



Redwood Coast Energy Authority

633 3rd Street, Eureka, CA 95501

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MEETING AGENDA

**Redwood Coast Energy Resource Center
633 3rd Street, Eureka, CA 95501**

**December 12, 2016
Monday, 3:15 p.m.**

Redwood Coast Energy Authority will accommodate those with special needs. Arrangements for people with disabilities who attend RCEA meetings can be made in advance by contacting Barbara Garcia at 269-1700 by noon the day of the meeting.

I. ROLL CALL

II. REPORTS FROM MEMBER ENTITIES

III. ORAL COMMUNICATIONS

This time is provided for people to address the Board or submit written communications on matters not on the agenda. At the conclusion of all oral & written communications, the Board may respond to statements. Any request that requires Board action will be set by the Board for a future agenda or referred to staff.

IV. CONSENT CALENDAR

All matters on the Consent Calendar are considered to be routine by the Board and are enacted on one motion. There is no separate discussion of any of these items. If discussion is required, that item is removed from the Consent Calendar and considered separately. At the end of the reading of the Consent Calendar, Board members or members of the public can request that an item be removed for separate discussion.

A. Approve attached Warrants.

B. Accept attached Financial Reports.

V. REMOVED FROM CONSENT CALENDAR ITEMS

Items removed from the Consent Calendar will be heard under this section.

VI. OLD BUSINESS

A. RCEA Fiscal Audit Report

Accept RCEA Independent Fiscal Audit Report for the year ending 6/30/14.

B. Board Operating Guidelines

Adopt Resolution 2016-4 adopting RCEA Board of Directors Operating Guidelines.

C. Headwaters Fund Loan

Approve Headwaters Fund \$700,000 unsecured, non-revolving line of credit with 5% interest rate, 1% underwriting fee, and 72 month term, and authorize the Executive Director to execute any associated documents and agreements pending final review and approval by RCEA General Counsel.

D. Staffing and Reorganization

Adopt Resolution 2016-5 adopting Compensation Policy, Employee Performance Review Policy, Organization Chart Update, Position Descriptions, and Salary Schedule.

E. Energy Risk Management Policy

Adopt Resolution 2016-6 adopting an Energy Risk Management Policy.

VII. NEW BUSINESS

A. Energy Services Companies Request for Qualifications

Approve issuing Request for Qualifications for Energy Service Companies pending final review and approval by RCEA General Counsel.

VIII. COMMUNITY CHOICE ENERGY (CCE) BUSINESS (Confirm CCE Quorum)

IX. NEW CCE BUSINESS

A. Preparation for January 2017 rate-setting

B. Community Choice Energy Outreach Update

X. ADJOURNMENT

**The next regular meeting of the RCEA Board of Directors
will be held at 3:15pm on Monday, January 23, 2017,
as the 3rd Monday of January is a holiday.**

Redwood Coast Energy Authority
Warrants Report
As of December 9, 2016

Type	Date	Num	Name	Memo	Amount
Nov 11 - 30, 16					
Bill Pmt -Check	11/16/2016	EFT	VISA	September Statement 9/21/16 - 10/20/16.	-2,633.14
Liability Check	11/19/2016	E-pay	EDD	DE88 Q4 2016 SDI/PIT November QB Tracking # 3048	-1,670.68
Liability Check	11/19/2016	E-pay	EDD	DE88 Q4 2016 ETT/UI November QB Tracking # 3048	-86.98
Paycheck	11/23/2016		Payroll	November net payroll	-28,117.38
Paycheck	11/23/2016	6978	Payroll	Payroll Check	-1,688.72
Liability Check	11/29/2016	E-pay	Internal Revenue Service	QB Tracking # 306178612	-10,718.72
Liability Check	11/30/2016	6979	Calvert	November IRA Deposit	-5,546.66
Bill Pmt -Check	11/30/2016	6994	Advanced Display & Signs	Digital Print Banner	-154.45
Bill Pmt -Check	11/30/2016	6995	AM Conservation	LED Stock	-216.07
Bill Pmt -Check	11/30/2016	6996	AMEX	October Statement 10/25/16	-562.03
Bill Pmt -Check	11/30/2016	6997	AT&T	November Telephone Service	-347.48
Bill Pmt -Check	11/30/2016	6998	Best Cleaners	Coverall laundering	-8.75
Bill Pmt -Check	11/30/2016	6999	Bishop, M.	November mileage	-88.07
Bill Pmt -Check	11/30/2016	7000	Buschkamp, A.	November reimbursement - batteries.	-32.60
Bill Pmt -Check	11/30/2016	7001	Central Office	Misc. printing and laminating srvc.	-335.81
Bill Pmt -Check	11/30/2016	7002	City of Blue Lake	Facility rental-team building event	-125.00
Bill Pmt -Check	11/30/2016	7003	Cornerstone Computers	Miscellaneous IT purchases.	-193.58
Bill Pmt -Check	11/30/2016	7004	CSDA	2017 Membership Dues	-1,231.00
Bill Pmt -Check	11/30/2016	7005	Diamond, Nancy	October Legal Services.	-5,613.13
Bill Pmt -Check	11/30/2016	7006	Eureka Rubber Stamp	Self-inking stamp	-19.03
Bill Pmt -Check	11/30/2016	7007	FedEx	CCA Implementation Plan Shipping	-22.50
Bill Pmt -Check	11/30/2016	7008	Feit Electric	LED Stock	-720.39
Bill Pmt -Check	11/30/2016	7009	Fischer, A.	November purchase reimbursements.	-127.26
Bill Pmt -Check	11/30/2016	7010	Fortuna Elementary School District	Ambrosini School self-install rebate/audit 4490	-381.13
Bill Pmt -Check	11/30/2016	7011	HSU Fdn FCEV ARV-14-055	June contract services 000163/SP30058	-426.64
Bill Pmt -Check	11/30/2016	7012	Jackson & Eklund	Accounting services - FY 14/15.	-830.00
Bill Pmt -Check	11/30/2016	7013	Jacobson, L.	Travel Expenses/EE LGP/GCP/IOU/RHTR Meetings	-57.69
Bill Pmt -Check	11/30/2016	7014	Local Government Commission	September CivicSpark program services	-1,935.18
Bill Pmt -Check	11/30/2016	7015	Marshall, M.	Marshall Travel: CCA Meeting, 10/20-10/21/16.	-70.94
Bill Pmt -Check	11/30/2016	7016	Mattio, B.	B. Mattio travel - PG&E Bootcamp training	-111.58
Bill Pmt -Check	11/30/2016	7017	Means, M.	November mileage	-64.10
Bill Pmt -Check	11/30/2016	7018	Mission Uniform & Linen	November mat/janitorial supplies.	-69.86
Bill Pmt -Check	11/30/2016	7019	Northern CA Safety Consortium	CPR & First Aid Training	-770.00
Bill Pmt -Check	11/30/2016	7020	Northern Humboldt Union HSD	Arcata High School Self-install Rebate / Audit 3588	-5,903.98
Bill Pmt -Check	11/30/2016	7021	Pat's Market	Hobys Market self-install rebate/Audit 4425	-4,151.30
Bill Pmt -Check	11/30/2016	7022	Petrella, A.	November mileage.	-29.70
Bill Pmt -Check	11/30/2016	7023	PG&E EV Account	EV stations October	-118.80
Bill Pmt -Check	11/30/2016	7024	PG&E Utility Account	October utilities/lighting upgrade financing	-740.28
Bill Pmt -Check	11/30/2016	7025	Pierson's	Misc. hardware supplies	-296.11
Bill Pmt -Check	11/30/2016	7026	Ramone's	Food Service - Homeowners' Workshop 11/04/16	-56.82
Bill Pmt -Check	11/30/2016	7027	Recology	October garbage service.	-82.30
Bill Pmt -Check	11/30/2016	7028	Renne Sloan Holtzman Sakai	2016 Human Resources Audit - October	-1,865.50
Bill Pmt -Check	11/30/2016	7029	School and College Legal Services	Registration: Biondini "Introduction to Public Contracting"	-50.00
Bill Pmt -Check	11/30/2016	7030	Terry, P.	October Mileage	-193.37
Bill Pmt -Check	11/30/2016	7031	Times-Standard	Legal Notice: Notices Inviting Bids.	-1,440.36
Bill Pmt -Check	11/30/2016	7032	Verizon Wireless	October tablet/cell service for field staff/mobile broadband	-114.89
Bill Pmt -Check	11/30/2016	7033	Winzler, John	Office Lease - December	-4,100.00
Bill Pmt -Check	11/30/2016	7034	Martin, Des.	November mileage	-247.91
Check	11/30/2016	7035	EUC Assessment:McClain, Kate	EUC Initial Assessment Refund.	-500.00
Liability Check	11/30/2016	7036	Umpqua Bank	November HSA Deposit	-558.36
Bill Pmt -Check	11/30/2016	7037	Fortuna Elementary School District	Toddy Thomas School self-install rebate/audit 3450	-4,822.57
Bill Pmt -Check	11/30/2016	7038	HSU Fdn FCEV ARV-14-055	July contract services 000163/SP30173	-162.75
Bill Pmt -Check	11/30/2016	7039	Local Government Commission	September Civic Spark program support/EW	-2,127.29
Bill Pmt -Check	11/30/2016	7040	Fortuna Elementary School District	Fortuna Middle School self-install rebate/audit 4358	-1,570.75
Bill Pmt -Check	11/30/2016	7041	HSU Fdn FCEV ARV-14-055	August contract services 000163/SP30262	-42.61
Bill Pmt -Check	11/30/2016	7042	Fortuna Elementary School District	VOID: S. Fortuna Elementary self-install rebate/audit 3458	0.00
Bill Pmt -Check	11/30/2016	7043	HSU Fdn Alt Fuel ARV-13-012	May services - ARV13-012 000163/SP29947.	-226.22
Bill Pmt -Check	11/30/2016	7044	Fortuna Elementary School District	Ambrosini School self-install rebate/audit 3448	-1,572.65
Bill Pmt -Check	11/30/2016	7045	HSU Fdn Alt Fuel ARV-13-012	June services - ARV13-012 000163/SP30196.	-6,463.58
Bill Pmt -Check	11/30/2016	7046	HSU Fdn EVI ARV-14-046	VOID: August contract services 000163/SP301263	0.00

