

June 5, 2020

VIA ELECTRONIC MAIL

Alice Stebbins, Executive Director
California Public Utilities Commission
505 Van Ness Avenue
San Francisco, CA 94102

Re: Request for Initial Safety Certification under Public Utilities Code Section 8389

Dear Executive Director Stebbins:

In accordance with Public Utilities Code Section 8389(e) and the guidelines set forth in the July 12, 2019, letter from Elizaveta Malashenko, I hereby request on behalf of Bear Valley Electric Service, Inc. (“BVES Inc.”) an initial safety certification. This cover letter sets forth the requirements for this initial safety certification and explains that BVES Inc. meets them. Attachment 1 is my affidavit stating that all of the information contained in this cover letter is true and accurate. A copy of this cover letter and its attachments is available on the BVES Inc. website at www.bves.com.

At the outset, please note that BVES Inc. will soon acquire all of the electric utility assets, operations and customers previously held by Golden State Water Company (“GSWC”), through its Bear Valley Electric Service Division (“BVES Division”). The Commission approved this transfer in Decision 19-12-039, and GSWC has been working to complete the conditions to closing and expects to complete the transfer on or shortly after July 1, 2020.

Please also note that on December 18, 2019, GSWC sought an initial safety certification for BVES Division, and the Commission granted that initial safety certification on February 4, 2020.¹ Because BVES Inc. will soon succeed to all of BVES Division’s assets, and for ease of reading, references to BVES Inc. in the past tense below may actually pertain to its predecessor, BVES Division.

1. Section 8389(e)(1): The electrical corporation has an approved wildfire mitigation plan.

BVES Inc. filed its currently applicable wildfire mitigation plan on February 6, 2019. The Commission approved BVES Inc.’s wildfire mitigation plan in Decision 19-05-040 (issued on June 4, 2019), finding that “Bear Valley Electric Service’s Wildfire Mitigation Plan contains the elements required by Public Utilities Code Section 8386(c).”² A copy of BVES Inc.’s

¹ To the extent that the Commission would prefer to transfer that initial safety certification from BVES Division to BVES Inc., please consider this letter to be a request for such a transfer.

² D.19-05-040, at 84 (Ordering Paragraph 14).

approved wildfire mitigation plan may be found on our public website at www.bves.com.³

2. **Section 8389(e)(2): The electrical corporation is in good standing, which can be satisfied by the electrical corporation having agreed to implement the findings of its most recent safety culture assessment, if applicable.**

The Commission has yet to undertake a safety culture assessment for BVES Inc.; nevertheless, BVES Inc. is in good standing. BVES Inc. has implemented and is in compliance with a state of the art wildfire mitigation plan. Currently, BVES Inc. is ahead of schedule in connection with its tree attachment removal and pole loading remediation programs. In addition, BVES Inc. meets or exceeds the requirements of General Order 95 in respect of vegetation management throughout its system. According to its proposed 2020 Wildfire Mitigation Plan, BVES Inc. will invest more than \$46 million over the next three years in efforts to harden its system and to further protect against and mitigate the impacts of wildfires. Further, safety (both for customers and employees) is a key consideration for BVES Inc. in all that we do. In conducting operations and executing projects, BVES Inc. evaluates the impact on increasing public safety and reducing safety related risk in a quantitative manner as delineated in D.19-04-020 “Phase Two Decision Adopting Risk Spending Accountability Report Requirements and Safety Performance Metrics for Investor-Owned Utilities and Adopting a Safety Model Approach for Small and Multi-Jurisdictional Utilities.” This methodology of quantifying risk mitigation allows BVES Inc. management to dedicate resources to the most impactful projects and operations to promote public safety.

BVES Division was requested to provide additional safety documentation during the processing of its initial safety certification. Those materials are attached to this request as Attachment 4.

3. **Section 8389(e)(3): The electrical corporation has established a safety committee of its board of directors composed of members with relevant safety experience.**

BVES Inc. will have a new board of directors that is different than the GSWC board of directors applicable to BVES Division’s safety certification. The BVES Inc. board of directors has established a safety committee composed of three BVES Inc. board members with relevant safety experience. The safety committee’s charter is attached to this cover letter as Attachment 2. The members of this safety committee are Mr. Jack Hawks, Mr. Harry Scarborough and Mr. Paul Marconi. The biographies of the committee members, including statements of their relevant experience, are included in Attachment 3.

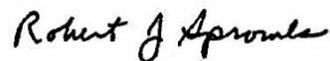
4. **Section 8389(e)(5): The electrical corporation has established board-of-director-level reporting to the commission on safety issues.**

³ BVES Division filed its 2020 wildfire mitigation plan on February 7, 2020. A draft resolution conditionally approving the 2020 plan was issued on May 7, 2020, and is pending action by the Commission.

BVES Inc. board member Paul Marconi, who will be the President and Treasurer of BVES Inc upon the completion of the transfer, is the director designated to report directly to the Commission on safety issues. Mr. Marconi has been with BVES Inc. since 2014 and was its Director, responsible for all BVES Inc. operations -- including in respect of safety -- since 2016. Mr. Marconi is a member of the safety committee of BVES Inc.'s board of directors.

As set forth above, BVES Inc. has met the requirements for an initial safety certification under Section 8389 and hereby requests such certification. Please do not hesitate to contact me with any questions or comments.

Kind regards,



Robert J. Sprowls,
President

cc: Elizaveta Malashenko
Melissa K. Semcer

ATTACHMENT 1

Affidavit of Robert Sprowls

AFFIDAVIT

I am an officer of the corporation identified herein and am authorized to make this affidavit on its behalf. I am informed and believe that all of the information set forth in the foregoing document is true and accurate.

I declare under penalty of perjury that the foregoing is true and correct.

Executed this 5th day of June, 2020, at San Dimas, California.

Robert J. Sprowls

Robert J. Sprowls

President

BEAR VALLEY ELECTRIC SERVICE, INC.

630 E. Foothill Blvd.

San Dimas, CA 91773

ATTACHMENT 2

Safety Committee Charter

SAFETY AND OPERATIONS COMMITTEE CHARTER OF THE BEAR VALLEY ELECTRIC SERVICE, INC. BOARD OF DIRECTORS

Purposes

The Safety and Operations Committee (“Committee”) of the Bear Valley Electric Service, Inc. (“BVES”) Board of Directors (“Board”) shall be responsible for overseeing (i) the preparation of BVES’s wildfire mitigation plan and the assessment of BVES’s compliance with the plan, (ii) other activities intended to identify wildfire risks and other safety risks related to the operation and maintenance of the BVES electric utility system, (iii) steps taken to reduce such risks and to respond to safety events, and (iv) such other matters as set forth in this charter or delegated to the Committee from time to time by the Board. The oversight role of the Committee with respect to such BVES safety-related matters does not alter management’s safety-related authority, responsibility or accountability.

Organization

The Board shall appoint members of the Committee annually. The Board may remove any member of the Committee at any time with or without cause.

The Committee shall consist of not less than two members of the Board with relevant safety experience.

The Board shall designate one of the Committee members as Chair who shall preside over meetings of the Committee and report any actions or recommendations to the Board. If the Chair is not present at a meeting, the Committee may designate a Chair for such meeting. It is the responsibility of the Chair to schedule all meetings of the Committee and develop a written agenda for all meetings.

General

The Committee shall hold meetings on a regularly scheduled basis and as necessary. One-third of the members of the Committee shall constitute a quorum for the transaction of business, provided that in no event shall a quorum be less than two members. The Committee may determine its own rules of procedure, including notices of meetings. Meetings may be attended in person, by telephone conference, or by video conference. Meetings may be attended by members of the Board that are not Committee members (but are not entitled to vote on Committee matters). At the Committee’s discretion, members of management, legal counsel and/or outside consultants may attend Committee meetings if the Chair determines that their presence is desirable and appropriate.

The Committee shall have unrestricted access to members of management and all information relevant to its responsibilities.

The Chair shall appoint a member of the Committee or an employee of BVES or legal counsel to take and keep regular minutes of all Committee proceedings. The minutes of each meeting shall

be reviewed and approved, may be reviewed by legal counsel and shall be made available to the Board.

