the TOD for APH varies during the year

(2) Represents MPH gross revenue. Penalties will be applied when generation does not meet CAISO's RAIM policy

Power Revenue:	\$178,289
RAAIM Revenue	\$0
Negative LMP Charge	\$0
Water Revenue:	\$0
Water and Power:	\$178,289

**OUTAGES**

P=planned

IF = internal forced outage

EF = external forced outage

Date	Time Off	Duration	Cause	Plant
1/11/2026	21:36	14 hours, 42 mins	EF - Water filter housing broke flooding basement	MPH

**WATER**

January '26 - Att A 2,730 + 228 carryover from Decem	2,910	AF
S-66 + S-127	2,728	AF
LESS water sale to NCPA	0	AF
Carry over to February	182	



## Item 6D

[Return to Agenda](#)

# UTICA WATER AND POWER AUTHORITY

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**Date:** February 24, 2026  
**To:** Erik Holt, General Manager  
**From:** Kyle Rasmussen, Conveyance Supervisor  
**Re:** Conveyance Report

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## Conveyance work

- Annual flume inspections are being completed.
- Flume repairs- Degraded walk boards were replaced on Utica flumes 4 and 7.
- A large boulder was removed from the canal near Rattlesnake Hill, above flume 10.
- We had to fix the ridge cap on the Murphys Forebay valve house, Murphys Afterbay pump house and Angels Forebay control shack. During high winds from the storms around the New Year, all three buildings had ridge cap damage and were leaking.

## USBR Water SMART Grant

- USBR Water SMART grants, Waste Gate 9 project. We are preparing to replace this waste gate with a Rubicon Slip Gate. Trenching and conduit was run from a control building to the gate for communications and power. The gate was purchased last fall and we will install the gate during the April outage.

## Dam Safety

- Routine monthly dam safety inspection, rodent activity was high due to unseasonably warm January temperatures.

## Cal Fire Crew Assistance

- Two days of vegetation control were done along the Upper Angels Canal. We have now used the crews eight total days on this section of canal to clear ten feet above and below the canal. Piles were made and many were burned when the conditions were right.

**Boulder above flume 10**



## Waste Gate 9







## Item 6E

[Return to Agenda](#)

# UTICA WATER AND POWER AUTHORITY

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**Date:** February 24, 2026  
**To:** Erik Holt, General Manager  
**From:** Brandi Sparks, Accounting Technician  
**Re:** FERC Exemption Invoicing January 2026

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## Informational Item.

Staff reports the following regarding recent FERC Exemption invoices:

- **Stantec** – No invoices have been received for services through January 2026.
- **SWCA Environmental Consultants** – One invoice has been received for services through January 3, 2026.
  - Invoice 238154 FOR FERC Cultural Resources Project Management, Resource Evaluation, Finding of Effect and Treatment Plan, totaling \$8,922.16.
- **Rock Creek** – No invoices have been received in December.

Staff will continue to monitor incoming invoices and provide updates as outstanding billings are received.

*Attachments: SWCA Invoice 238154.*

Routing # 071922777 | Account # 7811583501 | Payable to: SWCA, Incorporated | Business Checking Account: First American Bank  
 Notification: payment@swca.com | Physical Remittance: P.O. Box 7217, Carol Stream, IL 60197- 7217 | EIN: #86-0483317

Dave Andres  
 Utica Water and Power Authority  
 1168 Booster Way  
 PO Box 358  
 Angels Camp, California 95222

January 23, 2026  
 Invoice No: 238154  
 Project Manager: Indya Messier  
 Project No: 00096602-000-SLC

<b>Invoice Total</b>	<b>\$8,922.16</b>
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UWPA FERC Cultural Resources

**Professional Services through January 3, 2026**

Phase	01	Project Management
Task	01	Project Management and Conference Calls

**Professional Services**

	Hours	Rate	Amount
Environmental Resources-Specialist XII Harper, Matthew	3.25	207.92	675.74
Planning-Specialist VIII Pare, Courtney	1.75	145.36	254.38
Planning-Specialist XI Messier, Indya	6.25	190.44	1,190.25
Project Controls - Specialist VI Cook, Deirdre	.25	126.04	31.51
Project Controls - Specialist VII Cook, Deirdre	.25	135.24	33.81
Cultural Resources-SME II Peabody, Joshua	.50	222.64	111.32
Totals	12.25		2,297.01
<b>Total Professional Services</b>			<b>2,297.01</b>
		<b>Total this Task</b>	<b>\$2,297.01</b>
		<b>Total this Phase</b>	<b>\$2,297.01</b>

Phase	02	Cultural Resources Study
Task	03	Resource Evaluation, Finding of Effect and Treatment Plan

**Professional Services**

	Hours	Rate	Amount
Cultural Resources-Specialist X Demarais, LC	9.25	173.88	1,608.39
Cultural Resources-Specialist XII Herrick, Dan	1.25	207.92	259.90
GIS/CADD-Specialist IX Respass, Aramis	4.00	155.48	621.92
GIS/CADD-Specialist X Respass, Aramis	.50	173.88	86.94

Project	00096602-000-SLC	UWPA FERC Cultural Resources		Invoice	238154
Planning-Specialist VIII					
Pare, Courtney		20.25	145.36	2,943.54	
Planning-Specialist XI					
Messier, Indya		2.00	190.44	380.88	
Cultural Resources-SME II					
Peabody, Joshua		3.25	222.64	723.58	
Totals		40.50		6,625.15	
<b>Total Professional Services</b>					<b>6,625.15</b>
				<b>Total this Task</b>	<b>\$6,625.15</b>
				<b>Total this Phase</b>	<b>\$6,625.15</b>
<b>Contract Limits</b>		<b>Current</b>	<b>Prior</b>	<b>To-Date</b>	
Total Billings		8,922.16	119,856.65	128,778.81	
Limit				189,863.00	
Remaining				61,084.19	
				<b>PLEASE PAY THIS AMOUNT =====&gt;</b>	<b>\$8,922.16</b>

For any questions regarding this invoice please contact Saul Martinez  
Phone: 602.274.3831 Email: saul.martinez@swca.com

**UWPA FERC Cultural Resources (Invoice)**

Phase #	Task #	Name	Invoice through January 3,2026	JTD Spent through January 3, 2026	Contract Amount	Budget Remaining	% Spent
1	1	Project Management and Project Controls	\$ 2,297.01	\$ 8,103.82	\$ 14,782.00	\$ 6,678.18	55%
2	1	Study Plan Development	\$ -	\$ 7,128.85	\$ 7,568.00	\$ 439.15	94%
	2	Fieldwork	\$ -	\$ 27,945.20	\$ 19,211.00	\$ (8,734.20)	145%
	3	Resource Evaluation, Finding of Effect	\$ 6,625.15	\$ 74,550.82	\$ 79,802.00	\$ 5,251.18	93%
	4	Tribal Engagement	\$ -	\$ 2,653.74	\$ 3,500.00	\$ 846.26	76%
	5	Application Updates	\$ -	\$ 8,396.38	\$ 17,000.00	\$ 8,603.62	49%
	6	Cultural Resources Reporting	\$ -	\$ -	\$ 37,000.00	\$ 37,000.00	0%
	7	On-Call Support	\$ -	\$ -	\$ 11,000.00	\$ 11,000.00	0%
			\$ 8,922.16	\$ 128,778.81	\$ 189,863.00	\$ 61,084.19	68%



## Item 6F

[Return to Agenda](#)

# UTICA WATER AND POWER AUTHORITY

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**Date:** February 24, 2026  
**To:** Erik Holt, General Manager  
**From:** Brandi Sparks, Accounting Technician  
**Re:** Informational Update- FERC Small Conduit Exemption and License Surrender

---

**Recommendation:**

Discussion and update.

**Summary:**

Pursuant to Assembly Bill 52 (AB 52), the Utica Water and Power Authority (UWPA) provided notification to local Native American tribes regarding the Utica Hydroelectric Project and the Angels Hydroelectric Project and offered an opportunity for consultation on properties, features, or materials in the project vicinity that may be of cultural concern. UWPA requested any input on these projects be provided in writing within 30 days of the date of the letter; January 30, 2026.

UWPA met with The State Preservation Officer (SHPO), to discuss timeline for their review, of the Cultural Resources Evaluations and Finding of Effects Document, to be completed. SHPO indicated that their review and findings are scheduled to be completed by the end of February 2026.



## Item 6G

[Return to Agenda](#)

# UTICA WATER AND POWER AUTHORITY

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**Date:** February 24, 2026  
**To:** Erik Holt, General Manager  
**From:** Brandi Sparks, Accounting Technician  
**Re:** Informational Update - Emergency Action Plan Seminar

---

## **Recommendation:**

Discussion and update.

## **Summary:**

The Emergency Action Plan (EAP) seminar was conducted, February 4, 2026, to ensure participating agencies are familiar with the Utica Water and Power Authority (UWPA) organization, the infrastructure it manages, and the contents of the EAP. The seminar also provided agencies with the information necessary to fulfill their responsibilities and take mitigating actions to protect life and property, in accordance with the procedures outlined in UWPA's EAP. The seminar successfully updated key EAP materials and ensured that all participating agencies are informed about UWPA infrastructure and procedures.

## **Updates and Actions:**

During the seminar, participants reviewed and updated the UWPA flowcharts (Tabs 3 & 4), including two specific flowcharts:

- **Hunter Dam**
- **Murphys Forebay and Afterbay Dams**

Additional updates included:

- **Tab 26:** Distribution and Contact List
- **Tab 27:** EAP Revision Log

## **Attendance:**

Representatives from the following agencies were present:

- Cal OES
- Murphys Fire Department

- Pacific Gas and Electric
- Northern California Power Agency
- CAL FIRE
- Calaveras County Public Works
- California Highway Patrol
- Union Public Utility District
- City of Angels
- Ebbetts Pass Fire Department
- Calaveras County Water District



## Item 6H

[Return to Agenda](#)

# Owner's Dam Safety Program

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## *Five-Year External Audit Report*

**Utica Water and Power Authority  
Angels Camp, California  
December 2025**

GFT PROJECT NO.: 085276



### **External Audit Team:**

Stacy Vorster, PE – Auditor, GFT Infrastructure, Inc.

Dennis Dickey, PE – Audit Advisor, GFT Infrastructure, Inc.

Prepared for:  
Utica Water and Power Authority



## EXECUTIVE SUMMARY

The Utica Water and Power Authority (UWPA) retained GFT Infrastructure, Inc. (GFT) to perform the 2025 five-year external audit of its Owner's Dam Safety Program (ODSP) in accordance with Federal Energy Regulatory Commission (FERC) requirements. The audit evaluated UWPA's organizational structure, policies, procedures, training, records, and overall implementation of its dam safety program for the Utica and Angels Hydroelectric Projects (FERC Project Nos. 2019 and 2699, respectively).

### Audit Approach

The audit was conducted by Stacy Vorster, PE (Lead Auditor) and Dennis Dickey, PE (Audit Advisor). Both members of the Audit Team are affiliated with GFT and were accepted by the FERC Regional Engineer.

The audit followed a three-phased approach designed to review both the procedural and cultural aspects of UWPA's dam safety program:

- **Phase 1 - Document Review:** The Audit Team reviewed documents furnished by UWPA pertaining to all areas of the ODSP and the management of UWPA's physical dam and appurtenant structure assets.
- **Phase 2 - Discussions & Interviews:** Individual and group interviews with UWPA personnel with dam safety responsibilities took place September 18 through October 3, 2025.
- **Phase 3 - Site Visit:** A site visit took place on October 15, 2025 to observe implementation of the ODSP at representative facilities, including Hunters Dam, Murphys Forebay, Murphys Afterbay, and other structures within the Utica and Angels Projects.

The audit also assessed UWPA's alignment with FERC's principles of dam safety responsibility, open communication, organizational accountability, resource allocation, and continuous improvement.

### Key Findings

The Audit Team identified five primary themes that capture the overall condition and effectiveness of UWPA's dam safety program. These findings reflect both UWPA's strong foundation in dam safety management and the opportunities to strengthen its long-term sustainability and alignment with FERC expectations.

- **Strong Dam Safety Culture and Commitment to Public Protection.** UWPA demonstrates a clear and consistent prioritization of dam safety and community protection over operational or financial objectives. Personnel exhibit evident pride and ownership of the facilities, open communication across all levels, and a shared sense of accountability. This culture is the foundation of UWPA's compliance and operational success.
- **Comprehensive and Effective ODSP with Minor Documentation Gaps.** The ODSP document is well-structured and aligned with FERC's framework, effectively defining responsibilities, procedures, and expectations. Some sections would benefit from additional procedural detail and alignment with current practice, such as clarifying reporting relationships, documenting data retention and cybersecurity protocols, and ensuring Board reaffirmation of the Dam Safety Policy.
- **Clear Technical Oversight Supported by an Experienced CDSE.** The Chief Dam Safety Engineer (CDSE) provides capable and experienced leadership, ensuring technical compliance with FERC and DSOD requirements. The ODSP should explicitly document the CDSE's direct reporting line to the

General Manager (GM), formalize the CDSE's emergency authority, and ensure coordination of inspection schedules to maintain consistent participation.

- **Strong Operational Performance under Financial Constraints.** Despite limited funding, UWPA effectively sustains dam safety through innovation and resourcefulness. UWPA strategically leverages grants, in-house expertise, and low-cost supplemental labor to complete essential work. Establishing a long-range financial planning framework that integrates its reserve fund, capital improvement planning, and risk-informed prioritization would further enhance sustainability.
- **Need for Greater Program Formalization and Long-Term Continuity.** Several program elements (such as training, internal communication documentation, and annual self-assessments) lack formal written structure. Developing a comprehensive training program, performing regular self-assessments, and preparing a comprehensive annual dam safety report will strengthen institutional knowledge, support leadership continuity, and align the program with FERC expectations.

Collectively, these findings indicate that UWPA's dam safety program is well established, technically sound, and supported by a strong culture of responsibility and open communication. The Audit Team made 13 formal recommendations (see Section 5.2) to strengthen UWPA's ODSP and align it with FERC's intent and expectations. In addition, 14 suggestions for improvement were identified that, while beyond FERC's minimum requirements, could further increase program efficacy. These suggestions are presented in Section 5.3 and are included in this audit report for UWPA consideration and should not be misinterpreted as formal recommendations.

The identified opportunities for improvement are largely focused on formalizing existing practices, improving documentation, and enhancing program resilience amid leadership changes and resource constraints. Implementing these targeted improvements will help UWPA continue to demonstrate excellence in dam safety management and maintain full compliance with FERC and DSOD expectations.

## Conclusion

The Audit Team concludes that UWPA's ODSP is effective, compliant, and demonstrates a strong organizational commitment to public safety and regulatory stewardship. UWPA's leadership, staff, and consultants exhibit professionalism, teamwork, and evident pride in maintaining safe and reliable infrastructure. UWPA's culture of open communication and resourceful management practices embody the principles of a strong dam safety organization. It is the Audit Team's opinion that the licensee's dams are being adequately operated, inspected, and maintained.

While several opportunities for improvement exist, primarily related to formalization of processes, documentation alignment, and long-term succession planning, the overall program is robust, proactive, and proportionate to UWPA's scale and mission. Implementing the recommendations and suggestions presented in this report will further align UWPA's ODSP with FERC's most current guidance, strengthen institutional continuity, and safeguard continued protection of the public, the environment, and UWPA's critical infrastructure assets.

## TABLE OF CONTENTS

Executive Summary .....	ES-1
Table of Contents .....	i
List of Appendices .....	iii
List of Tables .....	iii
List of Acronyms and Abbreviations .....	iv
List of References.....	v
1.0 Introduction .....	1
1.1 Purpose.....	1
1.2 2025 Utica Water and Power Authority ODSP External Audit .....	2
2.0 Audit Framework.....	3
2.1 Scope of Work .....	3
2.1.1 FERC Guidance for ODSP External Audits.....	3
2.1.2 Independent Forensic Team Report, Oroville Dam Spillway Incident .....	4
2.2 Methodology & Approach.....	4
2.2.1 Phase 1 - Document Review .....	5
2.2.2 Phase 2 - Discussions & Interviews .....	5
2.2.3 Phase 3 - Project Site Visit .....	6
3.0 Audit of Program & Procedures .....	7
3.1 Management Policies and Expectations.....	7
3.2 Organization, Duties, and Responsibilities .....	8
3.3 Authority of the Chief Dam Safety Engineer.....	9
3.4 Program Quality Elements .....	10
3.4.1 Resource Allocation .....	10
3.4.2 Standard Practices & Procedures.....	10
3.4.3 Succession Planning .....	11
3.5 Internal Communications and Reporting.....	12
3.6 External Communications and Non-Conformance Reporting.....	13
3.7 Dam Safety Surveillance and Monitoring .....	14
3.8 Risk Evaluation and Risk Management .....	15
3.9 Emergency Preparedness and Response .....	16
3.10 Dam Safety Training.....	16
3.11 Audits and Assessments.....	17
3.12 Records and Information Management.....	18

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3.13	Security.....	19
4.0	Assessment of the ODSP Document.....	20
5.0	Summary .....	21
5.1	Conclusions .....	21
5.2	Recommendations .....	22
5.3	Suggestions for Improvement to Consider .....	24
6.0	Limitations .....	27
	Appendix A .....	A
	Appendix B.....	B
	Appendix C.....	C
	Appendix D .....	D
	Appendix E .....	E
	Appendix F .....	F
	Appendix G .....	G
	Appendix H .....	H
	Appendix I .....	I
	Appendix J.....	J
	Appendix K.....	K

## LIST OF APPENDICES

Appendix A	FERC Outline for Owners Dam Safety Program
Appendix B	FERC Letter Approving ODSP External Auditors
Appendix C	FERC Guidance for ODSP External Audits
Appendix D	Advance Documents Request
Appendix E	Documents Received for Review
Appendix F	Confidential Questionnaire
Appendix G	Master Questionnaire List
Appendix H	Security Questionnaire
Appendix I	UWPA ODSP Dam Safety Organization Chart
Appendix J	UWPA ODSP Document (2024 update)
Appendix K	FERC ODSP Self-Assessment Evaluation Parameters

## LIST OF TABLES

Table 1 – UWPA Utica and Angels Hydroelectric Project Dams .....	2
Table 2 – Phase 1 Interviews.....	6
Table 3 – Site Visit Participants .....	6

## LIST OF ACRONYMS AND ABBREVIATIONS

ASDSO	Association of State Dam Safety Officials
Board	Utica Water and Power Authority Board of Directors
CDSE	Chief Dam Safety Engineer
CEATI	Center for Energy Advancement through Technical Innovation
CIP	Capital Improvement Planning
DHS	United States Department of Homeland Security
DSOD	California Division of Safety of Dams
DSSMP	Dam Safety Surveillance and Monitoring Plan
EAP	Emergency Action Plan
EMA	Emergency Management Agency
FERC	Federal Energy Regulatory Commission
GFT	GFT Infrastructure, Inc.
GM	General Manager of UWPA
IFT	Independent Forensic Team
ODSP	Owners Dam Safety Program
PE	Professional Engineer
PFM	Potential Failure Mode
PFMA	Potential Failure Modes Analysis
RDSO	Responsible Dam Safety Officer
REC	Recommendation
Report	2025 ODSP Five-Year External Audit Report for Utica Water and Power Authority
RIDM	Risk-Informed Decision-Making
SAR	Suspicious Activity Reporting
STID	Supporting Technical Information Document
USACE	United States Army Corps of Engineers
USBR	United States Bureau of Reclamation
USSD	United States Society on Dams
UWPA	Utica Water and Power Authority

## LIST OF REFERENCES

1. FERC (2020, July 7-a). Supportive Dam Safety Organizational Principles to Ensure Dam and Project Safety. FERC Owners Dam Safety Program (ODSP). Retrieved from <https://www.ferc.gov/industries-data/hydropower/dam-safety-and-inspections/owners-dam-safety-program-odsp>.
2. FERC (2020, July 7-b). Outline with Discussion – Documentation of an Owners Dam Safety Program. FERC Owners Dam Safety Program (ODSP). Retrieved from <https://www.ferc.gov/industries-data/hydropower/dam-safety-and-inspections/owners-dam-safety-program-odsp>.
3. FERC (2020, July 7-c). Guidance for ODSP External Audits, updated 5/24/18. FERC Owners Dam Safety Program (ODSP). Retrieved from <https://www.ferc.gov/industries-data/hydropower/dam-safety-and-inspections/owners-dam-safety-program-odsp>.
4. FERC (2020, July 7-d). Letter to all licensees and exemptees of high and significant hazard potential dams requiring submittal of an Owners Dam Safety Program (ODSP), updated 8/15/12. FERC Owners Dam Safety Program (ODSP). Retrieved from <https://www.ferc.gov/industries-data/hydropower/dam-safety-and-inspections/owners-dam-safety-program-odsp>.
5. FERC (2020, July 7-e). Owners ODSP Self-Assessment Evaluation Parameters. FERC Owners Dam Safety Program (ODSP). Retrieved from <https://www.ferc.gov/industries-data/hydropower/dam-safety-and-inspections/owners-dam-safety-program-odsp>.
6. FERC (2021). Engineering Guidelines for the Evaluation of Hydropower Projects, Chapter 18 – Level 2 Risk Analysis. December 16, 2021.
7. Independent Forensic Team (2020). Independent Forensic Team Report, Oroville Dam Spillway Incident. January 5, 2018.