Redwood Coast Energy Authority
Warrants Report
As of December 9, 2016

Bill Pmt -Check	11/30/2016	7048	HSU Fdn EVI ARV-14-046	August contract services 000163/SP301263	-2,622.85
Nov 11 - 30, 16					-105,037.50
Dec 1 - 9, 16					
Check	12/01/2016	EFT	CoPower	December premium	-248.30
Check	12/01/2016	7048	CoPower	Premium	0.00
Liability Check	12/06/2016	E-pay	EDD	499-0864-3 EDD Q4 2016 SDI/PIT QB Tracking # 3081	-1,569.01
Liability Check	12/06/2016	E-pay	Internal Revenue Service	74-3104616 941 Q4 2016 QB Tracking # 308152222	-10,194.30
Liability Check	12/06/2016	E-pay	EDD	499-0864-3 Q4 ETT/UI QB Tracking # 308152822	-93.45
Check	12/06/2016	7047	Redwood Coast Energy Authority	Chase Direct Deposit Payroll Advance - December	-57,000.00
Check	12/06/2016	7047	Redwood Coast Energy Authority	Chase Direct Deposit Payroll Advance - December	57,000.00
Paycheck	12/09/2016		Payroll	December net payroll	-28,412.05
Paycheck	12/09/2016	7049	Payroll	Payroll Check	-1,688.71
Dec 1 - 9, 16					-42,205.82
TOTAL					-147,243.32

Redwood Coast Energy Authority

Visa

As of November 20, 2016

Type	Date	Num	Name	Memo	Amount	Balance
2006 - VISA-3751						125.69
Credit Card Charge	10/24/2016		U-Verse	DSL service	92.89	218.58
Credit Card Charge	10/25/2016		Uberconference	Conference call subscription	11.06	229.64
Credit Card Charge	10/30/2016	October	U-Verse	October DSL service	95.89	325.53
Credit Card Charge	11/01/2016	November	Square	November Card Reader Fee	30.00	355.53
Credit Card Charge	11/07/2016	NP244891937	Symantec Corp.	Renewal - 1 year Norton Internet Security Subscription	109.99	465.52
Credit Card Charge	11/10/2016	91035	Best Western Danville	Mattio: PG&E Bootcamp 11/8- 11/10/16, Danville	196.06	661.58
Credit Card Charge	11/10/2016	218242	Indoor Airman	Building Analyst Certification Fees (3)	1,500.00	2,161.58
Total 2006 - VISA-3751					<u>2,035.89</u>	<u>2,161.58</u>
TOTAL					<u>2,035.89</u>	<u>2,161.58</u>

Redwood Coast Energy Authority

Account QuickReport

Amex Detail 10/26-10/31/2016

	<u>Type</u>	<u>Date</u>	<u>Num</u>	<u>Name</u>	<u>Memo</u>	<u>Amount</u>	<u>Balance</u>
2007 - American Express							190.74
Total 2007 - American Express							190.74
TOTAL							190.74

Redwood Coast Energy Authority
Profit & Loss Budget vs. Actual
July through October 2016

	Jul - Oct 16	Budget	% of Budget
Ordinary Income/Expense			
Income			
5 REVENUE EARNED			
Total 5000 · Revenue - government agencies	63,336.15	357,364.00	17.72%
Total 5100 · Revenue - program related sales	7,797.20	17,500.00	44.56%
Total 5 REVENUE EARNED	513,997.72	1,928,634.00	26.65%
Total Income	513,997.72	1,928,634.00	26.65%
Gross Profit	513,997.72	1,928,634.00	26.65%
Expense			
7 EXPENSES - PERSONNEL			
7101 · Screening/Testing Services	218.12	600.00	36.35%
7102 · Safety	27.50	1,000.00	2.75%
7103 · Staff Training and Development	779.00	15,000.00	5.19%
7200 · Salaries, W ages & Benefits			
7210 · Salaries - staff	248,786.40	905,020.00	27.49%
7220 · W ages - interns	21,362.74	71,061.00	30.06%
7230 · Pension Plan Contributions	7,236.25	29,086.00	24.88%
7240 · Employee Benefits-Insurance	64,517.31	277,943.00	23.21%
7250 · Payroll Taxes Etc.	26,237.99	94,326.00	27.82%
7255 · Worker's Comp Insurance	2,899.45	7,400.00	39.18%
Total 7260 · Paid Time Off	42,264.46	142,331.00	29.69%
7265 · Jury Duty	91.28	500.00	18.26%
Total 7200 · Salaries, W ages & Benefits	413,395.88	1,527,667.00	27.06%
Total 7 EXPENSES - PERSONNEL	414,420.50	1,544,267.00	26.84%
8 NON-PERSONNEL RELATED EXP			
8100 · Non-Personnel Expenses			
8110 · Office Supplies	1,768.02	6,000.00	29.47%
8111 · Furniture & Equipment	1,784.31	2,800.00	63.73%
Total 8120 · Information Technology	2,779.27	55,000.00	5.05%
Total 8130 · Telephone & Telecommunications	2,490.63	6,500.00	38.32%
8140 · Postage & delivery	660.44	1,800.00	36.69%
Total 8170 · Printing & copying	1,996.63	7,500.00	26.62%
Total 8180 · Books, subscriptions, edu matls	553.10	1,000.00	55.31%
8190 · Exhibits & displays	0.00	1,800.00	0.0%
8195 · Tool bank	713.15	4,000.00	17.83%
Total 8100 · Non-Personnel Expenses	12,745.55	86,400.00	14.75%
8200 · Facility Expenses			
8210 · Office Lease	20,500.00	49,200.00	41.67%
Total 8220 · Utilities	3,343.48	11,500.00	29.07%
8230 · Janitorial	1,536.35	6,500.00	23.64%
8240 · Facility repairs & maintenance	1,914.49	3,500.00	54.7%
8250 · EV Station Repairs & Maintenance	2,227.55	5,000.00	44.55%
Total 8200 · Facility Expenses	29,521.87	75,700.00	39.0%
Total 8300 · Travel & Meeting Expense	6,200.36	17,000.00	36.47%
Total 8320 · Meetings, workshops & events	3,761.56	12,000.00	31.35%
8500 · Other Expenses			

Redwood Coast Energy Authority
Profit & Loss Budget vs. Actual
July through October 2016

	Jul - Oct 16	Budget	% of Budget
8513 · Organizational Development	0.00	500.00	0.0%
8520 · Insurance P&L	11,315.86	9,500.00	119.11%
8530 · Dues & Memberships	105.00	3,500.00	3.0%
Total 8560 · Website Expenses	45.00	1,000.00	4.5%
8570 · Advertising & Marketing Expense - Other	0.00	22,000.00	0.0%
Total 8570 · Advertising & Marketing Expense	7,184.63	22,000.00	32.66%
8591 · Use Tax	0.00	300.00	0.0%
8592 · Service Charge	0.00	200.00	0.0%
8593 · Bank Charges	40.00	200.00	20.0%
8595 · Credit Card Processing Fees	177.39	500.00	35.48%
8596 · Flex Billing Service Fee	167.10	300.00	55.7%
8597 · EV Site Host Pmts	0.00	5,000.00	0.0%
Total 8500 · Other Expenses	19,034.98	43,000.00	44.27%
8600 · Capital Development - Facility	0.00	1,000.00	0.0%
8700 · Professional Services			
8710 · Contracts - Program Related Ser	60,023.70	261,005.00	23.0%
8720 · Accounting	18,408.00	45,000.00	40.91%
8740 · Legal	44,614.11	48,000.00	92.95%
Total 8700 · Professional Services	123,045.81	354,005.00	34.76%
Total 8 NON-PERSONNEL RELATED EXP	194,310.13	589,105.00	32.98%
Total 9 INCENTIVES & REBATES	70,750.04	460,000.00	15.38%
Total Expense	679,480.67	2,593,372.00	26.2%
Net Ordinary Income	-165,482.95	-664,738.00	24.89%
Other Income/Expense			
Total Other Income	0.00	700,000.00	0.0%
Total Other Expense	636.16	19,008.00	3.35%
Net Other Income	-636.16	680,992.00	-0.09%
Net Income	-166,119.11	16,254.00	-1,022.02%

Redwood Coast Energy Authority

Balance Sheet

As of October 31, 2016

	Oct 31, 16
ASSETS	
Current Assets	
Checking/Savings	
1062 · Chase DD Checking	63,396.21
1060 · Umpqua Checking-9271	28,342.14
1000 · COUNTY TREASURY 3839	53,911.55
1010 · Petty Cash	108.29
Total 1050 · GRANTS & DONATIONS 3840	15,037.26
Total Checking/Savings	160,795.45
Total Accounts Receivable	332,649.89
Other Current Assets	
1101 · Allowance for Doubtful Accounts	-7,260.54
1102 · Paypal Account Balance	19.87
1120 · Inventory Asset	71,592.60
1202 · Prepaid Expenses	32,324.38
1205 · Prepaid Insurance	21,540.26
Total 1210 · Retentions Receivable	75,189.85
1499 · Undeposited Funds	500.00
Total Other Current Assets	193,906.42
Total Current Assets	687,351.76
Total Fixed Assets	55,611.39
Other Assets	
1700 · Retained Deposits	4,100.00
Total Other Assets	4,100.00
TOTAL ASSETS	747,063.15
LIABILITIES & EQUITY	
Liabilities	
Current Liabilities	
Total Accounts Payable	57,314.51
Total Credit Cards	516.27
Other Current Liabilities	
2001 · Accounts Payable-Other	39,342.60
Total 2100 · Payroll Liabilities	65,094.53
Total 2210 · Retentions Payable	21,048.27
Total Other Current Liabilities	125,485.40
Total Current Liabilities	183,316.18
Total Long Term Liabilities	8,429.11
Total Liabilities	191,745.29
Equity	
2320 · Investment in Capital Assets	47,182.27
3900 · Fund Balance	674,254.70
Net Income	-166,119.11
Total Equity	555,317.86
TOTAL LIABILITIES & EQUITY	747,063.15

Redwood Coast Energy Authority
Profit & Loss
October 2016

	TOTAL
Ordinary Income/Expense	
Income	
5 REVENUE EARNED	
Total 5100 - Revenue - program related sales	1,091.12
Total 5400 - Revenue-nongovernment agencies	102,753.82
Total 5 REVENUE EARNED	103,844.94
Total Income	103,844.94
Gross Profit	103,844.94
Expense	
7 EXPENSES - PERSONNEL	
7103 - Staff Training and Development	250.00
7200 - Salaries, W ages & Benefits	
7210 - Salaries - staff	65,906.52
7220 - W ages - interns	2,869.75
7230 - Pension Plan Contributions	1,892.92
7240 - Employee Benefits-Insurance	2,229.30
7250 - Payroll Taxes Etc.	6,407.73
7255 - Worker's Comp Insurance	718.51
Total 7260 - Paid Time Off	9,689.33
7265 - Jury Duty	0.00
Total 7200 - Salaries, W ages & Benefits	89,714.06
Total 7 EXPENSES - PERSONNEL	89,964.06
8 NON-PERSONNEL RELATED EXP	
8100 - Non-Personnel Expenses	
8110 - Office Supplies	86.15
8111 - Furniture & Equipment	133.64
Total 8120 - Information Technology	2,123.86
Total 8130 - Telephone & Telecommunications	669.30
8140 - Postage & delivery	638.70
Total 8170 - Printing & copying	167.55
8195 - Tool bank	97.63
Total 8100 - Non-Personnel Expenses	3,916.83
8200 - Facility Expenses	
8210 - Office Lease	4,100.00
Total 8220 - Utilities	679.96
8230 - Janitorial	506.64
8240 - Facility repairs & maintenance	235.39
Total 8200 - Facility Expenses	5,521.99
Total 8300 - Travel & Meeting Expense	1,502.77
Total 8320 - Meetings, workshops & events	-210.99
Total 8560 - Website Expenses	15.00
Total 8570 - Advertising & Marketing Expense	3,808.36
8593 - Bank Charges	10.00
8595 - Credit Card Processing Fees	33.61
8596 - Flex Billing Service Fee	17.37
Total 8500 - Other Expenses	3,884.34
8700 - Professional Services	