Responsibilities

The Committee shall be responsible for reviewing, approving, modifying, and assessing the effectiveness of, and seeking to improve, BVES's safety culture and its safety programs, policies and practices related to the operation and maintenance of its electric utility system, and for considering actions to prevent, mitigate or respond to wildfires and other BVES risks related to the operation and maintenance of its electric utility system.

The Committee shall be responsible for reviewing, approving, modifying and assessing BVES's safety-related performance metrics related to wildfires and other BVES risks related to the operation and maintenance of its electric utility system.

The Committee shall be responsible for reviewing, approving, modifying and assessing BVES's operations, significant developments, resources, risks and risk mitigation plans related to:

1. The potential of BVES's equipment or operations to cause wildfires;
2. Safety of BVES's equipment, operations, employees and service to its customers;
3. Resilience of BVES's electric system and equipment; and
4. Emergency responses to wildfires and other BVES safety events related to the operation and maintenance of its electric utility system.

The Committee shall report regularly to the Board on deliberations, recommendations and actions taken by the Committee, and shall review the Committee's charter and its performance annually.

The Committee shall perform and carry out such additional functions or activities necessary to fulfill its responsibilities and such other duties as may be assigned by the Board from time to time.

ATTACHMENT 3

Safety Committee Member Biographies

RESUME of QUALIFICATIONS

SUMMARY OF EXPERIENCE

Senior Energy and Water Utility Executive with proven record of regulatory, legislative and public affairs successes for a major national energy company, two national energy associations, and one state water utility association. Forty-five years' experience in natural gas utility marketing and media relations, wholesale electric power generation and power marketing, power plant siting and development, federal energy regulatory policy, water utility regulatory and legislative affairs, as well as acquisitions and consolidation of small water utilities. Areas of expertise include:

- Water/Electric Utility Regulatory Affairs
- Water/Electric Utility Legislative Affairs
- Cost-of-Service Ratemaking/Rate Design
- Federal ISO and State PUC Regulatory Policy
- Water/Electric Utility Public Policy
- Association Management
- Wholesale Electric Power Marketing
- Merchant Power Plant Screening/ Development
- Business Presentations and Proposals
- Media Relations/Public Affairs
- Conference Program Development
- Staff Support for Boards of Directors
- Coalition Building/Grass Roots Support
- Utility Marketing/Communications

ACCOMPLISHMENTS

- Served as the first Executive Director of the California Water Association for 14-plus years; successfully implemented its ongoing regulatory, legislative and communications plans. Was instrumental in the development and enactment of multiple water industry/CPUC/State Water Resources Control Board legislative statutes and regulatory policies during that time.
- Served on the Board of Directors of the Electric Reliability Council of Texas (ERCOT) and was Board Chair in 2000-2001. Was one of the principals in the design and initial operation of the ERCOT Independent System Operator (ISO) wholesale market, the ERCOT retail electric market, and the integration of these two market designs with ERCOT's reliability responsibilities and obligations.
- Served on the Pennsylvania-New Jersey-Maryland (PJM) ISO's Members (policymaking) Committee from 1998 -2002 and chair of its Governance Committee. Helped refine PJM's market design and establish a governance structure that provided equity for utilities, wholesale and industrial customers, power marketers, retail energy suppliers, independent power producers, and regulators.
- Served as a principal in the design and establishment of the North American Energy Standards Board (NAESB), and particularly its governance structure.
- Effectively managed the media relations programs of the American Gas Association and the Electric Power Supply Association.

EMPLOYMENT HISTORY

J.K. HAWKS & ASSOCIATES, INC. – President 2005 – 2020
Provided water/energy utility consulting services.

CALIFORNIA WATER ASSOCIATION – Executive Director 2005 – 2020
Served as lead executive officer; managed the Association's regulatory, legislative, and communications programs; represented the Association before the California PUC, the State Water Resources Control Board, the Dept. of Water Resources, the Governor's Office and the state legislature.

ELECTRIC POWER SUPPLY ASSOCIATION – Vice President, Public Affairs & Planning 2003 – 2005

Managed the Association’s state regulatory and legislative programs, as well as its media relations, external communications and planning functions.

PG&E NATIONAL ENERGY GROUP

1991 - 2003

Vice President Regulatory Affairs and Market Policy

(1998 - 2003)

Responsible for Regional Transmission Organization (RTO) and ISO regulatory policy development and implementation in PJM, New York ISO, New England ISO, Midwest ISO, ERCOT, Southwest Power Pool, RTO West and the California ISO. Ensured a favorable business environment for the company’s capital assets and continually advocated for development of a functional wholesale market structure that optimized the company’s market and energy trading activities.

Vice President, Government Relations

(1995 – 1998)

Responsible for federal and state legislative affairs, and for state regulatory affairs. Managed a dozen local consultants involved with advocating on behalf of the company in its local power plant development activities, as well its power plants in construction and operation.

Director, Public Affairs

(1991-1995)

Responsible for all local community activities, including advocacy, NIMBY efforts, and media relations with local municipalities, city councils, county commissions, planning commissions, legislators, etc., in connection with the development, construction and operation of approximately 15 different power plants in more than a dozen states from California to Florida.

AMERICAN GAS ASSOCIATION –

1975 – 1991

Director, Public Information

(1988 - 1991)

Responsible national media relations and all external communications; responsible for writing and preparation of senior officer speeches and presentations; editor of the Association’s weekly government relations newsletter.

Director, Advertising Programs

(1986 - 1988)

Responsible for the natural gas distribution industry’s national advertising program, which included preparation of print ads and television commercials that appeared in national business and newsweekly publications, as well as political talk shows, television news shows, and major televised sporting events (e.g. World Series, NFL Playoffs, Rose Bowl, etc.)

Manager, Advertising & Promotion

(1981 - 1986)

Assisted the Director in all the above tasks and was solely responsible for the Association’s business-to-business industrial and commercial advertising and advertorials, including cooperative marketing programs with manufacturers of natural gas-fueled appliances and equipment.

Assistant Manager, Advertising & Promotion

(1977 - 1981)

Similar to above, but without the sole responsibility of the I/C advertising.

Production Assistant

(1975 - 1977)

Responsible for production of trade advertising and all promotional materials.

HONORS

- Member of American Gas Association’s Industrial/Commercial “Hall of Flame”
- Member of American Gas Association’s Residential “Hall of Honor”
- Recognized by NAESB for the instrumental role he had in its formation
- Recognized by the California State Senate for his contributions to California water utility policy.

OTHER QUALIFICATIONS

- MBA, George Mason University, Fairfax, VA
- BS Journalism & Mass Communications, University of Kansas, Lawrence, Kansas

JOHN K. (JACK) HAWKS

1283 Honey Trail, Walnut Creek, CA 94597-2126
415.305.4393 ♦ jkhawks@comcast.net

- Attended College of William & Mary, Williamsburg, VA; majored in political science.
- Accredited by the Public Relations Society of America

Harry Scarborough

Eagle, ID 83616 | 530.531.7018 | his3rd@yahoo.com | <https://www.linkedin.com/in/harry-scarborough/>

Target: Board of Directors – Electric Utility & Power Generation Sectors

Expert in Mergers & Acquisitions, Operations, Risk Management, and Strategic Plan Development

Experienced board member with 25+ years of experience in the Electric Utility and Power Generation, Education, and Business Development sectors with a history of award-winning performance as a visionary leader for development planning, goal setting, budget forecasting, and advancing corporate growth. Repeated success propelling teams to improve operational efficiencies including performance metrics in support of the corporate strategic plan. Applied varied experience that provides valuable perspective to boards to cultivate a sense of partnership across the company. Incorporated a drive for growth with fiscal responsibility and emphasis on generating the highest possible ROI/ROR.

