



CAPITAL IMPROVEMENT PLAN

2026–2033

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Executive Summary

The Utica Water and Power Authority (UWPA) Capital Improvement Plan (CIP) for Fiscal Years 2026–2033 is a seven-year planning and financial management document that identifies, prioritizes, and schedules capital investments needed to sustain UWPA’s essential water conveyance and hydroelectric infrastructure. UWPA’s system is comprised of aging and highly vulnerable assets—many of which have been in service for decades, and some for more than a century—which require reinvestment to maintain safe and reliable operation, protect critical water rights, and reduce the likelihood of service disruptions.

This CIP is designed to support the Board’s annual budget adoption process by establishing a structured and transparent approach for evaluating and selecting projects based on urgency, risk, and long-term value. Projects are categorized by UWPA’s two primary functions—Water Conveyance and Hydroelectric Power Generation—with cost-sharing applied where projects benefit both functions. In addition, the CIP includes specialty project categories that address regulatory compliance (including FERC exemption/relicensing readiness) and information technology upgrades that improve operational visibility, communications, and system management.

To ensure investments are aligned with UWPA’s highest operational and regulatory risks, projects are prioritized using a three-tier framework. Tier 1 projects are mandatory actions driven by compliance requirements, safety obligations, outside funding commitments, or a high likelihood of failure within the next five to ten years. Tier 2 projects are necessary investments that improve operational efficiency, reduce lifecycle costs, replace assets at end-of-useful-life, or strengthen revenue performance. Tier 3 projects are beneficial investments that increase system capacity, improve reliability, correct deficiencies, or extend useful life through rehabilitation. This ranking system allows the Board and member agencies to understand which projects are essential in the near term versus those that may be phased as funding capacity allows.

The CIP also recognizes that capital planning cannot be evaluated in isolation from UWPA’s broader financial position. UWPA must fund capital improvements while sustaining operations, maintaining appropriate reserves, and preparing for significant long-term regulatory and compliance obligations associated with the hydroelectric facilities. For that reason, this document presents an Integrated Funding Plan and three fiscal options for implementation: Full Funding, Medium Funding, and Minimum Funding/Deferral Strategy. Each option reflects a different balance between near-term affordability and long-term risk reduction, including differing reserve impacts and the degree to which projects are funded as scheduled or deferred.

Ultimately, this CIP provides the Board with a practical, risk-informed roadmap for reinvesting in UWPA's critical infrastructure. It is intended to function as a "living document" that is updated annually based on project readiness, evolving regulations, inspection findings, grant opportunities, and system performance. Through adoption and annual refinement of this plan, UWPA will improve reliability, reduce avoidable downtime, strengthen compliance readiness, and better position the Authority to serve its customers and member agencies safely and effectively over the long term.

Section 1: Organizational Overview and Summary of Capital Improvement Plan

1.1 Organizational Formation and History

Utica Water and Power Authority (Utica) traces its origins to the California Gold Rush. The Union Water Company (UWC) was formed in 1852 to formalize early efforts to deliver water from Mill Creek (in Avery) and Angels Creek to support large mining operations in Murphys and Angels Camp. By 1854, UWC expanded to tap the North Fork of the Stanislaus River. To provide high-country storage, Union Reservoir was constructed in 1858, and that same year UWC acquired the Calaveras County Water Company, which had also developed an extensive network of canals and flumes serving the mines.

In the 1880s, the Utica Gold Mining Company (UGMC) assumed control of the Union Water Company's system. In 1889, UGMC completed Lake Alpine to expand high-elevation storage capacity. One year later, Utica began using the pressure created by water dropping from the Angels Forebay to power equipment such as air compressors, hoists, and stamp mills that supported ore processing in Angels Camp. Hydroelectric generation soon followed: UGMC built a small powerhouse in Angels Camp in 1895, and in 1899 constructed the Utica Powerhouse in Murphys. Additional storage improvements continued into the early 1900s with the construction of Utica Reservoir in 1906, downstream of Union Reservoir. The final major up-country reservoir was completed in 1929 with the original Spicer Meadow Reservoir.

As large-scale mining declined in the early 1900s, increasing volumes of water were used for agricultural irrigation and residential and commercial consumption. In 1939, UGMC indicated it intended to limit consumptive service to Angels Camp, which led to a legal dispute with Murphys residents. That dispute resulted in a settlement agreement allowing the Calaveras Water Users Association (now the Union Public Utility District) to purchase water from the Utica system to meet local consumptive needs.

By the mid-1900s, most major mines in Calaveras County had closed. In 1946, the Utica water conveyance system and hydroelectric facilities were transferred to new ownership and continued to operate and evolve over the following decades. In 1996, the Utica Power Authority (UPA) was formed as a Joint Powers Authority (JPA) to own and operate the system for the benefit of local communities. The JPA assumed responsibility for a 27-mile water

conveyance system, five reservoirs, and two powerhouses, and was established by three member agencies: the Calaveras County Water District (CCWD), the Union Public Utility District (UPUD), and the City of Angels Camp (COA).

In 2001, the Darby Fire destroyed the $\frac{3}{4}$ Mile Flume near Forest Meadows and several other wooden flumes, disrupting public water supply service. UWPA rebuilt the damaged infrastructure over a ten-month period with state and federal disaster recovery support. In 2003, CCWD withdrew from the JPA, leaving UPUD and the City of Angels Camp as the remaining member agencies. In 2013, the agency was renamed the Utica Water and Power Authority (UWPA) to reflect its primary mandate of providing a safe and reliable water supply to the communities served by the Utica system. An overview of UWPA facilities is provided in *Figure 1* and *Figure 2* below.

1.2 Agency Governance and Operations

UWPA is governed by a five-member Board of Directors (Board). The Board is comprised of two City of Angels Camp Council Members, two Union Public Utility District Directors, and one Public Member appointed by the other four members. Each entity has an alternate to fill-in if an appointed member is scheduled to be absent, as well as an appointed alternate Public Member.

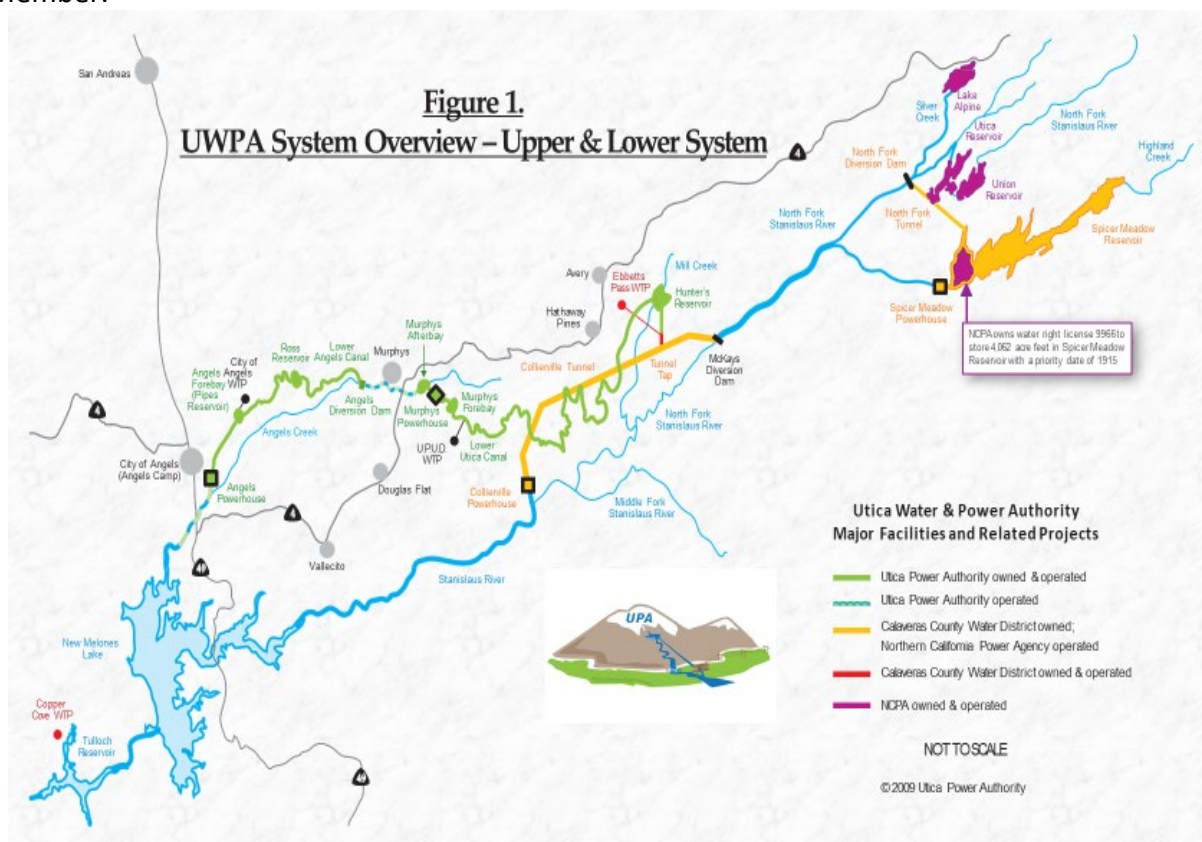


Figure 1 – Utica System Overview Map

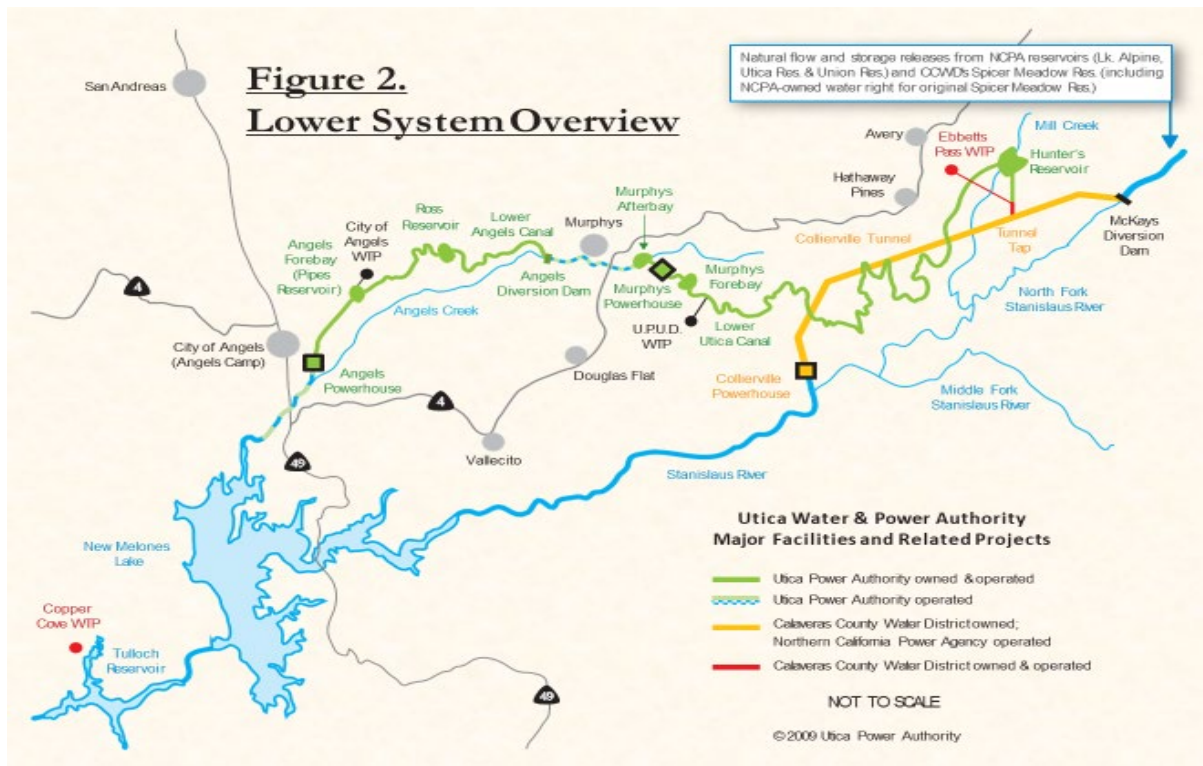


Figure 2 – Utica Lower System Overview Map

The 2025-26 Fiscal Year (FY) Budget for UWPA was approved in the amount of \$4,016,313.00. The Budget covers the FY beginning July 1, 2025 and ending June 30, 2026.