Redwood Coast Energy Authority

Profit & Loss

October 2016

	TOTAL
8710 - Contracts - Program Related Ser	1,520.00
8720 - Accounting	1,358.00
8740 - Legal	14,339.72
Total 8700 - Professional Services	17,217.72
Total 8 NON-PERSONNEL RELATED EXP	31,832.66
Total 9 INCENTIVES & REBATES	17,456.93
Total Expense	139,253.65
Net Ordinary Income	-35,408.71
Other Income/Expense	
Total Other Expense	159.04
Net Other Income	-159.04
Net Income	-35,567.75



REDWOOD COAST Energy Authority

STAFF REPORT

AGENDA DATE:	December 12, 2016
TO:	Board of Directors
PREPARED BY:	Executive Director
SUBJECT:	RCEA Fiscal Audit Report

RECOMMENDED ACTION

Accept RCEA Independent Fiscal Audit Report for the year ending 6/30/14.

SUMMARY

Attached for review and acceptance is the Audit Report for the year ending 6/30/14 from RCEA's independent fiscal auditors David L. Moonie and Co. Staff is continuing to work actively with the Auditor's to complete in the coming months the 6/30/15 and then 6/30/16 audits to get fully caught up with audit responsibilities.

RECOMMENDED ACTIONS:

Accept RCEA Independent Fiscal Audit Report for the year ending 6/30/14.

ATTACHMENT:

1. Independent Audit Report for the Year Ending 6/30/14.

REDWOOD COAST ENERGY AUTHORITY
County of Humboldt

FINANCIAL STATEMENTS

Year Ended June 30, 2014

With

INDEPENDENT AUDITOR'S REPORT

REDWOOD COAST ENERGY AUTHORITY

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REDWOOD COAST ENERGY AUTHORITY

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June 30, 2014

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John R. Goff, CPA

Mark G. Wetzel, CPA

Michael R. Cline, CPA



DAVID L. MOONIE & CO., LLP

Certified Public Accountants

Kenneth X. Stringer, CPA

Aaron S. Weiss, CPA

Joshua S. Miller, CPA

Matthew J. Hague, CPA

REDWOOD COAST ENERGY AUTHORITY

INDEPENDENT AUDITOR'S REPORT ON FINANCIAL STATEMENTS

Board of Directors
Redwood Coast Energy Authority
633 3rd Street
Eureka, California 95501

Report on the Financial Statements

We have audited the accompanying financial statements of the governmental activities and the general fund of the Redwood Coast Energy Authority ("RCEA") as of and for the year ended June 30, 2014, and the related notes to the financial statements, which collectively comprise RCEA's basic financial statements as listed in the table of contents.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express opinions on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial

REDWOOD COAST ENERGY AUTHORITY
INDEPENDENT AUDITOR'S REPORT ON FINANCIAL STATEMENTS -
CONTINUED

statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinions.

Opinions

In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities and the general fund of RCEA as of June 30, 2014, and the respective changes in financial position thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Other Matters

Required Supplementary Information

Accounting principles generally accepted in the United States of America require that the management's discussion and analysis and budgetary comparison information on pages 4a through 4d and 23 be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

REDWOOD COAST ENERGY AUTHORITY
INDEPENDENT AUDITOR'S REPORT ON FINANCIAL STATEMENTS -
CONTINUED

Other Information

Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise RCEA's basic financial statements. The supplementary schedules listed in the table of contents are presented for purposes of additional analysis and are not a required part of the basic financial statements.

The supplementary schedules listed in the table of contents are the responsibility of management and were derived from and relate directly to the underlying accounting and other records used to prepare the basic financial statements. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the supplementary schedules listed in the table of contents are fairly stated in all material respects in relation to the financial statements as a whole.

Other Reporting Required by *Government Auditing Standards*

In accordance with *Government Auditing Standards*, we have also issued our report dated November 17, 2016, on our consideration of RCEA's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering RCEA's internal control over financial reporting and compliance.

David L. Moorme & Co., LLP

CERTIFIED PUBLIC ACCOUNTANTS
Eureka, California
November 17, 2016

Year Ending June 30, 2014

The Redwood Coast Energy Authority is a Joint Powers Authority (JPA). It was formed in 2003, representing seven municipalities (the Cities of Arcata, Blue Lake, Eureka, Ferndale, Fortuna, Trinidad and Rio Dell) and the County of Humboldt, with the Humboldt Bay Municipal Water District joining later. As a JPA, RCEA is governed by a Board composed of representatives from each of these jurisdictions.

RCEA's mission is to develop and implement sustainable energy initiatives that reduce energy demand, increase energy efficiency, and advance the use of clean, efficient and renewable resources available in the region.

To accomplish this mission, during the year ending June 30, 2014 RCEA employed thirteen full-time staff (Executive Director, Operations Manager, Office Manager, Program Manager, three Energy Specialists, four Energy Technicians, and three Program Assistants). RCEA also employed numerous student interns, and sometimes serves as a placement site for AmeriCorps members and county workforce-experience training program participants.

All of RCEA's funding comes from contracts and grants, generally bringing resources to Humboldt County that would not otherwise be available. The operating budget for the year ending June 30, 2014 was approximately \$1.8 million. Funding sources during the year included:

- A contract with Pacific Gas & Electric Company (PG&E) to promote energy efficiency through a local government partnership known as the Redwood Coast Energy Watch.
- A contract with the California Energy Commission to develop and implement a pilot project to demonstrate key aspects of the RePower Humboldt Strategic Plan, including the use of biomass as a key resource and fuel switching.
- Contracts with local educational agencies to help plan and implement energy efficiency and clean energy projects using CA Department of Education and CA Energy Commission funding.
- A contract with the California Energy Commission to develop a regional alternative fuels readiness plan.
- A contract with the California Energy Commission to develop a regional electric vehicle charging network.
- Smaller grants and contracts with the City of Blue Lake, the Hoopa Valley Housing Authority, and the Schatz Energy Research Center.

A large share of RCEA activities occur under the umbrella of the Redwood Coast Energy Watch (RCEW) partnership with PG&E. Core RCEW activities include:

- Redwood Coast Energy Resource Center
- Public Agency Energy Initiatives
- Small Business Direct Install Program
- Non-Profit Energy Efficiency Program
- Residential Direct Install Program
- Energy Efficiency Strategic Initiatives

Approximately 15% of RCEA's annual expenditures are for a pass-through of energy efficiency rebates and incentives to public agency, small business, and residential utility consumers.

The assets of RCEA exceeded its liabilities by \$655,711 at June 30, 2014. Of this amount, \$606,011 are unrestricted and may be used to meet RCEA ongoing program needs.

RCEA's total net position increased by \$14,300 during the year ending June 30, 2014. The increase is the result of program revenues exceeding program expenses.

Overview of the Financial Statements

This discussion and analysis is intended to serve as an introduction to the RCEA's basic financial statements. RCEA's basic financial statements are comprised of three components: 1) government wide financial statements, 2) fund financial statements, and 3) notes to the basic financial statements. This report also contains other supplementary information in addition to the basic financial statements.

Government Wide Financial Statements

The *government wide financial statements* are designed to provide readers with a broad overview of RCEA's finances, in a manner similar to a private-sector business and are presented on the full accrual basis.

The *statement of net position* presents information on all of RCEA's assets and liabilities, with the difference between the two reported as net position. Over time, increases or decreases in net position may serve as a useful indicator of whether the financial position of RCEA is improving or deteriorating.

The *statement of activities* presents information showing how RCEA's net position changed during the year presented. All changes in net position are reported as soon as the underlying event giving rise to the change occurs, regardless of the timing of related cash flows. Thus, revenues and expenses are reported in this statement for some items that will only result in cash flows in future fiscal periods.

Fund Financial Statements

A fund is a group of related accounts that is used to maintain control over resources that have been segregated for specific activities or objectives. RCEA, like state and local governments, uses fund accounting to ensure and demonstrate compliance with finance-related legal requirements. RCEA's sole fund is the general fund.

Governmental funds are used to account for essentially the same functions reported as governmental activities in the government wide financial statements. Governmental fund financial statements focus on near term inflows and outflows of current financial resources, as well as on balances of current financial resources available at the end of the fiscal year. This information is useful in evaluating RCEA's near-term financial requirements.

Because the focus of governmental funds is narrower than that of the government wide financial statements, it is useful to compare the information presented for governmental funds with similar information presented for governmental activities in the government wide financial statements. By doing so, readers may better understand the long-term impact of RCEA's near-term financing decisions. Both the governmental fund balance sheet and the governmental fund statement of revenues, expenditures, and changes in fund balances provide a reconciliation to the full accrual government wide financial statements. As a single purpose government, RCEA has chosen to present the two types of reporting on the same statement, with reconciling amounts provided.

Notes to the Basic Financial Statements

The notes to the basic financial statements provide additional information that is essential to a full understanding of the data provided in the government wide and fund financial statements.

Government Wide Financial Statements Analysis

Condensed Statement of Net Position

June 30,	2014	2013
Assets		
Current assets	\$ 1,079,957	\$ 653,753
Capital assets, net of accumulated depreciation	60,038	57,631
Total Assets	1,139,995	711,384
Liabilities		
Current liabilities	484,284	69,973
Total net position	\$ 655,711	\$ 641,411

Changes in Net Position

Year ended June 30,	2014	2013
Revenues		
Program revenues:		
Contract	\$1,740,910	\$1,283,645
Grant	5,000	27,943
Other income	4,972	497
General revenues- investment income	926	568
Total revenues	1,751,808	1,312,653
Expenses		
Salaries and employee benefits	830,068	676,903
Services and supplies	909,847	503,955
Net depreciation	(2,407)	(46,220)
Loss on disposal of assets	0	13,746
Total expenses	1,737,508	1,148,383
Increase in net position	14,300	164,270
Net position – beginning of year	641,411	477,141

Net position – end of year

\$ 655,711 \$ 641,411

RCEA revenues are primarily received on a reimbursement basis. The increase in revenue from the year ending June 30, 2013 to the year ending June 30, 2014 was the result of an increase in program activities. Similarly, the increase in expenses for the year ending in June 30, 2014 is due to primarily to an increase in program activities.