Highlighted executive achievements include:

- Achieved 8% YoY growth in annual revenues for 2018 & 2019 (Northwest Lineman College)
- Generated enrollment growth by 10-30% between campuses (Northwest Lineman College)
- Received Campus of the Year Award 2017 & 2018 (Northwest Lineman College)
- Successful negotiation of union contract renewals (BVES)
- In 2015, Achieved a 9.7% actual Rate of Return against a budgeted 8.6% through an ambitious capital improvement program. (BVES) □
- In 2015, ROE was 12.26% compared to a forecasted 11.32%. Earnings per share (EPS) were \$.07 vs \$.06 budgeted.
- Developed ambitious capital improvement programs (BVES), to include undergrounding of distribution
- Former Executive Member of the Southern California Leadership Council Energy Subcommittee formed in 2012 to address energy policy and quality of life issues in Southern California. (BVES)
- Extensive experience dealing and negotiating with the California Public Utility Commission, the Federal Energy Regulatory Commission and the North American Electric Reliability Council. (MMC Energy)

EXECUTIVE LEADERSHIP PERFORMANCE

Chief Education Officer/ VP of Campus Operations (2019 – Present) | Campus President (2016 – 2019)

Northwest Lineman College (<https://lineman.edu/>) | Ada County, Idaho | 2016 - Present

A private vocational technical college with a concentration on careers in the electric power, telecom, and natural gas industries offering career training programs in partnership with a Fortune 500 company, Quanta Energy Services.

SCOPE: Curriculum Development & Program Development ▪ 4 U.S. Campuses ▪ 8,000+ Students ▪ 16 Direct Reports ▪ 1,000+ Employer Facilitation ▪ Manage education operations, finance, enrollment engagement, and business standards.

SUMMARY OF CONTRIBUTIONS: Advanced quickly from Campus President to the Chief Education Officer based off the ability to advance to positions of increasing scope, responsibility, and complexity while delivering against operational, team, and financial performance goals. Serve as one of five officers reporting to directly to the CEO. Provide educational strategic planning and direction related to proven best practices in the power delivery, gas, and telecommunications industries. Establish B2B relationships to fuel student's training and learning experience for future career opportunities. Recruit, onboard, train, and lead a department of 16 curriculum developers, graphic designers, and instructional designers to develop world-class educational materials for the utility trades. Assists in the creation of new programs and courses.

SELECTED ACCOMPLISHMENTS:

- Initiated weekly situation reports from all four campus presidents to drive enrollments and campus objectives.
- Conducted mock audits every six months leading to all campuses receiving outstanding grades through our internal audit process in advance of the actual audit dates.
- Worked extensively with the marketing group to analyse the student market to further focus on areas that could have the greatest impact.
- Accelerated an 8% YoY growth in annual revenues for 2018-2019; drove enrollments up by 10-30% on each campus; reduced expenses 3-5% annually for 2018-2019.

Director

Bear Valley Electric Service (<https://www.bves.com/home/>) | Big Bear Lake, CA | 2010-2016

Bear Valley Electric Service is a leading provider of power to the Lake Williams, Erwin Lake, Sugarloaf, Big Bear City, Big Bear Lake, Moonridge, Fawnskin and Boulder Bay areas.

SUMMARY OF CONTRIBUTIONS: Created accountability within the organization by performing change management initiatives including the reconstruction of the entire team of approximately 30 employees, revising policies and procedures, and establishing internal KPIs in support of the corporate strategic plan. Provided the utility with instantaneous data that was previously unavailable by replacing analog mechanical meters for every customer with automated digital meters. Improved labor costs with better visibility on the scope of power outage events.

SELECTED ACCOMPLISHMENTS:

- Decreased customer informal CPUC complaints by 30% with only two complaints for 2012.
- Reliability of electrical service was 99.99%.
- Doubled net income in the first year of this position through successful general rate case filing and cutting of operations and maintenance expenses.
- Initiated capital improvement to replace all meters with AMRs resulting in a reduced labor expenses and \$200K in savings
- Held down wage increases to 2.5%, 2.25% and 2.25% for 2011, 2012 and 2013, significantly below the union's requested increases.
- Co-Authored Bear Valley Electric Enterprise Risk Assessment Matrix – Identifying Key Operational and Financial Risks and actions to mitigate identified risks
- Completed phase 1 & 2 of the Big Bear Boulevard Undergrounding Project and completing the designing and planning for Phases 3 &4

Senior Vice President

MMC Energy, Inc. (<http://www.mmccenergy.com/>) | New York, NY | 2006-2009

SUMMARY OF CONTRIBUTIONS: Established a business strategy for the California region to include analyzing market conditions, contacting current owners to discuss plans to divest assets, and performing due diligence during advanced stages of bid proposals for renewable and fossil-fired facilities. Developed strategy for taking company through an intensive public offering and lining up investors for key capital purchases and company growth.

SELECTED ACCOMPLISHMENTS:

- Negotiated a twenty-five-million-dollar loan facility with GE for the purchase of gas turbines
- Successfully permitted a repowering application through a conditional use permit process utilizing a mitigated negative declaration

ADDITIONAL PREVIOUS CAREER EXPERIENCE

Director of Operations, Maintenance, and Construction | Commissioning, Enron Wind/GE Wind Corporation | 1998 – 2001

International Regional Manager | GE Power systems/Stewart and Stevenson | 1996 – 1998

Plant Manager | Stewart and Stevenson Operations, Inc. | 1995 – 1996

Plant Manager | LFC Power Systems | 1993 – 1995

EDUCATION

Executive Graduate Certificate in Business Administration - University of Notre Dame, Notre Dame, Indiana

Master of Science, Organizational Development - Chapman University, Orange, CA

Master of Arts, Education and Training - Chapman University, Orange, CA

Bachelors Business Administration - National University, San Diego, CA

Graduate, Office of Water Programs, Water Distribution. System O&M - California State University Sacramento
California General Building Contractor's License ▪ Navy Nuclear Power Training

Paul A. Marconi

PO Box 6215
Big Bear Lake, CA 92107

LinkedIn profile: www.linkedin.com/in/pmarconi

Mobile: 909-809-4296
Email: paulmarconi1@gmail.com

Summary: Excellence in operational leadership of businesses, customer programs, production facilities, power plants, personnel, technical programs, and engineering projects. Specializes in developing and leading Teams to achieve **Operational Excellence.**

- Director of a regulated investor owned utility (IOU) with accountability for P&L, operations, energy supply, financial performance, regulatory compliance, customer service, public relations and leadership of employees.
- Captain of a Los Angeles Class attack nuclear submarine and Base Commander of major Navy nuclear submarine base.
- Director of Operations of engineering and software business unit in oil & gas and power generation with P/L accountability.
- Operations & Planning Manager for electric power generation, transmission and distribution of a regulated IOU.
- Proven management of large matrix organizations (800+personnel), high value assets (\$2B+), programs (\$1B+), projects (\$500MM+) and operating budgets (\$104MM+) in defense, power generation (nuclear, fossils, renewables) and oil & gas.
- Significant experience in risk based methodologies, reliability engineering, mechanical integrity, predictive & preventive maintenance, inspection & remediation programs, outage planning & execution & operator behavioral performance programs.
- Business development leader with excellent sales growth – raised contracted backlog by 22% and sales pipeline by 46%.
- Change leader who implemented Geographic Information Systems (GIS), Outage Management System (OMS), Supervisory Control & Data Acquisition (SCADA), Enterprise Resource Planning (SAP), PeopleSoft Financials & HR Manager (Oracle), Customer Relationship Management (CRM – MS Dynamics), Voice of Customer (Net Promoter Score) and ISO 9001 QM.
- Strong record of building high performance technical teams, establishing operational excellence and achieving goals. Skilled in budgeting for profit, strategic planning, managing operations and production, leading continuous improvement and quality programs, managing change, cost control strategies, capture management, and building and managing Customer relationships.

Converts high-level strategic goals into day-to-day measurable and executable tasks. Motivates Team to deliver results.

Skills: Executive Leadership; Strategic Planning; Business Development; Business Operations (P/L); Budgeting & Forecasting; Program & Major Project Management; Risk-Based Decision Making; Team Building, Mentoring, Personnel Management; Engineering & Technology; Equipment Reliability & Asset Mechanical Integrity; Power Plant and Oil & Gas Operations; Environmental, Safety & Code Compliance; Training; Leading Change, Program Implementation; Sales Proposals, Vendor/Supplier Qualification, Contracts & Negotiation; Continuous Process Improvement, Quality Management Systems, Root Cause Analysis; Business Analytics, Metrics, Optimization; Strategic Messaging, Public Speaking; Customer Relationship Management; Voice of Customer Programs; Global Business; Government, Defense & Energy, Undersea Operations.