## 1.0 INTRODUCTION

### 1.1 Purpose

Following the failure of Taum Sauk Dam in 2005, the Federal Energy Regulatory Commission (FERC) began to stress the importance of a strong, effective Owner Dam Safety Program (ODSP) in order to maintain safe dams. It was noted that lack of adequate ODSPs had been factors in several recent dam failures; that dams of owners without adequate ODSPs represented a higher risk to public safety and the environment; and that dams of owners without adequate ODSPs required a higher level of regulatory review.

FERC also indicated five principles necessary for a supportive dam safety organization (FERC, 2020a). These stated principles include:

- **Acknowledgement of Dam Safety Responsibility:** Recognition and acknowledgement by all in the owner organization that dam safety is first, foremost, and appropriately the responsibility of the dam owner. This includes recognition that the owner is the first line of defense against dam safety failures and incidents.
- **Communication:** Open communication within the organization concerning any potential problems or concerns must be encouraged and supported at all levels of the organization. Likewise, open communication with respect to organizational structure or response is encouraged.
- **Clear Designation of Responsibility:** Responsibility for the various aspects of dam safety must be clearly spelled out to those in the organization. The designation of responsibility must be honored and recognized as authoritative in regard to ensuring dam safety.
- **Allocation of Resources:** The physical dam and appurtenant facilities must be recognized as organizational assets for which appropriate funding and personnel are allocated for their care. Duty of care is required to avoid safety problems at these facilities.
- **Learning Organization:** Substantive valuable information such as lessons learned, or knowledge of potential problems or concerns must be shared within and outside the organization to aid in accumulating knowledge and assistance in solving problems and in assisting others in avoiding future problems.

In 2012, FERC required all Licensees with high or significant hazard potential dams to develop an ODSP. A few of the substantive required sections of an ODSP document include:

- Dam Safety Policy, Objectives, and Expectations;
- Responsibilities for Dam Safety;
- Dam Safety Training Program;
- Communications, Coordination, Reporting, and Reports;
- Record Keeping and Databases;
- Succession Planning;
- Continuous Improvement; and
- Audits and Assessments.

The outline and content guidance for an ODSP document is provided by the FERC (FERC, 2020b) and included in Appendix A.

To assure continual improvement of an ODSP, FERC began requiring external audits be conducted by qualified dam safety experts and issued a guidance document to support this initiative (FERC, 2020c). This requirement was intended for dam owners to not only continue to improve their dam safety program but also help an organization understand how well their program works and to identify areas where the ODSP

may need improvement. Generally, owners of one or more high hazard classification dams that either individually or collectively present a significant risk to life safety, the environment or the financial health of the organization should be externally audited on a schedule not to exceed five years. Auditors are to be reviewed and accepted by the FERC Regional Engineer prior to performing the audit. Further, the guidelines state that the owner’s Chief Dam Safety Engineer (CDSE) should review the audit report and prepare a summary report for presentation to the Executive management of the organization. A copy of the summary and audit report is then to be submitted to FERC.

## 1.2 2025 Utica Water and Power Authority ODSP External Audit

To satisfy the FERC requirements, Utica Water and Power Authority (UWPA) retained GFT Infrastructure, Inc. (GFT) to perform the 2025 external audit of their ODSP, which includes review of UWPA organization, policies and procedures, records, and other aspects of the ODSP. The external audit process includes an organization’s entire portfolio of dams, including those that are not FERC jurisdictional. For UWPA, this includes the dams listed in *Table 1*.

*Table 1 – UWPA Utica and Angels Hydroelectric Project Dams*

Facility/Dam Name	FERC Project	FERC Hazard Classification
Hunters Dam	Utica Project, FERC No. 2019	High Hazard Potential
Murphys Forebay <i>South Embankment</i>	Utica Project, FERC No. 2019	High Hazard Potential
Murphys Forebay <i>West Embankment</i>	Utica Project, FERC No. 2019	High Hazard Potential
Murphys Afterbay	Utica Project, FERC No. 2019	High Hazard Potential
Angels Diversion Dam	Angels Project, FERC No. 2699	N/A
Ross Reservoir	Angels Project, FERC No. 2699	Low
Pipe Reservoir (Angels Forebay)	Angels Project, FERC No. 2699	N/A

A two-person team consisting of Stacy Vorster, PE and Dennis Dickey, PE (Audit Team), both with GFT, was approved by the FERC Regional Engineer to perform this audit of the UWPA ODSP. The approval letter is provided in Appendix B.

Key points to assist in interpreting this 2025 ODSP Five-Year External Audit Report for UWPA (Report) include the following:

- ODSP Audits are required by FERC. This audit was requested by UWPA. Access to program staff, materials, and documents was provided voluntarily by UWPA.
- Much of the information reviewed for this audit is confidential. The Audit Team has and will continue to maintain confidentiality with respect to these materials.
- Most interviews conducted as part of this audit were individual interviews and one interview was conducted in a group setting. Interviewees were also given the opportunity to respond by email to an advance questionnaire that was treated in a confidential manner. The Audit Team requests that UWPA not probe beyond what is stated in the Report concerning the sources of comments, ODSP assessment, recommendations, or suggestions.

- As part of the audit process, the Audit Team reviewed representative samples of documents related to facilities within the UWPA portfolio of dams and other aspects of the ODSP. The primary purpose of this activity was to observe, first-hand, how UWPA conducts and documents its dam safety functions. The Audit Team did not closely examine all administrative or technical aspects of the ODSP. The Audit Team performed no calculations for correctness or confirmation of the results. The Audit Team reviewed furnished documents to assess conformance with UWPA policies regarding work planning, production, and quality control/quality assurance, and to gain insight into how UWPA administers its ODSP.

This Report documents the Audit Team's assessment of UWPA's ODSP, including its methodology, observations, findings, recommendations, and other items for consideration. Implementation of recommendations is at the discretion of UWPA's decision-makers and potential FERC mandates resulting from this audit.

## 2.0 AUDIT FRAMEWORK

### 2.1 Scope of Work

The Audit Team utilized collective experience in the dam safety industry and the information contained in the documents listed below to establish the audit scope and criteria for the evaluation of the UWPA ODSP and preparation of this Report.

- FERC Guidance for ODSP External Audits, May 14, 2018 (FERC, 2020-c)
- Independent Forensic Team Report, Oroville Dam Spillway Incident, January 5, 2018 (IFT, 2018)

Details regarding these documents and how they relate to ODSP audits are provided in the subsections below.

#### 2.1.1 FERC Guidance for ODSP External Audits

In 2012, FERC required all Licensees with high or significant hazard potential dams to develop an ODSP (FERC, 2020d). A guidance document, FERC Guidance for ODSP External Audits (*FERC Guidance Document*, Appendix C), was issued in January 2018 and revised in May 2018 to support this initiative. The *FERC Guidance Document* indicates that external audits are to be customized to specific projects, but would typically include the following list of audit tasks:

- Review reports and information related to the ODSP prior to performing the actual audit;
- Review operating and maintenance records for each facility to determine if proper procedures are being followed;
- Review adequacy of the Dam Safety Surveillance and Monitoring Plan (DSSMP) at each facility and its reporting requirements toward the goal of understanding and verifying the expected performance of the dam;
- Review personnel training records to ensure that dam safety training is being conducted in accordance with the latest training plan defined in the ODSP, and that all personnel are taking appropriate training;
- Conduct interviews and examinations, or utilize other methods to evaluate the effectiveness, completeness, and familiarity with dam safety training;
- Attend and participate in project site visits or inspections with field personnel at representative projects;
- Interview the CDSE and all dam safety staff; including, but not limited to, facility managers, staff engineers, and hydro plant technicians to determine their understanding of the ODSP and the

implementation of their respective responsibilities;

- Obtain independent views from staff personnel of the effectiveness and completeness of the ODSP;
- Evaluate the licensee's commitment and its priorities with respect to dam safety, including executive management (this includes meeting directly with executive management to discuss the ODSP);
- Provide the auditor's opinion as to whether the licensee's dams are being adequately operated, inspected, and maintained (i.e., determine if the ODSP is accomplishing what is intended);
- Assess how proactive the licensee is in implementing its ODSP and determine if they take initiative to address dam safety issues on their own without waiting for FERC to require action; and
- Provide conclusions and, if appropriate, recommendations for the Licensee to further improve its ODSP.

### 2.1.2 Independent Forensic Team Report, Oroville Dam Spillway Incident

Additional insight into the efficacy of an ODSP is also provided in the findings of the Independent Forensic Team (IFT) Report, Oroville Dam Spillway Incident. The IFT brought the following critical aspects of an ODSP to the attention of licensees:

- The importance of communication between the CDSE and Senior Executives;
- Licensee compliance with regulatory requirements is not sufficient to manage risk and meet dam owners' legal and ethical responsibilities;
- The FERC Part 12D inspection program is meant to be a comprehensive review of original design and construction and subsequent performance;
- Potential Failure Modes Analyses (PFMAs) focus too heavily on uncontrolled release of the reservoir and do not adequately consider interaction of project features (i.e., component failures short of full release of reservoir components);
- PFMA's too often do not consider Potential Failure Modes (PFMs) that have previously been dismissed;
- Supporting Technical Information Documents (STIDs) must be maintained as a comprehensive resource; and
- Licensees must have a strong top-down dam safety culture within their organization.

## 2.2 Methodology & Approach

The Audit Team incorporated recommended tasks and insights from the *FERC Guidance Document* and *Oroville IFT Report* by conducting the audit in three separate but interrelated phases, as listed below.

- **Phase 1 – Document Review:** The Audit Team reviewed documents furnished by UWPA in response to information requests developed by the Audit Team pertaining to all areas of the ODSP and the management of UWPA's physical dam assets. Review of documents overlapped the remaining two phases due to the volume of documents to be reviewed.
- **Phase 2 – Discussions & Interviews:** The second audit phase consisted of interviews with UWPA staff. This phase took place September 18 through October 3, 2025. Interviews included the CDSE, operations and conveyance personnel, senior management, the regulatory compliance specialist, and other personnel with dam safety responsibilities. The Audit Team also developed an advance confidential questionnaire requesting key staff to share their knowledge and understanding as it relates to UWPA's ODSP dam safety related activities. These confidential questionnaires were returned to the Audit Team for their consideration prior to staff interviews.
- **Phase 3 – Site Visit:** A site visit to six dams owned and operated by UWPA was conducted on October 15, 2025. The field visit focused on assessing the implementation of the ODSP at the physical dam locations.

Further details regarding the activities conducted in the respective phases are provided below.

### 2.2.1 Phase 1 - Document Review

The Audit Team formally requested documents related to all aspects of the ODSP from UWPA for review, including documents related to:

- Leadership and guidance;
- Operation and maintenance;
- Engineering and technical;
- Human resources;
- Management reviews and audits; and
- Miscellaneous records.

The Audit Team established a secure file-sharing site that allowed UWPA to share uploaded documents formally requested by the Audit Team. Documents were reviewed as quickly as possible after they were made available, but due to the quantity, this review occurred concurrently with the second and third phases of the audit process.

The comprehensive list of documents requested is provided in Appendix D. Appendix E includes a list of all documents provided for review during the audit process.

### 2.2.2 Phase 2 - Discussions & Interviews

Prior to the Audit Team interviewing staff as part of Phase 2 of the Audit Process, an advance confidential questionnaire was distributed to key personnel with dam safety roles and responsibilities. (See Appendix F). The confidential questionnaires were distributed to staff at the beginning of the audit process and were requested to be returned to the Audit Team prior to the interviews. The responses to the advance confidential questionnaires were compiled and evaluated for consistency of answers across the UWPA organization, with answers discussed during interviews, and with observations made during the site visits. The confidential questionnaire responses were also evaluated for specific topics brought up by individual staff.

Discussions and interviews with UWPA staff, both individual and in group settings, occurred remotely utilizing Microsoft Teams collaboration tools during Phase 2 of the audit process between September 18 and October 3, 2025. Additional discussions took place while on-site on October 15, 2025. Questions asked of staff generally came from a comprehensive list of questions included in a Master Questionnaire List (See Appendix G). This list of questions was largely developed from FERC's *Owners ODSP Self-Assessment Evaluation Parameters* document (FERC, 2020e) and were modified or added to as deemed appropriate for this Licensee by the Audit Team. Additionally, the Audit Team asked follow-up questions based on discussions and responses during the interviews, when deemed appropriate, that may not be included in the Master Questionnaire List. A list of personnel interviewed by the Audit Team is provided in Table 2 below.

Discussions with staff concerning UWPA security were brief and generally centered around security-specific information provided in Appendix H. A discussion related to the security interview is provided in *Section 3.13 Security* of this Report; however, related details will not be documented within this Report for security reasons.

Table 2 – Phase 1 Interviews

Name	Position	Date Interviewed
Sebastian Martz	Conveyance Operator	September 18, 2025
Stacie Walker	Administrative Specialist	September 19, 2025
Ryan Heryford	Conveyance Operator, Regulatory Compliance Specialist, and Relief Hydro Operator	September 22, 2025
Frank Fields	Operations and Maintenance Superintendent	September 23, 2025
Jeremiah Hyde <sup>1</sup>	Hydro Operator	September 24, 2025
Mike Emehiser <sup>1</sup>	Hydro Operator	September 24, 2025
John Kessler	Chief Dam Safety Engineer (Outside Consultant)	October 3, 2025
Kyle Rasmussen	Water Conveyance Supervisor	October 3, 2025

1. A joint interview was held with Jeremiah Hyde and Mike Emehiser.

The Audit Team also reached out to Dave Andres, the part time Interim General Manager (GM), to establish an interview but received no response.

Additional information was gathered by the Audit Team through either email, telephone conversations, or in-person discussions throughout the audit process, primarily with the Regulatory Compliance Specialist. All information gathered through the responses to the Confidential Questionnaires, during the virtual interviews, or during direct discussions were utilized by the Audit Team in its audit of the ODSP.

### 2.2.3 Phase 3 - Project Site Visit

Stacy Vorster of the Audit Team conducted a site visit to the Project on October 15, 2025. The purpose of the site visit to the dams and related facilities was to observe and assess the implementation of the ODSP by UWPA personnel. During the site visit, the Auditor examined for the presence of the Emergency Action Plan (EAP), held discussions with the regulatory compliance specialist and conveyance and operations staff regarding implementation of the ODSP, and observed the appearance of the dams and their appurtenant structures for evidence of proper implementation of the ODSP. The Auditor also interacted with operations and conveyance staff to assess their critical role as the first line of defense in UWPA’s ODSP. These are the staff who observe the dams on a frequent basis through daily or otherwise regular visits and during normal operation, maintenance, monitoring, and surveillance activities. The site visit included multiple locations, including: UWPA headquarters, Angels Powerhouse, Hunters Dam, Murphys Forebay, Murphys Powerhouse, Murphys Afterbay, Angels Diversion, Ross Reservoir, and Angels Forebay. Primary participants in the site visit are listed in *Table 3* below.

Table 3 – Site Visit Participants

Name	Affiliation	Role
Stacy Vorster, PE	GFT	ODSP Auditor
Ryan Heryford	UWPA	Regulatory Compliance Specialist Conveyance Operator Relief Hydro Operator
Kyle Rasmussen	UWPA	Water Conveyance Supervisor
Sebastian Martz	UWPA	Conveyance Operator

## 3.0 AUDIT OF PROGRAM & PROCEDURES

This section of the Report details the observations, assessments, suggestions, and recommendations made by the Audit Team relative to the evaluation criteria established for this audit based on document review, discussions and interviews, and the facility site visit conducted as a part of this audit. The recommendations from the Audit Team are made to improve the UWPA ODSP to better serve UWPA and meet the intent of the FERC ODSP guidelines and governing principles. All recommendations are further compiled in Section 5.2 of this Audit Report.

Beyond recommendations, additional items have been identified that are, in the opinion of the Audit Team, beyond the intent and expectations of the FERC ODSP guidelines but, if implemented, may increase the efficacy of the UWPA ODSP. These suggestions are summarized in Section 5.3 and are included in this Report for UWPA consideration.

### 3.1 Management Policies and Expectations

Observations by the Audit Team indicate that UWPA operates and maintains their Projects with good stewardship and a high level of responsibility. UWPA demonstrates that dam safety is a top operational priority and does not allow other objectives, such as water delivery or power generation, to compromise regulatory compliance or public safety. While this commitment is evident in practice and reflected in staff actions, an explicit public statement affirming UWPA's dedication to protecting the downstream communities is not currently included in the UWPA's mission statement or prominently featured on the UWPA website.

UWPA has established a Dam Safety Policy within its ODSP that clearly outlines objectives and expectations for ensuring the safety of its dams and related facilities. The policy articulates UWPA's commitment to maintaining its structures in safe operating condition, monitoring conditions that could affect safety, and complying with all applicable federal and state regulations. The ODSP further requires that the GM issue an annual letter reaffirming UWPA's dam safety philosophy to all employees with dam safety responsibilities, and that the Chief Dam Safety Engineer (CDSE) provide an annual presentation to the UWPA Board of Directors (Board) addressing dam safety issues and lessons learned from industry incidents.

Although the Dam Safety Policy is appropriately defined and aligns with FERC guidance, audit interviews and document reviews indicate that the annual reaffirmation letter (Appendix C of the ODSP) has not been consistently distributed in recent years. Additionally, while the Board plays an active role in budgetary oversight and program awareness, the Dam Safety Policy itself has not been formally adopted or reaffirmed by the Board. The absence of formal Board adoption and routine reaffirmation reduces the visibility of dam safety at the governance level and does not fully reflect FERC's expectations for owner engagement in dam safety oversight.

Based on these findings, the Audit Team makes the following recommendations and suggestions related to management policies and expectations:

- **Enhance Public Communication of Commitment to Dam Safety.** UWPA should strengthen public transparency and trust by incorporating an explicit statement of its commitment to public safety and dam safety excellence into its mission statement and prominently featuring this message on its website and public communications materials (2025 ODSP REC-1).

- **Annual Distribution of Dam Safety Policy to Staff:** The GM should ensure the annual letter reaffirming UWPA's dam safety philosophy (as outlined in Appendix C of the ODSP) is issued each year to all personnel with dam safety responsibilities. Documentation of this transmittal (e.g., email distribution, sign-off sheet, or meeting record) should be maintained to verify compliance with the ODSP (2025 ODSP REC-2).
- **Formal Board Adoption and Reaffirmation of Dam Safety Policy:** UWPA should formalize its Dam Safety Policy through Board adoption and annual reaffirmation. The Board should also reaffirm the policy with a new (or readopted) resolution whenever there is a change in Board membership to ensure that all elected officials remain fully aware of UWPA's responsibilities and commitments related to dam safety (2025 ODSP REC-3). It is suggested that this annual reaffirmation take place concurrently with the CDSE annual presentation to the Board (Suggestion A).

### 3.2 Organization, Duties, and Responsibilities

The organizational structure supporting dam safety at UWPA is clearly defined within the ODSP and is visually represented in the dam safety organizational chart. The ODSP appropriately identifies all positions with dam safety responsibilities, including the Board of Directors, GM, CDSE, Operations & Maintenance Superintendent, Water Conveyance Supervisor, Regulatory Compliance Specialist, Hydroelectric Operators, and Administrative Specialist, and outlines their respective duties in sufficient detail. The document effectively assigns accountability across operational and engineering functions and demonstrates a sound understanding of the requirements for a small public utility responsible for multiple regulated dams.

However, several organizational aspects merit clarification or strengthening to better reflect both FERC expectations for owner engagement and UWPA's actual operational practices.

First, while the organizational chart depicts the CDSE as reporting beneath the Regulatory Compliance Specialist, in practice the CDSE operates as an independent consultant with a direct reporting line to the GM. This is consistent with best practices and FERC's expectation that the dam safety professional responsible for technical oversight maintain direct communication with executive leadership. The Audit Team notes that this direct communication pathway is functioning in practice but should be formally reflected in the organizational chart and ODSP narrative to avoid ambiguity in authority or reporting structure.

Second, the ODSP currently does not include the Information Technology (IT) Specialist, who plays a significant role in managing cybersecurity systems that support dam safety monitoring, remote operations, and alarm systems. Given FERC's increasing emphasis on cyber and operational security as integral components of dam safety, the audit team recommends that the IT function be added to the organizational chart and included in the ODSP with a clear description of responsibilities, particularly related to cyber risk management and support of supervisory control and data acquisition (SCADA) systems.