Historically UWPA has been operating under a policy that to the extent “surplus” revenues were available in any given year as a result of hydroelectric energy sales, the overall costs, or liabilities to the member agencies in terms of contributions would be reduced. Due to market price reductions in the sale of energy UWPA has generated less income relative to expenses. In addition, UWPA has deferred maintenance on facilities and equipment in order to reduce costs and needs additional capital investment in order to assure that all facilities remain fully functional for the long-term. UWPA has ran at a deficit to revenue for many years. Due to aging infrastructure and regulatory compliance this forecast is expected to continue for the duration of the CIP. After the FERC exemption process and update/repair/replace of infrastructure is completed the costs associated with an ongoing operational deficit should begin to ease.

1.3 Purpose of CIP

A Capital Improvement Plan, or “CIP”, is a short to medium-range planning document that covers a minimum of a five-year period to a maximum of a ten-year period. The CIP identifies capital projects, equipment purchases, permanent structural changes to facilities, and/or the restoration of facilities to enhance the asset’s value or to prolong its’ useful life. The CIP also provides a planning schedule for the acquisition and construction of projects and identifies options for financing the plan. The UWPA’s CIP is a multi-year financial plan that identifies new, on-going, and additional projects beginning in the 2026-27 Fiscal Year Budget. The UWPA’s

Board of Directors adopts the first year of the CIP and approves the entire plan in concept. The CIP is a “living document” with older projects dropping out of the plan when completed and new projects being added each year. The Board should approve the CIP annually with the adoption of its budget.

The CIP is a key document that guides UWPA’s capital investments. A capital improvement plan is a dynamic planning and fiscal management tool used to coordinate the location, schedule, and financing of capital improvements over a multi-year period. The plan identifies, substantiates, and prioritizes projects, establishes an implementation schedule, and identifies funding mechanisms. It also serves as a tool to communicate to the public and member agencies the financial needs of the Authority and is an integral component in determining the level of funding needed by the Authority. The plan provides a working blueprint for sustaining and improving infrastructure. It coordinates strategic planning, financial capacity, and physical development.

A complete, properly developed CIP provides the following benefits:

- Identifies and prioritizes capital projects; and
- Links capital spending with the demands of operating and maintenance budget; and
- Evaluates competing demands for financial and staff resources based on priorities.

1.4 Project Ranking and Selection Process

UWPA Tier Priority Ranking

Use this graphic to classify and communicate project priority levels in the CIP.

TIER 1 — MANDATORY	TIER 2 — NECESSARY	TIER 3 — BENEFICIAL
Priority triggers: • Regulatory Compliance Requirement • Safety Issue • Outside Funding Already Secured • Failure Likely Typical focus: • Compliance / Safety / Imminent Risk	Priority triggers: • Improves Operational Efficiency / Reduces Costs • Replacement at End of Useful Life • Generates Additional Revenue Typical focus: • Cost savings / Lifecycle replacement / Revenue	Priority triggers: • Increases Capacity or Improves Reliability • Corrects a Deficiency • Increases Asset Useful Life Typical focus: • Resilience / Optimization / Preventative rehab

How to use: Assign the highest applicable tier. If a project meets any Tier 1 trigger, it is Tier 1.

Figure 3 – Tier Priority Ranking

- **Tier 1 Priority:** Regulatory Compliance Requirement, Safety Issue, Outside Funding Already Secured or to Generate Additional Revenue, or Failure Likely.
- **Tier 2 Priority:** Improves Operational Efficiency or Reduces Costs, Replacement Due to End of Useful Life of Facility/Equipment.
- **Tier 3 Priority:** Increases Capacity or improves Reliability, Corrects a Deficiency, or Increases an Asset's Useful Life.

The ranking and project priority also include other factors based on staff's experience in implementing construction projects. These additional factors include such issues as: project costs, the ability to bundle a project with one or more other projects, phasing, complexity, affordability, likelihood of receiving a grant, and ability to reduce long-term costs.

1.5 Outline of Capital Improvement Plan

For purposes of developing Projects for the 2026 – 2033 CIP potential projects were broken down into three categories: 1.) Water Conveyance Facilities, 2.) Hydroelectric Facilities and 3.) General Facilities, Vehicles and Equipment. The reason for this is to distinguish between those projects that would be required to provide water to the member agencies regardless of whether the power facilities were operational. Likewise, the hydroelectric projects should utilize power generation revenues first, to the extent they are available in any given year, to fund both operational costs and CIP improvements associated with the hydroelectric facilities. Only after hydroelectric costs are met should excess revenues be used to support water conveyance operations, maintenance, and capital improvements. A listing of the projects is provided in Table 1 below.

Goals & Performance Measures

- Define measurable goals: reliability, reduced downtime, regulatory compliance readiness, reduced safety risk
- Suggested metrics: number of Tier 1 risks mitigated, outage hours avoided, conveyance losses reduced, reserve targets met, grant dollars secured



Goals & Performance Measures

Measurable goals and suggested metrics for the UWPA Capital Improvement Plan

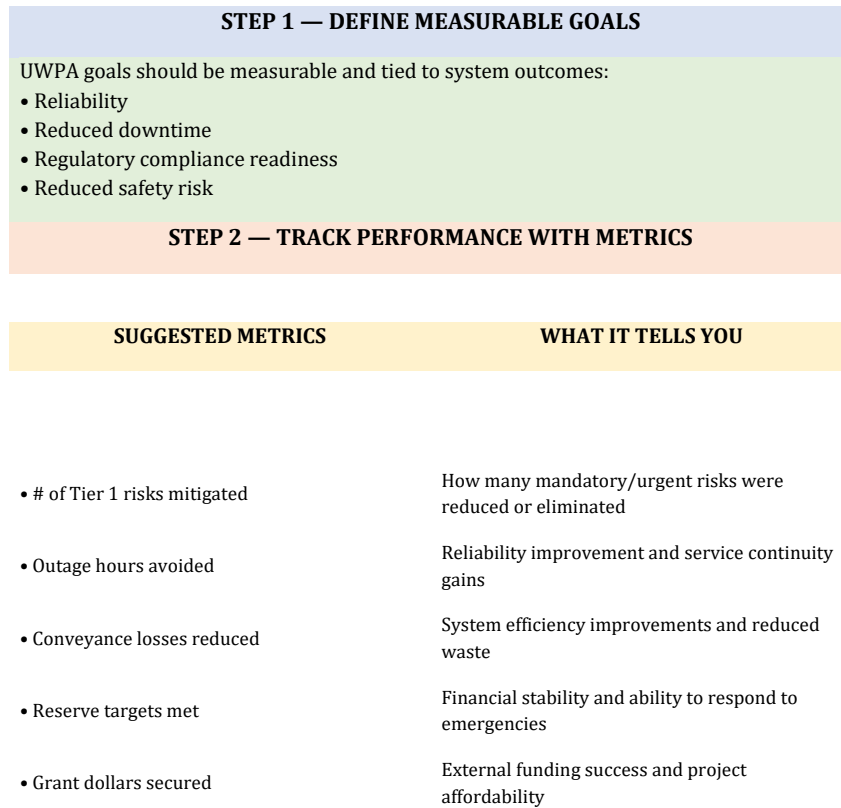


Figure 4 – Goals and Performance Measures

Section 2: Project Development Overview

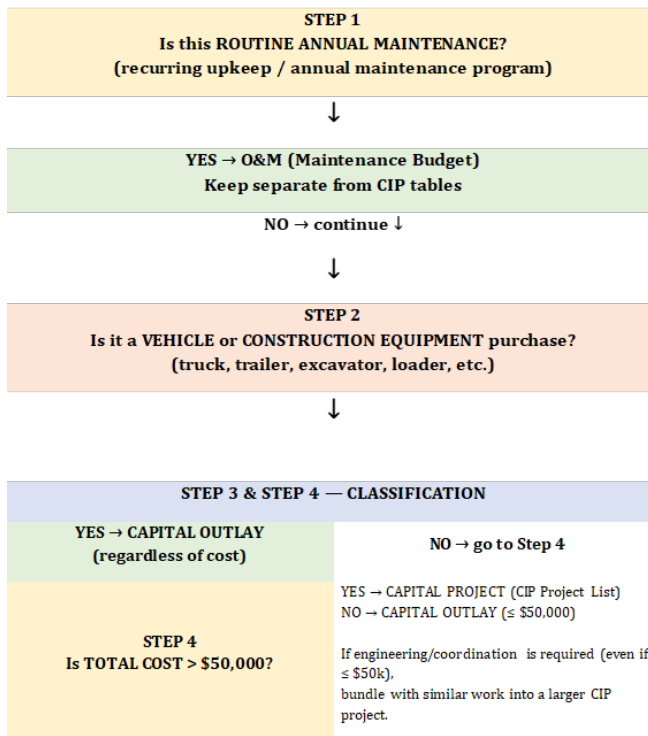
2.1 Types of Projects

This CIP distinguishes between two types of projects: 1) Capital, and 2) Capital Outlay. A “capital” project is usually a construction project, or a study, or an equipment investment that has a value greater than \$50,000. A “capital outlay” is an investment, typically in equipment or parts, that is less than or equal to \$50,000, with an exception for vehicle and construction equipment purchases. Vehicle and construction equipment purchases that are greater than \$50,000 are still considered a capital outlay expense. UWPA maintains a baseline annual maintenance program of approximately \$125,000 budgeted in Operations & Maintenance

(O&M) for the flume system. CIP projects represent additional, non-routine capital investments intended to rehabilitate, replace, or improve system assets and are planned separately from routine annual maintenance.

CIP Classification Flowchart

Projects vs. Equipment Upgrades/Replacements vs. O&M Maintenance



Key CIP Rule: Capital Projects are typically > \$50,000. Capital Outlay is ≤ \$50,000, with an exception that vehicles and construction equipment remain Capital Outlay even when > \$50,000.

Figure 5 - CIP Classification Flowchart

Capital vs. Capital Outlay vs. Operations & Maintenance

How UWPA classifies investments for budgeting and CIP planning

CAPITAL PROJECT (CIP)	CAPITAL OUTLAY (Equipment/Parts)	O&M MAINTENANCE (Annual Program)
Definition: Construction project, study, or major equipment investment. Typical threshold: > \$50,000 Included in: CIP Project List (multi-year planning) Purpose: Rehabilitate, replace, or improve system assets beyond routine upkeep.	Definition: Equipment or parts purchase. Typical threshold: ≤ \$50,000 Key exception: Vehicles & construction equipment remain Capital Outlay even if > \$50,000. Purpose: Support operations with tools, vehicles, and components that do not require full CIP project management.	Definition: Routine recurring maintenance required to keep assets operational. UWPA baseline: ~ \$125,000 annually for flume maintenance. Budget category: Operations & Maintenance (O&M) Purpose: Maintain system condition and prevent deterioration; separate from CIP project funding.