Education: M.S. Engineering Management, Catholic University of America, May 2001 (GPA: 4.0)
B.S. Chemical Engineering, Tufts University, May 1984 (Cum Laude GPA: 3.03)

Languages: English (fluent), Italian (fluent), Spanish (past fluency), French (past fluency)

Experience:

Bear Valley Electric Service (division of Golden State Water Company) Big Bear Lake, CA (6/2014 – Present)
California regulated IOU providing electric generation, transmission and distribution in Bear Valley to 24,400 customers.

Director (8/2016-Present) Reports to CEO/President, GSWC with absolute accountability for management of the Electric Division including operations, planning, financial management and supervision of work performed by staff, consultants and contractors. Accountable for achieving P&L goal including authorized ROR, target EPS, and growing Rate Base. Results:

| Year | EPS (Budget) | Rate Base | ROR (Authorized) | ROE |
|------|-----------------|-----------|------------------|-------|
| 2017 | \$0.11 (\$0.09) | \$46.9MM | 11.37% (8.60%) | 14.6% |
| 2018 | \$0.11 (\$0.11) | \$50.1MM | 10.27% (8.31%) | 13.3% |
| 2019 | \$0.19 (\$0.17) | \$54.2MM | 15.26% (8.31%) | 18.2% |

- Led 46 full-time employees & contractors including energy & business analysts, customer service, accounting & purchasing, engineers, planners, IT tech, IBEW union linemen and power plant operators to produce a remarkable record of achievement. Established culture focused on excellence in quality of service to customers, safety, and maximizing shareholder value through superior financial performance by innovative solutions, staff empowerment to resolve challenges, minimizing life-cycle costs, conserving resources, and leveraging diversity among employees and vendors.

Provided direct leadership on development and timely filing of General Rate Case (GRC) 2018-2022 – a significant undertaking for BVES' small staff. Worked constructively with legal support and specialized consultants to ensure testimony substantiated base revenue requirements, rate design and cost allocation, cost of capital & rate of return proposal, capital projects, staff reorganization, and special programs. Implemented tight process control ensuring all communications with Commission and intervening parties were documented and ensured over 70 intervenor requests were responded to in accurate and timely manner. Personally prepared substantial testimony on results of operations, operations & maintenance, capital projects and risk-based decision making process. Prepared rebuttal testimony in these areas in response to intervenor testimony. Key player in productive settlement discussions. Coordinated effective forward leaning public engagement strategy with positive results.

- Demonstrated strong leadership and management in the area of reducing the risk to wildfires for the BVES service area. Implemented detailed and highly effective strategy to mitigate utility caused wildfires. Presented his program to Board of Directors (ASWC). Supported study to ensure insurance coverage was sufficient to protect the Company in the event of a wildfire. Developed Wildfire Mitigation Plan per SB-901 and presented the plan to the President of the Commission, other Commissioners, Deputy Director CAL FIRE, Deputy Executive Director Safety Enforcement Division, and other parties to the WMP proceeding. Developed detail risk evaluation model for each proposed wildfire mitigation measure to quantify the risk reduction and the risk spend ratio to better inform the decision making process on which mitigation measures to implement and the timeframe to execute them. Tracked wildfire legislation and regulation developments in the legislature and at the CPUC and provided updates to the Board of Directors. BVES's comprehensive WMP included innovative projects setting new trends in the T&D industry sector such as: Fuse Upgrades, Tree Attachment Removal Project, Pole Loading Assessment & Remediation Program, Radford Line Covered Conductor Replacement Project, Covered Wire Installation Program, Install Remote Weather Stations, Additional On-Ground Inspection, Electrical Preventative Maintenance Program, and LIDAR Inspection.
- Key player on project team for a reorganization plan to spin BVES off from being a division of Golden State Water Company to a separate, direct subsidiary under American States called BVES, Inc. Participated in the due diligence effort, which was critical to senior management's decision making on whether or not to proceed with the effort. Provided support in developing the application filed with the CPUC to gain approval for the reorganization. Worked closely with public relations firm to develop stakeholder, public and employee engagement and messaging strategy. Gained IBEW Local 47's support for the proposed reorganization and obtained their commitment to send a letter of support to the CPUC. Engaged local government officials, state assembly member, and state senator to inform them of the reorganization. Oversaw a myriad of transition details including transfer of power purchase agreements, contracts, franchise agreements, environmental and operating permits, and physical property and easements; development of BVES Inc. policies and procedures; establishing mechanisms to transition logos, website, social media, and other customer and stakeholder media; and working with accounting and IT department to ensure processes in place to cutover customer billing and accounting system applications.
- Led efforts to develop 7.9 MW AC single axis tracking utility owned solar generating facility and made significant progress toward achieving project approval that will benefit all stakeholders (landowner, customers and BVES). Negotiated purchase sales agreement and developed application for facility construction to CPUC. Led all aspects of business case development, contracting an EPC, permitting, legal representation, ITC recoupment and engineering design and permitting. Briefed numerous stakeholders on the project to gain their support including GSWC Board of Directors, BBARWA Board of Directors, City of Big Bear Lake City Manager, California Public Advocate, and CPUC Energy Division. Worked closely with General Electric (EPC) in conducting preliminary CEQA and site surveys. Participated in settlement negotiations with California Public Advocate and reached a settlement agreement, which was presented to the ALJ for the CPUC proceeding. Engaged public relations firm to conduct public engagement for the project. Conducted several media interviews regarding the project as well as talks with various community groups.
- Oversaw the innovative development of annual and seasonal long-term power purchase agreements and the associated application to the CPUC for approval. The executed PPAs reduce BVES's long-term fixed power supply costs (when compared to previous PPAs) by 12.8% or \$4,016,087 over 5 years, which translates into a reduction in system average rate (SAR) of 2.07%. His Team looked at the value and risk propositions of fixed, shaped and variable power purchase products and developed the combination that provides the best value for BVES customers based on forecasted load. Played a key role in negotiating the final PPA terms and conditions with energy suppliers to allow for the novation of the PPAs upon the close of the BVES Inc. transaction. Oversaw Integrated Resource Plan (IRP) development.
- Expertly managed Transportation Electrification (TE) application to CPUC on a very tight timeline. Worked with consultants to develop two TE pilot programs that install electric vehicle (EV) charging stations and institute time-of-use (TOU) rates relevant to the BVES service area. Provided oversight in producing direct testimony to support the programs and rebuttal testimony to intervening party testimony. Led settlement talks and quickly reached common ground with intervenors to settle.