Overall, the ODSP does an adequate job of documenting duties, responsibilities, and lines of communication for all personnel involved in dam safety activities. With the inclusion of the IT role and clarification of the CDSE's reporting structure, the organizational documentation will more accurately reflect actual practice and regulatory expectations.

Finally, the audit team observed relatively high turnover in the GM position. The GM serves as UWPA's Responsible Dam Safety Officer (RDSO), and this level of turnover can disrupt continuity of leadership and institutional knowledge, both of which are vital to maintaining an effective dam safety culture. The Audit Team assesses this instability could be influenced by below-market compensation for the position, which requires significant executive management expertise. While a detailed discussion regarding compensation

and staffing is provided under Section 3.4.3 Succession Planning, this issue warrants mention here due to its direct implications for organizational stability and dam safety oversight.

Recommendations and suggestions related to organization, duties, and responsibilities include:

- **Clarify the Chief Dam Safety Engineer's Reporting Line.** Revise the organizational chart and ODSP narrative to reflect that the Chief Dam Safety Engineer reports directly to the GM. This change will align the ODSP with FERC's expectation for independence of the dam safety function and ensure unimpeded communication between the CDSE, GM, and Board (2025 ODSP REC-4).
- **Include the IT/Cybersecurity Role in the ODSP.** Update the organizational chart and ODSP text to include the IT Specialist and describe responsibilities related to cybersecurity, SCADA system integrity, and protection of dam safety data systems. Cybersecurity is a critical component of dam safety and should be explicitly represented within UWPA's organizational framework (2025 ODSP REC-5).

### 3.3 Authority of the Chief Dam Safety Engineer

The UWPA ODSP assigns the CDSE overall responsibility and accountability for all dam safety activities within the organization. The ODSP explicitly states that the CDSE is responsible for ensuring that the Dam Safety Program is fully implemented and that high standards of dam safety and regulatory compliance are maintained. The ODSP further details the CDSE's specific authorities, which include:

- Oversight of emergency action planning and serving as the EAP Coordinator.
- Recommending and developing procedures necessary to implement dam safety policies approved by the Board and GM.
- Annual presentation of dam safety issues to the Board to maintain awareness of dam safety performance and lessons learned.
- Authority to recommend facility shutdowns in response to dam safety concerns or emergent conditions.
- Direct responsibility for technical analyses and coordination with FERC and the California Division of Safety of Dams (DSOD) regarding dam safety issues.
- Direction or review of major engineering activities, including updates to the DSSMPs, STIDs, and Security Plan.
- Coordination of investigations and studies such as those related to seismic, hydrologic, and failure mode analyses.

These assigned responsibilities demonstrate that the CDSE has substantive technical and decision-making responsibility within UWPA's Dam Safety Program. In effect, the CDSE serves as the organization's principal technical authority on dam safety matters. However, a few practical considerations temper this authority:

- The CDSE is an external consultant, not an employee. While the ODSP grants the CDSE significant decision-making responsibility, the role's authority is advisory in nature. Operational decisions ultimately rest with the GM and, by extension, the Board.
- The organization chart provided in the ODSP depicts the CDSE as reporting beneath the Regulatory Compliance Specialist, which does not align with the text of the ODSP or FERC guidance. In practice, the CDSE communicates directly with the GM, and this should be explicitly shown to ensure that the CDSE has direct and independent access to executive management and the Board on dam safety matters (see 2025 ODSP REC-4).

- The ODSP gives the CDSE authority to recommend actions such as shutting down project facilities in response to dam safety conditions, but it does not clearly indicate whether the CDSE has autonomous authority to initiate emergency actions if management is unavailable or unresponsive. Clarifying this would strengthen the organization's readiness.

Overall, the ODSP does a commendable job defining the CDSE's duties and responsibilities and aligns well with FERC's technical requirements. However, to fully meet the intent of FERC's independence principle, UWPA should ensure that the CDSE's authority to communicate directly with executive leadership to not only advise but to also act decisively and independently in the event of a dam safety emergency is explicitly stated in both the ODSP narrative and organizational structure (2025 ODSP REC-6).

### 3.4 Program Quality Elements

#### 3.4.1 Resource Allocation

UWPA operates within a uniquely constrained financial framework. As a small public entity whose revenue is solely derived from hydroelectric power generation, a handful of water customers, and financial contributions (as needed) from the two public entities that make up the Joint Powers Agency, UWPA's funding base is limited and subject to variability in generation output and energy markets. UWPA operates with limited financial resources and balances broader operational needs while maintaining essential dam safety obligations.

Despite these limitations, the Audit Team commends UWPA for its strong commitment to maintaining regulatory compliance and for its establishment of a reserve fund dedicated to unplanned or emergency expenditures. This prudent step demonstrates an understanding of the potential financial exposure associated with dam safety management.

The Audit Team also observed that UWPA has been highly resourceful and proactive in optimizing its available funding. In addition to its reserve fund, the organization actively pursues grant funding opportunities to offset the costs of major repair and capital projects. UWPA also reduces expenses by leveraging in-house expertise for light construction and maintenance tasks that might otherwise require external contractors. Furthermore, UWPA has effectively utilized low-cost supplemental labor resources, such as supervised inmate work crews, for non-specialized maintenance activities. These practices demonstrate an innovative and pragmatic approach to balancing fiscal responsibility with dam safety priorities.

Looking forward, UWPA is encouraged to continue funding and expanding the reserve account and to extend its use beyond emergency needs to include planned major repairs and long-term capital improvements. Integrating this reserve strategy with a structured Capital Improvement Planning (CIP) process will enhance UWPA's ability to anticipate and manage large, periodic expenditures, such as spillway maintenance, instrumentation upgrades, rehabilitation projects, or forthcoming FERC Comprehensive Assessment, while maintaining fiscal stability. The Audit Team understands that UWPA has already begun to improve long-range planning in this area and encourages continued emphasis on multi-year forecasting and strategic use of reserve funds to support dam safety program sustainability (Suggestion B).

#### 3.4.2 Standard Practices & Procedures

Standard practices and procedures are clearly understood by conveyance and hydro operations personnel, who are responsible for surveillance, monitoring, and operation of the dam and related facilities. The Audit Team suggests that UWPA, as good practice, review these procedures periodically to ensure they reflect what is done in practice and are up to current industry standards. Written standard procedure documents

should provide the level of detail necessary for personnel to independently perform each function outlined in the procedure. This ensures consistency and continuity of operations should key personnel be absent or in the event of turnover. UWPA could consider compiling all standard operating procedures into a manual that would include details of field inspection and monitoring of the dams, spillways, monitoring equipment, and public safety devices. The manual could augment the DSSMP and discuss the responsibility of recording inspections and filing inspection reports as well as the subsequent evaluation of inspection reports and follow-up activities (Suggestion C).

#### 3.4.3 Succession Planning

UWPA has developed a succession plan within its ODSP that identifies primary and alternate personnel for each key dam safety position. The plan demonstrates that the organization has adequate short-term coverage and cross-training to ensure that critical dam safety functions can continue during temporary vacancies or absences. Each key role, including the GM, Operations and Maintenance (O&M) Superintendent, Water Conveyance Supervisor, Regulatory Compliance Specialist, and Administrative Specialist, has at least one designated alternate with sufficient knowledge and experience to provide operational continuity.

This structure is well-suited for a small utility and reflects an awareness of the need to maintain dam safety readiness despite limited staffing. The Audit Team commends UWPA for this proactive approach to cross-training and role coverage, which is particularly important given UWPA's small workforce and reliance on institutional knowledge.

However, the long-term succession pipeline for certain technical and leadership positions remains a concern. UWPA currently relies on a contracted CDSE to fulfill FERC requirements, as there is no in-house licensed professional engineer (PE) in that role. While this arrangement is reasonable given UWPA's size and funding constraints, it limits institutional continuity and creates ongoing dependency on external consultants. The Audit Team noted that the current Regulatory Compliance Specialist, who is primarily a Conveyance Operator and also serves as a Backup Hydro Operator, has the educational background and career trajectory that could position him to assume CDSE responsibilities in the future. The responsibilities of the Regulatory Compliance Specialist listed in the ODSP help define a career progression to support that advancement as applied in practice in coordination of duties with the CDSE. Ongoing dam safety training and participation in related conferences further the exposure and training for this position. A more detailed development plan would also enhance effectiveness of a career development UWPA can help mitigate risk of losing qualified personnel to larger, better-funded organizations once they obtain additional credentials such as professional licensure by periodically updating compensation considerations.

This issue ties directly to broader recruitment and retention challenges, including the historically high turnover in the GM position and possibly low compensation levels compared to industry standards. Sustaining an effective dam safety program over the long term will require not only maintaining cross-trained backups but also developing career advancement opportunities and competitive compensation to retain technically capable staff who could assume leadership and engineering responsibilities in the future.

Based on discussions with UWPA, the Audit Team understands that a comprehensive salary and classification study was performed in 2023. While the study identified wage disparities relative to similar-sized utilities, the Board elected not to implement salary adjustments due to funding constraints and concerns about creating inequities across other staff positions. Recognizing that compensation alone may not be feasible as a corrective measure, UWPA should evaluate alternative approaches to enhance retention for key dam safety positions (particularly the GM), such as role restructuring, supplemental benefits, professional development incentives, adjusted job expectations, or other creative solutions suited to its

organizational scale. High turnover in the GM position continues to present a risk to leadership stability and dam safety oversight. Developing a sustainable strategy grounded in the 2023 study findings will support long-term continuity in these essential functions.

Based on this assessment, the Audit Team makes the following recommendations and suggestions:

- **Develop a Long-Term Professional Development Pathway.** Establish a structured career progression plan for technical staff, particularly the Regulatory Compliance Specialist, to pursue licensure and additional dam safety training, with a clear path to potentially transition into the CDSE role over time (2025 ODSP REC-7).
- **Identify and Foster Mentorship Opportunities.** Strengthen knowledge transfer from the current CDSE and other senior staff by formalizing a mentorship program within the ODSP. While informal mentorship already occurs in practice, documenting this expectation in the ODSP document would help ensure continuity, consistency, and long-term development of designated successors (Suggestion D).
- **Integrate Succession Planning into Annual Management Review.** Include succession planning and staffing continuity as a standing agenda item in annual management and Board reviews of the Dam Safety Program to ensure staffing readiness and retention are regularly evaluated (Suggestion E).
- **Identify Opportunities to Improve Recruitment and Retention.** Utilize the results of the 2023 salary and classification study to develop targeted recruitment and retention strategies for key dam safety positions (particularly the GM and other technical roles critical to program continuity). Recognizing that compensation adjustments may not be feasible at this time, UWPA should explore alternative approaches such as role restructuring, supplemental benefits, professional development incentives, adjusted job expectations, or other creative solutions suited to its organizational scale (Suggestion F).

### 3.5 Internal Communications and Reporting

UWPA demonstrates strong internal communication practices that are well-suited to its small organizational structure. Through interviews and field observations, the Audit Team found that staff with dam safety responsibilities communicate frequently, directly, and effectively with one another. This close working relationship supports a healthy culture of openness, where employees feel comfortable raising operational or dam safety concerns without fear of reprisal. Several examples were shared with the Audit Team illustrating instances where field staff promptly communicated unusual conditions to supervisors or management, reinforcing that dam safety remains an organizational priority.

The ODSP outlines a clear reporting structure and chain of command for dam safety communication. It specifies conditions that must be reported, the timeliness of reporting, and escalation procedures in cases where key personnel are unavailable. These provisions align with FERC's guidance for internal reporting of safety conditions and provide an effective framework for ensuring that potential dam safety issues reach the appropriate decision-makers quickly.

In discussions with UWPA personnel, staff provided examples illustrating that when unusual conditions are observed in the field, they are promptly communicated through the chain of command for evaluation by management and the CDSE. These examples reflect strong adherence to the ODSP's reporting expectations. In some cases, after technical review, the CDSE has determined that certain observations did not constitute reportable dam safety concerns. While such determinations were appropriate, they underscore the importance of closing the feedback loop by ensuring that staff receive follow-up communication explaining

how and why reportability decisions are made. Providing this feedback helps reinforce trust in the process, sustains vigilance in field observations, and supports continued learning across the organization.

The Audit Team noted one instance in which a regulatory inspection was rescheduled by external parties on short notice, resulting in a conflict with the CDSE's availability and limiting his participation. Staff indicated that this situation was atypical and driven by factors outside of UWPA's control. Given the CDSE's essential technical oversight role, UWPA may benefit from continuing its general practice of early coordination when inspection schedules are known; however, the Audit Team recognizes that the observed instance does not reflect a systemic issue.

While UWPA's informal communication practices are effective due to its size and collaborative culture, the ODSP lacks defined procedures for documenting and tracking communications and follow-up actions. Verbal and informal communications, such as phone calls or field observations, are not consistently logged, and there is no centralized system for confirming that reported conditions have been reviewed and resolved. Formalizing this process would strengthen continuity, accountability, and institutional memory, especially during staff transitions or when leadership changes occur.

Overall, UWPA's internal communication culture is a significant strength of its dam safety program. Establishing a simple written communication protocol and a tracking mechanism for follow-up actions would further enhance consistency, reinforce the organization's commitment to transparency, and sustain its strong culture of dam safety awareness. Although the ODSP in its current form meets the minimum requirements for internal reporting as prescribed in the *FERC Owner's Dam Safety Program Outline*, the Audit Team has identified the following opportunities for UWPA to consider to further strengthen its communication protocols and enhance the overall effectiveness of the ODSP (Suggestion G).

- **Develop a Written Communication and Reporting Procedure.** Create a brief internal procedure describing how dam safety-related communications, particularly verbal or informal exchanges, are to be documented, logged, and followed up. The procedure could specify when written documentation (e.g., email summaries, log entries, or incident reports) is required and include establishment of a centralized communications or issue log to record reported conditions, responsible parties, and status of resolution.
- **Enhance Feedback to Field Personnel.** When staff report potential issues, ensure that follow-up includes an explanation of how the condition was evaluated and why it was or was not considered reportable. This supports learning, consistency, and continued vigilance.
- **Integrate Communication Documentation into Routine Practices.** Incorporate communication documentation steps into existing workflows such as inspection reporting, maintenance tracking, and meeting notes to ensure consistency and avoid duplication.
- **Reinforce Communication Protocols through Training.** Include a short review of internal communication and reporting expectations in annual dam safety training or tailgate sessions to ensure staff remain familiar with documentation requirements and escalation pathways.

### 3.6 External Communications and Non-Conformance Reporting

UWPA maintains effective and timely communication with regulatory agencies, including FERC and DSOD. The ODSP outlines the process for reporting dam safety incidents and conditions that could affect the safety, stability, or integrity of any project work. The ODSP clearly defines reporting timeframes, responsibilities, and notification sequences, ensuring that the GM or designee promptly contacts FERC and DSOD when a reportable condition arises. This process is functioning well in practice and demonstrates UWPA's strong commitment to maintaining regulatory transparency and compliance.

The ODSP adequately addresses external reporting requirements for significant or emergent dam safety issues; however, it provides limited guidance on routine external communications (e.g., the transmittal of inspection reports, updates, or correspondence unrelated to reportable incidents). While external communications are, in practice, tracked by an internal regulatory compliance system, there is currently no defined procedure outlining how such communications are prepared, transmitted, confirmed, or archived in the ODSP document. Given the high volume of correspondence required for FERC-licensed projects, the lack of a standardized communication protocol could result in inconsistencies in document tracking or archival completeness, particularly during personnel transitions.

Including a written description of the process for routine external communications would strengthen recordkeeping, ensure continuity, and provide a reliable audit trail of regulatory interactions. This could be accomplished through a simple written procedure describing how external letters, submittals, and other correspondence are logged, reviewed for accuracy, and stored.

In addition, the ODSP does not explicitly include a process for non-conformance reporting; that is, the identification, documentation, and resolution of instances where program activities do not fully align with established procedures or regulatory requirements. Although UWPA staff demonstrate a culture of accountability and communication, formalizing this process through a written procedure would help capture lessons learned and promote continuous improvement. For example, documenting and tracking instances such as delayed report submittals, incomplete inspections, or missed training deadlines would provide valuable feedback for management and future audits.

Overall, UWPA's communication with regulatory agencies is open, responsive, and collaborative. Strengthening the procedural structure for routine correspondence and implementing a formal non-conformance reporting system would further enhance the Authority's ability to maintain consistent and transparent engagement with regulators and ensure programmatic accountability. The Audit Team identified several opportunities for improvement related to this finding, as summarized below (Suggestion H).

- **Develop a Written Procedure for Routine External Communications.** Establish a brief procedure outlining how non-emergency correspondence with regulatory agencies (e.g., transmittal letters, routine updates, and report submittals) should be prepared, transmitted, confirmed, and archived. This will help ensure consistency and traceability in communications with FERC and DSOD.
- **Implement a Centralized Communications Log.** Maintain a simple log or registry to document all outgoing and incoming regulatory correspondence, including dates, recipients, subject matter, and confirmation of receipt. This record will support continuity during staff transitions and strengthen document control.
- **Define Roles and Responsibilities for External Communications.** Clarify within the ODSP that while the GM (or designee) is responsible for formal regulatory correspondence, others (e.g., CDSE, Regulatory Compliance Specialist) may be authorized to communicate directly with FERC and DSOD on matters, as appropriate.
- **Incorporate Non-Conformance Reporting into the ODSP.** Add a process to document and track procedural or regulatory non-conformances, such as delayed report submittals, missed inspections, or training lapses. This process should include identification, corrective action, and closure steps to ensure accountability.

### 3.7 Dam Safety Surveillance and Monitoring

UWPA has developed comprehensive DSSMPs for its high-hazard dams, in accordance with Chapter 14 of FERC's *Engineering Guidelines for the Evaluation of Hydropower Projects*. These plans outline the procedures,

instrumentation, inspection frequencies, and reporting requirements necessary to verify that each dam continues to perform as intended and to detect early indications of potential distress.

Each DSSMP is tailored to the specific characteristics, configuration, and identified PFMs of its respective facility. The level of surveillance and instrumentation is appropriately scaled to the complexity and hazard classification of each dam. Threshold and action levels are clearly defined, and procedures are established for data collection, review, and follow-up actions. The plans provide a structured and repeatable approach for monitoring both structural performance and environmental factors that may influence dam safety.

Overall, the DSSMPs are appropriately scaled to the complexity and hazard classification of each facility and demonstrate a alignment between surveillance activities and identified potential failure modes. The Audit Team finds that the DSSMPs provide a sound framework for ongoing dam performance monitoring and that the program effectively supports UWPA's ability to verify expected dam behavior and maintain compliance with FERC requirements. The monitoring practices are also well-integrated into daily operations and inspection routines, reinforcing UWPA's strong culture of vigilance and attention to dam safety.

The Audit Team notes, however, that UWPA's DSSMPs rely on a largely manual data collection process (e.g., staff readings and Excel-based data management). While this is reasonable for an organization of UWPA's size, opportunities exist to enhance data reliability and efficiency through increased integration with the existing SCADA system, particularly for automated trend plotting, alarm verification, and long-term data storage (Suggestion I).

### **3.8 Risk Evaluation and Risk Management**

UWPA has incorporated elements of risk awareness into its ODSP through the review and discussion of PFMs for its dams. The ODSP recognizes the importance of maintaining familiarity with PFMs to ensure that operating personnel and management understand where vulnerabilities may exist. The PFMA's are reviewed and updated as part of the Part 12D Independent Consultant inspection process, ensuring that both the technical staff and management remain informed of potential failure scenarios and related consequences.

While the PFMA process provides a valuable foundation for understanding PFMs and their consequences, it is not a formal risk analysis, as it does not quantify or qualitatively evaluate the likelihood of occurrence or relative risk among different PFMs. Consequently, while UWPA is aware of the potential consequences of dam failure, the current framework does not fully support risk-informed prioritization of dam safety activities, capital improvements, or monitoring enhancements.

Given UWPA's limited financial and staffing resources, implementing a risk-informed decision-making (RIDM) framework, even at a basic or screening level, could provide significant value. Such an approach would help the organization focus its dam safety efforts on the areas of highest relative risk, ensuring that resources are applied where they can most effectively reduce overall risk to life, property, and the environment. This could be accomplished through a screening-level risk evaluation across UWPA's portfolio, identifying where additional studies, monitoring, or investment may yield the greatest benefit.

The Audit Team recognizes that UWPA has not yet been required by FERC to conduct a Level 2 Risk Analysis or Semi-Quantitative Risk Analysis, but it is scheduled to perform this as part of a Comprehensive Assessment for multiple facilities in 2027 in accordance with FERC's Part 12 regulations. Adopting a simplified framework consistent with FERC's RIDM guidelines would represent a progressive and proactive step toward continuous improvement. Such an approach would also strengthen UWPA's ability to communicate dam safety priorities to its Board and partner agencies in a clear, defensible manner (Suggestion J).