Quick rule: CIP = non-routine capital improvements; Capital Outlay = smaller equipment/parts (and vehicles); O&M = annual recurring maintenance.

Figure 6 – Capital vs. Capital Outlay vs. Operations & Maintenance

2.2 Project Categories

Projects are categorized by the functions in which they are associated. There are two distinct functions performed by UWPA, *Water Conveyance* and *Hydroelectric Power Generation*. Projects that benefit both categories result in cost-sharing. Typical of these types of projects include such items as shared use of the headquarters facility, remote facilities, and shared use of certain types of equipment. These are considered *General Facilities, Vehicles & Equipment*. Lastly, there are two other categories of CIP projects that involve compliance (such as FERC relicensing) and information technology (IT) upgrades.

UWPA CIP Project Categories

How UWPA categorizes projects by function, cost-sharing, and specialty programs

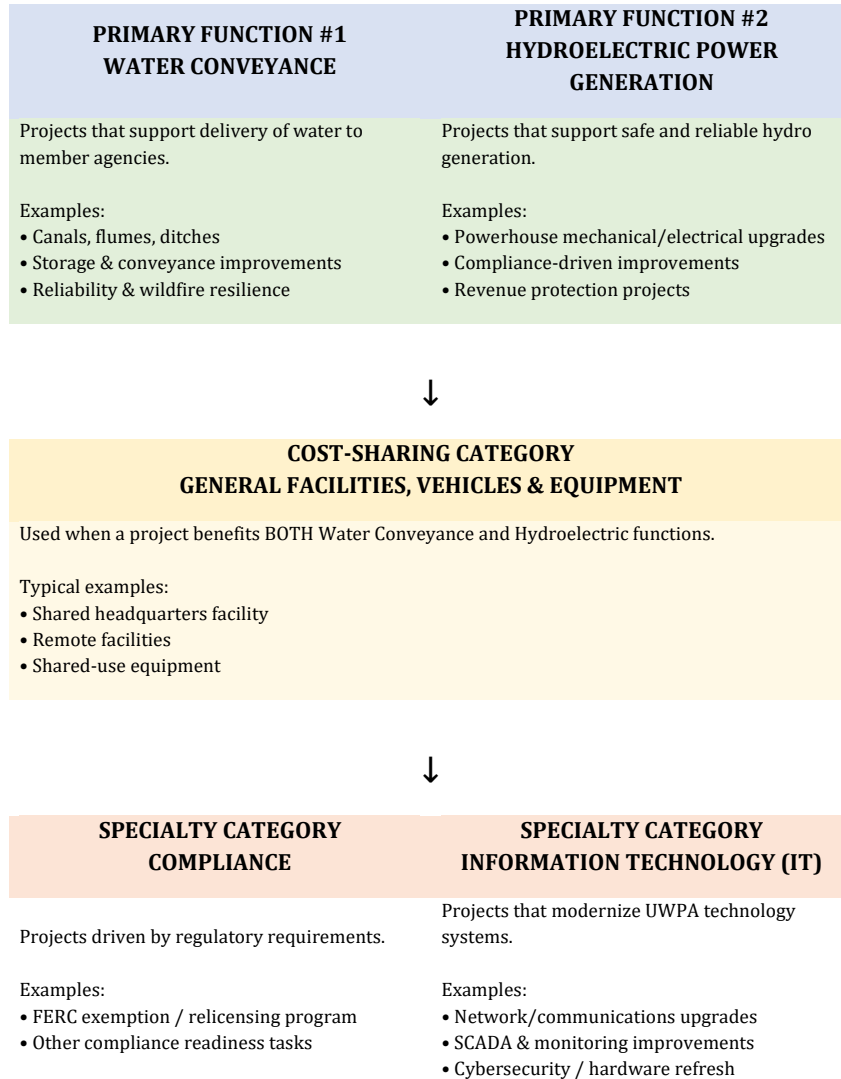


Figure 7 – CIP Project Categories

2.3 Project Development Considerations

This section describes how UWPA staff developed and refined projects for implementation. Projects were bundled where appropriate, phased to match staffing and funding constraints, ranked by objective criteria, and then selected annually through the budgeting process. Together, these steps ensure the CIP remains realistic, affordable, and responsive to changing system conditions.

2.3.1 Bundling

When appropriate, smaller projects have been combined to create larger multi-phased projects when they share associated objectives and benefits and may be in the same geographical area or the work performed is similar. The purpose of “bundling” projects to create larger projects is to simplify the CIP and the corresponding budget, to not have a multitude of small projects. Another benefit is that bundled projects can reduce “soft costs” such as design and engineering expenses.

2.3.2 Phasing

Projects are phased to spread out resources over several fiscal years. Phasing is also a natural result of carrying out complex projects that have specific sequencing needs. Some projects may require specific studies to determine the scope of work required before designing the project. By phasing projects, it allows for a smoothing of funding demands. It also gives UWPA staff time to acquire land, easements, or agreements, achieve environmental and permitting compliance, obtain parts or other equipment components, schedule outages, search for funding, and allocate labor in order to complete the project within a reasonable timeframe. Projects in this CIP that have been divided into phases in such a manner that phases provide “stand alone” benefits and Board commitment to fund one phase does not inherently commit the Board to approve subsequent phases.

2.3.3 Ranking

UWPA staff have identified significant financial costs associated with the capital improvement plan. Staff recognize that the agency cannot fund this level of investment, nor could staff administer and carryout this number of projects. Consequently, a ranking-criteria was established and applied to prioritize projects. The ranking process was also essential in defining the problem and vetting the proposed solution. A more thorough description of the ranking process is included in Section 3 of this document.

2.3.4 Selection

The ranking process discussed above was intended to be as objective as possible, but the reality is that there will not be enough funds to complete all of these projects. Some highly ranked projects demonstrate great need but can be expensive. The CIP is a “living” document and should be updated each year as part of the budgeting process. The ranking of individual projects will be reevaluated and may change each year as a result of shifts in regulations, shifts in project competitiveness for grants, shifts in Board priorities, or to respond to anticipated infrastructure failure.

2.3.5 Allocation of Cost by Fiscal Year

The cost to implement the CIP will strongly influence the revenue demands of the UWPA and subsequent calculation of revenues needed to fund the improvements and the corresponding operations and maintenance. Staff not only has to consider project costs but also lost power generation revenue losses due to down time. The timing and distribution of costs reflects a conscious effort on the part of the staff to smooth out revenue demands, identify potential grant or loan funding sources, provide adequate time to seek financing or to achieve environmental compliance and secure necessary permits, and lastly to address those infrastructure needs that are most urgent and have a potential for failure in the near term. However, the member agencies will need to provide substantially more funding than what has been provided in previous years.

2.3.6 Project Delivery Models

The UWPA can use several models for project delivery. The UWPA has its own staff that can deliver some of the construction work identified in the CIP. This may include an entire project or just certain portions of a project. However, there will be the need to use outside consultants and contractors for many projects because they require specialized engineering disciplines, specialized tools, or equipment, or otherwise involve expertise or equipment that may be lacking at UWPA. Similarly, some construction tasks are better suited to outside contractors particularly those requiring extended periods of time to complete and involving staffing levels beyond that which is currently available at UWPA. Staff time costs need to be calculating in determining the scoping and cost of CIP projects where staff would ultimately be performing normal duties. Our goal is always to approach projects and costs in a responsible cost-effective analysis; however, our staff time and costs are associated costs that cannot be tabulated as savings overall. Simply, they are part of the overall costs, not a reduction in the costs.



Project Development Considerations

A step-by-step framework used by UWPA to simplify, prioritize, and deliver projects



Figure 8 – Project Development Considerations

2.4 Project Cost Estimates

Preliminary cost estimates have been prepared for every project in the CIP. These are “pre-design” or “planning” level estimates that will be refined once design is complete or more

information is available in respect to the project. Since there is a limited amount of information available to craft the cost estimate, contingencies of up to 25% have been added to the project cost based on the potential for the project scope to change or for the unit costs to be greater than originally anticipated. Since this is a five-year CIP, the cost for projects undertaken in years 2-5 will be impacted by inflation. Rather than apply inflation to each project separately, the contingencies have been increased to account for inflation. The cost estimates consider who will design and/or construct the improvement. If the project will be designed by a consultant, a design fee has been added. If “on-site inspection” is required, an additional 10% is added to the estimated project costs. If the project is constructed by a contractor 30% is added to account primarily for prevailing wages and the potential for change orders.

Section 3: Project Ranking Criteria

3.1 Discussion of Scoring and Ranking Process

Projects were developed by staff and ranked by committee. The rank and project priority category were based on the following criteria:

- Tier 1 Priority:** Regulatory Compliance Requirement (FERC, DSOD, OSHA, etc.), Safety Issue, Outside Funding Already Secured, Generate Additional Revenue or Failure Likely.
- **Tier 2 Priority:** Improves Operational Efficiency or Reduces Costs, Replacement Due to End of Useful Life of Facility/Equipment.
- **Tier 3 Priority:** Increases Capacity, Improves Reliability, Corrects a Deficiency or Increases an Asset’s Useful Life.

Projects are a high priority if they fall into Tier 1 (Mandatory) or Tier 2 (Necessary) type projects.

3.1.1 Tier 1 Criteria

Regulatory Requirement: Projects that are required to be completed in order to maintain compliance with current or pending regulations or to respond to a documented violation are considered Tier 1. Projects that meet these criteria must be able to demonstrate that they are essential to maintain compliance and that the project addresses a past violation or a deficiency created by a new regulation. Supporting documentation may include newly issued permits,

inspection reports from regulatory agencies, Cease and Desist Orders, Notices of Violations, etc. Also included in this category are conditions of any legal settlements.

Safety Obligation: Projects that would be required to maintain compliance with OSHA or that put UWPA staff or the public at physical risk are considered Tier 1. Potential risk of property damage does not qualify as a safety obligation. The project must address a very real hazard. Documentation supporting these types of projects may include inspection reports from Cal-OSHA, DSOD inspection reports, notices received from FERC, or documented violations of the Health and Safety Code.

Failure Likely: Projects that address a real concern that specific infrastructure would likely fail within the next five to ten years are considered a Tier 1. This designation is supported by maintenance history logs, photographs, staff testimonial, or by 3rd party inspection reports. Projects must eliminate or at least minimize the probability of failure or mitigate the impacts when a failure occurs.

Tier 1 Criteria

Tier 1 projects are mandatory actions required for compliance, safety, committed funding, or high likelihood of failure.

TIER 1 — REGULATORY REQUIREMENT	TIER 1 — SAFETY OBLIGATION
Definition: Projects required to maintain compliance with current or pending regulations, or to respond to a documented violation. Must demonstrate: • Essential for compliance • Addresses past violation or deficiency from new regulation Typical documentation: • Permits • Inspection reports • Cease & Desist orders • Notices of Violation • Settlement conditions	Definition: Projects required to comply with OSHA or that put UWPA staff or the public at physical risk. Important: Property damage risk alone does NOT qualify. The hazard must be real and physical. Typical documentation: • Cal-OSHA inspections • DSOD inspection reports • FERC notices • Health & Safety Code violations
TIER 1 — OUTSIDE FUNDING SECURED	TIER 1 — FAILURE LIKELY (5-10 YEARS)
Definition: Projects where funding is already committed through an executed agreement, secured financing, or Board resolution. Notes: Currently uncommon, but may apply when UWPA is awarded grant funding. Example: Capital Outlay grant funding for a flatbed truck (FY 2019-20).	Definition: Projects addressing infrastructure likely to fail within the next 5-10 years. Support may include: • Maintenance logs • Photos • Staff observations • Third-party inspection reports Project must: Eliminate or reduce failure probability OR reduce impacts if failure occurs.