- Implemented BVES's risk-based decision-making framework to evaluate safety & reliability risks and to ensure GRC mitigates high risk issues. Drafted BVES's Risk Management Manual, which CPUC adopted as template for small California IOUs. Presented BVES's program at CPUC En Banc to other utilities and public as guest speaker and panelist.
- Led efforts to file an application to CPUC to put in place a Distributed Generation tariff for customer owned renewable sources. The program replaced the Net Energy Metering (NEM) program, which closed January 1, 2018. In the DG program, customers are to be compensated based on the 12-month average Net Surplus Compensation Rate published by SCE (CAISO requirement) plus avoided transmission access costs and avoided line losses. True-up will be monthly instead of annually. Additionally, the NEM program agreements were formally capped to 20 years at which point existing NEM customers would transition to the DG tariff. This application was not opposed and was approved by the CPUC as requested.
- Working closely with Regulatory Affairs, he was highly involved in current state regulatory issues including: R.5-02-020 OIR on Further Development of Renewables Portfolio Standard Program, R.14-08-013 OIR on Distribution Resources Plan, R.15-05-002 OIR on Risk Based Decision Making, R.15-05-006 OIR on Fire Safety Maps and Prevention Measures, R.15-06-009, OIR Physical Security of Electric Utility Facilities, R.16-02-007 OIR on Integrated Resource Planning, R.17-05-010 (issued May 19, 2017) OIR to Consider Revisions to Electric Rule 20 and Related Matters, I.17-06-027 and R.17-06-028, OIR into the Creation of a Shared Database or Statewide Census of Utility Poles and Conduit in California, R.17-07-007 OIR to Consider Streamlining Interconnection of Distributed Energy Resources and Improvements to Rule 21, R.17-10-010 OIR to Consider Amendments to General Order 95, R.18-03-011 OIR Regarding Emergency Disaster Relief Program to Support California Residents, R.18-04-018 OIR to Evaluate the Mobile Home Park Pilot Program and to Adopt Programmatic Modifications, R.18-04-019 OIR Strategies and Guidance for Climate Change Adaptation, R.18-07-005 OIR New Approaches to Disconnections and Reconnections to Improve Energy Access and Contain Costs, R.18-10-007 OIR to Implement Electric Utility Wildfire Mitigation Plans Pursuant to Senate Bill 901, R.18-12-005 OIR to Examine Electric Utility De-Energization of Power Lines in Dangerous Areas, R.19-07-017 OIR to Consider Authorization of a Non-By Passable Charge to Support California's Wildfire Fund, and I.19-11-013 OIR on the Commission's Own Motion on the Late 2019 Public Safety Power Shutoff Events.
- Worked hard to engage local leadership and stakeholders improving Company's public image. Held office calls with local leaders including State Senator Mike Morrell, State Assemblyman Jay Obernolte, City of Big Bear Lake Mayor and Councilmen, County Supervisor, and City Manager. Conducted numerous interviews with local media (radio and newspaper) generating positive press about BVES. Spoke about the Company at various local groups and organized community events such as Earth Day gatherings showcasing along with sponsors environmental stewardship. Launched BVES's Facebook platform reaching over 1,700 customers in first 2 weeks and providing daily updates to community.
- Expertly managed short notice change to Mobile Home Park (MHP) conversion pilot project when the designated MHP (90 units) was changed to a 250 unit MHP, a \$5.2 million project. Typically, a 24-month project, his Team designed the project, contracted beyond-the-meter work and underground infrastructure, procured materials and equipment, and installed distribution system within 7 months.
- Implemented 5-year strategy to insert technology into BVES grid to improve safety, reliability and quality of electric service. Geographic Information System (GIS), Outage Management System (OMS), and Interactive Voice Recognition (IVR) System were fully deployed. Instituted significant customer website upgrade including fillable online forms. Established a \$3.9 million project to install a fiber optic network in BVES's service area and automate the grid.
- Promoted staff reorganization to modify 5 positions and eliminate 3 positions in order to better fit requirements of a safety and reliability focused; data driven; and advanced technology oriented electric utility. Plan reduced costs ~\$165,000/yr.
- Worked closely with HCM experts to resolve sensitive staff issues and ensure qualified replacements were hired.
- Maintained productive and excellent working rapport with IBEW Union representatives and settled with the union to establish a 3-year contract, which ratified in January 2018, keeping wages slightly under CPI.
- Established 3-year \$2,600,000 competitively bid contract significantly improving vegetation management program well ahead of changes in CPUC regulations. Improvements increased clearance zones around power lines, established "blue sky" requirement for 34.5 kV system, implemented program to remove dead trees outside the clearance zone that might fall into power lines, and significantly improved documentation of tree trimming activities.
- Ensured numerous regulatory compliance reports were submitted accurately on time to CPUC, Environmental Protection Agency(EPA), South Coast Air Quality Management District(SCAQMD), California Independent System Operator(CAISO), California Air Resources Board(CARB), State Water Resources Control Board(SWRCB), Energy Information Administration (EIA), California Energy Commission(CEC), Federal Energy Regulatory Commission(FERC), and U.S. DOE.
- Proven strong operational leadership in coordinating restoration activities during major outages focusing on public safety first, restoration of service and keeping Company officials, local community leaders and customers informed. During Holcomb Fire, which resulted in a loss of BVES's main transmission supply, he rallied Staff to dispatch the generation facility, energize an alternate supply line and implement rotating outages to minimize impact on customers. In aftermath, he presented BVES's actions to City of Big Bear Lake City Council and received praise for the Company's efforts.

Operations & Planning Manager (6/2014 – 8/2016): Reports to Director, BVES with total accountability for generation, transmission and distribution operations, maintenance, engineering planning and design, and site IT.

- Walked into budget deficit and implemented cost controls to achieve \$1.4MM in savings (surplus) on a \$12.6MM budget in 1st 6 months resulting in BVES' 2014 ROR being 11.66% in excess of adopted ROR (8.60%).
- Masterfully managed \$19.6MM capital budget extracting maximum value for shareholders and ratepayers.
- Established frame work for risk based decision making process for asset management, system operations and capital improvement planning.
- Expertly led 24 employees (engineers, planners, IT techs, union linemen and power plant operators) to deliver safe reliable service. Achieved reliability of >99.99%, SAIDI at 48.2 min., and increased power plant availability from 57.1% to 95.8%.
- Managed a highly complex \$10 MM+ major overhead to underground distribution conversion project along 3 miles of the principal roadway at Big Bear Lake. Successfully completed a complete rebuild project (\$1.4 MM) of a major substation to double its capacity and insert state-of-the-art technology including SCADA monitoring and controls.
- Developed strategic 5-year roadmap to convert BVES distribution grid into a smart grid. Initiated implementation of GIS to establish distribution management system (DMS) and designed communications backbone for grid.
- Developed reliability reporting requirements for California IOUs on joint rulemaking working group. Personally drafted proposed General Order for CPUC on reliability indices (SAIDI, SAIFI, MAIFI and CAIDI) recording and reporting.
- Key player in developing 2017 General Rate Case to Public Utilities Commission (PUC) and responsible for assisting in developing 4-year operating and maintenance expense budget, staffing plan, and \$27.8MM capital investment plan.
- Established safety program focused on leading indicators (jobsite inspections, tailboards, equipment checks, and training).
- Renegotiated power plant operating permit to eliminate CEMS requirement realizing over \$130,000/yr. savings.
- Interfaced with media and city officials to promote BVES projects. Established cooperation with school district on science, technology, engineering and mathematics (STEM).

Intertek – Asset Integrity Management (AIM)

Houston, TX (4/2012 – 6/2014)

Delivers mechanical integrity services and products including high-end engineering assessments; reliability engineering; risk based inspection and maintenance programs; integrity database management; advanced non-destructive testing and inspection; process safety management; laser scanning; materials laboratory analysis and software products in the power generation and oil & gas sectors.

Director of Operations (1/2013 – 6/2014): Reporting to VP AIM with total P/L responsibility for engineering services (\$17.8MM) and software products (\$6MM). Accountable for all operations including sales and service/product delivery.

- Directed 73 subordinate engineers, technicians, programmers, business development, accounting, and administrative personnel in three major offices and laboratories (Houston, TX, Sunnyvale, CA and Edmonton, AB).
- Developed business development strategy elevating backlog by 22% and sales pipeline by 46%. Increased net margin to 18.1% (6.4% increase) through effective cost controls and improved price points. Made Customer focus top priority using Net Promoter Score to track Customer satisfaction. Established key metrics and indicators to guide business decisions.
- Led all aspects for change management to implement PeopleSoft Financial & HR modules and Customer Relationship Management (MS Dynamics) global system. First in Intertek to use these systems. Gets people onboard with new systems.
- Laser focused on “Getting Right Team in Place.” Restructured group into matrix organization optimizing specialist utilization across projects. Cut obsolete services and recruited profitable consulting engineers. Instituted standard processes.
- Negotiated and approved all project contracts in accordance with corporate risk mitigation guidance. Ts&Cs approver.
- Key player on corporate cross functional team for an acquisition of an advanced nondestructive testing firm (\$180MM+).

Senior Project Manager (4/2012 – 12/2012): Reporting to Power Group Director was responsible for 21 Project Managers.

- Raised net margin on 140+ projects from 9.4% to 23.2% in 7 months through persistent intrusive leadership and instituting processes for budgeting, expense tracking and work progress tracking. Implemented ISO 9001 QMS. Drafted QMS manual. ASME NQA-1/ANSI N45.2 Nuclear Lead Quality Auditor. Established HSE industrial facility training program.
- Experienced in advance technical methodologies including: HRSG, boiler and high energy piping; ASME B31.1 & 31.3, Tube-AlertSM; TubeMod®; Risk Based Inspection; Equipment Life Optimization; Cost of Cycling; COSTCOM®; AWARETM; NDE (automated UT–mechanized angle beam, time of flight diffraction, phased array; pulsed eddy current); integrity mitigation programs (creep, stress, hydrogen induced and flow-accelerated corrosion); and welding and

metallurgical testing (fractographic and micro structural evaluation with scanning electron microscope and energy dispersive element analysis). Well versed in code and standard requirements including ASME, API and NACE.