Government Fund Financial Analysis

The general fund is the sole fund of RCEA. As a measure of the general fund's reserves, it may be useful to compare unreserved fund balance and total fund expenditures. Unreserved fund balance at the end of June 30, 2014 and 2013 represents 30.8% and 44.6% of total fund expenditures for the respective years.

Economic Factors and Next Year's Budget and Rates

For the year ended June 30, 2015 the following factors affect RCEA's finances:

- Increasing ramp-up of the 2013-14 and 2015 Energy Watch program cycles.
- Continuing work on the \$1.75 million "Repowering Humboldt with Community Scale Renewable Energy" grant from the California Energy Commission.
- Increasing ramp-up of the Prop. 39 program focused on educational agencies.
- Addition of the Energy Upgrade CA Ambassador program, a one-year outreach campaign begun in September 2014.
- Continuing activities for the alternative fuels readiness planning project and the regional electric vehicle charging network project, both funded by the California Energy Commission; and the City of Blue Lake and Hoopa Valley Housing Authority Climate Action Plan projects.

These factors were considered in preparing RCEA's budget for the year ending June 3, 2015.

Requests for Information

This financial report is designed to provide a general overview of RCEA's finances for those with an interest. Questions concerning any of the information provided in this report or requests for additional information should be addressed to the Redwood Coast Energy Authority, 633 3rd Street, Eureka, CA 95501.

REDWOOD COAST ENERGY AUTHORITY

STATEMENT OF NET POSITION

June 30, 2014

	<u>Governmental Activities</u>
ASSETS	
Cash	\$ 328,896
Accounts receivable	686,790
Prepaid expenses	12,939
Inventory	47,232
Security deposit	4,100
Furniture, fixtures and equipment	86,530
Accumulated depreciation	(26,492)
Total Assets	<u>1,139,995</u>
DEFERRED OUTFLOWS OF RESOURCES	
Total deferred outflows of resources	<u>-</u>
Total assets and deferred outflows of resources	<u><u>\$ 1,139,995</u></u>
LIABILITIES	
Accounts payable	\$ 397,093
Accrued wages payable	35,711
Accrued vacation payable	25,342
Accrued workers compensation payable	603
Retentions payable	15,197
Long-term liabilities:	
Due within one year	1,908
Due in more than one year	8,430
Total Liabilities	<u>\$ 484,284</u>
DEFERRED INFLOWS OF RESOURCES	
Total deferred inflows of resources	<u>\$ -</u>
NET POSITION	
Funds invested in capital assets, net of related debt	\$ 49,700
Restricted for energy efficient programs	-
Unrestricted	<u>606,011</u>
Total Net Position	<u><u>\$ 655,711</u></u>

The accompanying notes are an integral part of this statement.

REDWOOD COAST ENERGY AUTHORITY

STATEMENT OF ACTIVITIES

For The Year Ended June 30, 2014

		<u>Program Revenues</u>		<u>Net (Expense)</u>
		<u>Charges</u>	<u>Operating</u>	<u>Revenue and</u>
	<u>Expenses</u>	<u>For</u>	<u>Grants and</u>	<u>change in</u>
		<u>Services</u>	<u>Contributions</u>	<u>Net Position</u>
				<u>Governmental</u>
				<u>Activities</u>
Governmental Activities				
Grants and program services	\$ 1,447,511	\$ 9,972	\$ 1,740,910	\$ 303,371
Implementation expenses:				
Administrative	<u>289,997</u>			<u>(289,997)</u>
Total governmental activities	<u>\$ 1,737,508</u>	<u>\$ 9,972</u>	<u>\$ 1,740,910</u>	<u>\$ 13,374</u>
General revenues:				
Interest and investment earnings				<u>\$ 926</u>
Total general revenues				<u>926</u>
Change in net position				14,300
Net position, beginning				<u>641,411</u>
Net position, ending				<u>\$ 655,711</u>

The accompanying notes are an integral part of this statement.

REDWOOD COAST ENERGY AUTHORITY
BALANCE SHEET - GOVERNMENTAL FUNDS

June 30, 2014

	<u>General Fund</u>
ASSETS	
Cash	\$ 328,896
Accounts receivable	686,790
Prepaid expenses	12,939
Inventory	47,232
Security deposit	4,100
Total Assets	<u>1,079,957</u>
 DEFERRED OUTFLOWS OF RESOURCES	
Total deferred outflows of resources	<u>-</u>
Total assets and deferred outflows of resources	<u><u>\$ 1,079,957</u></u>
 LIABILITIES	
Accounts payable	\$ 397,093
Accrued wages payable	35,711
Accrued workers compensation payable	603
Retentions payable	15,197
Accrued vacation payable	25,342
Total Liabilities	<u>473,946</u>
 DEFERRED INFLOWS OF RESOURCES	
Total deferred inflows of resources	<u>-</u>
 FUND BALANCES	
Nonspendable	60,171
Assigned	10,000
Unassigned	535,840
Total Fund Balance	<u>606,011</u>
Total liabilities, deferred inflows of resources and fund balance	<u><u>\$ 1,079,957</u></u>

The accompanying notes are an integral part of this statement.

REDWOOD COAST ENERGY AUTHORITY
RECONCILIATION OF THE GOVERNMENTAL FUND BALANCE SHEET
TO THE STATEMENT OF NET POSITION

June 30, 2014

Total fund balances - governmental fund balance sheet	\$ 606,011
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Amounts reported for assets and liabilities for governmental activities in the statement of net position are different from amounts reported in governmental funds because:

Capital and intangible assets: In governmental funds, only current assets are reported. In the statement of net position, all assets are reported, including capital assets, intangible assets, accumulated depreciation and accumulated amortization.

Capital assets at historical cost	\$ 86,530	
Accumulated depreciation and amortization	<u>(26,492)</u>	
Net		60,038

Long-term liabilities: In governmental funds, only current liabilities are reported. In the statement of net position, all liabilities are reported, including long-term liabilities.

Note payable	<u>(10,338)</u>
Total Net Position, Governmental Activities	<u><u>\$ 655,711</u></u>

The accompanying notes are an integral part of this statement.

REDWOOD COAST ENERGY AUTHORITY
STATEMENT OF REVENUES, EXPENDITURES, AND CHANGES IN
FUND BALANCE - GOVERNMENTAL FUNDS

For The Year Ended June 30, 2014

	General Fund
Revenues:	
Contract revenue	\$ 1,740,910
Grant revenue	5,000
Other income	4,972
Investment income	926
Total Revenues	<u>1,751,808</u>
Expenditures:	
Program expenditures:	
Direct install subcontractor labor	113,914
Direct install hardware and materials	129,749
Direct incentive and rebate payments	22,221
Salaries and employee benefits	718,722
Program related services	463,541
Total Program Expenditures	<u>1,448,147</u>
Administrative expenditures:	
Salaries and employee benefits	111,346
Professional services	19,093
Travel and training	14,652
Office supplies and expense	39,883
Rent	49,200
Facility expense	11,991
Utilities	7,097
Meeting expense	7,264
Insurance	8,427
Dues and membership	2,968
Capital outlay	14,962
Debt service - principal	636
Advertising	4,885
Total Administration Expenditures	<u>292,404</u>
Total Expenditures	<u>1,740,551</u>
Excess of Revenues Over (Under) Expenditures	<u>11,257</u>
Other financing sources (uses):	
Proceeds from debt	10,974
Total Other Financing Sources (Uses)	<u>10,974</u>
Excess of Revenues Over (Under) Expenditures and Other Financing Sources (Uses)	<u>22,231</u>
Fund Balance at Beginning of Year	<u>583,780</u>
Fund Balance at End of Year	<u>\$ 606,011</u>

The accompanying notes are an integral part of this statement.

REDWOOD COAST ENERGY AUTHORITY

RECONCILIATION OF THE GOVERNMENTAL FUND STATEMENT OF
REVENUES, EXPENDITURES, AND CHANGES IN FUND BALANCE TO THE
STATEMENT OF ACTIVITIES

For The Year Ended June 30, 2014

Total changes in fund balances, governmental funds \$ 22,231

Amounts reported for governmental activities in the statement of activities are different from amounts reported in governmental funds because:

Capital outlay: In governmental funds, the costs of capital assets are reported as expenditures in the period when the assets are acquired. In the statement of activities, costs of capital assets are allocated over their estimated useful lives as depreciation expense. The difference between capital outlay expenditures and depreciation expense for the period is:

Expenditures for capital outlay	\$ 14,057	
Depreciation and amortization expense	<u>(11,650)</u>	
Net		2,407

Debt proceeds: In governmental funds, proceeds from debt are recognized as Other Financing Sources. In the government-wide statements, proceeds from debt are reported as increases to liabilities. Amounts recognized in governmental funds as proceeds from debt, net of premium or discount, were:

(10,974)

Debt service: In governmental funds, repayments of long-term debt are reported as expenditures. In the government-wide statements, repayments of long-term debt are reported as reductions of liabilities. Expenditures for repayment of the principal portion of long-term debt were:

Payment of debt principal	<u>636</u>
Changes In Net Position, Governmental Activities	<u>\$ 14,300</u>

The accompanying notes are an integral part of this statement.

REDWOOD COAST ENERGY AUTHORITY
NOTES TO FINANCIAL STATEMENTS

June 30, 2014

1. Summary of Significant Accounting Policies

A. Reporting Entity

The Redwood Coast Energy Authority ("RCEA") is a joint powers authority formed in 2003 under Health and Safety Code Section 6500 to develop and implement sustainable energy initiatives that reduce energy demand, increase energy efficiency, and advance the use of clean, efficient and renewable resources available in the Humboldt County region of California. The member agencies of RCEA are the County of Humboldt, the Humboldt Bay Municipal Water District, the cities of Arcata, Blue Lake, Eureka, Ferndale, Fortuna, Rio Dell, and Trinidad. RCEA is governed by a Board of Directors comprised of representatives of the member agencies.

The California Public Utilities Commission ("CPUC") and the Local Government Commission ("LGC"), a California not-for-profit membership organization, have undertaken a pilot project to encourage the formation of regional organizations such as RCEA to promote energy efficiency, conservation and increased local self-reliance. The CPUC has made funds available to the LGC to help local governments establish and operate agencies such as RCEA. Funds are collected from rate payers by Pacific Gas and Electric ("PG&E") and distributed to RCEA in accordance with the objectives of this project.