Rule of thumb: If any Tier 1 criterion applies, the project is classified as Tier 1 (Mandatory).

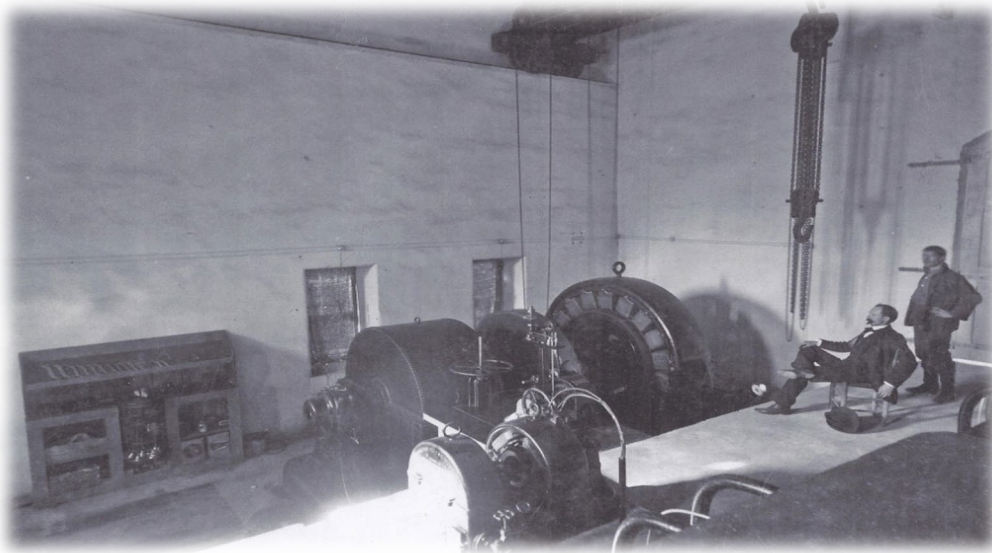
Figure 9 – Tier 1 Criteria

3.1.2 Tier 2 Criteria

Improves Operational Efficiency or Reduces Costs: Projects that directly reduce labor, materials, equipment, or utilities while allowing the UWPA to maintain or improve upon its level of service, or in some cases, may increase revenues are considered Tier 2. Although, not mandatory; these projects are desirable because they translate to cost savings for the authority and/or they allow the UWPA to invest more in other areas of the budget with the same amount of revenue. An example of a project that increase operational efficiency is the installation of Supervisory Control and Data Acquisition (SCADA) hardware and software. This project will allow for the remote reading of water levels and avoid the need for personnel to physically travel to sites to determine water flow. Other projects may involve enhancements to existing facilities that will improve their operation and maintenance, safety, flexibility, and cost-effectiveness

Replacement Due to End of Useful Life: Projects that replace infrastructure that is beyond rehabilitation or salvaging are considered Tier 2. These projects involve replacing aging infrastructure, ideally before it reaches a level of degradation where “imminent failure” would be likely. In addition to age, other factors that go into determining when an item has reached the end of its useful life include failure to meet current codes or industry standards, or when an item no longer can perform the way in which it was designed.

Generates Additional Revenue: Projects that can increase revenues are considered Tier 1. These types of projects may involve increasing hydrogeneration capacity, improving hydrogeneration efficiency, allowing for additional water sales or are a requirement to participate in state funding programs. These types of projects need to be evaluated for their cost-effectiveness. That is the capital cost of the project needs to achieve a reasonable rate of return in terms of increased operating revenue to justify the expenditure.



Tier 2 Criteria

Tier 2 projects are desirable investments that improve efficiency, replace aging assets, or improve revenue potential.

TIER 2 CRITERION #1 EFFICIENCY / COST REDUCTION	TIER 2 CRITERION #2 END OF USEFUL LIFE REPLACEMENT	TIER 2 CRITERION #3 GENERATES ADDITIONAL REVENUE
Definition: Projects that directly reduce labor, materials, equipment, or utilities while maintaining or improving service. Why it matters: Cost savings can be reinvested in other priorities. Example: SCADA hardware/software enables remote readings of water levels and reduces travel time. Other benefits: Improves O&M, safety, flexibility, and cost-effectiveness.	Definition: Projects that replace infrastructure beyond rehabilitation or salvaging. Why it matters: Replaces aging assets before deterioration becomes an imminent failure risk. Indicators: • Age and wear • Fails to meet current codes/standards • Cannot perform as originally designed	Definition: Projects that can increase operating revenue. Typical outcomes: • Increased hydrogeneration capacity • Improved generation efficiency • Supports additional water sales • Enables participation in state funding programs Important: Must be evaluated for cost-effectiveness and reasonable return on investment.

Tier 2 projects are not mandatory like Tier 1, but they reduce long-term costs, improve performance, and strengthen UWPA's ability to fund future improvements.

Figure 10 – Tier 2 Criteria

3.1.3 Tier 3 Criteria

Increases Capacity: Projects that increase system capacity or the components of capacity are considered Tier 3. The principal components include water supply, storage, and conveyance. Projects that increase capacity allow for the UWPA to better serve its existing customer base while also allowing for system repairs without a reduction or curtailment in deliveries.

Improves Reliability: Water supply and conveyance is considered an essential UWPA service and is important for health and human safety. Infrastructure is vulnerable to the impacts of natural disaster and the consequences of system failure can be tremendous (i.e. lack of water during a wildfire). Projects that have the benefit of reducing the risk of failure and mitigating impacts to the UWPA's customers and trustee agencies are considered Tier 3. These types of projects could involve establishing redundant systems or they may remove some of the hazards that could result in a catastrophe. Examples of these types of projects could be improving water conveyance facilities or removing hazard trees beside a flume.

Corrects a Deficiency: Projects that correct a current operational problem are considered Tier 3. These types of projects address equipment component issues, compatibility problems, facility inadequacies and other issues that limit full use and easy operation. Correcting these “bottle necks” allow staff to focus on other more critical operations associated with their jobs.

Increases an Asset’s Useful Life: Some infrastructure is not at risk of imminent failure and it also is not at the end of its useful life; however, with proper preventative maintenance the UWPA can extend an asset’s useful life and delay future capital costs associated with full-fledged replacement. Projects of this type are typically rehabilitation projects and are considered Tier 3. These projects may include pipe or ditch lining, asphalt sealing, headquarters maintenance and repair or hydroelectric facility repairs and upgrades.

Tier 3 Criteria

Tier 3 projects are beneficial investments that improve capacity, reliability, operations, and asset life.

TIER 3 — INCREASES CAPACITY	TIER 3 — IMPROVES RELIABILITY
Definition: Projects that increase system capacity or key capacity components.	Definition: Projects that reduce failure risk and mitigate impacts to customers and trustee agencies.
Capacity components: • Water supply • Storage • Conveyance	Why it matters: Water supply & conveyance are essential for health and safety (e.g., during wildfire).
Benefit: Supports existing customers and allows repairs without delivery curtailment.	Examples: • Redundant systems • Conveyance improvements • Hazard tree removal near flumes
TIER 3 — CORRECTS A DEFICIENCY	TIER 3 — INCREASES USEFUL LIFE
Definition: Projects that correct operational problems limiting full use and easy operation.	Definition: Rehabilitation projects that extend asset life and delay full replacement costs.
Examples: • Component issues • Compatibility problems • Facility inadequacies	Common examples: • Pipe or ditch lining • Asphalt sealing • Headquarters maintenance/repairs • Hydroelectric repairs & upgrades
Benefit: Removes bottlenecks so staff can focus on critical operations.	Benefit: Delays future capital costs through preventative investment.

Tier 3 projects are generally lower urgency than Tier 1 and Tier 2, but they strengthen long-term system performance and reduce future costs.

Figure 11 – Tier 3 Criteria

Section 4: Capital Improvement Plan Costs and Funding Plan

4.1 CIP Revenue Issues

The Capital Improvement Plan outlines the District’s plan for achieving organizational goals and objectives. Doing business for much of its past, the District focused on paying off acquisition debt, reducing operating costs by performing maintenance on an “as needed “ basis, deferring capital costs and minimizing member agency costs. For many years hydroelectric generation revenues subsidized the costs to operate the water conveyance system. This has resulted in a significant reduction in potential JPA revenues.

4.2 Asset Management

UWPA’s ability to provide reliable water conveyance service and operate its hydroelectric facilities safely depends on the condition, performance, and compliance readiness of its physical infrastructure. Many UWPA assets have been in service for decades, and some for over a century, and do not meet modern design and safety standards. As UWPA approaches key regulatory and operational milestones—including long-term hydroelectric compliance readiness—the Authority must adopt a disciplined and measurable approach to managing its asset base.

This Capital Improvement Plan (CIP) supports UWPA’s asset management mission by establishing a structured, multi-year approach for planning, prioritizing, and funding reinvestment. UWPA’s asset management strategy is guided by the core principles of lifecycle extension, ongoing evaluation, risk reduction, and phased financing.

Asset Management Commitments

1) Annual Asset Condition Review and Documentation

UWPA will perform an annual condition review of critical system components, with emphasis placed on high-consequence assets within water conveyance and hydroelectric facilities. Reviews will be informed by inspection findings, operations and maintenance history, staff observations, documented deficiencies, and third-party engineering or regulatory reports when available. The results of these annual reviews will be used to update project scopes, refine cost estimates, and adjust implementation sequencing as needed.

2) Risk-Based Prioritization Using the Tier Framework

UWPA will prioritize capital projects based on the Tier ranking system established in Section 3 of this CIP. Tier classification will be used as a risk-management tool to align funding with urgency and consequence. Specifically:

- Tier 1 projects will be treated as mandatory risk-reduction actions driven by regulatory compliance, safety obligation, committed outside funding, or likely failure within five to ten years.
- Tier 2 projects will be prioritized to reduce long-term costs, replace end-of-life assets before they become emergency failures, and improve operational efficiency.
- Tier 3 projects will be used to improve resilience, capacity, and lifecycle performance when funding capacity allows, while recognizing that deferral may increase future cost and vulnerability.

3) Integration with Annual Budgeting and CIP Updates

UWPA will maintain this CIP as a living document and update it annually during the budget process. Each annual update will include review of completed projects, shifting project readiness, revised regulatory requirements, updated cost estimates, grant competitiveness, and emergent system risks. Board approval of the first CIP year will function as formal authorization for implementation, while Years 2–5 will remain planning-level and subject to annual reevaluation.

4) Performance Measurement and KPI Tracking

UWPA will track project and system outcomes using measurable performance indicators tied to CIP goals. CIP progress will be evaluated using a simplified KPI scorecard that focuses on reliability, reduced downtime, compliance readiness, reserve stability, and external funding success. Suggested measures include:

- number of Tier 1 risks mitigated
- outage hours avoided
- conveyance losses reduced
- reserve targets met
- grant dollars secured

These performance measures will be used to improve transparency, strengthen accountability, and support future funding decisions.

5) Lifecycle Cost Management and Funding Strategy

UWPA will manage financial impacts by bundling and phasing projects where appropriate to smooth annual funding demands, reduce soft costs, and align workload with staffing capacity. UWPA will also pursue grants and external funding sources when available and competitive to reduce member agency burden and improve long-term affordability.