Envirepel Energy, Inc.**San Diego, California (7/2011 - 4/2012)**

Startup company founded to convert waste streams into clean renewable energy (electricity & bio-fuels) without environmental damage.

VP of Operations (7/2011 - 4/2012): Reporting to CEO was responsible for all operations including power generation, supply chain; business development; projects; maintenance; compliance; financing, budgeting & forecasting; procurement and HR.

- Managed construction for 0.5MW R&D and 2.8 MW biomass waste-to-energy units. Developed operating & maintenance procedures; process flow & identification drawings; plant instrument & controls; and control software and displays.
- Prepared all project proposals including workbook pro forma linked chemical, heat and material balances detailing all financial and engineering aspects. Delivered investor presentations and prepared stock offering documents.

U.S. Navy: Nuclear Submarine Force**Various U.S. and Overseas locations (6/1984 - 7/2011)**

World's most formidable and advanced fleet of nuclear attack and ballistic missile submarines performing national security missions. Held operational and engineering senior leadership positions of progressively increased responsibility and authority including:

Commanding Officer, Naval Base Point Loma San Diego, CA (7/2008 - 7/2011)

Chief Executive of multi-mission base (\$2.3B PRV) and large matrix organization (800+ military & civilian (union) staff) supporting 115 tenant commands with 22,000 personnel in 2,200 facilities on 1,803 acres including: 7 nuclear submarines; ship maintenance facility and dry-dock; 1M BBL fuel depot; deep-draft port; torpedo/missile armory; R&D complex with 8,000+ scientists & engineers; training schools; security force; barracks; and 3,200 homes. Directed \$104MM/yr. budget.

- #1 of 10 bases in SW Region for **Customer Service & Operational Excellence**. Above Average 3 yrs. straight on Senior Leadership Customer Survey. Awarded Legion of Merit for excellence and improvements achieved in Command.
- Managed \$506MM modernization and renewable energy projects including construction of 1M BBL fuel depot, R&D facilities, 30MW in new PV systems and deep draft pier restructuring. Responsible for environmental compliance (air, storm-water, waste, noise) for industrial and nuclear activities in California coastal zone. Led public relations gaining Congressional, state and community buy-in on environmental clean-up plan for 5M gallon underground fuel plume.
- Implemented Enterprise Resource Planning (ERP) program (SAP) base-wide integrating with Navy business enterprise.
- Applied LSS reducing utilities by 42% saving \$14MM/yr. Wired smart-grid technology to 2,200 facilities, established usage awareness programs and funded high ROI conservation projects. Earned Secretary of Navy Energy and Water Conservation Award 3 yrs. straight and 2011 Federal Energy and Water Management Award (Department of Energy).
- Led strategic plan to capture stakeholder requirements; assess capability gaps and optimize resource allocation. Improved base support and saved clients \$33MM by merging processes. Changed Navy's plan of record from building new facilities to refurbishing excess buildings for Mine Warfare mission transfer to San Diego saving \$27MM+ and 2 yrs. in construction.

International Programs Group Leader, Office of Secretary of Defense, Washington, DC (8/2006 - 6/2008)

Reported to Deputy Assistant to Secretary of Defense (Nuclear Matters). SME for international nuclear issues to the Secretary of Defense. DoD Program Manager for nuclear weapons and energy international agreements and treaties. High-level briefer.

- Developed major policy shift for U.S.-U.K. nuclear weapons program and obtained U.S. President and U.K. Prime Minister approval to enable collaboration on follow-on Trident missile program and submarine launch design (\$50B+).
- Led technology cooperation on atomic issues with France. Developed robust relationship between Commissariat à l'énergie atomique (CEA) and Department of Energy. Coordinated Cabinet-level engagements with U.K., France and Russia on counter nuclear-terrorism preparing high-level briefs and policy issue papers. Led major exercise to demonstrate procedures.
- Head manager for atomic scientists and engineers at weapons laboratories involved in international programs.

Senior Board Member, Nuclear Propulsion Examining Board, Pacific Fleet, Pearl Harbor, HI (08/2005 - 08/2006)

Reported to Pacific Fleet Commander and Director, Naval Reactors (4-Star Admirals). SME handpicked for **Operational Excellence** in nuclear power. Assigned to audit nuclear submarines and aircraft carriers on safety & regulatory compliance.

- Directed team of 10 top performing senior engineers conducting 75+ nuclear regulatory compliance certifications in the Pacific and managing \$1.1MM+ global travel budget. Personally audited 40+ nuclear submarines and aircraft carriers.

- Developed improved metrics based reports with standardized and streamlined inspection audit processes designed to promote best practice/lessons learned sharing within the fleet and specific feedback & benchmarking on performance.

Commanding Officer, USS OLYMPIA (nuclear powered submarine), Pearl Harbor, HI (08/2002 - 08/2005)

Reporting to Squadron Commodore, led all operations, training, logistics, maintenance and personnel, with ultimate accountability for mission accomplishment, of front-line nuclear attack submarine (\$2B national asset) and crew of 165.

- Led two 6-month deployments to geo-politically sensitive and tactically challenging areas. Selected as #1 of 6 submarines in Squadron for **Operational Excellence** for 2 yrs. Trusted at National Security Council level to apply risk management on independent submarine covert missions with high consequences at stake. Briefed NSA (White House) on mission results.
- Developed highly effective lessons learned program. Became model for Fleet to follow. ZERO mishaps in 3 yrs.
- Managed 5-month dry-dock turnaround work package on schedule. Saved \$20MM of budget by innovatively sequencing some work flow outside shipyard controlled industrial area saving high overhead costs. This practice became new standard for major maintenance. Achieved lowest annual submarine operating cost (by 18%) while meeting all commitments.

Assistant Director for Nuclear-Field Enlisted Matters, Naval Reactors, Washington, DC (09/1999 - 12/2001)

SME to Director (4-Star Admiral) on policy and HR Program Manager for 10,000+ (\$1B+ in compensation) nuclear-field personnel including recruiting, training, career path, compensation, promotion and retention.

- Reduced nuclear training attrition by 17% saving \$11MM/yr. by applying metrics on performance traits and statistical analysis of results to develop improved recruiting acceptance standards. Responsible for adjudicating nuclear trained enlisted personnel assignments to instructor duty and selection to officer college scholarships.
- Optimized nuclear training curricula sequence to deliver Sailors to the Fleet 2 weeks sooner saving \$18MM/yr.

Executive Officer, USS HOUSTON (nuclear powered submarine), San Diego, CA (10/1997 - 09/1999)

2nd in Command of nuclear submarine (165 personnel). Directed all operations, training and administration. Selected as #1 submarine in San Diego and Top Tactical Performer in Pacific. Recognized for **Operational Excellence**.

Squadron Engineer, Commander, Squadron 22 Staff, La Maddalena, Italy (8/1995 - 09/1997)

Principal Engineer reporting to Squadron Commander responsible for oversight of overseas nuclear ship repair site with 2,000+ personnel and \$66MM/yr. operating budget providing maintenance and logistics support for 18 deployed submarines. Executed 120+ ship turnarounds-outages (2.1MM man-hrs.). Directed repair facility SUBSAFE/Nuclear QMS Program. Managed site infrastructure including sure power generation, water treatment, HAZMAT and waste oil, sewage plant, cranes, and port tugs and support boats.

Chief Engineer, USS PROVIDENCE (nuclear powered submarine), Groton, CT (12/1991 - 8/1995)

Reporting to the Captain, led Engineering Department (72 personnel) responsible for safe operation and maintenance of nuclear reactor and all submarine support systems. Managed major nuclear submarine reactor overhaul project (\$104MM) including production, schedule, radiological controls and quality assurance. Delivered 2 months early & \$18MM under budget. Achieved highest rating for nuclear plant operations. Strong operating experience with nuclear power plant reactor controls instrumentation, chemistry and radiological controls, mechanical systems and power generation and distribution.

Staff Watch Officer, Commander, Submarine Group 8 Staff, Naples, Italy (8/1989 - 12/1991)

Selected as Top Staff Watch Officer during Desert Shield/Desert Storm. Managed global submarine logistics and - operations.