### 3.9 Emergency Preparedness and Response

UWPA has established an EAP developed for its high hazard potential dams that is well integrated into its ODSP and consistent with FERC's expectations. The ODSP outlines UWPA's procedures for emergency preparedness, response, and coordination with federal, state, and local agencies, as well as requirements for regular plan updates, training, and exercises.

Staff interviews confirmed strong familiarity with individual roles and responsibilities under the EAP, as well as awareness of notification and communication protocols. EAP flowcharts were observed to be posted in visible locations throughout UWPA facilities, and staff reported that the plan and related materials are accessible both in hard copy and electronically through a secure, cloud-based server accessible from mobile devices. UWPA has also implemented the Everbridge mass notification system to facilitate rapid alerts and coordinated communication with staff, emergency management agencies, and other stakeholders during an emergency. This capability significantly enhances UWPA's ability to issue timely notifications and maintain consistent messaging in critical situations.

The Audit Team finds that UWPA's emergency preparedness and response program is well understood, readily accessible, and effectively implemented. The EAP is integrated into the organization's overall dam safety culture, and personnel at all levels demonstrate a clear understanding of their responsibilities in the event of a dam safety emergency.

At this time, the Audit Team has no suggestions or recommendations related to emergency preparedness or the EAP, as the current program meets FERC expectations and reflects strong operational readiness.

### 3.10 Dam Safety Training

UWPA emphasizes dam safety awareness and maintains an ongoing program of training and exercises for personnel with dam safety responsibilities. The ODSP document outlines general training requirements and describes the content areas that different categories of personnel (i.e., hydro operations, maintenance, management, and administrative staff) should understand. The ODSP also identifies the need for annual EAP training and drills, which are regularly conducted and well-documented, demonstrating strong engagement across the organization.

Beyond identification of role-specific knowledge topics, UWPA also fosters organization-wide awareness of dam safety responsibilities. Staff members outside of day-to-day dam operations, such as administrative and support personnel, have participated as observers in dam inspections and site visits, reinforcing their understanding of UWPA's collective responsibility as a dam owner. Formalizing this practice through periodic dam safety awareness training for all staff and governance would further strengthen this culture of shared accountability and promote broad understanding of UWPA's public safety obligations.

While the ODSP establishes a good foundation for training, the Audit Team notes that the GM, as the RDSO and the individual with ultimate accountability for dam safety, should be included in formal dam safety training activities. The ODSP does specify that management personnel, including the GM, should participate in EAP exercises, review dam safety documentation, and attend PFMA, Part 12D, and FERC/DSOD inspection activities. These provisions appropriately acknowledge the GM's oversight role; however, participation in additional periodic dam safety training sessions would further enhance leadership awareness of facility conditions, associated risks, and emerging industry expectations.

Although UWPA's training framework is primarily descriptive rather than structured, the Audit Team observed a strong culture of professional development. Personnel are encouraged to pursue outside training opportunities through professional organizations such as the Association of State Dam Safety

Officials (ASDSO). This emphasis on continuing education reflects UWPA's commitment to maintaining technical proficiency despite its small staff size and limited resources.

Developing a more formal, comprehensive training program would strengthen UWPA's ability to ensure that all personnel possess the appropriate level of technical knowledge and preparedness for their assigned responsibilities. Such a program could also serve as a succession planning tool, allowing staff to understand what additional training or certifications would be required to advance into other roles, such as supervisory or technical leadership positions like the CDSE.

Overall, UWPA's commitment to training is evident and effective for its current scale. Formalizing this framework into a comprehensive training program structured by dam safety responsibilities would meet the FERC expectations related to dam safety training and provide a sustainable roadmap for continued professional development and dam safety competency across the organization. To that end, the Audit Team recommends the following enhancements to dam safety training:

- **Establish a structured, comprehensive dam safety program** that identifies required training topics and competencies, identifies specific training opportunities from various dam safety organizations, and includes a repository for training records (2025 ODSP REC-8).
- **Provide periodic dam safety awareness training for all UWPA staff and governance**, regardless of dam safety duties, to highlight UWPA's responsibility as a dam owner (2025 ODSP REC-9). This training could be conducted as a part of the CDSE annual presentation to the board, which is already an established practice and provides an effective venue for reinforcing dam safety accountability at all levels.

### 3.11 Audits and Assessments

The Audit Team reviewed UWPA's practices related to programmatic audits and self-assessments of the ODSP. FERC guidance emphasizes that dam owners should not only maintain compliance with written program requirements but also routinely evaluate the implementation and effectiveness of their dam safety programs to ensure that policies are being carried out as intended.

The ODSP document includes a section on Audits and Assessments, which specifies that on an annual basis the CDSE will, "review and assess Utica's compliance with this Dam Safety Program and report the results to the GM." The section also notes that "audit findings are presented to the CDSE," which creates some ambiguity regarding the intended review process and responsibilities. Based on interviews, it appears that the CDSE performs an annual review and update of the ODSP document itself, but it does not appear that a formal, documented self-assessment of program implementation is being completed in accordance with the intent of the ODSP.

Furthermore, the ODSP document provides only high-level direction regarding the scope, criteria, and documentation of the annual assessment. While operational and maintenance activities are routinely monitored, there is no structured process that evaluates all program elements (such as training, communication, policy adherence, and resource adequacy) against FERC's *Owner's Dam Safety Program – Owner's Self-Assessment Evaluation Parameters*.

The Audit Team recommends that UWPA clarify the roles and responsibilities for performing the annual ODSP assessment and develop a formal internal audit framework describing how the review will be conducted, documented, and reported. The framework should identify assessment criteria, frequency, responsible personnel, and methods for tracking and closing out identified improvements (2025 ODSP REC-10). It is suggested that UWPA adopt FERC's *Self-Assessment Evaluation Parameters* as a reference tool when

developing this framework (Suggestion K). Establishing a documented self-assessment process would provide a consistent, transparent means of evaluating program performance, identifying opportunities for improvement, and ensuring ongoing alignment with FERC expectations.

As previously discussed, the CDSE currently provides an annual presentation to the Board of Directors summarizing dam safety activities, accomplishments, and priorities. To enhance the value of this existing practice, the Audit Team also recommends that UWPA prepare a Comprehensive Annual Dam Safety Report to accompany this presentation (2025 ODSP REC-11). This report should include, at a minimum:

- Findings of the ODSP self-assessment
- Summary of dam safety incidents and corrective actions
- Significant inspection findings and surveillance results
- Summary of annual training and staff development activities
- Updates on monitoring, maintenance, and modifications
- EAP exercises, updates, and activations
- Policy and procedural revisions
- Resource and staffing needs for the coming year

Together, these measures provide both leadership and staff with a clear picture of dam safety program performance and ensure that UWPA's dam safety program remains both effective and transparent.

### **3.12 Records and Information Management**

UWPA recognizes the importance of maintaining accurate, organized, and readily accessible records to support its dam safety program. The ODSP outlines the key elements of UWPA's records management approach, including the maintenance of indexed drawings, dam safety documentation, project maintenance tracking, and regulatory compliance records. These practices establish a sound foundation for information management and demonstrate UWPA's commitment to maintaining control over critical dam safety data.

Interviews with staff indicate that UWPA's recordkeeping practices extend beyond what is documented in the ODSP. The organization maintains a records retention policy under which all dam safety-related files are retained indefinitely and are now stored in climate-controlled conditions protected from water (although, no fire suppression is present). This practice reflects an appropriate level of caution given the long operational history of the facilities. UWPA has also made significant progress in digitizing older records and historic files, converting key inspection reports, design documents, and drawings into an electronic format. Although this effort remains ongoing, it represents an important step toward ensuring that essential information is preserved and easily retrievable.

Electronic files are currently stored on UWPA's internal servers rather than on a cloud-based system due to cybersecurity considerations. While this approach aligns with internal IT protocols, continued emphasis on data organization, backup, and redundancy will be important to safeguard dam safety information and maintain accessibility in the event of hardware or system failure.

Overall, UWPA's recordkeeping and information management practices are consistent with FERC expectations and demonstrate strong organizational control of dam safety information. However, opportunities exist to strengthen documentation of these practices within the ODSP and to continue advancing the digitization of legacy records to enhance searchability, accessibility, and long-term data integrity, as follows:

- **Document existing record retention and data management practices in the ODSP**, including details on retention timeframes, physical and digital storage protocols, and system backup procedures (2025 ODSP REC-12).
- Continue digitizing legacy dam safety records and historical documents, prioritizing critical design drawings, inspection reports, and correspondence to ensure complete and searchable electronic archives (Suggestion L).

### 3.13 Security

Although FERC ODSP guidance does not specifically address physical security at dams or cyber security for dam owner's computerized systems, this Audit Team did discuss certain aspects of this subject briefly with the CDSE and other personnel with dam safety responsibilities. It is important to understand that physically secure dam facilities with operating and computer systems secure from cyberattack increase the safety of the public and the environment located downstream.

No detail will be given in this report related to these discussions so as not to divulge existing security details or to identify the security needs of UWPA, if any exist. The following is a brief list of security-related topics the Audit Team encourages licensees to be aware of:

- Familiarity with the US Department of Homeland Security's (DHS) National Infrastructure Protection Plan for Critical Infrastructure Security and Resilience;
- Membership in DHS' Homeland Security Information Network and specifically the Dams Specific Sector portal;
- Familiarity with the Critical Infrastructure Suspicious Activity Reporting (SAR) Tool;
- Active sharing of sensitive information in the members-only portal to stay up to date on emerging threats and incident information through Alerts, Bulletins and the SAR Tool as well as to be aware of available Dams Sector research;
- Available Dams Specific Sector training such as IS-870a Dams Sector Crisis Management; IS-871a Dams Sector Security Awareness; IS-872a Dams Sector Protective Measures; and the Dams Sector Tabletop Exercise Toolbox;
- Personnel screening for employees with Dam Safety Program responsibility roles;
- Personnel screening for contractors with Dam Safety Program responsibilities;
- Personnel screening protocols;
- Verification of information gathered through Personnel Screening;
- Risk analyses of the dam and related facilities;
- Measures utilized to maintain landside physical security at the dam sites;
- A Barrier Maintenance Program to assure effectiveness of waterside barriers utilized at the dam;
- Prescribed responses developed to the observed presence of a UAS (Unmanned Aerial System) over or near a dam site;
- Physical security checklists given to on-site personnel for periodic inspection of security measures;
- Security related exercises (drills, tabletop/functional) at the dam sites;
- Cybersecurity, Cyber Checklists and Cyber Asset Spreadsheet utilization;
- Incident response capability, Continuity of Operations Plan, and Disaster Recovery Plan;
- Integration of security with dam operations and the ODSP; and
- A dedicated staff position for security of the dams and other critical infrastructure.

The Audit Team did not develop, and this Report will not present, any recommendations concerning security at the dams or cybersecurity of UWPA's systems.

## 4.0 ASSESSMENT OF THE ODSP DOCUMENT

The UWPA ODSP document provides a comprehensive framework that meets the intent and structure of FERC's *Outline for Owner's Dam Safety Programs*. The document follows the prescribed format and addresses all required elements, including policy and objectives, defined roles and responsibilities, training, communication protocols, recordkeeping, succession planning, continuous improvement, and audits. Overall, the ODSP document reflects a clear understanding of FERC's expectations and generally provides an appropriate level of detail for an organization of UWPA's size and complexity (with exceptions to this discussed in Section 3.0 Audit of Program & Procedures).

The ODSP document is well-organized, with a logical flow consistent with the FERC outline. Each major section aligns with FERC's required program components. The plan effectively assigns accountability across all staff and consultants involved in dam safety, and demonstrates an ongoing commitment to compliance, continuous improvement, and public safety.

In addition to recommendations and suggestions discussed elsewhere in this Report, the Audit Team identified several minor inconsistencies and opportunities for clarification based on document review and field interviews:

- Under *Terms and Definitions*, the EAP is described as a plan for notification and response for three possible conditions and proceeds to list the conditions as 1) imminent failure, 2) potential failure, and 3) non failure. The adopted EAP, which is consistent with FERC Guidance, has four notification conditions, with the fourth being a "high flow" notification. This minor discrepancy should be updated.
- An organization chart for roles supporting the dam safety program is included under *Roles and Responsibilities* of the ODSP document. The role of IT specialist could be included as cybersecurity is increasingly becoming a prominent role of a dam safety program.
- Under the description of responsibilities for dam safety of the Regulatory Compliance Specialist, it is noted that one responsibility is to: 1) Work in coordination with the CDSE to keep the ODSP updated, update the DSSMP, update DSSMRs, work with consultants to update the Part 12 Independent inspections, support updates to the STID, and develop a comprehensive understanding of Utica's state and federal dam safety compliance requirements. In practice, the Regulatory Compliance Specialist performs these tasks in coordination with the Operations and Maintenance Superintendent and Water Conveyance Supervisor *in addition to* the CDSE. This should be reflected in the ODSP document.
- Under *Continuous Improvement*, the ODSP document states that the GM, CDSE, and Administrative Specialist are responsible for reviewing activities related to the dam safety program and updating the dam safety program accordingly. In practice, the Regulatory Compliance Specialist plays a key role in this initiative, and this should be updated in the ODSP document.
- According to the *Dam Safety Program Distribution List* (Appendix A of the ODSP document) only five hard copies of the ODSP are printed. These are distributed to the GM, the Operations and Maintenance Superintendent, the Water Conveyance Supervisor, the Administrative Specialist, and the CDSE. The document should be made available to all staff with dam safety responsibilities either in hard copy or in electronic format as it serves as a key reference for performing dam safety related duties.

Overall, the ODSP document is a strong, well-structured document that aligns closely with FERC's recommended program outline. The opportunities for improvement noted above primarily relate to documentation clarity and integration of practices that are already being implemented in the field.

Addressing these minor issues would enhance the ODSP's accuracy, internal consistency, and long-term usability as a management reference (Suggestion M).

## 5.0 SUMMARY

The Audit Team's findings are based on a comprehensive review of the materials provided by UWPA, including the ODSP document, DSSMPs, the EAP, and related operational, organizational, and training documentation. The audit also included individual and group interviews with UWPA personnel; written responses to confidential questionnaires; and the Audit Team's direct observations of program implementation during the October 2025 site visit to Utica and Angels Project facilities.

This audit evaluated both the structure of the UWPA dam safety management program and its implementation in practice, with the goal of identifying strengths, confirming compliance with FERC expectations, and highlighting opportunities for continued improvement.

### 5.1 Conclusions

The Audit Team finds UWPA to be a responsible, conscientious, and resourceful dam owner. Despite operating within a small organizational structure and under notable financial constraints, UWPA demonstrates a strong commitment to public safety, regulatory compliance, and continuous improvement. The organization's personnel exhibit a high degree of ownership and pride in their work, fostering a cooperative culture where dam safety is recognized as a shared responsibility across all staff levels.

The ODSP document is comprehensive, well-structured, and generally aligned with the FERC *Outline for Owner's Dam Safety Programs*. It captures the essential components required of an effective program, including policy, organization, training, communication, recordkeeping, and audits. The ODSP appropriately assigns responsibilities and demonstrates awareness of FERC expectations. Minor inconsistencies, such as overlapping roles, limited procedural specificity in some sections, and documentation gaps related to current practices, do not detract from the overall quality or functionality of the program. Addressing these issues will further strengthen the ODSP's accuracy, usability, and reflection of UWPA's operational maturity.

Strengths of the UWPA organization and ODSP document include:

- A clear and consistently demonstrated commitment to dam safety and regulatory compliance across all staff levels.
- Evident pride and ownership in the dams and associated facilities, accompanied by a deep sense of stewardship and commitment to the community above other business objectives.
- Highly effective communication and collaboration among operations, maintenance, and management personnel, supported by open reporting and a non-retaliatory culture.
- A proactive and resourceful approach to financial management, including creative funding strategies, grant pursuits, and efficient use of in-house and supplemental labor to stretch limited budgets.
- A well-maintained and evolving EAP program, with strong staff familiarity, ready accessibility, and frequent training and drills.
- Progress toward digitizing legacy records and maintaining thorough documentation of inspection and maintenance activities.
- An experienced and engaged CDSE who provides technical leadership and ensures alignment with FERC and DSOD requirements.

While UWPA's ODSP is effective and compliant, the audit identified several areas for enhancement to strengthen the program's long-term sustainability and alignment with FERC's most current expectations. Themes for improvement and opportunities for continued development include:

- **Formalization of processes:** Several program elements, such as internal self-assessments, communication tracking, and dam safety training, would benefit from written procedures or structured frameworks to ensure consistency and continuity.
- **Documentation alignment:** The ODSP should be updated to capture current practices (e.g., record retention policies, digitization initiatives, and expanded roles such as IT support).
- **Organizational clarity:** Certain reporting lines and responsibilities, particularly those of the CDSE and Regulatory Compliance Specialist, should be clarified to remove ambiguity and better reflect practice.
- **Workforce sustainability:** High turnover in key leadership positions and reliance on contracted expertise highlight the need for long-term succession planning, competitive compensation, and defined professional development pathways.
- **Training specificity:** The existing training framework should evolve into a position-specific program with defined competencies, frequencies, and recordkeeping, accompanied by periodic awareness training for all staff and the Board.
- **Program evaluation and communication:** Implementing a structured annual ODSP self-assessment and comprehensive annual dam safety report would enhance transparency, accountability, and continuous improvement.
- **Procedural modernization:** Continued integration of electronic data management, centralized communication logs, and risk-informed decision-making tools would strengthen documentation and prioritization under constrained resources.

In summary, the Audit Team concludes that UWPA's ODSP is effective, compliant, and reflective of a strong safety culture. The program is appropriately scaled to UWPA's size and resources and demonstrates a clear understanding of FERC's intent for owner accountability, communication, and governance. Implementation of the recommendations and suggestions contained in this report will further align UWPA's ODSP with current best practices, enhance documentation and continuity, and support UWPA's long-term ability to maintain safe, well-managed dams and protect the communities it serves.

The Audit Team's formal recommendations (Section 5.2) and additional suggestions for improvement (Section 5.3) are summarized below. These items are intended to assist UWPA in refining and strengthening its ODSP through targeted, practical enhancements that support continuous improvement and long-term program sustainability.

## 5.2 Recommendations

The Audit Team recommendations are compiled in this subsection. Refer to Section 3.0 Audit of Program & Procedures of this Report for additional context.

- 2025 ODSP REC-1 Enhance public communication of UWPA's commitment to dam safety.** UWPA should strengthen public transparency and trust by incorporating an explicit statement of its commitment to public safety and dam safety excellence into its mission statement and prominently featuring this message on its website and public communications materials.

- 2025 ODSP REC-2 Annual distribution of UWPA’s Dam Safety Policy to staff.** The GM should ensure the annual letter reaffirming UWPA’s dam safety philosophy (as outlined in Appendix C of the ODSP) is issued each year to all employees. Documentation of this transmittal (e.g., email distribution, sign-off sheet, or meeting record) should be maintained to verify compliance with the ODSP.
- 2025 ODSP REC-3 Formal Board adoption and reaffirmation of the Dam Safety Policy.** UWPA should formalize its Dam Safety Policy through Board adoption and annual reaffirmation. The Board should also reaffirm the policy with a new (or readopted) resolution whenever there is a change in Board membership to ensure that all elected officials remain fully aware of UWPA’s responsibilities and commitments related to dam safety.
- 2025 ODSP REC-4 Clarify the chief dam safety engineer’s reporting line.** Revise the organizational chart and ODSP narrative to reflect that the Chief Dam Safety Engineer reports directly to the GM. This change will align the ODSP with FERC’s expectation for independence of the dam safety function and ensure unimpeded communication between the CDSE, GM, and Board.
- 2025 ODSP REC-5 Include the IT/cybersecurity role in the ODSP document.** Update the organizational chart and ODSP text to include the IT Specialist and describe responsibilities related to cybersecurity, SCADA system integrity, and protection of dam safety data systems. Cybersecurity is a critical component of dam safety and should be explicitly represented within UWPA’s organizational framework.
- 2025 ODSP REC-6 Document the CDSE’s emergency decision-making authority.** Clarify in the ODSP that the CDSE has the authority to recommend or initiate emergency dam safety actions, such as temporary facility shutdowns or notifications, if a condition poses imminent risk to public safety and management personnel are unavailable.
- 2025 ODSP REC-7 Develop a long-term professional development pathway.** Establish a structured career progression plan for technical staff, particularly the Regulatory Compliance Specialist, to pursue licensure and additional dam safety training, with a clear path to potentially transition into the CDSE role over time.
- 2025 ODSP REC-8 Establish a structured, comprehensive dam safety training program.** It is recommended that UWPA formalize and implement a structured training program. The program should:
- a) Develop a dam safety training matrix identifying required training topics, competencies, and frequency for each role involved in dam safety.
  - b) Incorporate specific training opportunities and professional organizations (e.g., CEATI, FERC, ASDSO, FEMA, USSD, USBR, USACE, etc.) into the ODSP to guide staff toward appropriate educational resources.
  - c) Develop a central repository for training records, which should be maintained for each employee, reviewed annually by the CDSE, and reported upon in the Annual Dam Safety Report (see 2025 ODSP REC-11). Certain training may be beneficial to be repeated on some periodic basis as deemed appropriate by the CDSE.