UWPA Asset Management Policy Framework

Measurable commitments that guide planning, prioritization, and funding in the CIP

1) ANNUAL CONDITION REVIEW	2) TIER-BASED PRIORITIZATION	3) ANNUAL CIP UPDATE PROCESS	4) KPI SCORECARD	5) LIFECYCLE FUNDING STRATEGY
Inspect critical assets annually Use logs, photos, and reports Update scopes & costs	Tier 1 = mandatory risk Tier 2 = lifecycle + efficiency Tier 3 = resilience + rehab	CIP is a living document Re-sequence projects yearly Adjust for grants & conditions	Track outcomes and progress Reliability • downtime Reserves • grants • risk	Bundle and phase projects Reduce soft costs Align with staffing & cash flow
Continuous Improvement Loop: Condition Findings → Tier Updates → Budget Adoption → KPI Review → Next-Year CIP Refinement				

Outcome: A disciplined, transparent, and financially sustainable approach to reducing risk and extending asset life over time.

Figure 12 – Asset Management Policy Framework

Summary

Through these commitments, UWPA will balance cost, quality, reliability, and safety while maintaining a transparent and defensible rationale for funding decisions. The asset management approach described in this section ensures that CIP investments reduce risk, improve performance, and support UWPA’s mission of long-term stewardship over essential water and hydropower infrastructure.

4.3 System Components Evaluations

Most of the assets managed by UWPA have been in service for decades and some for over a century. These components generally do not meet current design, engineering, and safety standards. The nature and location of these facilities’ present vulnerabilities for both the asset and the employees attempting to maintain and repair them. Emphasis is being placed on improving the reliability and safety of these assets. The major system components addressed in the CIP are as follows:

- Canals, Flumes and Ditches
- Reservoir Storage
- Mechanical, Electrical and Communication Equipment

- Operational Equipment and Vehicles
- Feasibility and Facility Assessments

4.4 Overall CIP Project Cost Summaries

4.5 Integrated Funding Plan for CIP, Operations & Reserves

Funding for the capital improvement projects identified in this document are not only contingent on having adequate revenues to support those individual projects in the Fiscal Year identified, but also adequate revenue sources to maintain normal operations and reserve funds to support the entire organization. This is particularly important in respect to three areas of future costs not currently recognized in this 5-year CIP. The first area includes uncertain future costs associated with the hydroelectric facilities that will be under study during this CIP in order to ensure the extended life of the power plants. With the purpose to enter into long-term power agreements, the UWPA must have up to date facilities that comply with both FERC regulations and PG&E service requirements. Some of these costs will not be known until these studies are completed. Thus, if the UWPA does not have facilities that can operate over the long-term, it will not be able to benefit from long-term power contracts.

The second component of the Integrated Funding Plan is the funding of the engineering, management, environmental, legal, and administrative work necessary to pursue continued regulatory authorization for UWPA's hydroelectric facilities. UWPA anticipates these compliance-related costs will be approximately \$3 million to \$4 million over a six- to eight-year period, beginning in FY 2025–26. If UWPA successfully obtains a FERC exemption by 2028, the schedule and total cost may be reduced, and the work may shift toward final documentation, agency coordination, and close-out requirements. If an exemption is not obtained, UWPA must continue forward through the full FERC relicensing pathway, with costs extending through the anticipated relicensing period in 2033 and potentially beyond. In either scenario, adequate revenues must be planned and collected beginning in FY 2025–26 to maintain progress, preserve regulatory options, and avoid delays that could jeopardize UWPA's ability to continue hydroelectric operations under an approved authorization framework.

4.6 Fiscal Options to Implement the Integrated Funding Plan

The UWPA Capital Improvement Plan (CIP) must be implemented in a way that is financially sustainable while maintaining adequate funding for operations and prudent reserve levels. The Integrated Funding Plan recognizes that the UWPA cannot evaluate CIP project costs in isolation. The Authority must also maintain normal operations, address deferred maintenance, and plan for significant future regulatory and compliance obligations associated with the hydroelectric facilities, including the costs of the exemption / relicensing process and other operational requirements.

To support informed decision-making, UWPA has identified three fiscal options to implement the Integrated Funding Plan. These options provide the Board with a structured range of approaches that balance service reliability, risk reduction, compliance readiness, and affordability. Each option reflects tradeoffs among project delivery pace, reserve stability, long-term system risk, and required member agency funding levels.

Option 1: Full Funding

The Full Funding option represents the highest level of commitment to system reinvestment and long-term risk reduction. Under this option, UWPA would fund the CIP as scheduled while also maintaining funding for normal operations and contributing to reserves at levels needed to support long-term infrastructure reliability and regulatory compliance.

This option prioritizes timely completion of Tier 1 and Tier 2 projects and minimizes deferrals that could lead to emergency failures, higher long-term costs, or service disruptions. Full Funding also improves UWPA's readiness to pursue grants and external financing opportunities because it allows the Authority to advance design, environmental compliance, and permitting work on schedule.

Full Funding generally results in:

- Highest reliability improvement and lowest long-term failure risk
- Strongest regulatory readiness posture for hydroelectric compliance
- Lowest long-term "catch-up" cost growth due to inflation and emergency work
- Higher near-term revenue demands and member agency contributions

Option 2: Medium Funding

The Medium Funding option represents a balanced approach that focuses on completing the most urgent and high-value projects while limiting the near-term revenue burden. Under this option, UWPA would fund Tier 1 priorities and select Tier 2 projects, while deferring lower urgency improvements or phasing some projects more slowly.

This option is intended to maintain system viability while reducing the rate of spending growth compared to Full Funding. It is likely to require adjustments to the CIP schedule each year, including shifting projects between fiscal years, bundling similar work for cost efficiency, and pursuing grants more aggressively to maintain project momentum.

Medium Funding generally results in:

- Completion of Tier 1 projects and partial completion of Tier 2 projects
- Moderate improvements to reliability with some ongoing exposure to risk
- Greater reliance on phasing and schedule adjustments year-to-year
- Reduced near-term revenue demands, with some risk of cost escalation over time

Option 3: Minimum Funding / Deferral Strategy

The Minimum Funding option reflects a constrained funding scenario where UWPA focuses primarily on essential operations and only the most critical capital needs. Under this option, the CIP would be implemented at a minimal level, prioritizing only the highest urgency Tier 1 projects, while most Tier 2 and Tier 3 projects would be deferred.

This option may be necessary under conditions of limited revenue availability; however, deferral carries significant risk. Postponing reinvestment can increase the likelihood of emergency failures, result in higher future replacement costs, and reduce the Authority's flexibility to respond to infrastructure vulnerabilities. It may also reduce UWPA's ability to pursue long-term power agreements and maintain a stable compliance posture if critical hydroelectric reliability or regulatory readiness actions are delayed.

Minimum Funding generally results in:

- Focus on reactive needs and mandatory Tier 1 items only
- Higher long-term risk of failure and greater service disruption exposure
- Higher likelihood of emergency repair costs and revenue instability
- Lower near-term revenue demands but larger future funding gaps

Fiscal Options — Integrated Funding Plan

Three funding approaches to implement the CIP while supporting Operations & Reserves

OPTION 1 FULL FUNDING	OPTION 2 MEDIUM FUNDING	OPTION 3 MINIMUM FUNDING / DEFERRAL STRATEGY
What it means: • Fund CIP as scheduled • Maintain O&M and reserves What it delivers: • Fastest Tier 1 & 2 completion • Lowest long-term failure risk • Strongest compliance readiness Tradeoff: • Highest near-term revenue demand	What it means: • Fund Tier 1 and select Tier 2 • Slow/phase other work What it delivers: • Core risk reduction • Some reliability gains • Flexible annual updates Tradeoff: • More deferrals and cost escalation risk	What it means: • Fund only critical Tier 1 • Defer most Tier 2 & 3 What it delivers: • Lowest near-term revenue need • Focus on mandatory items Tradeoff: • Highest long-term risk • Greater emergency repair exposure • Larger future funding gap

Decision guide: Full Funding maximizes reliability and readiness; Medium Funding balances progress and affordability; Minimum Funding defers improvements and increases long-term risk.

Figure 13 – Fiscal Options – Integrated Funding Plan

Composite Risk-Management in Funding

Composite risk management is used to guide funding decisions by evaluating multiple risk drivers together—regulatory compliance, safety, probability of failure, operational cost exposure, and long-term system reliability—rather than viewing projects as isolated needs. Under this approach, UWPA considers both the likelihood and consequence of risk events (e.g., compliance violations, injury hazards, water delivery disruption, or lost power revenue), and then aligns funding levels to the Authority’s risk tolerance. Projects that address Tier 1 risks (compliance, safety, or failure likely) receive priority because deferral increases exposure to high-impact outcomes and emergency costs. Tier 2 risks are managed through sequencing and phased investment to capture efficiency gains and prevent end-of-life failures, while Tier 3 projects are used to strengthen long-term resilience and extend asset life when funding capacity allows. By applying composite risk management annually during budget development, UWPA can transparently justify why certain investments must proceed immediately, why others can be phased, and how the chosen funding option balances affordability with responsible stewardship of essential water and hydropower infrastructure.

UWPA Composite Risk Management → Funding Approach

RISK SOURCE (Tier Drivers)	RISK RESPONSE (Strategy)	FUNDING CHOICE (Integrated Plan)
Tier 1 (Mandatory) • Compliance • Safety • Failure Likely	ELIMINATE RISK (Act Now) • Tier 1 dominates	Option 1 — Full Funding • Tier 1 + Tier 2 on schedule • Advance high-value Tier 3
Tier 2 (Necessary) • Efficiency / Cost Reduction • End of Useful Life • Revenue Improvements	CONTROL RISK (Phase / Sequence) • Tier 1 + select Tier 2	Option 2 — Medium Funding • Tier 1 fully funded • Select Tier 2 • Phase most Tier 3
Tier 3 (Beneficial) • Capacity • Reliability • Correct Deficiency • Extend Useful Life	ACCEPT / DEFER RISK (Minimum Action) • Critical Tier 1 only	Option 3 — Minimum/Deferral • Only critical Tier 1 • Defer most Tier 2 & 3

RISK LEVEL → RECOMMENDED FUNDING OPTION

Likelihood ↓ Impact →	LOW	MEDIUM	HIGH
HIGH	Option 2 Medium	Option 1 Full	Option 1 Full
MEDIUM	Option 3 Minimum	Option 2 Medium	Option 1 Full
LOW	Option 3 Minimum	Option 3 Minimum	Option 2 Medium

Annual update rule: Reassess tiers, inspections, failures, regulations, and grant readiness. Adjust funding option accordingly.

Figure 14 – Composite Risk Management – Funding Approach

4.7 Reserve Impacts and Budget Comparison

The fiscal option selected by the UWPA Board will directly influence the Authority's reserve stability, annual budget requirements, and the pace at which capital improvements can be delivered. Because the CIP includes projects that are necessary to maintain reliability and compliance readiness—while also addressing cost efficiency, end-of-life replacement, and long-term resiliency—the funding level selected must be evaluated not only against project costs, but also against its effect on reserves and the long-term financial sustainability of the agency.

This section compares each funding option by (1) the expected impact to reserves and (2) total planned expenditures relative to available revenues. This comparison allows the Board to understand how each option affects UWPA's ability to respond to emergencies, maintain stable rates/member contributions over time, and avoid long-term risk created by deferring essential reinvestment.

Reserve Impacts by Option

Reserves serve as a financial safeguard to ensure UWPA can respond to unforeseen events such as infrastructure failures, emergency repairs, regulatory compliance obligations, environmental requirements, or unexpected operational disruptions. Each funding option presents a different reserve impact profile:

Option 1: Full Funding

Under Full Funding, the CIP is funded at the planned pace, with continued reserve contributions aligned with long-term reserve targets. This option typically results in the strongest reserve position over time because the Authority reduces the likelihood of emergency repairs, avoids the cost escalation associated with deferred projects, and improves overall system reliability. Although revenue demands are highest in the near term, the long-term effect is generally improved financial stability.