B. Fund Accounting

The accounts of RCEA are organized on the basis of funds, each of which is considered to be a separate accounting entity. The operations of each fund are accounted for with a separate set of self-balancing accounts that comprise its assets, deferred outflows, liabilities, deferred inflows, fund equity, revenues, and expenditures. Resources are allocated to and accounted for in individual funds based upon the purpose for which they are to be spent and the means by which spending activities are controlled. RCEA maintains one fund to account for the activity of the Redwood Coast Energy Authority.

REDWOOD COAST ENERGY AUTHORITY
NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2014

Major Governmental Funds:

The General Fund is the general operating fund of RCEA. It is used to account for all financial resources except those required to be accounted for in a separate fund.

C. Basis of Presentation, Basis of Accounting

1. Basis of Presentation

Government-wide Statements: The statement of net position and the statement of activities include the financial activities of the overall government.

The statement of activities presents a comparison between direct expenses and program revenues for each function of RCEA's governmental activities. Direct expenses are those that are specifically associated with a program or function and, therefore, are clearly identifiable to a particular function. RCEA does not allocate indirect expenses in the statement of activities. Program revenues include grants and contributions that are restricted to meeting the operational or capital requirements of a particular program. Revenues that are not classified as program revenues are presented as general revenues.

Fund Financial Statements: The fund financial statements provide information about RCEA's funds, with separate statements presented for each fund category. The emphasis of fund financial statements is on major governmental funds, each displayed in a separate column. Any remaining funds are aggregated and reported as nonmajor funds.

2. Measurement Focus, Basis of Accounting

Government-wide Statements: These financial statements are reported using the economic resources measurement focus. They are reported using the accrual basis of accounting. Revenues are recorded when earned and expenses are recorded at the time liabilities are incurred, regardless of when the related cash flows take place. Non-exchange transactions, in which RCEA gives (or receives) value without directly receiving (or giving) equal value in exchange, include grants, entitlements, and donations. On an accrual basis, revenues from grants, entitlements, and donations are recognized in the fiscal year in which all eligibility requirements have been satisfied.

REDWOOD COAST ENERGY AUTHORITY
NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2014

Governmental Fund Financial Statements: Governmental funds are reported using the current financial resources measurement focus and the modified accrual basis of accounting. Under this method, revenues are recognized when measurable and available. Available means collectible within the current period or soon enough thereafter to pay liabilities of the current period.

RCEA considers revenues to be available if they are collected within 60 days of the end of the fiscal year. Expenditures are recorded when the related fund liability is incurred.

Major revenue sources susceptible to accrual include contracts and grants from the California Energy Commission, the County of Humboldt, Ecology Action, and Pacific Gas and Electric Company.

Unearned revenue:

Unearned revenue arises when assets are received before revenue recognition criteria have been satisfied. Grants and entitlements received before eligibility requirements are met are recorded as unearned revenue.

Deferred Inflows and Outflows of Resources:

Deferred outflows of resources represents a consumption of net position or fund balance that applies to a future period(s) and thus, will not be recognized as an outflow of resources (expense/expenditure) until that future period.

Deferred inflows of resources, represents an acquisition of net position or fund balance that applies to a future period(s) and so will not be recognized as an inflow of resources (revenue) until that future period.

Expenses/Expenditures:

On the accrual basis of accounting, expenses are recognized at the time a liability is incurred. On the modified accrual basis of accounting, expenditures are generally recognized in the accounting period in which the related fund liability is incurred, as under the accrual basis of accounting. However, under the modified accrual basis of accounting, debt service expenditures, as well as expenditures related to compensated absences and claims and judgments, are recorded only when payment is due. Allocations of cost, such as depreciation and amortization, are not recognized in the governmental funds.

REDWOOD COAST ENERGY AUTHORITY
NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2014

When RCEA incurs an expenditure or expense for which both restricted and unrestricted resources may be used, it is RCEA's policy to use restricted resources first, then unrestricted resources.

D. Budget and Budgetary Accounting

In accordance with the provisions of Sections 29000 and 29143, inclusive, of the Government Code and other statutory provisions, commonly known as the County Budget Act, RCEA prepares and legally adopts a budget for the General Fund on or before August 30 for each fiscal year.

The budget is revised by RCEA during the year to give consideration to unanticipated income and expenditures. The original and final budgets are presented for the General Fund.

E. Assets, Deferred Outflows, Liabilities, Deferred Inflows, and Equity

1. Deposits and Investments

RCEA maintains 42 percent of its cash in the Humboldt County Treasury. The County pools these funds with those of other governmental entities in the County and invests the cash. These pooled funds are carried at cost which approximates market value.

Interest earned is deposited quarterly into participating funds. Any investment losses are proportionately shared by all funds in the pool.

The County is authorized to deposit cash and invest excess funds by California Government Code Section 53648 et seq. The funds maintained by the County are either secured by federal depository insurance or are collateralized. The Humboldt County Treasury had no investments in derivatives. RCEA does not have a specific policy which relates to interest rate risk.

2. Stores Inventories and Prepaid Expenditures

Inventories are recorded using the purchase method in that the cost is recorded as an expenditure at the time individual inventory items are purchased. Inventories are valued at average cost and consist of expendable supplies held for consumption.

REDWOOD COAST ENERGY AUTHORITY
NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2014

RCEA has the option of reporting an expenditure in governmental funds for prepaid items either when purchased or during the benefiting period. RCEA has chosen to report the expenditures when incurred.

3. Program Revenues and Accounts Receivable

Program revenues include contract revenue and operating grants earned from other governmental agencies and not-for-profits.

Accounts receivable represent program revenues which have been earned for which the related cash has not been received. Management has determined that the need for an allowance for uncollectible accounts receivable is unnecessary at June 30, 2014.

4. Capital Assets

Purchased or constructed capital assets are reported at cost or estimated historical cost. Donated fixed assets are recorded at their estimated fair value at the date of the donation. The cost of normal maintenance and repairs that do not add to the value of the asset or materially extend assets' lives are not capitalized. RCEA's policy is to capitalize assets with an initial cost of more than \$2,000 and an estimated useful life in excess of two years. Capital assets are depreciated using the straight-line method over estimated useful lives between 5 to 20 years.

5. Deferred Inflows and Outflows of Resources

In addition to assets, the statement of net position will sometimes report a separate section for deferred outflows of resources. This separate financial statement element, deferred outflows of resources, represents a consumption of net position or fund balance that applies to a future period(s) and thus, will not be recognized as an outflow of resources (expense/expenditure) until that future period. RCEA had no items that qualified for reporting in this category as of June 30, 2014.

In addition to liabilities, the statement of net position will sometimes report a separate section for deferred inflows of resources. This separate financial statement element, deferred inflows of resources, represents an acquisition of net position or fund balance that applies to a future period(s) and so will not

REDWOOD COAST ENERGY AUTHORITY
NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2014

be recognized as an inflow of resources (revenue) until that future period. RCEA had no items that qualified for reporting in this category as of June 30, 2014.

6. Compensated Absences

Accumulated unpaid employee vacation benefits are recognized as liabilities of RCEA. The current portion of the liabilities is recognized in the General Fund at year-end. Accumulated sick leave benefits are not recognized as liabilities of RCEA. RCEA's policy is to record sick leave as an operating expense in the period taken since such benefits do not vest nor is payment probable.

7. Fund Balance Reserves and Designation

As of June 30, 2014, fund balances of the governmental funds are classified as follows:

Nonspendable — amounts that cannot be spent either because they are in nonspendable form or because they are legally or contractually required to be maintained intact.

Restricted — amounts that can be spent only for specific purposes because of constitutional provisions or enabling legislation or because of constraints that are externally imposed by creditors, grantors, contributors, or the laws or regulations of other governments.

Committed — amounts that can be used only for specific purposes determined by a formal action of RCEA's Governing Board. RCEA's Governing Board is the highest level of decision-making authority for RCEA. Commitments may be established, modified, or rescinded only through resolutions approved by the Governing Board.

Assigned — amounts that do not meet the criteria to be classified as restricted or committed, but that are intended to be used for specific purposes. Under RCEA's adopted policy, only the Governing Board may assign amounts for specific purposes.

Unassigned — all other spendable amounts.

When an expenditure is incurred for purposes for which both restricted and

REDWOOD COAST ENERGY AUTHORITY
NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2014

unrestricted fund balance is available, RCEA considers restricted funds to have been spent first. When an expenditure is incurred for which committed, assigned, or unassigned fund balances are available, RCEA considers amounts to have been spent first out of committed funds, then assigned funds, and finally unassigned funds, as needed, unless RCEA's Governing Board has provided otherwise in its commitment or assignment actions.

As of June 30, 2014, fund balances were composed of the following:

	General Fund
Nonspendable:	
Prepaid expenses	\$ 12,939
Inventories	47,232
Total Nonspendable	60,171
Assigned:	
PG&E Foundation - NEC Grant	10,000
Total Assigned	10,000
Unassigned:	
Other unassigned	535,840
Total Unassigned	535,840
Total Fund Balance	\$ 606,011

F. Use of Estimates

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenditures during the reporting period. Actual results could differ from those estimates.

G. New Governmental Accounting Standards Board (GASB) Standard

During the year ended June 30, 2014, RCEA implemented GASB Statement No. 65, *Items Previously Reported as Assets and Liabilities* (GASB No. 65), which amends or supersedes the accounting and financial reporting guidance for certain items previously required to be reported as assets or liabilities. The objective is to either properly classify certain items that were previously reported as assets and liabilities

REDWOOD COAST ENERGY AUTHORITY
NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2014

as deferred outflows of resources or deferred inflows of resources or recognize certain items that were previously reported as assets and liabilities as outflows of resources (expenses) or inflows of resources (revenues).

2. Cash and Investments

Cash at June 30, 2014 consisted of the following:

Pooled Funds -

Cash in County Treasury	\$ 137,603
Commercial Financial Institutions	<u>191,293</u>
Total	\$ <u>328,896</u>

Cash balances held in banks are insured up to \$250,000 by the Federal Depository Insurance Corporation. All cash held by financial institutions is fully insured or collateralized.

The fair market value of this County Treasury pool as of June 30, 2014, as provided by the pool sponsor, was \$136,774. The County is restricted by Government Code Section 53635 pursuant to Section 53601 to invest in time deposits, U.S. government securities, State-registered warrants, notes or bonds, State Treasurer's investment pool, banker's acceptances, commercial paper, negotiable certificates of deposit, and repurchase or reverse repurchase agreements.

Credit Risk - Investments

Credit risk is the risk that an issuer of an investment will not fulfill its obligation to the holder of the investment. This is measured by the assignment of a rating by a nationally recognized statistical rating organization.