- 2025 ODSP REC-9** **Provide periodic dam safety awareness training for all UWPA staff.** A general dam safety awareness training should be developed for all UWPA staff, regardless of their direct dam safety duties, and the Board. This training should introduce the principles of dam safety, UWPA's responsibility as a dam owner, and how individual roles support public safety and regulatory compliance. Refresher awareness training should be conducted on a periodic basis as determined appropriate by the CDSE, or as staffing changes occur.
- 2025 ODSP REC-10** **Establish a formal internal ODSP self-assessment process.** UWPA should develop and implement a documented annual self-assessment process that evaluates the effectiveness and implementation of the ODSP. The framework should:
- a) Clearly define roles and responsibilities for conducting the assessment;
  - b) Identify assessment criteria, scope, and evaluation methods aligned with the FERC's *Owner's Self-Assessment Evaluation Parameters*;
  - c) Describe procedures for documenting findings, tracking corrective actions, and verifying closure; and
  - d) Specify how results will be communicated to management and incorporated into program improvements.
- 2025 ODSP REC-11** **Develop a comprehensive Annual Dam Safety Report.** A comprehensive annual dam safety report should be developed and utilized as the framework for the CDSE annual dam safety presentation to the Board for the purpose of reporting on events and accomplishments of the preceding year. The report should serve multiple purposes:
- a) Providing the Board with a single, organized overview of dam safety activities, issues, and progress for the Utica and Angels Projects;
  - b) Supporting executive decision-making and strategic planning by identifying trends, resource needs, and areas for improvement; and
  - c) Serving as a reference document for UWPA staff seeking an up-to-date summary of program activities.
- 2025 ODSP REC-12** **Document existing record retention and data management practices in the ODSP,** including details on retention timeframes, digital storage protocols, and system backup procedures.

### 5.3 Suggestions for Improvement to Consider

Other opportunities identified by the Audit Team for UWPA to consider that are not elevated to formal recommendations are listed below in order of appearance throughout Section 3.0 of this Report.

- Suggestion A** It is suggested that the Board's annual reaffirmation of the dam safety policy (2025 ODSP REC-3) take place concurrently with the CDSE annual presentation to the Board (Section 3.1).

- Suggestion B** Continue to fund and expand the existing reserve account and consider broadening its use beyond emergency or unplanned needs to include planned major repairs and long-term capital improvements related to dam safety. Strengthening the long-range financial and capital planning efforts, with particular emphasis on multi-year forecasting and the strategic use of reserve funds will support the long-term sustainability of UWPA's Dam Safety Program (Section 3.4.1).
- Suggestion C** Review and update standard operating procedures periodically to ensure they reflect current practices and industry standards. Consider compiling all procedures related to dam operations, surveillance, and monitoring into a single, comprehensive manual that provides sufficient detail for personnel to perform duties independently and ensures operational consistency and continuity in the event of staff absences or turnover (Section 3.4.2).
- Suggestion D** Strengthen knowledge transfer from the current CDSE and other senior staff by formalizing a mentorship program within the ODSP. While informal mentorship already occurs in practice, documenting this expectation in the ODSP document would help ensure continuity, consistency, and long-term development of designated successors (3.4.3).
- Suggestion E** Include succession planning and staffing continuity as a standing agenda item in annual management and Board reviews of the Dam Safety Program to ensure staffing readiness and retention are regularly evaluated (3.4.3).
- Suggestion F** Identify opportunities to improve recruitment and retention by utilizing the results of the 2023 salary and classification study to develop targeted recruitment and retention strategies for key dam safety positions (particularly the GM and other technical roles critical to program continuity). Recognizing that compensation adjustments may not be feasible at this time, UWPA should explore alternative approaches such as role restructuring, supplemental benefits, professional development incentives, adjusted job expectations, or other creative solutions suited to its organizational scale.
- Suggestion G** Strengthen internal communication protocols (3.5):
- a) Develop a Written Communication and Reporting Procedure. Create a brief internal procedure describing how dam safety-related communications, particularly verbal or informal exchanges, are to be documented, logged, and followed up. The procedure could specify when written documentation (e.g., email summaries, log entries, or incident reports) is required and include establishment of a centralized communications or issue log to record reported conditions, responsible parties, and status of resolution.
  - b) Enhance Feedback to Field Personnel. When staff report potential issues, ensure that follow-up includes an explanation of how the condition was evaluated and why it was or was not considered reportable. This supports learning, consistency, and continued vigilance.

- c) Integrate Communication Documentation into Routine Practices. Incorporate communication documentation steps into existing workflows such as inspection reporting, maintenance tracking, and meeting notes to ensure consistency and avoid duplication.
- d) Reinforce Communication Protocols through Training. Include a short review of internal communication and reporting expectations in annual dam safety training or tailgate sessions to ensure staff remain familiar with documentation requirements and escalation pathways.

**Suggestion H**

Implement formal processes and protocols for external communications (3.6):

- a) Develop a Written Procedure for Routine External Communications. Establish a brief procedure outlining how non-emergency correspondence with regulatory agencies (e.g., transmittal letters, routine updates, and report submittals) should be prepared, transmitted, confirmed, and archived. This will help ensure consistency and traceability in communications with FERC and DSOD.
- b) Implement a Centralized Communications Log. Maintain a simple log or registry to document all outgoing and incoming regulatory correspondence, including dates, recipients, subject matter, and confirmation of receipt. This record will support continuity during staff transitions and strengthen document control.
- c) Define Roles and Responsibilities for External Communications. Clarify within the ODSP that while the GM (or designee) is responsible for formal regulatory correspondence, others (e.g., CDSE, Regulatory Compliance Specialist) may be authorized to communicate directly with FERC and DSOD on matters, as appropriate.
- d) Incorporate Non-Conformance Reporting into the ODSP. Add a process to document and track procedural or regulatory non-conformances, such as delayed report submittals, missed inspections, or training lapses. This process should include identification, corrective action, and closure steps to ensure accountability.

**Suggestion I**

Explore opportunities to enhance data management and analysis tools, such as integrating instrumentation readings into the SCADA system or a centralized database, to improve efficiency, continuity, and long-term recordkeeping (3.7).

**Suggestion J**

Adopt a simplified, risk-informed decision-making framework, such as a screening-level risk analysis, to help UWPA prioritize dam safety projects and resource allocation (3.8).

**Suggestion K**

Utilize the FERC *Owners Dam Safety Program Owners Self-Assessment Evaluation Parameters* document as a basis for developing an assessment tool specific to UWPA's ODSP (Section 3.11).

**Suggestion L**

Continue digitizing legacy dam safety records and historical documents, prioritizing critical design drawings, inspection reports, and correspondence to ensure complete and searchable electronic archives (3.12).

**Suggestion M**

Adopt suggestions found in Section 4.0 Assessment of the ODSP Document of this Report for changes to the ODSP document to fully align with FERC expectations and strengthen program transparency.

## 6.0 LIMITATIONS

This report has been prepared for the sole use of UWPA, specifically for the assessment of the UWPA ODSP referenced on the cover of this Report. The conclusions and recommendations contained in this Report are based upon information obtained from the references listed herein. GFT is not responsible for the data presented by others. Additionally, the recommendations presented in this Report are the programmatic opinions based on experience and engineering judgement of the Audit Team, no technical or engineering analysis was performed.

The opinions provided in this Report are valid as of the date shown on the cover page. Issues may arise that were not apparent at the time of this audit (e.g., changes in site conditions, regulatory requirements, etc.). Accordingly, this Report may be invalidated, wholly or partially, by changes outside of our control. Should changes occur that might affect the findings presented herein, GFT should be notified to evaluate the validity of this Report for those changes.

# Appendix A

*FERC Outline for Owners Dam Safety Program*

# **OUTLINE FOR OWNER'S DAM SAFETY PROGRAM**

## **TALE OF CONTENTS**

### **1. INTRODUCTION**

This Section should discuss the purpose for the Dam Safety Program and the Scope of the Program. The discussion of purpose should include, in general terms, who is covered by the Program (i.e. the owners employees, consultants, etc.), and what the Program is intended to accomplish. The discussion of scope should specifically state which dam(s) are covered by the Program.

### **2. TERMS and DEFINITIONS**

This Section should provide a glossary of terms and acronyms so that all parties who are covered by the Program have a clear and common understanding of the terms.

### **3. DAM SAFETY POLICY, OBJECTIVES AND EXPECTATIONS**

This Section should provide a summary of the policies defined in the Program, the objectives of the Program and the expectations of the owner for its employees, consultants and others involved in assuring dam safety. Each year the CEO or President or the highest person in the organization should issue a signed Company dam safety philosophy to the employees.

### **4. RESPONSIBILITIES FOR DAM SAFETY**

This Section should outline the responsibilities for each level and organizational group.

For instance, the responsibilities of the CEO and Board of Directors may include such items as: establishing the corporate safety philosophy; providing policies, directives and sufficient resources; understanding the Responsibilities and Liabilities that accompany ownership of a dam; understanding the life safety and financial risks associated with dam ownership; assuring safe and adequate design, construction, operation and maintenance of dams(s); assuring adequate emergency action planning is in place, and establishing appropriate decision-making process to assure dam safety.

Other people or organizations that have a role in assuring dam safety, such as: the Chief Dam Safety Engineer; dam safety managers and supervisors; others in the dam safety group; hydro plant managers; other hydro plant personnel; and other employees, agents, consultants and any other personnel, should have their responsibilities defined.

## **5. DAM SAFETY TRAINING PROGRAM**

This Section should include a discussion of the dam safety training provided to staff at all levels of the organization including management, operations, maintenance, engineering consultants and contractors as appropriate. Training of the on-site operators should be emphasized because they are the front line of defense. The content and frequency of training should be discussed

## **6. COMMUNICATIONS. COORDINATION, REPORTING & REPORTS**

This section should discuss internal and external communication requirements and protocols. Internal communication requirements and protocols should include the type of incidents that are to be reported to the Chief Dam Safety Engineer and the time frame in which those reports must be made. Communication requirements and protocols should also be established for the Chief Dam Safety Engineer to report to senior levels of management, up to and including the Chief Executive Officer and/or Chief Operating Officer.

External communication requirements and protocols should be established for communications to the FERC dam safety staff and other external stakeholders.

## **7. RECORD KEEPING AND DATABASES**

Procedures should be established to assure the retention of critical and other relevant documents and data related to design, construction operation and maintenance of the dam. Document types may include items such as design reports, drawings, specifications, construction reports, dam safety inspection reports, photographs, dam safety program audit reports, incident tracking, compliance and non-compliance history, commitment tracking, non-conformance tracking, training programs, etc.

The person or position responsible for assuring the retention of the records should be identified along with the storage location and the retention period.

## **8. SUCCESSION PLANNING**

Assuring the continuation of a qualified chief dam safety engineer and a qualified staff to assure dam safety is a critical element of a successful dam safety program. The procedures in place to assure a successful transition as positions become vacant should be described. At a minimum, succession planning procedures should be in place for the chief dam safety engineer, other dam safety group personnel, hydro plant personnel, and engineering and support group personnel.

## **9. CONTINUOUS IMPROVEMENT**

Assuring that the dam safety program is periodically reviewed to assure that it reflects the current staffing and organizational structure of the owner and incorporates the lessons learned from the ongoing implementation of the program, information gathered from dam safety inspections and operating history, changes in the state-of-

practice in dam safety, knowledge gained from training and the study of case histories of incidents and failures and findings from audits of the dam safety program.

#### **10. AUDITS AND ASSESSMENTS** *(Similar to Section 4.8 of Ameren ODSP)*

To assure that the dam safety program is being implemented in both the spirit of dam safety and in accordance with the written dam safety program, the chief dam safety engineer should routinely assess the organizations compliance with the written dam safety program and report the findings to the senior management of the organization.

To assure that the program is continuing to improve, as noted in Section 10, independent audits should be conducted periodically by a qualified dam safety expert. The time period between program audits should reflect the risk exposure of the organization. Owners with a large portfolio of dams or whose dams, either individually or collectively, present a significant risk to life safety, the environment or the financial health of the organization should have their dam safety program audited on a schedule not to exceed five years. The chief dam safety engineer should review the audit report and prepare a summary report for presentation to the senior management of the organization. A copy of the summary and audit reports should be submitted to the FERC.

#### **11. REFERENCES**

References to pertinent documents, policies, procedures, etc that support this dam safety program should be contained in this Section such as a detailed discussion of responsibilities, detailed procedures described in this document, training materials, operation and maintenance policies and procedures, etc .

#### **APPENDICES**

As appropriate – The appendices to include guidance details associated with each component of the program.

# Appendix B

*FERC Letter Approving ODSP External Auditors*

FEDERAL ENERGY REGULATORY COMMISSION  
Office of Energy Projects  
Division of Dam Safety and Inspections – San Francisco Regional Office

December 15, 2025

In reply refer to:  
Project Nos. 2019-CA, 2699-  
CA

VIA FERC Service

Dave Andres  
Interim General Manager  
Utica Water & Power Authority  
1168 Booster Way  
PO Box 358  
Angels Camp, CA 95222-0358

Re: Proposed External Auditors for the Owner's Dam Safety Program (ODSP)

Dear Mr. Andres:

This is in response to your letter dated September 3, 2025, that submitted the resumes of the proposed external auditors for the ODSP audit for the Utica and Angels Projects, FERC Nos. 2019 and 2699. We have reviewed your submittal, and Ms. Stacy D. Vorster, P.E. and Mr. Dennis Dickey, P.E. are accepted as ODSP auditors for your projects.

We appreciate your continued efforts in this aspect of our dam safety program. If you have any questions, please contact Mr. Cody Stephenson at (415) 369-3308.

Sincerely,

Frank L. Blackett, P.E.  
Regional Engineer

# Appendix C

*FERC Guidance for ODSP External Audits*

## FERC GUIDANCE FOR ODSP EXTERNAL AUDITS

To assure that an Owners Dam Safety Program is continuing to improve, independent audits should be conducted periodically by a qualified dam safety expert. Audits are intended for dam owners to continue to improve their dam safety program, help them understand how well their program is working, and to identify areas where their dam safety program may need improvement. The time period between program audits should reflect the risk exposure of the organization. For owners of one or more high hazard classification dams, their dam safety program should be externally audited or peer reviewed on a schedule not to exceed five years. More frequent audits could be necessary if there has been a significant dam safety incident, or major changes in personnel and organizational structure have occurred. A statement of qualifications of the proposed auditor should be submitted to the Regional Engineer for review and acceptance prior to performing the audit. Upon completion of the audit, the Chief Dam Safety Engineer or Coordinator should review the audit report and prepare a summary report for presentation to the senior management of the organization. A copy of the summary document along with the full audit reports should be submitted to the FERC for review and comment, along with the licensee's plan and schedule to implement any recommendations.

The following items are examples of what should be considered when developing a Scope of Work for the audit, but should be customized to the specific projects and licensee/exemptee mission:

- Review representative reports and information specifically related to the development and implementation of the Dam Safety Program (DSP), prior to performing the actual audit.
- Review recent operating and maintenance records for each facility (or a representative sample of facilities) to determine if proper procedures are adequate and being followed.
- Assess the Dam Safety Surveillance and Monitoring Plan (DSSMP) and reporting requirements at each facility (or a representative sample of facilities) toward the end goal of understanding and verifying the expected performance of the dam.
- Review representative personnel training records to evaluate if an appropriate dam safety training program exists and is being conducted in accordance with the latest training plan as defined in the ODSP, and that appropriate training has been taken by all personnel involved with the operation and inspection of the project(s).
- Conduct interviews of a representative sample that includes all levels of Licensee/Exemptee staff (including senior management), perform visual

examinations, or utilize other methods to evaluate the effectiveness, completeness, and familiarity of those responsible for the project(s) with the dam safety training.

- Attend and participate in representative project site visits or inspections with field personnel at one or more projects. This should include, at a minimum, those projects with the highest downstream consequences.
- Interview the Chief Dam Safety Engineer/Chief Dam Safety Coordinator and all dam safety staff; including but not necessarily limited to: senior management, facility managers, staff engineers, and hydro plant technicians to determine their understanding of the DSP and the implementation of their respective responsibilities.
  - These interviews should ideally obtain independent views from those interviewed, of the effectiveness and completeness of the ODSP.
- Evaluate the Licensee's/Exemtees corporate commitment and its priorities with respect to dam safety, including senior executives. This includes meeting directly with senior management to discuss the DSP.
- Provide the auditor's opinion as to whether the licensee's dams are being adequately operated, inspected and maintained, i.e. determine if the ODSP is appropriate for the specific projects and accomplishing what is intended from a well-developed dam safety program.
- Assess how proactive the licensee is in implementing their dam safety program. Evaluate whether they take initiative to address dam safety issues on their own without waiting for FERC to require action, or if they are strictly reactive.
- Provide conclusions, and if appropriate, recommendations for the Licensee to further improve their dam safety program.

You might also consider sharing the draft Scope of Work with the FERC Regional Office for input prior to beginning the audit.

## **Frequently Asked Questions**

1. *Who should be hired to perform the ODSP audit? What experience and qualifications are needed by the auditor?*

For smaller licensees with only a couple of dams, a single individual may be appropriate to perform the audit. For larger licensees with numerous dams and complex organizations, a two or more person audit or peer review team would likely be more appropriate.

The auditor(s) should be from an external organization that was not involved in drafting the ODSP document or responsible for routine ODSP activities such as internal dam safety inspections or drafting DSSMPs or DSSMRs.

Qualifications for auditor(s) would include:

- Engineer(s) experienced in dam safety design, operation, and maintenance of the types of dams being evaluated.
- A current/former CDSE who has worked in a different dam owning organization with a strong dam safety program.
- Someone with a regulatory dam safety background (e.g. current or former state or federal employee).
- Engineering Consultant with expertise in dam and hydro safety management, design, and/or dam safety engineering.

2. *Do I need to submit the proposed auditor's resume to the FERC for acceptance?*

Yes. As indicated in our annual letter, prior to conducting an audit of your ODSP, you should submit a statement of qualifications, including a resume, of the proposed auditor to the Regional Engineer for review and acceptance prior to performing the audit. A copy of the final audit report should also be submitted to the FERC for review and comment.

3. *Can we just use our Part 12 Independent Consultant to conduct our audit?*

For smaller licensees with only a few dams and a simple organizational structure, it may be possible to use your Part 12 Independent Consultant, provided their experience includes understanding of organizational management and leadership principles. In our experience, this option is being over-utilized, possibly as a simplification of contracting or familiarity with the consultant. The selection of an auditor who can fully understand and evaluate a dam safety program, as well as provide an independent review of the entire dam safety program, is a reflection upon the seriousness of the Licensee/Exemptee to their program.

4. *Can we use the same auditor for every audit?*

In general, it is preferred that you use a different auditor for each external audit. However, there may be situations where there is a logical reason to do so, such as following a major organizational change. You should check with your Regional Office prior to using the same auditor twice.

5. *Can the FERC provide us with some names of potential auditors?*

The FERC does not maintain a list of individuals who are qualified to perform an audit. We do maintain a list of Part 12 Independent Consultants who may or may not be qualified to perform an audit. Professional Organizations such as the Association of State Dam Safety Officials (ASDSO), U.S. Society on Dams (USSD), and the American Society of Civil Engineers (ASCE) may be able to help with finding qualified auditors or peer reviewers.

# Example Table of Contents for Audit Report

- 1.0 - Introduction
- 2.0 - Executive Summary
- 3.0 - Scope of Work
  - 3.1 - Audit Methodology
  - 3.2 - Discussions and Interviews
- 4.0 - Audit of Program and Procedures
  - 4.1 - Authority of the Chief Dam Safety Engineer
  - 4.2 - Dam Safety Surveillance and Monitoring Plan
  - 4.3 - Non-Conformance Reporting
  - 4.4 - Internal Communications and Reporting
  - 4.5 - External Communications and Reporting
  - 4.6 - Training
  - 4.7 - Audits and Assessments
- 5.0 - Records
- 6.0 - Conclusions
- 7.0 - Recommendations

References

# Appendix D

*Advance Documents Request*

## Advance Document Request

Advance Document Request	
<b>Date:</b>	September 2, 2025
<b>To:</b>	Ryan Heryford, Utica Water and Power Authority (UWPA)
<b>From:</b>	Stacy Vorster, GFT
<b>RE:</b>	Advance information to be provided by UWPA to GFT's ODSP Audit Team

### PURPOSE

The following information is requested for the ODSP Audit, insofar as applicable to the Utica Water and Power Authority (UWPA), and should be forwarded or otherwise made available to the GFT Audit Team (Team) as soon as possible. The current agreed-upon date for receipt of requested records is September 12, 2025 (as documented in the September 2, 2025 Project Kickoff Meeting Notes).