Division Officer, USS WILL ROGERS (nuclear ballistic missile submarine), Holy Loch, Scotland (6/1984 - 7/1989)

Recognized as Junior Officer of the Year for excellence in submarine operations. Served as Communications Officer, Chemistry & Radiological Controls Assistant, Reactor Controls Assistant, Sonar & Torpedo Officer, and Assistant Engineer. Qualified Engineering Officer of the Watch, Officer of the Deck, Submarine Officer Warfare Officer, and Nuclear Engineer Officer.

Continuing Training:

Utility Rate Design and the Influence of Emerging Technologies October 2019, Phoenix, AZ
CA Renewable Energy Procurement Summit (panelist)(Infocast) October 2019, Sacramento, CA
Wildfire Technology Innovation Summit (CPUC & CAL FIRE) March 2019, Sacramento, CA
Working with Electric Utility Contracts (PPAs)(EUCI) November 2018, Denver, CO
Rate Design Conference: Rate Design Renaissance (EUCI) October 2018, Minneapolis, MN

Solar Power Plant Design Fundamentals (EUCI) April 2018, Portland, OR
Electric Vehicle-Utility Industry Nexus (EUCI) December 2017, Anaheim, CA
Western Power Summit (Access Intelligence) October 2017, Denver, CO
California Energy Summit (INFOCAST) May 2017, Santa Monica, CA
Storage Summit (INFOCAST) January 2016, San Diego, CA
Advanced Storage Technologies (INFOCAST) January 2016, San Diego, CA
California ISO Symposium (CALISO) 2015, 2016, 2017, & 2018 Sacramento, CA
Utility Rate School (NARUC) May 2015, San Diego, CA
Distribution Management Systems: Strategies for Success (UU206 – DistribuTech) February 2015, San Diego, CA
Planning of Smart Distribution Systems (UU311 – DistribuTech) February 2015, San Diego, CA
ASME NQA-1/ANSI N45.2 Nuclear Lead Quality Auditor Course, Atlanta, GA May 2012
Naval Senior Officer Business Course, Naval Post Graduate Scholl, April 2009
Karrass Effective Negotiating 2 The Follow-on Program, March 2009
Karrass Effective Negotiating, 2008
Family Advocate Program & Command Family Advocacy Representative Training, August 2008
Explosives Safety and Environmental Risk Management Course, July 2008
Shore Station Senior Leadership Course, July 2008
National Security Personnel System Course, July 2008
Submarine Prospective Commanding Officer Course, June 2002
Antiterrorism Force Protection Training for Commanding Officers, October 2002
Submarine Prospective Executive Officer Course, December 1997
Senior Leaders Seminar, Department of the Navy June 1996
Submarine Officers' Advanced Course, June 1992
Sealed Authenticator System-Emergency Action Procedures, March 1991
Communications Security Materials Course, October 1986
Intercultural Relations Course, August 1989
Naval Submarine School, February 1986
Naval Nuclear Power School, March 1985

Qualifications: Major Navy Command; Nuclear Propulsion Submarine Command; Chief Engineer for Nuclear Propulsion Plants; Submarine Warfare Officer; Officer of the Deck; Engineering Officer of the Watch; ASME NQA-1/ANSI N45.2 Nuclear Lead Quality Auditor.

Security Clearance: Held Top Secret – Sensitive Compartmented Information (SCI) & Special Access Program (SAP).

Community Service:

- Elected President of Bear Valley Mountain Mutual Aid Association (organization dedicated to bringing together over 25 community government and non-government organizations to provide coordinated disaster & emergency response).
- Elected President of the Board for Viking Estates Home Owners Association in Big Bear Lake.
- Food Pantry organizer in Big Bear Lake raising increasing record levels in contributions each year for 4 years.

ATTACHMENT 4

Additional Safety Documentation

Safety & Health Policy

Overview

Introduction The Golden State Water Company (GSWC) has established this policy, and related safety and health programs, in compliance with the requirements of the California Occupational Safety and Health Administration (Cal/OSHA) Regulations.

Purpose This policy provides general safety and health information for GSWC employees to protect them from workplace hazards. Additional and specific information can be found in each of the associated safety and health programs.

Policy GSWC establishes and maintains a safe and healthful work environment for all employees and is committed to eliminating or minimizing employee exposure to hazards to prevent accidents and injuries in the workplace.

Affected personnel All employees and contract workers (under the direct supervision of GSWC personnel) must follow the requirements of this policy, all GSWC safety and health programs (including practices, procedures, requirements, and rules) applicable to their job duties, and referenced Cal/OSHA regulations.

Management responsibilities Management, including officers and managers, has specific responsibilities regarding program implementation, allocation of resources and enforcement that are outlined in each of the associated safety and health programs.

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| Safety & Health | Approval: Robert Sprowls | Approval Date: |
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Programs and their governing regulations

This policy serves as an umbrella for all safety and health programs including:

- Asbestos Cement Pipe (Cal/OSHA, Title 8, California Code of Regulations (CCR), Construction Safety Order (CSO) §1529 and Approval of Courses and Course Providers, §341.17)
- Backhoe Safety (Cal/OSHA, Title 8, CCR, CSO §1590-96 and General Industry Safety Order (GISO) §3649-3666)
- Confined Space (Cal/OSHA, Title 8, CCR, GISO §5156-58)
- Control of Hazardous Energy (Cal/OSHA, Title 8, CCR, GISO §3314, §6003-04, and Electrical Safety Order (ESO) §2320.2/.4/.5/.6, §2530.43, §2530.86)
- Ergonomics (Cal/OSHA, Title 8, CCR, GISO §5110)
- Fall Protection (Cal/OSHA, Title 8, CCR, CSO §1670)
- Forklift Safety (Cal/OSHA, Title 8, CCR, GISO §3649-64)
- Hazard Communication (Cal/OSHA, Title 8, CCR, GISO §5194)
- Hazardous Material Program (Cal/OSHA, Title 8, CCR, GISO §5192, §5189, §5194, §5164, §5162, et al)
- Hearing Conservation (Cal/OSHA, Title 8, CCR §5095-5100)
- Heat Illness Prevention (Cal/OSHA, Title 8, CCR, GISO 3395)
- Injury and Illness Prevention (Cal/OSHA, Title 8, CCR, GISO §3203)
- Personal Protective Equipment & Apparel (Cal/OSHA, Title 8, CCR, GISO §3380)
- Respiratory Protection (Cal/OSHA, Title 8, CCR, GISO §5144)
- Trenching & Shoring (Cal/OSHA, Title 8, CCR, CSO §1540)

Safety Forms Inventory

Many of these safety and health programs have required forms and checklists that should be completed. A list of these forms and checklists can be found in the *Mandatory Safety Forms List* in the Appendix and in this [List](#).

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Overview, Continued

Disciplinary action

Any employee who engages in an unsafe act or behavior that creates, or has the potential to create, a serious work-related injury or illness to oneself and/or others is subject to disciplinary action per *Standards of Conduct* Policy. Examples of safety infractions include:

- Failure to perform assigned duties
- Insubordination
- Negligence in the performance of duties likely to cause or actually causing personal injury or property damage
- Failing to cooperate in work-related investigations conducted by the Company
- Defacing or removing safety notices or signs, in any form from bulletin boards or on Company property without specific authority of the designated Company representative.
- Failure to comply with safety rules.

Employees in violation of this policy are subject to disciplinary action. Depending on the circumstances surrounding a given situation, GSWC maintains the right to carry out whatever disciplinary action is deemed appropriate. Such corrective action includes, without limitation, disciplinary action up to and including GSWC's right to terminate the employment relationship with or without cause and with or without notice.

Submission of programs and procedures

Revisions or additions of associated safety programs or procedures should be submitted through management for review and to the appropriate senior vice-president(s), or their designee(s), for final approval.

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BVES Operations and Planning Department Policy and Procedure 3: Hazard Inspection Program

Purpose: This procedure provides instructions on supervisory jobsite and work area inspections to identify hazards in the work area.

Background: The Company's Injury and Illness Prevention Program (IIPP) provides hazard identification procedures that include type of inspection and frequency of inspections. The IIPP also provides inspection forms to facilitate the process.

Applicability: The Hazard Inspection Program procedure is applicable to all employees assigned to the Operations and Planning Department (OPD).