The County Treasurer's investments consist of 73.83 percent federal agencies, 10.49 percent money markets, and 15.68 percent certificates of deposit. The S & P credit ratings for these investments include AAA, AA, A+e, and Ae, and non-rated for certificates of deposit and the California State Treasurer's local agency investment fund.

Custodial Credit Risk – Deposits

Custodial credit risk for deposits is the risk that in the event of a bank failure, RCEA will not be able to recover its deposits or will not be able to recover collateral securities that are in the possession of an outside party. The custodial credit risk for investments

REDWOOD COAST ENERGY AUTHORITY
NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2014

is the risk that in the event of a failure of the counter party (e.g., broker-dealer) to a transaction, RCEA will not be able to recover the value of its investment or collateral securities that are in the possession of another party. Neither the California Government Code nor the County's investment policy contains legal or policy requirements that would limit RCEA's exposure to custodial credit risk for deposits or investments, except that the California Government Code requires that a financial institution secure deposits made by state or local government units by pledging securities in an undivided collateral pool held by a depository regulated under state law. The market value of the pledged securities in the collateral pool must equal at least 110 percent of the total amount deposited by the public agencies. California law also allows financial institutions to secure Authority deposits by pledging first trust deed mortgage notes having a value of 150 percent of the secured public deposits. As of June 30, 2014, none of RCEA's deposits were exposed to custodial credit risk.

Interest Rate Risk – Investments

Interest rate risk is the measurement of how changes in market interest rates will adversely affect the fair value of an investment. Generally, the longer the maturity of an investment, the more sensitive to changes in market interest rates of its fair value. One of the ways the Humboldt County Treasurer manages its exposure to interest rate risk is by purchasing a combination of short-term and long-term investments and by timing cash flows from maturities so a portion of its portfolio is maturing or coming close to maturity to ensure the cash flow and liquidity of operations. The weighted average maturity of the Humboldt County Treasurer's investments is 1,004 days.

Concentration of Credit Risk

The investment policy of RCEA contains no limitation on the amount that can be invested in any one issuer beyond that stipulated by the California Government Code. There were no investments in any one issuer (other than U.S. Treasury securities, mutual funds, or external investment pools) that represented 5 percent or more of total County investments at June 30, 2014.

REDWOOD COAST ENERGY AUTHORITY
NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2014

3. Receivables

Receivables at June 30, 2014 consisted of the following:

	<u>General Fund</u>
California Energy Commission	\$ 418,996
Humboldt Bay Municipal Water District	3,500
City of Blue Lake	2,113
McKeever Energy & Electric, INC.	3,850
Pacific Gas and Electric Company	195,686
Retentions	62,645
Total	<u>\$ 686,790</u>

Retentions are due upon completion of the projects. RCEA expects to collect all retentions.

4. Capital Assets

Capital asset activity for the period ended June 30, 2014 was as follows:

	<u>Beginning Balances</u>	<u>Increases</u>	<u>Decreases</u>	<u>Ending Balances</u>
Governmental Activities:				
<i>Capital assets being depreciated</i>				
Leasehold Improvements	\$ 27,937			\$ 27,937
Equipment	44,536	\$ 14,057		58,593
Total capital assets being depreciated	<u>72,473</u>	<u>14,057</u>	<u>-</u>	<u>86,530</u>
Less: Accumulated depreciation for:				
Leasehold Improvements	(467)	(1,397)		(1,864)
Equipment	(14,375)	(10,253)		(24,628)
Total accumulated depreciation	<u>(14,842)</u>	<u>(11,650)</u>	<u>-</u>	<u>(26,492)</u>
Capital assets being depreciated, net	<u>57,631</u>	<u>2,407</u>	<u>-</u>	<u>60,038</u>
Governmental activities capital assets, net	<u>\$ 57,631</u>	<u>\$ 2,407</u>	<u>\$ -</u>	<u>\$ 60,038</u>

For the year ended June 30, 2014, depreciation expense was \$11,650.

REDWOOD COAST ENERGY AUTHORITY
NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2014

5. Risk Management

RCEA is covered for general business, liability, automobile, and errors and omissions through the Special Districts Risk Management Authority ("SDRMA"), a public entity risk pool. As a member of a public entity risk pool, RCEA is responsible for appointing an employee as a liaison between RCEA and SDRMA, implementing all policies of the SDRMA, and promptly paying all contributions. SDRMA is responsible for providing insurance coverage as agreed upon, assisting RCEA with implementation, providing claims adjusting, and defending any civil action brought against an officer of RCEA.

6. Excess of Expenditures Over Appropriations

Excesses of expenditures over appropriations in individual funds for the year ending June 30, 2014 are as follows:

<u>Fund</u>	<u>Excess Expenditures</u>
General Fund:	
Contracts - program related services	\$ 75,073
Salaries and employee benefits - administrative	36,372
Travel and training	282
Bank Charges	91
Meeting expense	164
Dues and memberships	768
Debt service - principal	636

7. Retirement Plan

RCEA has established a Savings Incentive Match Plan for employees (a "Simple IRA") where RCEA and employees make contributions to individual retirement accounts ("IRAs"). Under the Simple IRA, RCEA must make contributions matching participating employee contributions, up to a maximum of 3 percent of an employee's gross salary per year. Employees may contribute up to the maximum federally allowed amount. All regular employees of RCEA are eligible to participate in the Simple IRA plan. Plan contributions by RCEA for the year ended June 30, 2014 were \$13,388.

REDWOOD COAST ENERGY AUTHORITY
NOTES TO FINANCIAL STATEMENTS - CONTINUED

June 30, 2014

8. Long-Term Obligations

RCEA obtained a loan with PG&E in January 2014 for energy upgrades in the amount of \$10,974 at 0 percent interest for 69 months. Future payments obligations are as follows:

Year Ended	
June 30,	Principal
2015	\$ 1,908
2016	1,908
2017	1,908
2018	1,908
2019	1,908
Thereafter	795
Totals	<u>\$ 10,338</u>

9. Line of Credit

RCEA maintains an unsecured line of credit through Umpqua Bank with a credit limit of \$75,000 and an interest rate of 5 percent. As of June 30, 2014, this line of credit had a zero balance.

10. Lease of Real Property

RCEA entered into a 23 month lease for its facility as of May 1, 2013, with monthly payments of \$4,100. Total rent expense was approximately \$49,200 for the year ended June 30, 2014. Future lease commitments are \$36,900 for the year ending June 30, 2015.

11. Concentrations and Contingencies

RCEA receives the majority of its funding through a contract with PG&E to provide energy efficient programs. For the year ended June 30, 2014, this amount represented 66 percent of total revenue. As of June 30, 2014 accounts receivable from PG&E were \$195,686.

REQUIRED SUPPLEMENTARY INFORMATION

REDWOOD COAST ENERGY AUTHORITY

STATEMENT OF REVENUES, EXPENDITURES, AND CHANGES IN FUND BALANCE -
BUDGET AND ACTUAL - GENERAL FUND

For The Year Ended June 30, 2014

	Budgeted Amounts		Actual	Variance With Final Budget - Favorable (Unfavorable)
	Original	Final		
Revenues:				
Non-government agencies	\$1,501,863	\$1,345,863	\$1,150,886	\$ (194,977)
Government agencies	1,110,488	510,488	590,024	79,536
Foundation trusts/grants	10,000	5,000	5,000	-
Other income	300	4,150	4,972	822
Investment income	500	500	926	426
Total Revenues	2,623,151	1,866,001	1,751,808	(114,193)
Expenditures:				
Program expenditures -				
Direct install, incentives, and rebates	591,053	433,053	265,884	167,169
Salaries and employee benefits	780,949	772,335	718,722	53,613
Contracts - program related services	988,468	388,468	463,541	(75,073)
Total Program Expenditures	2,360,470	1,593,856	1,448,147	145,709
Implementation expenditures -				
Administrative expenditures:				
Salaries and employee benefits	75,860	74,974	111,346	(36,372)
Professional services	30,300	29,500	19,093	10,407
Travel and training	9,370	14,370	14,652	(282)
Bank charges		400	491	(91)
Permit fees		400	400	-
Office supplies and expense	42,525	40,225	38,992	1,233
Rent	49,200	49,200	49,200	-
Janitorial	4,380	6,580	6,368	212
Facility expense	4,000	6,000	5,623	377
Utilities	9,550	8,550	7,097	1,453
Meeting expense	7,900	7,100	7,264	(164)
Volunteer services	300			-
Insurance	8,500	8,500	8,427	73
Dues and membership	2,000	2,200	2,968	(768)
Capital outlay	1,000	15,693	14,962	731
Advertising	2,500	5,000	4,885	115
Debt service - principal			636	(636)
Total Implementation Expenditures	247,385	268,692	292,404	(23,712)
Total Expenditures	2,607,855	1,862,548	1,740,551	121,997
Excess of Revenues Over (Under) Expenditures	15,296	3,453	11,257	7,804
Other financing sources (uses):				
Proceeds from debt		10,974	10,974	-
Total Other Financing Sources (Uses)	-	10,974	10,974	-
Excess of Revenues and Other Financing Sources Over (Under) Expenditures and Other Financing Uses	15,296	14,427	22,231	7,804
Fund Balance at Beginning of Year	583,780	583,780	583,780	-
Fund Balance at End of Year	\$ 599,076	\$ 598,207	\$ 606,011	\$ 7,804

SUPPLEMENTARY INFORMATION

REDWOOD COAST ENERGY AUTHORITY
ORGANIZATION
June 30, 2014

Redwood Coast Energy Authority is a Joint Powers Authority formed in 2003, representing seven municipalities, the County of Humboldt, and the Humboldt Bay Municipal Water District.

The Board of Trustees for the fiscal year ended June 30, 2014 was composed of the following:

GOVERNING BOARD

<u>Name</u>	<u>Office</u>	<u>Jurisdiction</u>
Linda Atkins	Chairperson	Eureka
Susan Ornelas	Vice Chairperson	Arcata
Michael Sweeny	Member	Ferndale
Stephen Kullmann	Member	Blue Lake
Mike Losey	Member	Fortuna
Frank Wilson	Member	Rio Dell
Tom Davies	Member	Trinidad
Ryan Sundberg	Member	County of Humboldt
Barbara Hecathorn	Member	Humboldt Bay Municipal Water District

ADMINISTRATION

Matthew Marshall
Executive Director

John R. Goff, CPA
Mark G. Wetzel, CPA
Michael R. Cline, CPA



DAVID L. MOONIE & CO., LLP
Certified Public Accountants

Kenneth X. Stringer, CPA
Aaron S. Weiss, CPA
Joshua S. Miller, CPA
Matthew J. Hague, CPA

REDWOOD COAST ENERGY AUTHORITY

INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

Board of Directors
Redwood Coast Energy Authority
633 Third Street
Eureka, California 95501

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of the governmental activities and the general fund of Redwood Coast Energy Authority ("RCEA"), as of and for the year ended June 30, 2014, and the related notes to the financial statements, which collectively comprise RCEA's basic financial statements, and have issued our report thereon dated November 17, 2016.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered RCEA's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of RCEA's internal control. Accordingly, we do not express an opinion on the effectiveness of RCEA's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected, on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

REDWOOD COAST ENERGY AUTHORITY

INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS - CONTINUED

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies and, therefore, material weaknesses or significant deficiencies may exist that were not identified. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. We did identify certain deficiencies in internal control, described in the accompanying Schedule of Findings and Responses as Findings 2014-1 through 2014-4, that we consider to be significant deficiencies.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether RCEA's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Redwood Coast Energy Authority's Response to Findings

RCEA's responses to the findings identified in our audit are described in the accompanying Schedule of Findings and Responses. RCEA's responses were not subjected to the auditing procedures applied in the audit of the financial statements and, accordingly, we express no opinion on them.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.