The Team is committed to respecting the confidentiality of all information provided in support of the audit. However, any document provided to the Team which has been officially determined by UWPA to be confidential should be clearly labeled as such.

It is understood that UWPA may not have certain information listed below in official written form. In such case, UWPA should state concisely what the policies are understood to be and how that understanding was achieved, or why the documents are not needed. Lack of formal documentation in any of these areas should not be a deterrent to this audit. It is also understood that one document may address several of the requests listed below.

For documents that relate to specific dams (e.g. DSSMP's, STID's, O&M Records), please provide only for a representative facility from each FERC-regulated project and not for UWPA's entire dam portfolio. The Team understands that UWPA owns and operates two FERC-regulated projects. For the purposes of this document, the "agreed upon facility" is the dam(s) for each project that represent the highest hazard potential classification.

Items shown in **bold red** are priority documents that should be sent as soon as possible.

## DOCUMENT REQUEST

### 1. Leadership & Guidance

- a. UWPA's overall Mission & Vision statements.
- b. Mission & Vision statements for the organizational unit responsible for dam safety including its guiding principles, policy, goals, and objectives.
- c. Owner's Dam Safety Program Document (ODSP) – current version.**
- d. Statement of scope of the ODSP including who is covered by the ODSP (i.e. the owner's employees, consultants, etc.), specifically what dam(s) are covered by the ODSP, what the ODSP is intended to accomplish, and what actions and metrics UWPA uses to measure success of the program.
- e. Most recent Annual Report of UWPA.
- f. Policy(ies) that identify authority and responsibility for dam safety within the UWPA organization.
- g. UWPA's philosophy on dam safety as promoted by the executive responsible for dam safety.
- h. UWPA's organizational structure – Org chart showing the position of dam safety within the organization.**
- i. Dollar value of UWPA's current annual capital budget.
- j. The ODSP total budget (capital and operating) per year for the previous two years and projected future budgets with an explanation of the budget cycle used by UWPA to accomplish the dam safety requirements.
- k. Current Long-Range Facility Planning Study, Capital Plan, Strategic Plan, or other documents or tools which illustrate the policies, procedures, and practices utilized to guide decision-making regarding identification of future capital requirements.

### 2. Operation & Maintenance

- a. Dam Safety Surveillance and Monitoring Plans (DSSMP) for agreed-upon select facilities.
- b. Dam Safety Surveillance and Monitoring Reports (DSSMR) for agreed-upon select facilities – past three years.
- c. FERC Part 12D Inspection Reports for agreed-upon select facilities - past three reports.
- d. Other inspection reports for agreed-upon select facilities – past three years.
- e. Description of responsibility for the management of emergency procedures including the development and maintenance of Emergency Action Plans (EAP's).
- f. Current EAP's for agreed-upon dams covered by this Audit, including the documentation for and schedules of EAP exercises.
- g. Description of the responsibilities for critical infrastructure protection including policies, procedures, and practices for physical asset security and public safety at dams.

- h. Standard Operating Procedures for routine and non-routine operation and maintenance, including required documentation and reporting.
- i. Communications Plan for internal and external communication, documentation and reporting requirements and protocols, including procedures or schedules of incidents and reporting up to the executive levels.

### 3. Engineering/Technical

- a. Supporting Technical Information Documents (STID) for agreed-upon select facilities.
- b. Potential Failure Modes Analyses (PFMA) for agreed-upon select facilities.
- c. Risk Analyses for agreed-upon select facilities.
- d. A typical Hydrologic and Hydraulic, Stability, or Geotechnical study recently conducted for agreed-upon select facilities.
- e. List of all dam safety related studies in process and a list of all current unresolved Dam Safety issues with FERC.
- f. Processes and procedures for capital budget delivery - Documentation showing how dam-related projects (large and small), are funded, prioritized, scheduled, and advanced from identification through implementation.
- g. List of dam safety-related capital projects for past three years and budget vs. actual spending.
- h. Summary of major dam rehabilitation projects completed over the last five years and planned or anticipated major dam rehabilitation projects and a description or explanation of how these priorities are established and carried out with dam safety oversight (i.e. risk estimates, risk assessment, benefit-cost analysis, etc.).

### 4. Human Resources

- a. Resumes of key dam safety managers, supervisors, and technical staff within the ODSP.
- b. Description of duties/responsibilities of all managers, supervisors, and technical staff that have a role in assuring dam safety.
- c. Job description for the Chief Dam Safety Engineer (CDSE) and for each level of staff involved in dam safety.**
- d. Training plans and training records for staff involved in dam safety.
- e. Summary of licensing and/or educational requirements for various position types within UWPA's organizational structure.
- f. List of employees actively participating in professional organizations and a list of those organizations.
- g. Policy statement for professional development, continuing education, and activities as it applies to dam safety.
- h. UWPA 's Workforce Plan.
- i. UWPA 's Succession Plan or procedure to assure continuation of qualified critical staff and successful transition as critical positions become vacant.

## 5. Management Reviews/Audits

- a. Documentation of self-assessment that assures continuous improvement of the ODSP as a result of lessons learned from implementation of the ODSP; changes in the state-of-practice in dam safety; knowledge gained from training and the study of case histories of incidents and failures; and findings from previous audits of the dam safety program.
- b. Policy for the routine assessment of UWPA's compliance with the ODSP and a description of the procedures for reporting the assessments to senior management.
- c. Reports from previous internal and external program reviews or audits performed for the dam safety program, and any summary actions recommended or taken as a result.

## 6. Records & Miscellaneous

- a. Correspondence between FERC and UWPA regarding any current dam safety issues including requests for deadline extensions sent to FERC by UWPA.
- b. Inventory of all dams within the UWPA's organization, including size/hazard classification and a summary of the attributes (fields within the database) of the dam inventory.
- c. Description of record keeping and/or databases utilized for document and data storage, for tracking procedures to monitor ODSP accomplishments, O&M work performed, compliance or non-compliance, and personnel training. Samples of such records for agreed-upon select facilities and/or staff should be included.
- d. O&M records for agreed-upon select facilities to determine if proper procedures are being followed.
- e. List of acronyms and/or terms utilized by UWPA in its ODSP, policy, procedures, and guidance documents so that the Team may have a clear and common understanding of the same.
- f. List of references to pertinent documents, policies, procedures, technical standards, etc., that support this ODSP.
- g. Other items deemed appropriate by UWPA to assist the Team in this audit and/or that should be included as appendices to this audit.

# Appendix E

*Documents Received for Review*

## Project Records Received for Review

### 1. Leadership & Guidance

- FY 2025-2026 Budget
- CIP projects (narrative and photos)

### 2. Operation & Maintenance

- DSSMPs
- DSSMRs (2022-2024)
- 2013 Part 12D Inspection Reports
- 2018 Part 12D Inspection Reports
- 2022 Part 12D Inspection Reports
- Conveyance annual SOP
- Irrigation meter SOP
- Dam safety inspection SOP
- 2025 EAP

### 3. Engineering/Technical

- 2024 PMF Report
- STIDs (Hunters, Murphys Afterbay, Murphys Forebay)

### 4. Human Resources

- Example training signoff
- Resume of CDSE
- ASDSO training certificates
- FEMA training certificates
- Hazmat training certificates
- Job descriptions

### 5. Management Reviews & Audits

- 2021 ODSP audit report
- FERC correspondence related to ODSP (2023-2024)

## 6. Records & Miscellaneous

- Security plan
- System map
- 2022 radial gate inspection report
- 2023 Murphy's Afterbay spillway inspection report
- Angels penstock inspection checklist
- Murphys forebay piezometer datasheet template (2025)
- Murphys penstock inspection checklist
- 2023 Hunters Dam spillway certificate
- 2023 Murphys afterbay spillway certificate
- UWPA dam safety inspection checklist

# Appendix F

*Confidential Questionnaire*



## Dam Safety Program Staff Confidential Questionnaire

*Utica Water and Power Authority 2025 ODSP External Audit*

To aid in the effectiveness of the 2025 Owner’s Dam Safety Program (ODSP) External Audit by the GFT Audit Team, each staff member that has been identified to be interviewed is asked to complete this questionnaire. Please email your completed questionnaire to Stacy Vorster, GFT Audit Team Lead, at [svorster@gftinc.com](mailto:svorster@gftinc.com). Also, please enter “UWPA Staff Comments” in the subject line of your email. No message in the body of the email is necessary. Your completed questionnaire will be posted to a secure SharePoint file accessible only by the Audit Team. All questionnaires should be completed and forwarded no later than September 19, 2025.

Depending on your position in the organization, you may or may not have a specific opinion or knowledge to answer each of the questions. As such, we ask that you provide comments only for those questions that relate to your experience or knowledge. Your answers may lead to further discussion about these items in our virtual or on-site interviews.

This questionnaire and any subsequent dialogue with the audit team will be held in the strictest of confidence; no specific references to individuals in verbal or written communications will be made in our audit findings. Please be candid and forthcoming in your answers! **Your observations and comments on this questionnaire and in your interview will be very helpful in the success of this audit and in the long-term improvement of the UWPA Dam Safety Program.**

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**Name and Title**

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**Position**

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**Date**







# Appendix G

*Master Questionnaire List*

## Master Interview Question List

*Utica Water & Power Authority 2025 ODSP External Audit*

### **(Adapted from FERC Owner's Dam Safety Program Owner's Self-Assessment Evaluation)**

Questions of staff will primarily come from the following Master Questionnaire List. Additional questions should be developed, if considered appropriate, for each person(s) being interviewed relative to their responsibilities within the Dam Safety Program. Not all questions will be asked of all staff. Questions are grouped by Program Area.

#### **01 Management Policies and Expectations**

- 01-1 Does the Organization have an overarching dam safety policy stating the organization's commitment to public safety through the implementation of an effective dam safety program?
- 01-2 Do you believe all levels in the organization recognize that, as the dam owner, they are ultimately responsible for dam safety? If not at all levels, where could this message be better understood?
- 01-3 Does policy or practice show that dam safety is a top priority and that it will be supported at all levels within the organization and show that the Organization is providing a supportive culture to the dam safety program?
- 01-4 Do you believe the organization operates and maintains its projects with good stewardship and responsible behavior?
- 01-5 Do you believe the organization allows production or other Organization objectives to compromise dam safety or regulatory compliance?

#### **02 Organization, Duties and, Responsibilities**

- 02-1 Is there a Senior Management person within the organization ultimately responsible for all dam safety administration, operations, and decisions related to dam safety matters? (This individual will be referred to as the Responsible Dam Safety Official, RDSO).
- 02-2 Is there a single individual with the responsibility for the implementation of the technical aspects of the organization's DSP including design or design approval; construction management or construction oversight; operation; surveillance; monitoring; inspection; and maintenance? (This individual will be referred to as the Chief Dam Safety Engineer, CDSE)
- 02-3 What formal documents provide this responsibility and authority for dam safety-related matters?
- 02-4 Does the CDSE report directly to the previously discussed RDSO? If not, who do they report to?

- 02-5 Do you believe the organization gives the RDSO and the CDSE adequate authority and resources to protect dam safety?
- 02-6 Do you believe the Organization recognizes the liability and responsibility of dam ownership?
- 02-7 Are dam safety concerns addressed in a timely manner?
- 02-8 Do you believe the Dam Safety Program (DSP) is located strategically within the organization's hierarchy to provide DSP leadership unhindered access to Organization governance and inclusion in important policy and implementation decision making?
- 02-9 How is Senior Management apprised of dam safety matters?
- 02-10 Do you believe dam safety roles and responsibilities of the various groups and individuals within the organization are clearly understood by all?
- 02-11 In the event that plant operations must be suspended, or a reservoir drawn down due to safety or asset preservation concerns, do operations personnel make that decision in a prompt manner independent of other Organization objectives?

### **03 Authority of Chief Dam Safety Engineer**

- 03-1 Does the CDSE conduct unannounced facility inspections?
- 03-2 Does the CDSE review and approve proposed modification or changes to a dam structure, operating systems, control systems, critical operations and maintenance procedures or critical surveillance and monitoring procedures prior to implementation?
- 03-3 Do you believe the CDSE has authority to order any employee, consultant, or agent to take any action which in their judgment is necessary to ensure dam safety including action to stop operation of project facilities or initiate reservoir draw down?
- 03-4 Do you believe the CDSE ensures that the Surveillance and Monitoring Program is implemented according to the filed Owner Dam Safety Program (ODSP) and Dam Safety Surveillance and Monitoring Plan (DSSMP)?
- 03-5 In the event that plant operations must be suspended, or a reservoir drawn down due to safety or asset preservation concerns, who is authorized to take action?

### **04 Program Quality Elements**

- 04-1 Are capital and operating budgets sufficient to provide for the safe operation, maintenance, surveillance and monitoring, and repair of dams, as needed, and for major capital improvements that may become necessary?
- 04-2 Do you believe the CDSE provides independent, knowledgeable, review and approval of proposed modifications to project dams?
- 04-3 Does the Organization have standard practices and procedures that provide consistent instruction and guidance for how to perform each dam safety program activity meeting the current accepted practices of dam safety engineering, operation and maintenance, and surveillance and monitoring?
- 04-4 Are there written procedures for performing dam inspections and conducting surveillance and monitoring?

- 04-5 Are there written qualification standards for personnel performing dam inspections or reading monitoring instrumentation?
- 04-6 Does the organization have a Succession Plan for critical Dam Safety staffing positions to eliminate data gaps, inefficiencies, and disruptions to ongoing projects until vacated positions are backfilled? Is there an adequate back-up plan if the CDSE is unable to carry out his/her duties?

### 05 Internal Communications and Reports

- 05-1 Do operations and maintenance staff notify the CDSE prior to implementing maintenance or modifications to a project? Is there a formal policy or procedure that governs this type of activity/review? Similarly, is the CDSE notified upon completion of maintenance or modification projects and, if so, how?
- 05-2 Do surveillance and monitoring staff notify the CDSE prior to implementing maintenance or modifications to surveillance and monitoring equipment or instruments? Is there a formal policy or procedure that governs this type of activity/review? Similarly, is the CDSE notified upon completion of maintenance or modification projects and, if so, how?
- 05-3 Do operations, surveillance and monitoring, and maintenance staff immediately report dam safety issues to their supervisors? If yes, is there a formal procedure or documentation vehicle to do so?
- 05-4 Do supervisors and managers take immediate action to address dam safety issues?
- 05-5 Do supervisors and managers promptly notify the CDSE in the event of a dam safety issue?
- 05-6 Do operating and maintenance staff, including engineering staff working on O&M issues, direct correspondence related to dam safety to the CDSE?
- 05-7 Do surveillance and monitoring staff, including engineering staff working on S&M issues, direct correspondence related to dam safety to the CDSE?
- 05-8 Are all employees and consultants free to document or orally convey dam safety concerns to the CDSE without fear of reprisal?
- 05-9 Do you believe the CDSE promptly reports to senior management any dam safety concerns?
- 05-10 Does the CDSE meet periodically with senior management and Organization governance?
- 05-11 How does the Organization evaluate the performance and effectiveness of the Dam Safety Program?

### 06 External Communications and Reports

- 06-1 Is there a single point of contact for non-emergency communications between the Organization and FERC?
- 06-2 Are all communications with FERC documented? If so, how?
- 06-3 How is the Organization's compliance or non-compliance with dam safety requirements documented, and how is non-compliance addressed?
- 06-4 During emergencies, is there a change in the above communications responsibilities?
- 06-5 How does the Organization communicate with downstream public stakeholders concerning their potential exposure to dam hazard emergencies?

06-6 Are delays in maintenance or modification projects due to environmental permitting an issue? If so, what is the communication process both internally and externally relative to the permitting process?

### **07 Dam Safety Surveillance and Monitoring Plan (DSSMP)**

07-1 Does the CDSE direct the creation and implementation of a formal Dam Safety Surveillance and Monitoring Plan (DSSMP) for all FERC licensed facilities?

07-2 Does the CDSE direct the creation and implementation of a formal DSSMP for dams not regulated by FERC?

07-3 Does the DSSMP include detailed descriptions of inspections to be performed by the following personnel including:

- a. Facility O&M personnel?
- b. Facility Management personnel?
- c. Hydro Engineering and Dam Safety personnel?
- d. Outside Consultants performing Part 12 and other inspections, as necessary?

07-4 Does the DSSMP documentation outline the frequency and type of inspections to be performed by the personnel included above?

07-5 Does the SMP documentation outline the instrumentation monitoring and assessments that will be part of the inspections?

### **08 Risk Evaluation and Management**

08-1 Does the Organization have a policy using Risk Informed Decision Making in managing their portfolio of dam(s)?

08-2 If so, have tolerable risk guidelines been developed or adopted?

08-3 Does the Organization have a plan in place for addressing all unacceptable risks in a reasonable and practical timeframe?

08-4 Is risk assessment utilized to prioritize issues identified during inspections and in deciding the priority of capital improvement projects?

### **09 Emergency Preparedness and Response**

09-1 Does the Organization have Emergency Action Plans developed for all of its dams in its portfolio?

09-2 Do all EAPs have the following key components:

- a. Responsibilities?
- b. Notification flowcharts and contact information?
- c. Response process (Detection, Evaluation, Emergency Level Determination; Notification and Communication; Emergency Actions, Termination and Follow-up)?
- d. Preparedness/Response activities?
- e. Inundation maps/Evacuation routes?

- 09-3 Does the CDSE review and approve annual updates to each facility's EAP?
- 09-4 Are copies of the EAP located at each dam site/office?
- 09-5 Does the CDSE assure that each EAP is tested periodically?
- 09-6 Is there any remote monitoring equipment that would alert the Organization of the need to activate the Emergency Action Plan for any of the district's dams? If so, please discuss this equipment and any redundancy provided.

## 10 Training Plan for Dam Safety

- 10-1 Is there a formal, established training program for dam safety? Do you believe it is implemented across the breadth of the Dam Safety Program personnel?
- 10-2 Does the training plan for dam safety include the following elements:
  - a. General and site-specific training focused on dam safety awareness and regulatory compliance?
  - b. Presentation of Corporate policy regarding dam safety and regulatory compliance?
  - c. Recognition of potential dam safety deficiencies, including, but not limited to, design basis events for each facility?
  - d. Inspection and monitoring techniques?
  - e. Qualification standards for personnel conducting inspections, consistent with the nature and complexity of assigned duties?
  - f. Design control process requirements?
  - g. Personnel training records?
  - h. Modules for needed initial training and modules for continuing training as training needs are identified?
  - i. Review of the PFMA (if applicable)?
  - j. Review of the Surveillance and Monitoring Plan?
  - k. Review of Emergency Action Plans?

## 11 Audits and Assessments

- 11-1 Does the Organization conduct periodic internal audits of the DSP to assure that Dam safety activities are executed according to requirements as described in the ODSP and that the ODSP effectively meets FERC requirements, guidance, and industry state of practice?
- 11-2 Does the CDSE prepare an Annual Report for Senior Management and Organization Governance concerning the completion of maintenance or modification projects; completion of required inspections; resolution of surveillance or monitoring anomalies; EAP updates; EAP exercises; adoption of new policies, processes and/or procedures; and/or replacement of dam safety related equipment?

## 12 Records and Information Management

- 12-1 Does the Organization maintain a database for its inventory of dams?
- 12-2 If so, does this database include the input parameters of the National Inventory of Dams?
- 12-3 Has the Organization established an information management system that includes practices and procedures to ensure the organization, retention, and safekeeping of critical dam safety documents, data, and other relevant documents supporting the dam safety program?
- 12-4 Are all paper documents, including photographs and drawings, electronically scanned and are electronic files and records backed-up on a regular basis?
- 12-5 Are dam safety records kept in secure, climate-controlled conditions, and protected from fire and water hazards?
- 12-6 Does the owner gather and maintain the most critical records related to the design, construction, modification, operation, and maintenance of each dam as well as its compliance history, regulatory reporting, and incident tracking in a single location or in a single living document? (e.g. enhanced O&M Manuals, Supporting Technical Information Documents).