Option 2: Medium Funding

Under Medium Funding, Tier 1 priorities are funded and selected Tier 2 projects are implemented, while other work is phased or delayed. This option may require periodic use of reserves to manage short-term cash flow pressures or unexpected failures in deferred areas, particularly if the Authority experiences unplanned outages or urgent repairs. Reserve impacts are moderate and depend heavily on the success of project sequencing, grant funding, and the timing of regulatory obligations.

Option 3: Minimum Funding / Deferral Strategy

Under Minimum Funding, the Authority limits CIP spending to only the most critical needs, with significant deferral of Tier 2 and Tier 3 projects. While this option reduces near-term revenue demands, it can place increased pressure on reserves over time due to a higher likelihood of emergency repair costs, unplanned failures, and unbudgeted replacement needs. In this scenario, reserves may become the primary financial tool used to respond to failures rather than supporting planned investment, which can erode reserve stability and increase long-term funding gaps.

Budget Comparison and Identification of Shortfalls/Deferrals

In addition to reserve impacts, each funding option produces a different overall budget outcome when compared against expected revenues and available financing. The analysis below identifies how total expenditures compare across options and where shortfalls or deferrals may occur.

Option 1: Full Funding

Option 1 includes the full cost of planned CIP projects within the fiscal planning period, along with continued operations and reserve contributions. This option minimizes deferrals and provides the highest probability that Tier 1 and Tier 2 needs are addressed on schedule. Any funding gap under this option is typically known and can be planned for through member agency contributions, grant pursuit, or financing strategies.

Option 2: Medium Funding

Option 2 includes funding for Tier 1 projects and selected Tier 2 projects, with remaining projects deferred, bundled, or phased into later fiscal years. Under this option, shortfalls are managed through re-scheduling rather than fully abandoning projects. As a result, the CIP becomes more dependent on annual updates, grant competitiveness, and the Board's willingness to adjust funding levels year-by-year as conditions change.

Option 3: Minimum Funding / Deferral Strategy

Option 3 reflects a constrained budget approach in which only the most urgent Tier 1 projects are funded and most other projects are deferred. This option will create the largest gap between identified system needs and funded work, and it increases the probability that deferred projects will return later as higher-cost emergency repairs. While short-term expenditures are reduced, the total long-term cost of ownership is likely higher due to inflation, accelerated deterioration, and service disruption risk.

Risk Register

UWPA will maintain a Tier 1 Risk Register to ensure that the highest-risk infrastructure issues are clearly documented, tracked, and prioritized during annual budget and CIP updates. The purpose of the register is to connect critical assets to their most likely failure modes, define the consequences of failure, estimate the likelihood within the planning horizon, and identify the mitigation project(s) and implementation timing necessary to reduce risk. This tool supports transparent decision-making by linking Tier 1 prioritization directly to compliance, safety, and failure-prevention needs. The Tier 1 Risk Register will be reviewed and updated annually based on inspection findings, maintenance history, staff observations, regulatory correspondence, and project readiness.

Asset	Failure Mode	Consequences of Failure	Likelihood (1-5)	Mitigation Project	Timing / FY
<i>Example: ¾ Mile Flume (Forest Meadows)</i>	<i>Structural failure / fire vulnerability</i>	<i>Loss of water deliveries, emergency repair, public safety impacts</i>	<i>3</i>	<i>Flume rehabilitation / replacement segment upgrades</i>	<i>FY 26–27</i>

Implementation Timeline Graphic

To support transparent planning and realistic execution, UWPA will maintain a five-year implementation timeline that summarizes major project milestones across the CIP planning horizon. The timeline is intended to show how projects progress through the core delivery phases—studies, design, permitting/environmental compliance, and construction—and to ensure that workloads and funding needs are appropriately sequenced year to year. This approach allows UWPA to coordinate staffing, consultant support, grant timing, procurement lead times, and construction schedules while minimizing service disruptions and cost escalation.

The timeline will also identify outage-sensitive windows and seasonal constraints that influence project timing. Hydroelectric projects must be scheduled to reduce impacts from forced outages and lost generation revenue, including aligning construction activities with planned unit downtime and operational windows that minimize revenue loss. Similarly, many conveyance projects are constrained by weather, access conditions, flow conditions, and emergency preparedness needs. Conveyance construction and rehabilitation work will generally be timed to take advantage of favorable seasonal conditions and to avoid periods when water delivery reliability is most critical.

This implementation timeline will be updated annually during the CIP and budget adoption cycle to reflect project readiness, shifting Tier priorities, regulatory milestones, permitting status, grant opportunities, and evolving system conditions.



Implementation Timeline Graphic (Five-Year Framework)

Major Milestones: Studies → Design → Permitting → Construction | Highlights hydro outage-sensitive windows and conveyance seasonal constraints

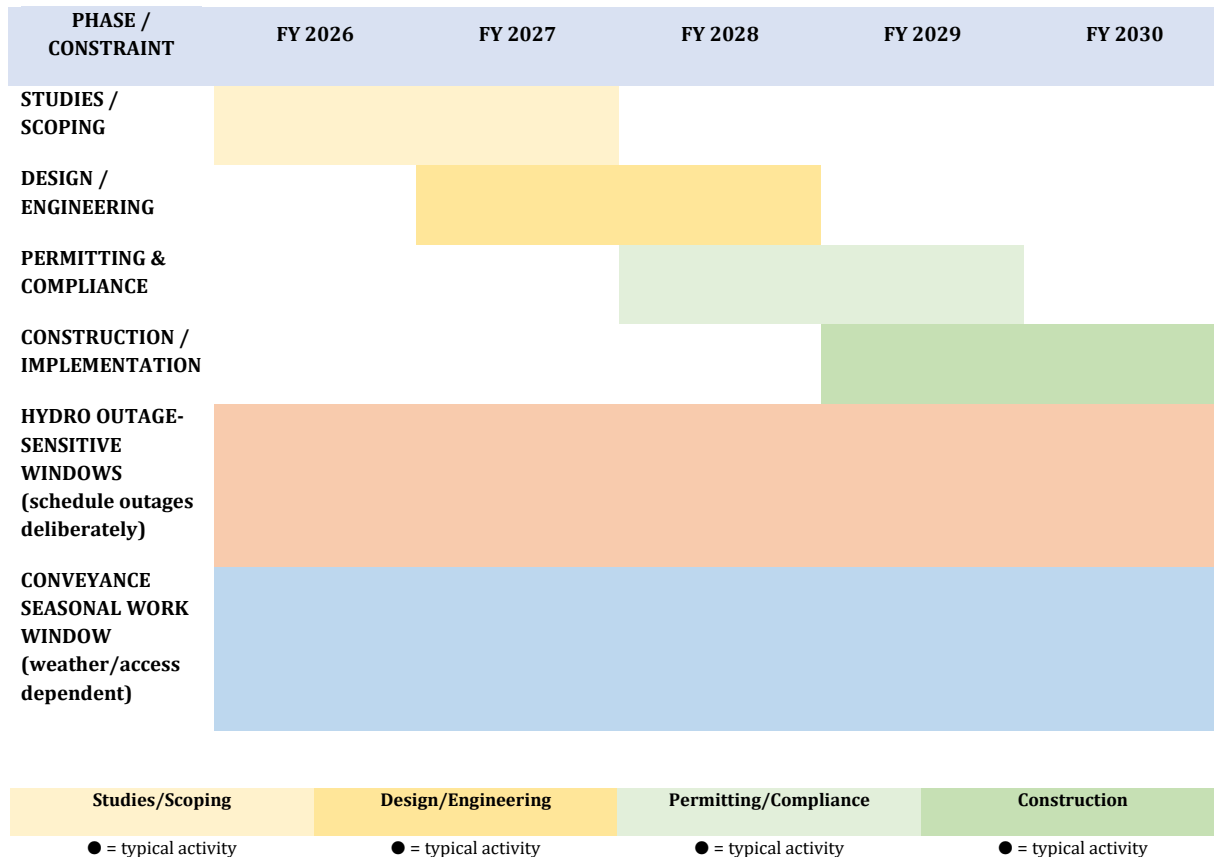


Figure: Five-year implementation framework for sequencing projects from studies to construction. Timing should be refined annually based on project readiness, permitting progress, hydro outage windows, and conveyance seasonal constraints.

Figure 15 – Implementation Timeline Graphic (Five-Year Framework)

Grant Readiness Plan

UWPA will pursue grant and outside funding opportunities where competitive and feasible to reduce member agency funding impacts and accelerate delivery of high-priority capital improvements. A structured Grant Readiness Plan improves UWPA’s ability to compete by identifying projects that align with typical funding priorities such as public safety, wildfire resilience, critical infrastructure protection, regulatory compliance readiness, energy reliability, and operational efficiency. Grant readiness also supports better sequencing within the CIP by ensuring that projects expected to pursue outside funding are advanced to the appropriate level of scope definition, environmental documentation, and cost refinement before solicitation deadlines.

Grant readiness does not replace the need for core capital funding; rather, it is intended to supplement UWPA's Integrated Funding Plan by targeting projects that can demonstrate strong public benefits, clear risk reduction outcomes, and measurable performance results.

Grant-Competitive Projects (Priority Categories)

UWPA will maintain a rolling list of projects that are likely to be competitive for grant funding based on program priorities and measurable public benefits. Projects may include the following types:

1) Wildfire Resilience and Emergency Water Supply Reliability

Projects that reduce vulnerability of the water conveyance system to wildfire, treefall, and emergency disruption are often competitive because they support community resilience and public safety.

Why they qualify: protects critical water supply, improves emergency readiness, reduces outage risk, supports wildfire response.

2) Major Conveyance Rehabilitation and Failure Prevention (Tier 1)

High-consequence conveyance improvements—particularly those that address likely failure within 5–10 years—may qualify due to reliability and risk reduction benefits.

Why they qualify: avoids catastrophic outages, protects essential service continuity, reduces emergency repair costs and service disruption risk.

3) Dam Safety and Regulatory Corrective Actions

Projects required to address dam safety deficiencies or inspection findings may be competitive depending on the funding source and eligibility constraints.

Why they qualify: protects public safety, addresses compliance obligations, reduces downstream hazard exposure.

4) Hydroelectric Reliability and Efficiency Improvements

Hydro-related upgrades may be competitive when tied to grid resilience, renewable energy reliability, operational efficiency, or safety improvements.

Why they qualify: maintains renewable generation benefits, reduces forced outages, improves efficiency and long-term reliability.

5) Operational Technology / SCADA and Critical Monitoring Improvements

SCADA and monitoring improvements are often competitive when positioned as critical infrastructure modernization, operational efficiency, or emergency response enhancement.

Why they qualify: improves situational awareness, reduces response time, reduces labor and travel needs, strengthens system monitoring.

6) Environmental Compliance and Permitting Readiness Activities (when eligible)

Certain programs allow pre-construction activities such as planning, design, environmental documentation, and permitting.

Why they qualify: accelerates delivery, improves construction readiness, strengthens compliance outcomes.

UWPA will prioritize grant pursuit for projects that are already classified as Tier 1 or Tier 2, since these provide the strongest and most defensible connection to measurable risk reduction, service continuity, and cost effectiveness.

Grant Readiness Next Steps (Standard Process)

To improve competitiveness and reduce missed opportunities, UWPA will apply the following steps to candidate projects:

1) Eligibility and Program Fit Check

Before investing significant staff time, UWPA will confirm program requirements including applicant eligibility, project type eligibility, timeline constraints, and reporting obligations.