OPD Supervisors have the responsibility and authority to carry out the activities described in this procedure and to provide the necessary training to all affected employees.

OPD employees have the responsibility to follow the requirements and guidelines as defined in the general practices and procedure portion of this procedure.

Process:

1. Per the Company's IIPP, office spaces are to be inspected annually for hazards using the Office Safety Inspection Form (Attachment A) as a guide. At BVES, this inspection will be conducted by the Engineering Planning Supervisor (EPS). Records of the inspection will be maintained for 3 years in the Safety Inspection Binder by the OPD Office Assistant. Results of the inspection will be routed to the Operations and Planning Manager (OPM) and to the Director, BVES. The EPS will track any required corrective action to completion and provide progress reports of outstanding corrective action at the BVES monthly safety meetings.
2. Per the Company's IIPP, job sites are to be inspected weekly for hazards using the Weekly Job Site Inspection Checklist and Correction Form (Attachment B) as a guide. At BVES this will be performed as follows:
 - a. Power Plant: The Field Operations Supervisor will ensure the power plant is inspected weekly by the OPM, Field Operations Supervisor (FOS), or EPS. The Power Plant Supervisor will be provided a copy and will be responsible for ensuring any discrepancies are corrected. Records of the inspection will be maintained for 3 years in the Safety Inspection Binder by the OPD Office Assistant. Results of the inspection will be routed to the OPM. The FOS will track any required corrective action to completion and provide progress reports of outstanding corrective action at the BVES monthly safety meetings.
 - b. Warehouse, Truck Barn and Yard: The FOS will ensure the warehouse, truck barn and yard are inspected weekly. The following personnel are authorized to perform this inspection: OPM, FOS, EPS and Crew Foreman. The FOS will be responsible for ensuring any discrepancies are corrected. Records of the inspection will be maintained for 3 years in the Safety Inspection Binder by the OPD Office Assistant. Results of the inspection will be routed to the OPM. The FOS will track any required corrective action

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| Title: BVES Operations and Planning Department Policy and Procedure 3: Hazard Inspection Program | Approval: Paul Marconi, OPM | Record of Changes: Original: 11/19/2014 |
| Owner: Operations & Planning Manager | Page 1 of 4 | |

**BVES Operations and Planning Department Policy and Procedure 3:
Hazard Inspection Program**

to completion and provide progress reports of outstanding corrective action at the BVES monthly safety meetings.

- c. Field Work: The FOS will ensure field work activities are inspected weekly. The following personnel are authorized to perform this inspection: OPM, FOS, EPS and Crew Foreman. The FOS will be responsible for ensuring any discrepancies are corrected. Records of the inspection will be maintained for 3 years in the Safety Inspection Binder by the OPD Office Assistant. Results of the inspection will be routed to the OPM. The FOS will track any required corrective action to completion and provide progress reports of outstanding corrective action at the BVES monthly safety meetings.
3. The OPD Office Assistant will maintain a record of the inspections for 3 years organized in a file or binder as follows:
 - a. Annual Office Safety Inspection
 - b. Weekly Power Plant Inspection
 - c. Weekly Warehouse, Truck Barn and Yard Inspection
 - d. Weekly Field Work Inspection
 4. The OPD Office Assistant will ensure inspection records are available at the BVES monthly safety meeting. Inspection reports since the previous meeting as well as inspection reports with pending corrective action will be discussed at the meeting.

Implementing Instructions:

1. This Operations and Planning Department Policy and Procedure is effective immediately upon approval of the OPM.
2. Supervisors (including Crew Foremen) will review this procedure and sign a sheet acknowledging their review of this policy and procedure. This sheet shall be retained by the Office Administrator during the period of the employee’s employment.
3. The FOS and EPS will brief their employees on the weekly inspection process of this procedure.

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| Title: BVES Operations and Planning Department Policy and Procedure 3: Hazard Inspection Program | Approval: Paul Marconi, OPM | Record of Changes: Original: 11/19/2014 |
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**BVES Operations and Planning Department Policy and Procedure 3:
Hazard Inspection Program
Attachment A
Office Safety Inspection Form**

Instructions: Check each item as OK, N/A (Non-Applicable) or Priority 1(High), 2(Med), 3(Low), depending on the hazard. Next to the prioritized hazard, write the corrective action. Send this completed form to OPD Office Administrator.

Inspector's Name _____ Date: _____

Location: _____ District/DSA: _____

| | Yes | N/A | Priority | | | Corrective Action |
|--|-----|-----|----------|---|---|-------------------|
| | | | 1 | 2 | 3 | |
| Slips, Trips and Falls | | | | | | |
| 1. Spills immediately cleaned up. | | | | | | |
| 2. Signs used in wet floor areas. | | | | | | |
| 3. Electrical/telephone cords not in walkway. | | | | | | |
| 4. Step stools/ladders used to reach objects. | | | | | | |
| 5. Floors in good condition (i.e., carpet, tiles). | | | | | | |
| 6. Floors free from clutter and objects. | | | | | | |
| Work Areas | | | | | | |
| 1. Lights in offices/cubicles/hallways adequate. | | | | | | |
| 2. Foot heaters not near paper/plastic materials. | | | | | | |
| 3. Office/cubicle/work room areas are orderly. | | | | | | |
| 4. Lunchroom clean/food disposed of properly. | | | | | | |
| 5. Heavy/glass objects not on cabinet tops. | | | | | | |
| 6. Copier rooms and store rooms orderly. | | | | | | |
| 7. Ventilation adequate. | | | | | | |
| Computer Equipment | | | | | | |
| 1. Monitor set at correct/comfortable height. | | | | | | |
| 2. Keyboard (and mouse) at correct height. | | | | | | |
| 3. Chair has good support and proper height. | | | | | | |
| 4. Glare screens/footrests available, if needed. | | | | | | |
| Cal-OSHA Information | | | | | | |
| 1. Evacuation route map updated and posted. | | | | | | |
| 2. Cal-OSHA "Safety & Health" Poster posted. | | | | | | |
| 3. Cal-OSHA 200 Injury Log posted (Feb.only). | | | | | | |
| Egress & Fire Extinguishers | | | | | | |
| 1. Aisle ways/hallways clear and unobstructed. | | | | | | |
| 2. Exit doors marked "Exit" and unlocked. | | | | | | |
| 3. Exit signs illuminated and easily visible. | | | | | | |
| 4. Fire extinguishers available and accessible. | | | | | | |

Notes/Comments: _____

| | | |
|---|---------------------------------------|--|
| Supervisor's Signature | Date | Hazards Corrected? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Title: BVES Operations and Planning Department Policy and Procedure 3: Hazard Inspection Program | Approval: Paul Marconi, OPM | Record of Changes: Original: 11/19/2014 |
| Owner: Operations & Planning Manager | Page 3 of 4 | |

**BVES Operations and Planning Department Policy and Procedure 3:
Hazard Inspection Program
Attachment B
Weekly Job Site Inspection Checklist and Correction Form**

Location: _____ District/DSA: _____

Inspector's Name _____ Date: _____

Describe Work Being Performed: _____

| | Yes | N/A | No | Corrective Action |
|---|-----|-----|----|-------------------|
| USA DIG ALERT notified - Utilities located | | | | |
| Traffic controls in place | | | | |
| Flagger directing traffic and pedestrians | | | | |
| Personal protective equipment worn | | | | |
| Proper evacuation protection | | | | |
| Lighting is adequate | | | | |
| Proper equipment placement | | | | |
| Proper storage of materials | | | | |
| Proper material handling used | | | | |
| Tools and equipment in good condition | | | | |
| Work performed to company standards | | | | |
| Fire extinguishers accessible | | | | |
| Work area orderly and cleaned up at finish | | | | |
| First aid kit available and accessible | | | | |
| Company vehicle parked in safe location | | | | |
| Electrical equipment information identified | | | | |
| Lock-out-Tag-out procedures followed | | | | |
| Safety signs and posters in place | | | | |
| Adequate personnel to perform task | | | | |
| Proper safety devices/guards in place | | | | |

Notes/Comments: _____

| | | |
|------------------------|------|--|
| Supervisor's Signature | Date | Hazards Corrected? <input type="checkbox"/> Yes <input type="checkbox"/> No |
|------------------------|------|--|