# Appendix H

*Security Questionnaire*

## Security Interview Question List

*Utica Water & Power Authority 2025 ODSP External Audit*

### 13 Security for Dam Safety

- 13-1 Do you have familiarity with the National Infrastructure Protection Plan for Critical Infrastructure Security and Resilience and more specifically the Dams-Sector Specific Plan?
- 13-2 Is UWPA a member of the Homeland Security Information Network for Critical Infrastructure (HSIN-CI) Dams Portal?
  - a. If so, does UWPA actively participate in reporting suspicious activities with the Suspicious Activity Reporting (SAR) Tool? If not, do you otherwise track the history and trends of these SAR's?
  - b. Does UWPA actively share sensitive information in the members-only area, avail yourself of Dams Sector research, and stay up to date on emerging threats and incident information through Alerts, Bulletins and the CISAR's Tool?
- 13-3 Have you or other UWPA staff completed the following US DHS Training courses?
  - a. IS-870a Dams Sector Crisis Management
  - b. IS-871a Dams Sector Security Awareness
  - c. IS-872a Dams Sector Protective Measures
  - d. Dams Sector Tabletop Exercise Toolbox (DSTET)
- 13-4 Does the UWPA Security Program include the following:
  - a. Personnel screening for employees with Dam Safety Program responsibility roles?
  - b. Personnel screening for contractors with Dam Safety Program responsibilities?
  - c. If so, what are the personnel screening protocols?
  - d. Is information gathered through Personnel Screening verified?
- 13-5 Has a risk assessment been developed for any of the dam sites? If not, are there plans to do so and what is the expected date of completion of the risk assessment?
- 13-6 What are typical measures utilized to maintain landside physical security at the dam sites?
- 13-7 Are waterside barriers utilized at dam sites and if so, is there an established Barrier Maintenance Program to assure their effectiveness?
- 13-8 Are there prescribed responses developed to the observed presence of a UAS (Unmanned Aerial System) over or near a dam site?

- 13-9 Are physical security checklists given to on-site personnel for periodic inspection? How often are physical security measures inspected?
- 13-10 Does UWPA conduct Security related exercises (drills, tabletop/functional) at its dam sites?
- 13-11 Does UWPA have a Cybersecurity Program? If so, talk briefly of the incident response capability, Continuity of Operations Plan, and Disaster Recovery Plan.
- 13-12 Are Cyber Checklists and Cyber Asset Spreadsheet utilized by staff?

# Appendix K

*FERC ODSP Self-Assessment Evaluation Parameters*

**Federal Energy Regulatory Commission**  
**OWNERS DAM SAFETY PROGRAM**  
**OWNERS SELF ASSESSMENT EVALUATION PARAMETERS**  
**6/29/2007**

Assuring the safety of licensed dams is a cooperative effort between owners, consultants and the FERC with the most important role being that of the owners. The owners are the ones who see the dam regularly and through surveillance and monitoring are monitoring and evaluating the health of the structure. Although a good owner's dam safety program may not prevent every conceivable failure mode, a poor program can likely lead to problems.

The scope of a particular owner's dam safety program should be commensurate with the size, type and complexity of the owner's dam(s). There is no "one size fits all" dam safety program. The two fundamental categories of principles and practices listed below provide some general guidance on what should be considered when evaluating an owner's dam safety program.

- 1 **Technical Requirements** which includes;
  - A. Technical Competence of Responsible Personnel,
  - B. Ongoing Visual Surveillance, Performance Monitoring and Periodic Inspection,
  - C. Emergency Preparedness,
  - D. Ongoing Maintenance,
  - E. Remediation of Dam Safety Deficiencies or Vulnerabilities
  
- 2 **Organizational Practices** which includes;
  - A. Recognition of Responsibility for Dam Safety
  - B. Communication
  - C. Allocation of Resources to Dam Safety
  - D. Learning Organization
  - E. Clear Designation of Responsibility

In response to the failure of the Taum Sauk dam, the owner developed and implemented a dam safety program that is considered appropriate, at this time, for owners that have similar structures. The Taum Sauk dam safety program can be found at:

(<http://www.ferc.gov/press-room/press-releases/2006/2006-4/10-02-06-agreement.pdf>)

To help you assess your dam safety program we have also developed a set of dam safety evaluation parameters that comprises questions regarding the essential elements of a good dam safety program. Again, it should be emphasized that the wide variation in types of dams makes a single owner's dam safety program for all dams not feasible. Judgment must be exercised when using this tool. The presence or lack of any particular item does not necessarily indicate whether a particular owner's dam safety program is appropriate.

**OWNERS DAM SAFETY PROGRAM**  
**OWNERS SELF ASSESSMENT EVALUATION PARAMETERS**  
**6/29/2007**

Owner: \_\_\_\_\_

Date: \_\_\_\_\_

Program Area	Comments
<b>1) Management Policies and Expectations</b>	
Do all levels in the organization recognize that, as the dam owner, they are ultimately responsible for dam safety?	
Does the organization operate and maintain their projects with good stewardship and responsible behavior?	
Does the organization allow production or other business objectives to compromise dam safety or regulatory compliance?	
<b>2) Organization, Duties and, Responsibilities</b>	
Is there a single individual with clear responsibility for the safety of the organization's dams? (This individual will be referred to as the Chief Dam Safety Engineer)	
Does the organization give the chief dam safety engineer adequate authority and resources to protect dam safety?	
Are dam safety concerns addressed in a timely manner?	
Does the chief dam safety engineer report to a senior level manager? If not, who do they report to?	
How is Senior Management apprised of dam safety matters?	
Does the chief dam safety engineer review and approve annual updates to each facility's EAP and assure that each EAP is tested annually?	
Does the chief dam safety engineer ensure that the Surveillance and Monitoring Program is implemented according to the filed Program?	
Do operating and maintenance staff, including engineering staff working on O&M issues, direct correspondence related to dam safety to the chief dam safety engineer?	
In the event that plant operations must be suspended or a reservoir drawn down due to safety or asset preservation concerns, who is authorized to take action?	
In the event that plant operations must be suspended or a reservoir drawn down due to safety or asset preservation concerns, do operations personnel make that decision in a prompt manner independent of any business objectives?	
<b>3) Program Quality Elements</b>	
Does the chief dam safety engineer provide independent, knowledgeable, review and approval of proposed modifications to project dams?	
Are there written procedures for performing dam inspections?	

**OWNERS DAM SAFETY PROGRAM**  
**OWNERS SELF ASSESSMENT EVALUATION PARAMETERS**  
**6/29/2007**

Program Area	Comments
Are there written qualification standards for personnel performing dam inspection or reading monitoring instrumentation?	
Is there a formal established training program for dam safety? Is it implemented?	
Is risk assessment utilized to prioritize issues identified during inspections?	

**4) Internal Communications and Reports**

Do operations and engineering staff notify the chief dam safety engineer prior to implementing modifications to a project?	
Do operations and maintenance staff immediately report dam safety issues to their supervisors?	
Do supervisors and managers take immediate action to address dam safety issues?	
Do supervisors and managers promptly notify the chief dam safety engineer in the event of a dam safety issue?	
Are all employees and consultants free to document or orally convey dam safety concerns to the chief dam safety engineer without fear of reprisal?	
Does the chief dam safety engineer promptly report to senior management any dam safety concerns?	
Does the chief dam safety engineer meet periodically with senior management?	

**5) External Communication and Reports**

Is there a single point of contact for non-emergency communications between the owner and FERC?	
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**6) Authority of Chief Dam Safety Engineer**

Does the chief dam safety engineer conduct unannounced facility inspections?	
Does the chief dam safety engineer review and approve proposed modification or changes to a dam structure, operating systems, control systems, or critical operations or maintenance procedures prior to implementation?	
Does the chief dam safety engineer have authority to order any employee, consultant or agent to take any action which in their judgment is necessary to ensure dam safety including action to stop operation of project facilities or initiate reservoir draw down?	

**7) Training Plan for Dam Safety**

Is there a formal, established training program for dam safety? Is it implemented?	
Does the training plan for dam safety include the following elements?	
General and site-specific training focused on dam safety	

**OWNERS DAM SAFETY PROGRAM**  
**OWNERS SELF ASSESSMENT EVALUATION PARAMETERS**  
**6/29/2007**

<b>Program Area</b>	<b>Comments</b>
awareness and regulatory compliance	
Presentation of Corporate policy regarding dam safety and regulatory compliance	
Recognition of potential dam safety deficiencies, including, but not limited to, design basis events for each facility	
Inspection and monitoring techniques	
Qualification standards for personnel conducting inspections, consistent with the nature and complexity of assigned duties	
Design control process requirements	
Personnel training records	
Modules for needed initial training and modules for continuing training as training needs are identified	
Review of the PFMA (if applicable)	
Review of the Surveillance and Monitoring Plan	
Review of Emergency Action Plans	

<b>8) Dam Safety Surveillance and Monitoring Program (SMP)</b>	
Does the Chief Dam Safety Engineer direct the creation and implementation of a formal Dam Safety Surveillance and Monitoring Plan for all FERC licensed facilities?	
Does the SMP include detailed descriptions of inspections to be performed by the following personnel including: Facility O&M personnel; Facility Management personnel; Hydro Engineering and Dam Safety personnel; and Outside Consultants performing Part 12 and other inspections as necessary.	
Does the SMP documentation outline the frequency and type of inspections to be performed by the personnel included above?	
Does the SMP documentation outline the instrumentation monitoring and assessments that will be part of the inspections?	

**Other Comments:** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



## Item 7A

[Return to Agenda](#)

# UTICA WATER AND POWER AUTHORITY

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**Date:** February 24, 2026

**To:** Erik Holt, General Manager

**From:** Brandi Sparks, Accounting Technician

**Re:** Authorization to Implement Owner's Dam Safety Program Audit Recommendations and Develop Corrective Action Plan

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## **Recommended Action:**

Staff recommends authorizing the General Manager to implement the recommendations identified in the Owner's Dam Safety Program (ODSP) audit and to develop and execute a formal Corrective Action Plan addressing all findings. The Corrective Action Plan shall include defined action steps, responsible staff assignments, implementation timelines, and progress reporting to the Board until all corrective measures are completed.

## **Summary:**

The recent five-year External Audit conducted by GFT of the Utica Water and Power Authority's (UWPA) Dam Safety Plan (ODSP) has been completed, and staff has reviewed the findings and recommendations provided. The audit identified several areas where procedural, documentation, and/or operational improvements are recommended to strengthen compliance, internal controls, and overall program effectiveness. While no material deficiencies were identified that compromise the Authority's core operations, the audit presents an opportunity to proactively address noted items and further strengthen our systems and processes. The specific audit recommendations are outlined below:

- Rec- 1 Enhance public communication of UWPA's Dam Safety Policy to staff.
- Rec- 2 Annual Distribution of UWPA's Dam Safety Policy to Staff.
- Rec- 3 Formal Board adoption and reaffirmation of the Dam Safety Policy.
- Rec- 4 Clarify the chief dam safety engineers reporting line.
- Rec- 5 Include the IT/cybersecurity role in the ODSP document.
- Rec- 6 Document the CDSE's emergency decision-making authority.
- Rec- 7 Develop a long-term professional development pathway.
- Rec- 8 Establish structured, comprehensive dam safety training program.
- Rec- 9 Provide periodic dam safety awareness training for all UWPA staff.
- Rec- 10 Establish formal internal ODSP self-assessment process.
- Rec -11 Develop a comprehensive Annual Dam Safety Report

- Document existing record retention and data management practices in the ODPS.

**Financial Impact:**

At this time, implementation is expected to be managed within existing budget.

**Attachments:**

1. *Attachment 1 – GFT Owner’s Dam Safety Plan Audit recommendations*

While UWPA's ODSP is effective and compliant, the audit identified several areas for enhancement to strengthen the program's long-term sustainability and alignment with FERC's most current expectations. Themes for improvement and opportunities for continued development include:

- **Formalization of processes:** Several program elements, such as internal self-assessments, communication tracking, and dam safety training, would benefit from written procedures or structured frameworks to ensure consistency and continuity.
- **Documentation alignment:** The ODSP should be updated to capture current practices (e.g., record retention policies, digitization initiatives, and expanded roles such as IT support).
- **Organizational clarity:** Certain reporting lines and responsibilities, particularly those of the CDSE and Regulatory Compliance Specialist, should be clarified to remove ambiguity and better reflect practice.
- **Workforce sustainability:** High turnover in key leadership positions and reliance on contracted expertise highlight the need for long-term succession planning, competitive compensation, and defined professional development pathways.
- **Training specificity:** The existing training framework should evolve into a position-specific program with defined competencies, frequencies, and recordkeeping, accompanied by periodic awareness training for all staff and the Board.
- **Program evaluation and communication:** Implementing a structured annual ODSP self-assessment and comprehensive annual dam safety report would enhance transparency, accountability, and continuous improvement.
- **Procedural modernization:** Continued integration of electronic data management, centralized communication logs, and risk-informed decision-making tools would strengthen documentation and prioritization under constrained resources.

In summary, the Audit Team concludes that UWPA's ODSP is effective, compliant, and reflective of a strong safety culture. The program is appropriately scaled to UWPA's size and resources and demonstrates a clear understanding of FERC's intent for owner accountability, communication, and governance. Implementation of the recommendations and suggestions contained in this report will further align UWPA's ODSP with current best practices, enhance documentation and continuity, and support UWPA's long-term ability to maintain safe, well-managed dams and protect the communities it serves.

The Audit Team's formal recommendations (Section 5.2) and additional suggestions for improvement (Section 5.3) are summarized below. These items are intended to assist UWPA in refining and strengthening its ODSP through targeted, practical enhancements that support continuous improvement and long-term program sustainability.

## 5.2 Recommendations

The Audit Team recommendations are compiled in this subsection. Refer to Section 3.0 Audit of Program & Procedures of this Report for additional context.

- 2025 ODSP REC-1 Enhance public communication of UWPA's commitment to dam safety.** UWPA should strengthen public transparency and trust by incorporating an explicit statement of its commitment to public safety and dam safety excellence into its mission statement and prominently featuring this message on its website and public communications materials.

- 2025 ODSP REC-2 Annual distribution of UWPA’s Dam Safety Policy to staff.** The GM should ensure the annual letter reaffirming UWPA’s dam safety philosophy (as outlined in Appendix C of the ODSP) is issued each year to all employees. Documentation of this transmittal (e.g., email distribution, sign-off sheet, or meeting record) should be maintained to verify compliance with the ODSP.
- 2025 ODSP REC-3 Formal Board adoption and reaffirmation of the Dam Safety Policy.** UWPA should formalize its Dam Safety Policy through Board adoption and annual reaffirmation. The Board should also reaffirm the policy with a new (or readopted) resolution whenever there is a change in Board membership to ensure that all elected officials remain fully aware of UWPA’s responsibilities and commitments related to dam safety.
- 2025 ODSP REC-4 Clarify the chief dam safety engineer’s reporting line.** Revise the organizational chart and ODSP narrative to reflect that the Chief Dam Safety Engineer reports directly to the GM. This change will align the ODSP with FERC’s expectation for independence of the dam safety function and ensure unimpeded communication between the CDSE, GM, and Board.
- 2025 ODSP REC-5 Include the IT/cybersecurity role in the ODSP document.** Update the organizational chart and ODSP text to include the IT Specialist and describe responsibilities related to cybersecurity, SCADA system integrity, and protection of dam safety data systems. Cybersecurity is a critical component of dam safety and should be explicitly represented within UWPA’s organizational framework.
- 2025 ODSP REC-6 Document the CDSE’s emergency decision-making authority.** Clarify in the ODSP that the CDSE has the authority to recommend or initiate emergency dam safety actions, such as temporary facility shutdowns or notifications, if a condition poses imminent risk to public safety and management personnel are unavailable.
- 2025 ODSP REC-7 Develop a long-term professional development pathway.** Establish a structured career progression plan for technical staff, particularly the Regulatory Compliance Specialist, to pursue licensure and additional dam safety training, with a clear path to potentially transition into the CDSE role over time.
- 2025 ODSP REC-8 Establish a structured, comprehensive dam safety training program.** It is recommended that UWPA formalize and implement a structured training program. The program should:
- a) Develop a dam safety training matrix identifying required training topics, competencies, and frequency for each role involved in dam safety.
  - b) Incorporate specific training opportunities and professional organizations (e.g., CEATI, FERC, ASDSO, FEMA, USSD, USBR, USACE, etc.) into the ODSP to guide staff toward appropriate educational resources.
  - c) Develop a central repository for training records, which should be maintained for each employee, reviewed annually by the CDSE, and reported upon in the Annual Dam Safety Report (see 2025 ODSP REC-11). Certain training may be beneficial to be repeated on some periodic basis as deemed appropriate by the CDSE.

- 2025 ODSP REC-9** **Provide periodic dam safety awareness training for all UWPA staff.** A general dam safety awareness training should be developed for all UWPA staff, regardless of their direct dam safety duties, and the Board. This training should introduce the principles of dam safety, UWPA's responsibility as a dam owner, and how individual roles support public safety and regulatory compliance. Refresher awareness training should be conducted on a periodic basis as determined appropriate by the CDSE, or as staffing changes occur.
- 2025 ODSP REC-10** **Establish a formal internal ODSP self-assessment process.** UWPA should develop and implement a documented annual self-assessment process that evaluates the effectiveness and implementation of the ODSP. The framework should:
- a) Clearly define roles and responsibilities for conducting the assessment;
  - b) Identify assessment criteria, scope, and evaluation methods aligned with the FERC's *Owner's Self-Assessment Evaluation Parameters*;
  - c) Describe procedures for documenting findings, tracking corrective actions, and verifying closure; and
  - d) Specify how results will be communicated to management and incorporated into program improvements.
- 2025 ODSP REC-11** **Develop a comprehensive Annual Dam Safety Report.** A comprehensive annual dam safety report should be developed and utilized as the framework for the CDSE annual dam safety presentation to the Board for the purpose of reporting on events and accomplishments of the preceding year. The report should serve multiple purposes:
- a) Providing the Board with a single, organized overview of dam safety activities, issues, and progress for the Utica and Angels Projects;
  - b) Supporting executive decision-making and strategic planning by identifying trends, resource needs, and areas for improvement; and
  - c) Serving as a reference document for UWPA staff seeking an up-to-date summary of program activities.
- 2025 ODSP REC-12** **Document existing record retention and data management practices in the ODSP,** including details on retention timeframes, digital storage protocols, and system backup procedures.

### 5.3 Suggestions for Improvement to Consider

Other opportunities identified by the Audit Team for UWPA to consider that are not elevated to formal recommendations are listed below in order of appearance throughout Section 3.0 of this Report.

- Suggestion A** It is suggested that the Board's annual reaffirmation of the dam safety policy (2025 ODSP REC-3) take place concurrently with the CDSE annual presentation to the Board (Section 3.1).



## Item 7B

[Return to Agenda](#)

# UTICA WATER AND POWER AUTHORITY

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**Date:** February 24, 2026

**To:** Erik Holt, General Manager

**From:** Brandi Sparks, Accounting Technician

**Re:** Form Resources Ad-Hoc Committee to Review Water Contractor Fees

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## **Recommended Action:**

Staff recommends that the Board Chair form a Resources Ad-Hoc Committee to review and evaluate the current water contractor fees.

## **Summary:**

As part of its ongoing efforts to support operational costs, it is prudent to periodically assess the rates charged to water contractors. A dedicated committee will provide a focused approach to this review and ensure that all relevant factors are considered. The committee will be tasked with assessing the fees charged to water contractors to ensure that they are covering operational costs and aligned with the best interests of the Utica Water and Power Authority (UWPA).

Key areas of review may include:

- An analysis of current contractor fee structures.
- A comparison of these fee to industry standards.
- An evaluation of the impact of these fees on the Authority's budget.
- Recommendations to the full Board for potential adjustments to contractor fees.

## **Next Steps:**

Staff will assist the committee by providing relevant data and analysis on current contractor rates. A meeting date will be selected and the committee will meet an report back to the Budget Committee and Board with its recommendations.

## **Financial Impacts:**

Reviewing and potentially adjusting the rates charged to contractors will ensure that they are competitive with market standards and could lead to an increase in water contractor revenue.

## **Attachments:**

1. *Water Contractor Addendum for the 2025-2026 Irrigation Season*

# UWPA Addendum to Irrigation Sales Contract - Upper System

This Addendum to Irrigation Sales Contract is an addendum to the Annual Curtailable Contract for Irrigation Water Sales (“Agreement”) between the Utica Water and Power Authority (“UWPA”) and Contractor Name (“Water Contractor”), hereafter referred to as the “Parties”.