2) Benefit Narrative Development (Quantified Where Possible)

Each grant-competitive project will include a short benefit narrative describing:

- risk reduction (Tier 1 risks mitigated)
- outage hours avoided (water and/or hydro)
- improved emergency preparedness and resilience
- lifecycle cost savings or efficiency gains
- public safety improvements

Where feasible, benefits will be quantified using UWPA's KPI scorecard measures.

3) Environmental and Permitting Readiness Review

UWPA will confirm the level of environmental documentation required and identify permitting risks early. Projects will be classified as:

- Ready now (minimal permitting)
- Near ready (permits or studies needed)
- Not ready (significant environmental pathway or unresolved constraints)

4) Cost and Scope Refinement (Grant-Quality Level)

To support credible applications, UWPA will refine project scope and cost estimates to an appropriate level for funding submission and audit readiness (including contingencies and soft costs).

5) Matching Funds Strategy

UWPA will develop a consistent approach to match requirements by identifying potential match sources such as:

- annual CIP contributions
- reserves (as permitted by policy)

- phased funding commitments
- in-kind staff time (only when allowable and properly documented)
- partner contributions (if eligible)

6) Application Calendar and Responsibility Assignment

UWPA will maintain a grant calendar and assign internal ownership for key steps including application preparation, engineering support, documentation, and compliance reporting.

Annual Update and Board Reporting

UWPA will update the Grant Readiness Plan annually as part of the CIP and budget adoption process. Updates will include:

- grant applications submitted and outcomes
- projects moved into “grant-ready” status
- funding awards and match commitments
- schedule impacts to CIP delivery

This process ensures grant pursuit remains targeted, realistic, and aligned with UWPA’s highest-priority infrastructure needs. The purpose of combining the CIP and Grants Readiness Plan is to ensure that UWPA develops shovel-ready projects based on a targeting, ranked, and comprehensive manner that aligns the greatest needs to available grants that in tandem create the most cost-effective plan to improvement and resiliency of infrastructure.

Section 5 — CIP Project Summaries (Project Sheets)

5.1 CIP Individual Project Descriptions

Appendix A for sample project sheet

Project sheets are presented in ranked order.

INSERT PROJECT SHEETS AND RANKED PROJECT ORDER

Section 1 — Project Identification (ID, name, total cost, tier, years, type)

- Section 2 — Project Description (existing issue, proposed solution, value/risk reduction)
- Section 3 — Funding by Fiscal Year (tasks by year: studies/design/permitting/construction)
- Section 4 — Potential Funding Sources (cash, grants, loans, other)
- Section 5 — Other Issues and Comments (constraints, dependencies, risk notes, photos/maps)

Appendices

- A. Sample Project Template Sheet
- B. Asset inventory summary



Appendix A – Project Sheet Template

SAMPLE

Project Title:

Project ID:

Category: ☐ Water Conveyance ☐ Hydroelectric ☐ General Facilities

Tier: ☐ 1 ☐ 2 ☐ 3

Project tiers:

Tier 1: Regulatory compliance requirement, safety issue, outside funding secured, increases revenue, or failure is likely/impending.

Tier 2: Improves operational efficiency or reduces costs, or replacement due to end of useful life of facility/equipment.

Tier 3: Increases capacity or improves reliability, corrects a deficiency, or increases an asset's useful life.

Project Type: ☐ Repair ☐ Replacement ☐ Rehabilitation ☐ New / Expansion

Location / Site:

Estimated Total Cost: \$

Asset / System Component:

Estimated Start / Finish (FYs):

Key Partners (if any):

SECTION 1 — PROJECT IDENTIFICATION (Summary)

Project Purpose (1–2 sentences):

Problem / Need Statement:

Priority Justification (Why this tier?):

☐ Regulatory / Compliance requirement (explain):

☐ Safety obligation (explain):

☐ Outside funding secured or likely (explain):

☐ High likelihood of failure (explain evidence):

☐ Operational improvement / cost savings (explain):

☐ Revenue generation (explain):

☐ Capacity / reliability improvement (explain):

SECTION 2 — PROJECT DESCRIPTION

Existing Conditions:

Proposed Improvement / Scope of Work:

Benefits / Outcomes

☐ Reduce risk of failure

☐ Improve safety

☐ Maintain compliance

☐ Improve reliability / redundancy

☐ Reduce O&M costs

☐ Increase efficiency

☐ Improve revenue performance

☐ Increase capacity / delivery capability

Expected results (specific):

Key Assumptions / Constraints

Outage windows required (dates/season):

Access / easements / property considerations:

Environmental/permitting constraints:

Coordination with members/contractors:

Seasonal limitations (weather/flows):

SECTION 3 — IMPLEMENTATION PLAN & FUNDING BY FISCAL YEAR

Major Tasks by Phase

Planning / Study: ☐ Yes ☐ No — *Notes:*

Design / Engineering: ☐ Yes ☐ No — *Notes:*

Permitting / Environmental: ☐ Yes ☐ No — *Notes:*

Procurement / Bidding: ☐ Yes ☐ No — *Notes:*

Construction / Implementation: ☐ Yes ☐ No — *Notes:*

Testing / Commissioning: ☐ Yes ☐ No — *Notes:*

Funding Schedule (By Year)

Fiscal Year	Planned Work (Scope Summary)	Estimated Cost
FY_____	_____	\$_____
FY_____	_____	\$_____
FY_____	_____	\$_____
FY_____	_____	\$_____
FY_____	_____	\$_____

Total Project Cost: \$_____

SECTION 4 — FUNDING SOURCES

Primary Funding Source(s)

☐ UWPA Cash / Reserve

☐ Loan / Debt Financing (identify):

☐ Member Contributions

☐ Other:

☐ Grant (*identify*):

SECTION 5 — OTHER ISSUES, RISKS, AND COMMENTS

Dependencies:

☐ Must occur before:

☐ Requires coordination with:

☐ Linked projects:

Operations & Maintenance Impacts

☐ O&M cost decreases ☐ O&M cost increases ☐ No change

Notes:

Notes / Attachments (*select all that apply*):

☐ Photos

☐ Inspection reports

☐ Maps / exhibits

☐ Engineering memo

☐ Vendor quotes

☐ Permits

☐ Reference(s):

OPTIONAL ADD-ON BLOCKS

A) Asset Data Snapshot

Asset Name/ID:

Install Year:

Expected Life:

Condition: ☐ Good ☐ Fair ☐ Poor

Last Inspection Date:

Failure Consequence: ☐ Low ☐ Medium

☐ High

B) Performance Measures (Before / After)

Metric	Current	Target After Project
Downtime (hrs/yr)	_____	_____
O&M cost (\$/yr)	_____	_____
Reliability (%)	_____	_____
Safety incidents	_____	_____

C) Deliverables Checklist

- ☐ Updated drawings/as-builts
- ☐ Final inspection sign-off
- ☐ Commissioning/testing results
- ☐ Updated maintenance plan

Appendix B - Asset Inventory List

Source: Member Property Report (02/28/2025)

This appendix provides a consolidated inventory of UWPA assets organized into three categories: basic property by site, licensed vehicles, and mobile equipment. This inventory supports capital planning, asset management, and lifecycle investment decisions.

A.1 Basic Property by Site

Asset Number	Risk Type	Site Number	Building Name	Description	Address	City	State
U002-001-001	Building	001-1168 BOOSTER WAY, ANGELS CAMP	OFFICE BUILDING (PARTIALLY LEASED)	Coverage includes: 1,270 linear feet of 6ft chain link fencing with three strands of barbed wire. Two remote activated security gates	1168 BOOSTER WAY	ANGELS CAMP	CA
U002-001-002	Building	001-1168 BOOSTER WAY, ANGELS CAMP	STORAGE (RECORDS) BUILDING (PARTIALLY LEASED)		1168 BOOSTER WAY	ANGELS CAMP	CA
U002-001-003	Building	001-1168 BOOSTER WAY, ANGELS CAMP	BACK CAVE BUILDING		1168 BOOSTER WAY	ANGELS CAMP	CA
U002-001-004	Building	001-1168 BOOSTER WAY, ANGELS CAMP	ANGEL'S CAMP HYDROELECTRIC PLANT		1168 BOOSTER WAY	ANGELS CAMP	CA
U002-001-005	Building	001-1168 BOOSTER WAY, ANGELS CAMP	COMMUNICATION TOWER		1168 BOOSTER WAY	ANGELS CAMP	CA
U002-001-FE001	Fixed Equipment	001-1168 BOOSTER WAY, ANGELS CAMP		HYDROELECTRIC PLANT, INCLUDING BUT NOT LIMITED TO (1) GENERATOR, GENERAL ELECTRIC, AC, TYPE ATB, (2) JET PELTON TURBINES,	1168 BOOSTER WAY	ANGELS CAMP	CA

				404 FT HEAD, 450 RPM, 1880 HP, CONTROLS, VALVES, SWITCHGEAR, SUBSTATION EQUIPMENT AND STRUCTURES, ANCILLARY DEVICES, 2 Vacuum Breakers, 1 generator breaker			
U002-001-FE002	Fixed Equipment	001-1168 BOOSTER WAY, ANGELS CAMP		GENERAC GENERATOR, MODEL RG04845JNAC, SERIAL # 3009292307	1168 BOOSTER WAY	ANGELS CAMP	CA
U002-001-PP001	Personal Property	001-1168 BOOSTER WAY, ANGELS CAMP	STORAGE (RECORDS) BUILDING (PARTIALLY LEASED)	INVENTORY- SPARE PARTS FOR HYDRO PLANT	1168 BOOSTER WAY	ANGELS CAMP	CA
U002-001-PP002	Personal Property	001-1168 BOOSTER WAY, ANGELS CAMP	OFFICE BUILDING (PARTIALLY LEASED)	OFFICE EQUIPMENT/FURNITURE	1168 BOOSTER WAY	ANGELS CAMP	CA
U002-001-PP003	Personal Property	001-1168 BOOSTER WAY, ANGELS CAMP	ANGEL'S CAMP HYDROELECTRIC PLANT	SMALL TOOLS AND SUPPLIES	1168 BOOSTER WAY	ANGELS CAMP	CA
		001-1168 BOOSTER WAY, ANGELS CAMP			1168 BOOSTER WAY	ANGELS CAMP	CA
U002-002-001	Building	002-335 HUNTERS DAM RD	RESIDENCE		335 HUNTERS DAM RD	ARNOLD	CA
U002-002-FE001	Fixed Equipment	002-335 HUNTERS DAM RD		GENERAC GENERATOR, MODEL RG02515JNAX, SERIAL # 3010213064	335 HUNTERS DAM RD	ARNOLD	CA
		002-335 HUNTERS DAM RD		900 ft no climb fencing (+\$10,800)	335 HUNTERS DAM RD	ARNOLD	CA
U002-003-001	Building	003-350 HUNTERS DAM RD	METAL STORAGE BUILDING		350 HUNTERS DAM RD	ARNOLD	CA
U002-003-002	Building	003-350 HUNTERS DAM RD	STORAGE GARAGE		350 HUNTERS DAM RD	ARNOLD	CA