CERTIFIED PUBLIC ACCOUNTANTS

November 17, 2016

REDWOOD COAST ENERGY AUTHORITY
AUDIT FINDINGS AND RECOMMENDATIONS

June 30, 2014

2014-1: INTERNAL CONTROLS OVER EXPENDITURES

Criteria

Good internal controls over expenditures include obtaining and documenting the required support, authorization, and approval prior to issuing the disbursement.

Condition

During our testing of expenditures, in which we tested 18 percent of all operating expenditures, we noted 5 instances totaling \$21,196 where there was either no documentation of approval prior to issuing the disbursement or the approval was not readily apparent. We noted 2 instances totaling \$513 where the executive director approved his own reimbursement. Further, we noted 4 instances totaling \$10,874 where no purchase order was used prior to issuing the disbursement. We also noted 1 instance where a detailed receipt was not present for a meal purchase. Finally, we noted 1 instance where \$201 worth of alcohol was purchased.

Effect

The lack of documentation of prior authorization or approval and support documentation of disbursements could result in errors or inappropriate expenditures being incurred without prior knowledge of management. The purchase of alcohol may not conform to board policy.

Cause

RCEA did not use a purchase order form or other approved authorization documents on all disbursements.

Recommendation

We recommend that RCEA update its policy regarding the use of purchase order forms or other approved authorization documents for all disbursements.

REDWOOD COAST ENERGY AUTHORITY

AUDIT FINDINGS AND RECOMMENDATIONS - CONTINUED

June 30, 2014

Corrective Action Plan

RCEA will use purchase order forms or other approved authorization documents on all disbursements.

2014-2: BANK RECONCILIATION APPROVAL DOCUMENTATION

Criteria

Good internal controls over cash include review of monthly bank reconciliations by an individual other than the custodian of the bank account.

Condition

RCEA maintains a checking account with Umpqua Bank for general operations. The custodian of the funds prepared monthly bank reconciliations. However, RCEA did not document review and approval of the bank reconciliations by someone other than the custodian of the account.

Effect

Failure to have another person review the bank reconciliations could result in future errors not being detected in a timely manner.

Cause

It was not the policy of RCEA to obtain documentation of review of the bank reconciliations.

Recommendation

We recommend that RCEA assign a person to review and initial the monthly bank reconciliations for all the bank accounts.

Corrective Action Plan

RCEA will assign a person to review and initial the monthly bank reconciliations for all bank accounts.

REDWOOD COAST ENERGY AUTHORITY

AUDIT FINDINGS AND RECOMMENDATIONS - CONTINUED

June 30, 2014

2014-3: PAYROLL INTERNAL CONTROL

Criteria

Good internal controls over payroll include supervisor review and approval of time sheets. In addition, prior to issuance of payroll bonuses, RCEA should determine if they are an allowable expenditure.

Condition

During our testing of payroll we noted that the executive director was approving his own time sheet. We also noted an annual bonus of \$320 to each employee, totaling \$4,000 were paid.

Effect

Not having a board member or supervisor sign and approve time sheets increases the chance that inappropriate or incorrect wages could be paid and not detected in a timely manner. We noted no actual inappropriate payments to the executive director for the year ended June 30, 2014. The bonuses paid may not be in compliance with government regulations.

Cause

RCEA did not have a policy regarding approval of executive director time sheets. RCEA was unaware that bonuses may not be allowable expenditures.

Recommendation

We recommend that RCEA establish procedures for a board member to review and approve the executive director's time sheet. We further recommend that RCEA consult with legal counsel prior to issuing any further bonuses to determine if the bonuses were allowable payroll expenditures.

Corrective Action Plan

RCEA will establish procedures for a board member to review and approve the executive director's time sheet. RCEA will also consult with legal counsel and determine if the bonuses were allowable payroll expenditures.

REDWOOD COAST ENERGY AUTHORITY

AUDIT FINDINGS AND RECOMMENDATIONS - CONTINUED

June 30, 2014

2014-4: TIMELY CLOSING OF ACCOUNTING PERIOD

Criteria

Good internal controls include completing the annual accounting period close in a timely fashion.

Condition

RCEA closed the June 30, 2014 year end approximately 16 months after the year end.

Effect

The audit report was issued approximately 29 months after the year end.

Cause

Staffing limitations and scheduling conflicts with an outside firm resulted in delayed closing of year end.

Recommendation

We recommend that RCEA works closely with an outside firm to ensure that the year end is closed in a timely fashion.

Corrective Action Plan

RCEA will work closely with an outside firm to ensure that the year end is closed in a timely fashion.

REDWOOD COAST ENERGY AUTHORITY
STATUS OF PRIOR YEAR AUDIT FINDINGS

June 30, 2014

2013-1: INTERNAL CONTROLS OVER EXPENDITURES

Condition

During our testing of expenditures, in which we tested 38 percent of all expenditures, we noted 8 instances totaling \$4,283 where there was no documentation of approval prior to issuing the disbursement.

Recommendation

We recommend that RCEA update its policy regarding the use of purchase order forms or other approved authorization documents for all disbursements.

Current Status

Not implemented, see Finding 2014-1.

2013-2: BANK RECONCILIATION APPROVAL DOCUMENTATION

Condition

RCEA maintains a checking account with Umpqua Bank for general operations. The custodian of the funds prepared monthly bank reconciliations. However, RCEA did not document review and approval of the bank reconciliations by someone other than the custodian of the account.

Cause

It was not the policy of RCEA to obtain documentation of review of the bank reconciliations.

Current Status

Not implemented, see finding 2014-2.



REDWOOD COAST Energy Authority

STAFF REPORT

AGENDA DATE:	November 21, 2016
TO:	Board of Directors
PREPARED BY:	Executive Director
SUBJECT:	RCEA Board Operating Guidelines

RECOMMENDED ACTION

Adopt Resolution 2016-4 adopting RCEA Board of Directors Operating Guidelines.

SUMMARY

Attached for recommended adoption are proposed RCEA Board of Directors Operating Guidelines. The proposed guidelines incorporate feedback received on the draft that was presented and discussed at the November Board meeting.

Building on the governance provisions of RCEA's joint powers agreement, the guidelines address Board operating procedures, Board member responsibilities, and further definition of when the Community Choice Energy voting provisions of the joint powers agreement apply.

As discussed at the November Board Meeting, staff will be continuing to present the Board with proposed new and updated policies over the coming months. Below is an update to the table that was presented in November outlining the comprehensive set of proposed RCEA policies and the timeline for their development and introduction:

POLICY TITLE	Timeline	NOTES
General Organizational Policies		
1. Board Operating Procedures	December – this meeting	Includes defining and clarifying when CCE-exclusive voting provisions apply.
2. Conflict of Interest	Completed	Already in place; review for any needed updates sometime in 2017
3. Records Retention	First half of 2017	Standard policy defining length of time records of various types will be retained and/or discarded
4. Financial Management Accounting, and Procurement	Early 2017	Exists but requiring significant update to accommodate CCE operations.
5. Information Technology Security	Completed	Staff-level policy/procedures (no need for Board action); RCEA has robust existing policy; review for any CCE-related needed updates in 2017

6. Delegation of Authority to Executive Director for Regulatory and Legislative Matters	First half of 2017	Authorizes Director to respond to requests for regulatory and legislative action that directly impact RCEA and its operations
Customer-Related Policies		
7. Customer Confidentiality	Complete	
8. Prohibition of Untrue Statements	Complete	
9. Terms and Conditions of CCE Service	January	
10. Delinquent CCE Accounts/Collections	Early 2017	
11. Social Media	Complete	
Risk Management		
12. Energy Risk Management Controls/Procedures	December – this meeting	Processes to regularly monitor, report, and manage risk such as credit, liquidity and market risk. Includes wholesale spending authority.
13. Financial Reserves Policy	January	Budgeting policy to allow for long-term financial stability, debt reduction and/or new projects; to be aligned with and/or incorporated into Energy Risk Management Policy.
Human Resources		
14. Employee Handbook	Early 2017	Exists and is fairly comprehensive; update in 2017 incorporating HR Audit recommendations
15. Salary Policy	December – this meeting	Draft to be provided by HR consultant; will align and presented with updated org chart, position descriptions, and job classification salary schedule.
16. Performance Evaluation Policy and Procedures	December – this meeting	Draft to be provided by HR consultant
17. Injury Prevention Plan	Completed	Staff-level policies and procedures (no Board action needed); exists and is currently being updated.

RECOMMENDED ACTIONS:

Adopt Resolution 2016-4 adopting RCEA Board of Directors Operating Guidelines.

ATTACHMENTS:

1. Resolution 2016-4, including the associated Board of Directors Operating Guidelines.

**RESOLUTION NO. 2016-4
OF THE REDWOOD COAST ENERGY AUTHORITY
ADOPTING RCEA BOARD OPERATING GUIDELINES**

WHEREAS, RCEA is committed to putting in place a robust set of policies that align with local government and utility-industry best practices to support RCEA's effectiveness and establish a solid organizational foundation for RCEA's programs and projects; and

WHEREAS, the RCEA Board of Directors wishes to establish guidelines to ensure the effective functioning of the Board and its efforts toward successfully implementing RCEA's mission and purposes.

NOW, THEREFORE, BE IT RESOLVED, that the Board of the Redwood Coast Energy Authority hereby adopts RCEA Board Operating Guidelines as set forth in Appendix A, attached hereto and incorporated herein.