1. **Term.** The Parties desire to extend the Agreement term for one year commencing on May 1, 2025, and terminating on April 30, 2026 (“2025 - 2026 Water Year”), and the Parties agree that the Water Contractor’s total water use during this term shall not exceed 5 acre-feet (the “Allocation”).
2. **Fees and Charges.** The UWPA Board of Directors approved the following fees and charges for the term of this Addendum at its April 22, 2025, regular board meeting as follows:
  - 2.1 Water Use Fee for Irrigation Season (May 1 to October 31):
    - Above Murphys Powerhouse: \$71.24 per acre-foot
  - 2.2 Water Use Fee for Irrigation Off-Season (November 1 to April 30):
    - Above Murphys Powerhouse: \$92.61 per acre-foot
  - 2.3 Administrative Fee:
    - \$374 annually per connection
  - 2.4 Meter Replacement and Repair Fee
    - \$100 annually per connection
  - 2.5 Operation and Maintenance Fee:
    - \$216 annually per connection
  - 2.6 Meter Tampering Fee:
    - a. First Offense - cost of repair/staff time and a \$100 tampering fee
    - b. Second Offense - cost of repair/staff time and a \$250 tampering fee
    - c. Third Offense - cost of repair/staff time and a \$500 tampering fee
    - d. Additional Offense(s) - discontinue water service to Contractor.
  - 2.7 Exceeding Water Allocation:

- The Water Use Fee for the Irrigation Season identified under Section 2.1 shall be doubled for all quantities of water use during the term of this Addendum greater than the Water Contractor's Allocation.
- UWPA will make reasonable effort to provide written notice to Water Contractor that Water Contractor is approaching the Allocation.
- The Water Use Fee for Irrigation Off-Season identified under Section 2.2 shall be doubled for all quantities of water use during the term of this Addendum greater than the Water Contractor's Allocation each year.
- If quantities of water used during the term of this Addendum are greater than 120% of the Allocation, Water Contractor will be subject to the usage restrictions specified in Section 5 of this Addendum including the cessation of water service.

### 2.8 Late Payment Fee

- a. In the event the Water Contractor fails to make payment within 30 days of an invoice due date, a late fee of 5% of the total invoice amount will be applied each month, on the first day of the month, until the past-due balance is paid in full. Water Contractors may request a payment plan in writing to UWPA's Administration Department.
- b. If the payment plan is approved by UWPA's Administration Department in writing, and payments are not made pursuant to the terms of the payment plan, a late fee of 5% will be applied to the remaining delinquent balance each month, on the first day of the month, until Water Contractor's past-due balance is paid in full.

### 3. Minimum Usage and Fees. The minimum fee for on-season water is:

- Above Murphys Powerhouse: \$356.20 (\$71.24 per acre-foot)

### 4. Off-Season Usage. Due to UWPA's off-season operational constraints, Water Contractor must request off-season usage in writing with at least two (2) business days' advanced notice. UWPA must then provide written approval before any off-season water is diverted and used by Water Contractor. Water Contractor must not turn on UWPA's meter – only UWPA staff are authorized to turn on the meter and make meter adjustments. The off-season rate will be increased by 100 percent (doubled) if the Water Contractor diverts water during the off-season without UWPA's written authorization as a penalty for Water Contractor's noncompliance. UWPA reserves the right to deny requests for off-season usage at its sole and complete discretion. Unless written approval for off-season use obtained, UWPA staff will turn off the meter from November 1 through April 30 and no water may be taken. Off-season usage will be billed in 1 acre-foot increments and fees will be determined on May 1. UWPA will send invoices within 14 business days of fees being determined.

5. **Usage Restrictions.** UWPA's monitoring and overhead costs increase as a Water Contractor reaches or exceeds the Allocation. This Addendum provides for doubling the applicable fee for any water usage above the Allocation and capping the maximum usage at 120% of the Allocation. If Water Contractor exceeds the Allocation by more than 20%, UWPA will turn off and stop water service.
6. **Transferability.** This Addendum does not run with the property or properties served, and can only be transferred to a new property owner by the authority of the UWPA Board of Directors in their sole and absolute discretion.
7. **Tampering with Meters and UWPA's Facilities.** Water Contractor (and its agents and employees) shall not service, tamper or interfere with UWPA's water meter or facilities, without limitation. In the event the meter is damaged due to Water Contractor's activities, the Water Contractor will be solely responsible for the cost of repairs and/or meter replacement and be subject to the Meter Tampering Fee outlined in Section 2.6 of this Addendum. Water Contractor agrees to pay all costs in the event a meter needs, in UWPA's sole discretion, to be replaced. Refusal to pay for replacement or repair of a meter within 30 days of invoice will result in discontinuation of water service to Water Contractor.
8. **Backflow Requirement.** If Water Contractor's property is within the service area of a public utility (such as Union Public Utility District and the City of Angels) and has a potable water connection from that utility on the same parcel where UWPA's agricultural service is provided, Water Contractor must follow the public utility's rules and regulations regarding cross-connection contamination prevention. Water Contractor agrees to install a backflow preventer on the treated water service connection from the utility if necessary to comply with such utility's rules and regulations. It is Water Contractor's responsibility to contact their public utility to ensure these rules and regulations are followed and provide UWPA with written documentation of adherence.
9. **Water Use.** Water provided by UWPA to Water Contractor is for irrigation purposes only. Water Contractor shall ensure that water provided by UWPA is not used for potable use.
10. **Reservation of Right to Curtail Water Deliveries.** The UWPA Board of Directors through its General Manager reserves the right at any time to curtail, reduce or cease water deliveries to Water Contractors as a result of system maintenance, repair, or failure; by order of a higher authority for water conservation or other purposes; for non-payment by a Water Contractor; for meter tampering; in the event a Water Contractor exceeds its allocation by one hundred and twenty percent (120%) or for such other reason(s), as solely determined by the General Manager or Board of Directors, that may impact the overall reliability of UWPA's water supply including to other contractors

on the system and/or the ability of the UWPA to physically or financially operate the water supply system<sup>11</sup>. Water Contractor expressly warrants and represents that its decision to request water from UWPA and entering into this Addendum is voluntary and of the Water Contractor's own volition and as such, no charge or fee for the cost of water hereunder is being imposed upon Water Contractor under any legal authority on the part of UWPA [for purposes of California Constitution Articles XIII C and XIII D (Proposition 218)].

By my signature, I hereby acknowledge that I have completely read, fully understand, and agree to the terms in this Agreement.

\_\_\_\_\_  
Water Contractor

\_\_\_\_\_  
Date

\_\_\_\_\_  
Water Contractor

\_\_\_\_\_  
Date

Utica Water and Power Authority Authorization:

\_\_\_\_\_  
Joel Metzger, General Manager

\_\_\_\_\_  
Date

**\*Initial billing for contractors with allocations exceeding 20 AF will consist of half of last year's "on-season" AF usage.**

# UWPA Addendum to Irrigation Sales Contract – Lower System

This Addendum to Irrigation Sales Contract is an addendum to the Annual Curtailable Contract for Irrigation Water Sales (“Agreement”) between the Utica Water and Power Authority (“UWPA”) and Contractor Name (“Water Contractor”), hereafter referred to as the “Parties”.

1. **Term.** The Parties desire to extend the Agreement term for one year commencing on May 1, 2025, and terminating on April 30, 2026 (“2025 - 2026 Water Year”), and the Parties agree that the Water Contractor's total water use during this term shall not exceed 5 acre-feet (the “Allocation”).
2. **Fees and Charges.** The UWPA Board of Directors approved the following fees and charges for the term of this Addendum at its April 22, 2025, regular board meeting as follows:
  - 2.1 Water Use Fee for Irrigation Season (May 1 to October 31):
    - Below Murphys Powerhouse: \$29.62 per acre-foot
  - 2.2 Water Use Fee for Irrigation Off-Season (November 1 to April 30):
    - Below Murphys Powerhouse: \$38.51 per acre-foot
  - 2.3 Administrative Fee:
    - \$374 annually per connection
  - 2.4 Meter Replacement and Repair Fee
    - \$100 annually per connection
  - 2.5 Operation and Maintenance Fee:
    - \$216 annually per connection
  - 2.6 Meter Tampering Fee:
    - a. First Offense - cost of repair/staff time and a \$100 tampering fee
    - b. Second Offense - cost of repair/staff time and a \$250 tampering fee
    - c. Third Offense - cost of repair/staff time and a \$500 tampering fee
    - d. Additional Offense(s) - discontinue water service to Contractor.
  - 2.7 Exceeding Water Allocation:

- The Water Use Fee for the Irrigation Season identified under Section 2.1 shall be doubled for all quantities of water use during the term of this Addendum greater than the Water Contractor's Allocation.
- UWPA will make reasonable effort to provide written notice to Water Contractor that Water Contractor is approaching the Allocation.
- The Water Use Fee for Irrigation Off-Season identified under Section 2.2 shall be doubled for all quantities of water use during the term of this Addendum greater than the Water Contractor's Allocation each year.
- If quantities of water used during the term of this Addendum are greater than 120% of the Allocation, Water Contractor will be subject to the usage restrictions specified in Section 5 of this Addendum including the cessation of water service.

### 2.8 Late Payment Fee

- a. In the event the Water Contractor fails to make payment within 30 days of an invoice due date, a late fee of 5% of the total invoice amount will be applied each month, on the first day of the month, until the past-due balance is paid in full. Water Contractors may request a payment plan in writing to UWPA's Administration Department.
- b. If the payment plan is approved by UWPA's Administration Department in writing, and payments are not made pursuant to the terms of the payment plan, a late fee of 5% will be applied to the remaining delinquent balance each month, on the first day of the month, until Water Contractor's past-due balance is paid in full.

### 3. Minimum Usage and Fees. The minimum fee for on-season water is:

- Below Murphys Powerhouse: \$148.01 (\$29.62 per acre-foot)

### 4. Off-Season Usage. Due to UWPA's off-season operational constraints, Water Contractor must request off-season usage in writing with at least two (2) business days' advanced notice. UWPA must then provide written approval before any off-season water is diverted and used by Water Contractor. Water Contractor must not turn on UWPA's meter – only UWPA staff are authorized to turn on the meter and make meter adjustments. The off-season rate will be increased by 100 percent (doubled) if the Water Contractor diverts water during the off-season without UWPA's written authorization as a penalty for Water Contractor's noncompliance. UWPA reserves the right to deny requests for off-season usage at its sole and complete discretion. Unless written approval for off-season use obtained, UWPA staff will turn off the meter from November 1 through April 30 and no water may be taken. Off-season usage will be billed in 1 acre-foot increments and fees will be determined on May 1. UWPA will send invoices within 14 business days of fees being determined.

5. **Usage Restrictions.** UWPA's monitoring and overhead costs increase as a Water Contractor reaches or exceeds the Allocation. This Addendum provides for doubling the applicable fee for any water usage above the Allocation and capping the maximum usage at 120% of the Allocation. If Water Contractor exceeds the Allocation by more than 20%, UWPA will turn off and stop water service.
6. **Transferability.** This Addendum does not run with the property or properties served, and can only be transferred to a new property owner by the authority of the UWPA Board of Directors in their sole and absolute discretion.
7. **Tampering with Meters and UWPA's Facilities.** Water Contractor (and its agents and employees) shall not service, tamper or interfere with UWPA's water meter or facilities, without limitation. In the event the meter is damaged due to Water Contractor's activities, the Water Contractor will be solely responsible for the cost of repairs and/or meter replacement and be subject to the Meter Tampering Fee outlined in Section 2.6 of this Addendum. Water Contractor agrees to pay all costs in the event a meter needs, in UWPA's sole discretion, to be replaced. Refusal to pay for replacement or repair of a meter within 30 days of invoice will result in discontinuation of water service to Water Contractor.
8. **Backflow Requirement.** If Water Contractor's property is within the service area of a public utility (such as Union Public Utility District and the City of Angels) and has a potable water connection from that utility on the same parcel where UWPA's agricultural service is provided, Water Contractor must follow the public utility's rules and regulations regarding cross-connection contamination prevention. Water Contractor agrees to install a backflow preventer on the treated water service connection from the utility if necessary to comply with such utility's rules and regulations. It is Water Contractor's responsibility to contact their public utility to ensure these rules and regulations are followed and provide UWPA with written documentation of adherence.
9. **Water Use.** Water provided by UWPA to Water Contractor is for irrigation purposes only. Water Contractor shall ensure that water provided by UWPA is not used for potable use.
10. **Reservation of Right to Curtail Water Deliveries.** The UWPA Board of Directors through its General Manager reserves the right at any time to curtail, reduce or cease water deliveries to Water Contractors as a result of system maintenance, repair, or failure; by order of a higher authority for water conservation or other purposes; for non-payment by a Water Contractor; for meter tampering; in the event a Water Contractor exceeds its allocation by one hundred and twenty percent (120%) or for such other reason(s), as solely determined by the General Manager or Board of Directors, that may impact the overall reliability of UWPA's water supply including to other contractors

on the system and/or the ability of the UWPA to physically or financially operate the water supply system. Water Contractor expressly warrants and represents that its decision to request water from UWPA and entering into this Addendum is voluntary and of the Water Contractor's own volition and as such, no charge or fee for the cost of water hereunder is being imposed upon Water Contractor under any legal authority on the part of UWPA [for purposes of California Constitution Articles XIII C and XIII D (Proposition 218)].

By my signature, I hereby acknowledge that I have completely read, fully understand, and agree to the terms in this Agreement.

\_\_\_\_\_  
Water Contractor

\_\_\_\_\_  
Date

\_\_\_\_\_  
Water Contractor

\_\_\_\_\_  
Date

*Utica Water and Power Authority Authorization:*

\_\_\_\_\_  
Joel Metzger, General Manager

\_\_\_\_\_  
Date

**\*Initial billing for contractors with allocations exceeding 20 AF will consist of half of last year's "on-season" AF usage.**



## Item 7C

[Return to Agenda](#)

# UTICA WATER AND POWER AUTHORITY

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**Date:** February 24, 2026

**To:** Erik Holt, General Manager

**From:** Brandi Sparks, Accounting Technician

**Re:** Form Resources Ad-Hoc Committee for Capital Improvement Plan

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## **Recommended Action:**

Staff recommends that the Board Chair form a Capital Improvement Plan (CIP) Ad-Hoc Committee to review, update, and evaluate the Authority's current and future capital and equipment needs.

## **Summary:**

Establishing a dedicated Ad-Hoc Committee will provide focused oversight to review the existing CIP, assess current infrastructure priorities, evaluate funding strategies, and ensure alignment with operational needs and financial policies.

Key areas of review may include:

- Evaluation of the existing CIP projects and priorities.
- Identification of updated or emerging capital and equipment needs.
- Review of project sequencing and timing.
- Assessment of funding sources and financial impacts, including reserve alignment.
- Recommendations to the full Board regarding updates to the Capital Improvement Plan.

## **Next Steps:**

Staff will provide the committee with relevant financial data, infrastructure assessments, project cost estimates, and reserve information. The committee will meet as needed and report back to the Budget Committee and full Board with recommendations regarding updates and implementation of the CIP.

## **Financial Impacts:**

A comprehensive review and update of the Capital Improvement Plan will support responsible financial planning, improve long-term asset management, and help ensure that capital investments are aligned with available funding and adopted reserve policies.



## Item 7D

[Return to Agenda](#)

# UTICA WATER AND POWER AUTHORITY

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**Date:** February 24, 2026  
**To:** Erik Holt, General Manager  
**From:** Brandi Sparks, Accounting Technician  
**Re:** Mid-Year Budget Review FY 2025-2026

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## Summary:

The Utica Board directed staff to recommend budget adjustments throughout the year, as needed, to reduce the number of discrepancies between the adopted budget and actuals at the end of the fiscal year. Typically, these proposed adjustments are presented to the Utica Budget Committee where they are discussed and refined. However, the FY 2025-2026 budget is generally on target in most categories and no adjustments are recommended at this time.

	<b>Budgeted</b>	<b>Mid Year Projection</b>	<b>Difference</b>
<b>Revenues TOTALS:</b>	\$156,582	\$380,599	<b>\$224,017</b>
<b>Expenses TOTALS:</b>	\$1,021,696	\$1,079,789	<b>\$58,093</b>
			<b>\$165,924</b>

## Revenues:

- NCPA Water Sales: Staff projected no water sales to NCPA during the 202-26 Fiscal Year. Due to contract limits with PG&E, staff decided to sell water in July, August, October, November, and December.
- Irrigation Water Contractors: Two irrigation customers did not use on-season water this fiscal year.
- Other income: Pacific Gas and Electric is refunding for costs associated with the cancellation of the Wylderidge Tower project.
- Interest Income: Staff project budgeted interest income to be lower-than-anticipated, due to interest rates.
- Sierra Hope cancelled lease and we have not found new renters for the office space.

GL	Description	Budgeted	Mid Year Projection	Difference
1200-01	NCPA Water Sales	\$0	\$280,750	\$280,750
1200-04	Irrigation Water Contractors	\$54,000	\$46,658	\$7,342
1220-01	Other Income	\$0	\$7,863	\$7,863
1300-01	Interest Income	\$81,270	\$40,000	\$41,270
1310-01	Sierra HOPE Lease	\$21,312	\$5,328	\$15,984
	<b>TOTALS:</b>	<b>\$156,582</b>	<b>\$380,599</b>	<b>\$224,017</b>

### Expenses:

- Wages: General Manager wages will be lower than budgeted this year.
- SDRMA: Costs are decreased due to staffing changes.
- EDIS: Actual expenditures have exceeded the adopted budget.
- Flume Maintenance: Staff anticipate that expenditures will exceed the budgeted amount.
- Temporary Labor: With CalFire increasing their costs and Spring maintenance coming up Staff expects an exceedance of the budgeted amount.
- General Legal Counsel: Costs have exceeded the approved budget.
- FERC Exemption General Services: FERC General Services has exceeded the approved budgeted amount.
- FERC Exemption consultants: Consultant expenses have exceeded the adopted budget.
- Human Resources Consulting Support: Recruitment activities resulted in higher than anticipated costs.
- County Taxes: County has been assessing taxes incorrectly and this will be the new rate moving forward.
- Recruitment: With General Manager recruitment costs exceeded budgeted amount.
- Travel and Training: Staff is projecting lower than budgeted costs.
- Computers, Software, Hardware and Equipment: Staff are projecting lower than budgeted costs.
- MPH Relay Protection: This project was not budgeted for in this fiscal year and there is a signed contract in place with KGS.
- Backup MPH Transformer: Board approved \$50,000, to move forward with determination of transformer requirements.
- General Facilities: Remodel of open office space. Paint, carpet, and electrical.

GL	Description	Budgeted	Mid Year Projection	Difference
3201-03	General Manager	\$153,192	\$145,176	\$8,016
3203-01	Health Insurance-SDRMA	\$150,384	\$126,684	\$23,700
3203-02	Health Reimbursement Acct	\$10,796	\$24,113	\$13,317
4100-02	Flume Maintenance	\$103,000	\$123,000	\$20,000
4100-08	Temporary Labor	\$35,000	\$45,000	\$10,000

4400-10	General Legal Counsel	\$22,204	\$35,000	\$12,796
4400-12	FERC Exemption General	\$50,000	\$58,811	\$8,811
4400-16	FERC Exemption Consultants	\$330,500	\$353,032	\$22,532
4400-31	Recruitment	\$1,000	\$5,265	\$4,265
4400-33	Human Resources Consulting	\$1,500	\$2,484	\$984
4500-06	County Taxes (Booster,Hunter)	\$400	\$1,632	\$1,232
4800-01	Travel and Training	\$20,000	\$15,000	\$5,000
4900-02	Computers, Software & Equip	\$10,609	\$5,000	\$5,609
5000-01	MPH Relay Protection Upgrade	\$0	\$49,592	\$49,592
5000-11	Backup MPH Transformer	\$123,111	\$50,000	\$73,111
5200-03	General Facilities	\$10,000	\$40,000	\$30,000
	<b>TOTALS:</b>	<b>\$1,021,696</b>	<b>\$1,079,789</b>	<b>\$58,093</b>

**Financial Implications:**

To offset these variances, we are projecting higher-than-anticipated generation revenue for the remainder of the year. Increased generation output and favorable operating conditions are expected allowing us to remain aligned with overall budget expectations. Staff does not anticipate that additional funding will be needed, as the approved FY25-26 budget remains on track.



## Item 7E

[Return to Agenda](#)

# UTICA WATER AND POWER AUTHORITY

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**Date:** February 24, 2026  
**To:** Erik Holt, General Manager  
**From:** Brandi Sparks, Accounting Technician  
**Re:** Discussion / Direction regarding Upcoming Board Meeting Schedule

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## RECOMMENDED ACTION:

Staff recommends that the Board review the current schedule and determine whether changes are necessary to ensure full participation, adequate preparation.

## SUMMARY:

The Board periodically adjusts its regularly scheduled meetings to address potential scheduling conflicts and ensure that meetings are productive and well-attended. To maintain productivity and ensure compliance with meeting requirements, the Board may determine whether modifications to one or both of these meetings are appropriate.

## ACTION ITEM:

Staff will implement the Board's direction and coordinate any necessary changes to the published meeting schedule

March 2026

CSS						
Su	Mo	Tu	We	Th	Fr	Sa
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	X	25	26	27	28
29	30	31				

May 2026

CSS						
Su	Mo	Tu	We	Th	Fr	Sa
1	2	3	4	5	6	
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	X	24	25	26	27
28	29	30	31			

*\*Calendars included to aid in scheduling.*