U002-003-003	Building	003-350 HUNTERS DAM RD	STORAGE BUILDING		350 HUNTERS DAM RD	ARNOLD	CA
U002-003-004	Building	003-350 HUNTERS DAM RD	SAW SHED		350 HUNTERS DAM RD	ARNOLD	CA
U002-003-005	Building	003-350 HUNTERS DAM RD	OFFICE		350 HUNTERS DAM RD	ARNOLD	CA
U002-003-006	Building	003-350 HUNTERS DAM RD	EMERGENCY GENERATOR BUILDING		350 HUNTERS DAM RD	ARNOLD	CA
U002-003-FE001	Fixed Equipment	003-350 HUNTERS DAM RD		PLC CABINET AND INSTRUMENTATION, DATALOGGER, COMPUTER W/INTERFACE AND ALARM SOFTWARE	350 HUNTERS DAM RD	ARNOLD	CA
U002-003-FE002	Fixed Equipment	003-350 HUNTERS DAM RD		VALVES, GATE, ACTUATOR, ELECTRICAL, MISC EQUIPMENT	350 HUNTERS DAM RD	ARNOLD	CA
U002-003-PP001	Personal Property	003-350 HUNTERS DAM RD	STORAGE BUILDING	\$200,000 Duperon Trash Rack in storage	350 HUNTERS DAM RD	ARNOLD	CA
				LUMBER INVENTORY, SUPPLIES AND SMALL TOOLS			
U002-003-PP002	Personal Property	003-350 HUNTERS DAM RD		INVENTORY, WOOD	350 HUNTERS DAM RD	ARNOLD	CA
		003-350 HUNTERS DAM RD			350 HUNTERS DAM RD	ARNOLD	CA
U002-004-001	Building	004-CANALS DISTRICT WIDE	LOWER UTICA CANAL		ANGELS CAMP	ANGELS CAMP	CA
U002-004-002	Building	004-CANALS DISTRICT WIDE	ANGELS CANAL		ANGELS CAMP	ANGELS CAMP	CA
U002-004-003	Building	004-CANALS DISTRICT WIDE	UPPER UTICA CANAL		ANGELS CAMP	ANGELS CAMP	CA
		004-CANALS DISTRICT WIDE			ANGELS CAMP	ANGELS CAMP	CA

U002-005-001	Building	005-ANGELS FOREBAY	GAUGING STATION	1,600 ft chain-link fence (+\$9,600)	ANGELS FOREBAY	ANGELS CAMP	CA
U002-005-FE001	Fixed Equipment	005-ANGELS FOREBAY		GRIZZLY, MANUAL	ANGELS FOREBAY	ANGELS CAMP	CA
U002-005-FE002	Fixed Equipment	005-ANGELS FOREBAY		PENSTOCK, WELDED STEEL, 3' DIAMETER, ABOVE GROUND	ANGELS FOREBAY	ANGELS CAMP	CA
		005-ANGELS FOREBAY			ANGELS FOREBAY	ANGELS CAMP	CA
U002-006-FE001	Fixed Equipment	006-CANDY ROCK ROAD		GENERAC GENERATOR, MODEL G0072259, SERIAL # 3008791135	CANDY ROCK ROAD	AVERY	CA
		006-CANDY ROCK ROAD			CANDY ROCK ROAD	AVERY	CA
U002-007-PP001	Personal Property	007-DISTRICT-WIDE		PERSONAL PROPERTY ON LICENSED VEHICLES AND MOBILE EQUIPMENT	DISTRICT-WIDE	ANGELS CAMP	CA
		007-DISTRICT-WIDE		10 @ \$2,000 ea 2" Mag Irrigation meters, 4 @ \$3,500 ea 6" Mag Meters, 2 @ 2" \$ 2,500 insertion meter, 1 @ 3" \$3,500 insertion meter, 2 @ 1" \$250 mag meter.	DISTRICT-WIDE	ANGELS CAMP	CA
U002-008-001	Building	008-FLUMES DISTRICT WIDE	FLUMES		FLUMES DISTRICT WIDE	ANGELS CAMP	CA
		008-FLUMES DISTRICT WIDE			FLUMES DISTRICT WIDE	ANGELS CAMP	CA
U002-009-001	Building	009-MILL CREEK TAP	MILL CREEK TUNNEL TAP OUTLET STRUCTURE		MILL CREEK TAP	ANGELS CAMP	CA
U002-009-FE001	Fixed Equipment	009-MILL CREEK TAP		PIPING, STEEL(35'), W/AIR & VAC VALVE	MILL CREEK TAP	ANGELS CAMP	CA
U002-009-FE002	Fixed Equipment	009-MILL CREEK TAP		WATER LEVEL INSTRUMENTATION, TELEMETRY, PROPANE TANK, PLC, CONTR	MILL CREEK TAP	ANGELS CAMP	CA

U002-009-FE003	Fixed Equipment	009-MILL CREEK TAP		VALVE, HOWELL BUNGER	MILL CREEK TAP	ANGELS CAMP	CA
U002-009-FE004	Fixed Equipment	009-MILL CREEK TAP		STRUCTURE EQUIPMENT, HYDRAULIC GOVERNOR UNIT, 15 KW GENERATOR, SCADA EQUIPMENT, ELECTRICAL PANEL	MILL CREEK TAP	ANGELS CAMP	CA
		009-MILL CREEK TAP			MILL CREEK TAP	ANGELS CAMP	CA
U002-010-FE001	Fixed Equipment	010-MURPHYS AFTERBAY		GENERAC GENERATOR, MODEL RG02515JNAX, SERIAL # 3010212533	MURPHYS AFTERBAY	MURPHYS	CA
		010-MURPHYS AFTERBAY		705 ft chain link fencing (+\$4,230)	MURPHYS AFTERBAY	MURPHYS	CA
U002-011-001	Building	011-MURPHYS FOREBAY	GAUGING HOUSE	225 ft chain link fence (+\$1,350)	MURPHYS FOREBAY	ANGELS CAMP	CA
U002-011-FE001	Fixed Equipment	011-MURPHYS FOREBAY		PENSTOCK, WELDED STEEL, 3' - 4' DIAMETER, UNDERGROUND, ROTAX VALVE	MURPHYS FOREBAY	ANGELS CAMP	CA
U002-011-FE002	Fixed Equipment	011-MURPHYS FOREBAY		GENERAC GENERATOR, MODEL 0062500, SERIAL # 8797017 - 166.7AMP	MURPHYS FOREBAY	ANGELS CAMP	CA
U002-011-FE003	Fixed Equipment	011-MURPHYS FOREBAY		TRASHRACK, SELF-CLEANING	MURPHYS FOREBAY	ANGELS CAMP	CA
		011-MURPHYS FOREBAY			MURPHYS FOREBAY	ANGELS CAMP	CA
U002-012-001	Building	012-MURPHY'S HYDROELECTRIC PLANT	POWERHOUSE	450 ft chain link fence around powerhouse (+\$2,700)	MURPHYS HYDROELECTRIC PLANT	ANGELS CAMP	CA
U002-012-002	Building	012-MURPHY'S HYDROELECTRIC PLANT	STORAGE BUILDING, BASE OF AFTERBAY DAM		MURPHYS HYDROELECTRIC PLANT	ANGELS CAMP	CA
U002-012-FE001	Fixed Equipment	012-MURPHY'S		HYDROELECTRIC PLANT, INCLUDING BUT NOT LIMITED TO	MURPHYS HYDROELECTRIC PLANT	ANGELS CAMP	CA

		HYDROELECTRIC PLANT	(1) 4500 KW GENERATOR, GENERAL ELECTRIC, AC, TYPE ATI, 3 PHASE (1) 5375 HP MULTI-JET PELTON TURBINE, HYDRAULIC SYSTEMS, ROTARY VALVE, PLANT CONTROLS, TELEMETRY, ANCILLARY SYSTEMS			
U002-012-FE002	Fixed Equipment	012-MURPHY'S HYDROELECTRIC PLANT	TRANSFORMER, OIL FILLED, PAD MOUNTED, 18,050V - 2400 V, TYPE SI, 3 PHASES, WESTINGHOUSE	MURPHYS HYDROELECTRIC PLANT	ANGELS CAMP	CA
U002-012-FE003	Fixed Equipment	012-MURPHY'S HYDROELECTRIC PLANT	SUBSTATION STEEL AND EQUIPMENT, INCLUDING STRUCTURES, SWITCHES, CIRCUIT BREAKERS, ANCILLARY DEVICES. 2 Vacuum Circuit Breakers, 2 Field Pot. Transformers (+\$200,000)	MURPHYS HYDROELECTRIC PLANT	ANGELS CAMP	CA
		012-MURPHY'S HYDROELECTRIC PLANT		MURPHYS HYDROELECTRIC PLANT	ANGELS CAMP	CA

A.2 Licensed Vehicles

Asset Number	Unit Number	Model Year	Make	Model	VIN / Serial Number	Description	Class
U002-AUTO-001		2007	MISCELLANEOUS	2500	1GBHK24667E574630	CHEVEROLET, SILVERADO 2500	6001 - LIGHT TRUCK
U002-AUTO-002		2022	DODGE	RAM 1500	1C6SRFJTXNN307803	DODGE, RAM 1500	6001 - LIGHT

							TRUCK
U002-AUTO-003		2015	TOWMASTER	EB TRAILER	4KNTT1628FL161052	TRAILER, TOWMASTER, EB TRAILER	6000 - ALL OTHER
U002-AUTO-004		2021	GENERAC	0002438586	3008789622	TRAILER W/GENERAC GENERATOR	6000 - ALL OTHER
U002-AUTO-005		2020	RAM	3500	3C7WRTBL2LG106364	RAM, 3500, REGULAR CAB 4X4	6001 - LIGHT TRUCK
U002-AUTO-006		2021	CHEVROLET	COLORADO	1GCHTCEN7M1256202	CHEVROLET, COLORADO	6001 - LIGHT TRUCK
U002-AUTO-007		2020	CHEVROLET	SILVERADO	1GC3YLE76LF201917	CHEVROLET, SILVERADO	6001 - LIGHT TRUCK
U002-AUTO-008		2017	TOYOTA	TACOMA	5TFSX5EN0HX052351	TOYOTA, TACOMA	6001 - LIGHT TRUCK
U002-AUTO-009		2017			5SHFP2021HB000466	TRAILER, KAUFMAN P-STANDARD	6000 - ALL OTHER
U002-AUTO-010		2020	PJ TRAILERS	DMA1472	4P5DM1420L1316140	TRAILER, PJ DUMP, DMA1472	6000 - ALL OTHER
U002-AUTO-011		2005	MISCELLANEOUS	MISCELLANEOUS	2SWUW11A05S021034	TRAILER, SNOWBEAR	6000 - ALL OTHER
U002-AUTO-012		2006	FORD	RANGER	1FTYR15E16PA24195	FORD, RANGER	6001 - LIGHT TRUCK
U002-AUTO-013	UPA3 CM	1999	FORD	F250	1FTNF21LXXEB07501	FORD, F250	6001 - LIGHT TRUCK

U002-AUTO-014	2004	BIG TEX	VAN	16VVX101731A77213	TRAILER, BIG TEX, VANGUARD, 5X10, 30SV-10	6000 - ALL OTHERR
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A.3 Mobile Equipment

Asset Number	Unit Number	Model Year	Serial Number	Description	Valuation Type	Scheduled Value
U002-ME-001		2017	AT6313174	BOBCAT, T770 T4 COMPACT TRACK LOADER	ACTUAL CASH VALUE	111130.0
U002-ME-002		2023	KBCDZ47CKN3L11263	EXCAVATOR, KUBOTA W/RUB TKS/SC CAB/ANGLE BLADE; U48-5R3A - Masticating Head for Excavator	ACTUAL CASH VALUE	68897.53
U002-ME-003			C-10HL	RIDLEY, GUNITE MACHINE, ROTARY	ACTUAL CASH VALUE	22044.0
U002-ME-004		2023	Y655-722-4845-383	FORKLIFT, CLARK C500-YS80 W/SIDE SHIFTER SERIAL #830364	ACTUAL CASH VALUE	12500.0
U002-ME-005			CC752161	CEMENT MIXER	ACTUAL CASH VALUE	2783.0