Adopted this ____ day of _____, 2016

ATTEST:

Linda Atkins, RCEA Board Chair

_____, Clerk

Date: _____

Date: _____

CLERK'S CERTIFICATE

I hereby certify that the foregoing is a true and correct copy of Resolution No. 2016-4 passed and adopted at a regular meeting of the Redwood Coast Energy Authority, County of Humboldt, State of California, held on the ____ day of _____, 2016, by the following vote:

AYES:

NOES:

ABSENT:

ABSTENTIONS:

Clerk of the Board, Redwood Coast Energy Authority

APPENDIX A

**REDWOOD COAST ENERGY AUTHORITY
BOARD OPERATING GUIDELINES**



BOARD OF DIRECTORS OPERATING GUIDELINES

(Adopted _____, 2016, Resolution _____)

Section 1: INTRODUCTION AND OVERVIEW

1.1 Background and Purpose

The Redwood Coast Energy Authority (“RCEA” or “Authority”) was established on April 22, 2003 pursuant to the execution of the Redwood Coast Energy Authority Joint Powers Agreement (“Agreement”) by the County of Humboldt and the Cities of Arcata, Blue Lake, Eureka, Ferndale, Fortuna, Rio Dell, and Trinidad, and the special district of the Humboldt Bay Municipal Water District (each agency is designated a “Member Agency” or “Member”). RCEA was initially formed to undertake a pilot project created and funded by the California Public Utilities Commission (“CPUC”) and the Local Government Commission (“LGC”), a California nonprofit membership organization, designed to encourage the formation of regional organizations to promote energy efficiency, conservation and increased local self-reliance.

The RCEA Member Agencies adopted an Amended and Restated Joint Exercise of Powers Agreement effective as of December 15, 2015 (“Agreement”), authorizing RCEA to implement and administer an electric service enterprise called a Community Choice Aggregation (“CCA”), which is available to the electric customers of Members electing to become CCA program participants. Pursuant to this Authority, the RCEA developed and is operating a CCA program (synonymously referred to as the Community Choice Energy (“CCE”) program).

RCEA has established these Guidelines pursuant to Section 3.2 of the Agreement to assist the RCEA Board members in achieving RCEA’s purposes, including implementation of the Agreement’s weighted voting provisions for CCA program matters.

1.2 Board Member Appointment

RCEA Board members are appointed for one year terms by their respective Member Agencies. Member Agencies also appoint alternate Board members to attend RCEA Board meetings when the primary Board member is unavailable. It is the responsibility of the primary and alternate members to coordinate RCEA meeting schedules between themselves when the primary member is unable to attend a meeting. Board members serve at the pleasure of their respective Member Agencies, and it is the Board member’s responsibility to regularly inform their respective Member Agencies of RCEA’s actions and decisions.

Once appointed, a Board Member has full authority to vote on RCEA matters based on the best interests of RCEA. Individual Board Members are not required to obtain specific direction from their respective Member Agencies prior to voting.

1.3 Board Meetings

Regular meetings of the Board occur every month, generally on the third Monday of each month. The Board approves the annual calendar of regular meetings every year at its January meeting. Regular meetings may be changed or cancelled by Board action, or cancelled by the Executive Director if there is no quorum. Special meetings may be scheduled as needed. All Board meetings are subject to Ralph M. Brown Act advance noticing.

Board meeting agendas and packets are distributed to Board members electronically, with hard copies available on request. The Board agenda and packet will be made available 5 days prior to the meeting, and Board members have the responsibility to review them before the meeting.

1.4 Selection of Board Chair and Vice Chair

By simple majority vote, the RCEA Board selects its Chair and Vice Chair every year at its January meeting. The responsibilities of the Chair include:

- Conducting the monthly and special meetings
- Attending the monthly agenda review meeting
- Being available to sign checks when necessary

The Vice Chair's responsibilities include:

- Conducting the monthly and special meetings when the Chair is unable to
- Attending the monthly agenda review meeting
- Being available to sign checks when necessary

1.5 Overview of Basic RCEA documents

The Board has approved several key operational and planning documents, some of which come before the Board for approval on an annual basis. The following lists some of these documents.

- Amended and Restated Joint Powers Agreement
- Annual Budget
- Annual Audit
- Comprehensive Action Plan for Energy (CAPE)
- RePower Humboldt
- Guidelines for the RCEA Community Energy Program Launch-period Strategy and Targets
- CCA Implementation Plan
- Organization Chart
- Salary and wage schedule
- Board Operating Guidelines (this document)

1.6 New Board Member Orientation

In order to prepare new Board Members, the Executive Director provides an annual orientation for new Board Members. Continuing Board Members as well as Member Agency legislative members and staff are welcome and encouraged to attend.

Section 2: BOARD VOTING

2.1 Non-CCA Program Items, Full-Board Voting Equal Weighting

A majority of the full Board constitutes a quorum for the transaction of non-CCA Program business. Each Board member present at the meeting has an equal vote in all non-CCA program business matters. The following lists the types of items considered to be non-CCA program related:

- Adopting the annual budget
- Contracting, including CCA procurement contracts
- Organizational policies
- Organizational positions on legislative or regulatory matter (even if only related to CCA)
- Personnel matters
- Financial operating policies and procedures
- Litigation or other legal matters
- Program related matters for any programs not funded by the CCA
- Agency-wide risk management matters, including primary energy-risk management policies/procedures

2.2 CCA Program Items, Participating Members Weighted Voting

Only Board members representing Member Agencies that are CCA Program participants are eligible to vote on CCA program items. However, all Board members are eligible, and encouraged, to participate in Board discussions of CCA Program matters. The vote from each Board member representing a Participating Member consists of:

- 1) 1/3 fixed pro rata share based on total number of Participating Members; and
- 2) 1/3 proportional share of electric accounts in Participating Member's jurisdiction.

The method of computation of these two vote components is set out in the Amended and Restated Joint Powers Agreement at Section 4.4. The initial weighted voting shares and total votes, which is subject to update every two years beginning in 2017 on or before March 1, is set out in the Amended and Restated Joint Powers Agreement at Exhibit A. These documents are attached here in Appendix A.

A majority of the Board members representing Participating Agencies constitutes a quorum for the transaction of CCA Program business. Each Board member representing a CCA program

Participating Agency and present at the meeting shall have a weighted vote in CCA program items. The following lists the types of items considered to be CCA program related:

- Setting of Overall CCA Program Objectives
- Determining power content targets
- CCA budget decisions (which will be incorporated in the overall organizational budget)
- Setting customer rates
- Procurement strategy and procedures
- CCA-funded program allocations
- Any policies that apply exclusively to CCA operations

If there is uncertainty whether a particular Board decision is CCA program business or non-CCA program business, RCEA General Counsel will be consulted for a determination on which voting structure applies.

Section 3: CONDUCT OF MEETINGS

3.1 Rules of Procedure

The RCEA is governed by the same laws and regulations that control its Member Agencies concerning the conduct of meetings. This primarily includes the Ralph M. Brown Act, however specific laws may apply in individual situations. When no state or federal law governs a particular procedure, the Board elects to follow as guidelines the parliamentary rules of procedure set out in Rosenberg Rules of Order: Parliamentary Procedure for the 21st Century. A copy of these Rules is attached as Appendix B. It may also be found at:
https://www.cacities.org/Resources/Open-Government/RosenbergText_2011.aspx

Section 4: INTERACTIONS WITH MEMBER AGENCIES AND MEMBER AGENCY STAFF

The legislative members of the Member Agencies as well as their staff are encouraged to contact the Executive Director at any time questions or concerns arise. Upon direction by the Board or request of a Member Agency, the Executive Director will attend a regular meeting of the Member Agency legislative body to present items of concern and answer questions.

APPENDIX A

Amended and Restated Joint Powers Agreement Section 4.4, Board Voting Related to the CCA Program, and Exhibit A, Initial Weighted Voting Shares and Total Votes

4.4 Board Voting Related to the CCA Program

- (a) Eligibility to Vote. Only Directors from Participating Members shall be eligible to vote on matters specifically related to the CCA Program.
- (b) Participating Member Vote. For purposes of the CCA Program, each Participating Member shall have a total vote comprised one third of a fixed Pro Rata Voting Share based on the total number of Participating Members, and two thirds of the proportional share of Electric Customers in the Participating Member's jurisdiction.
- (c) Computation. The Participating Member Vote shall be computed based on the following formulas:
 - i. *Pro Rata Voting Share*. Each Director shall have an equal voting share determined by the following formula: $([1/\text{total number of Directors}] \text{ multiplied by } 1/3)$; and
 - ii. *Customer Base Voting Share*. Each Director shall have an additional voting share determined by the following formula: $([\text{Number of Electric Customers in Director's jurisdiction} / \text{Total Number of Electric Customers in CCA}] \text{ multiplied by } 2/3)$, where "Electric Customers" means the total number of electricity customer accounts for all rate schedules as of December 31.
 - iii. *Total Vote*. The total vote for each Participating Member shall be the sum of its Pro Rata Voting Share plus its Customer Base Voting Share rounded to the nearest whole number, excepting that any sum greater than zero and less than 1.0 shall be rounded to 1.0. The initial Pro Rata Voting Shares, Customer Base Voting Shares, and total votes are set forth in Exhibit A, attached hereto and incorporated herein. Beginning in 2017, the Board's Executive Director shall update Exhibit A at least every two years no later than March 1 to reflect changes in the number of Electric Customers and Participating Members, and such update shall not constitute an amendment to this Agreement. Any updated Exhibit A shall be provided to the Board at the regular meeting immediately following the update, and to the executive officers of the Participating Members within 30 days after the update.

4.5 Quorum, Approval Requirements Related to CCA Program. A majority of the Participating Members must be present and a majority of the CCA total vote must be represented by the present Participating Members to establish a quorum for the transaction of business on any matter specifically related to the CCA Program. Except as otherwise provided in this Agreement, the action of the Board for any matter specifically related to the CCA Program shall require the affirmative vote of a majority of the Participating Members present at the meeting where such vote is taken. The affirmative vote shall be established by adding the total votes of the present Participating Members as set out in Section 4.4, above.

**Exhibit A to Redwood Coast Energy Authority
Amended and Restated Joint Powers Agreement
Board Voting Shares for Community Choice Aggregation Business**

Jurisdiction	Electric customer accounts (Dec 2014)	Percentage of total accounts (jurisdiction's accounts divided by total accounts)	Customer Base Voting Share (67 x ratio of accounts)	Pro Rata Voting Share (33 x [1/number of Directors])	Total votes, prior to rounding	TOTAL VOTES
City of Arcata	8,203	12.41%	8.31	4.125	12.44	12
City of Blue Lake	664	1.00%	0.67	4.125	4.80	5
City of Eureka	13,965	21.13%	14.16	4.125	18.29	18
City of Ferndale	939	1.42%	0.95	4.125	5.08	5
City of Fortuna	5,584	8.45%	5.66	4.125	9.79	10
City of Rio Dell	1,508	2.28%	1.53	4.125	6.06	6
City of Trinidad	272	0.41%	0.27	4.125	4.40	4
County of Humboldt (unincorporated)	34,950	52.88%	35.44	4.125	39.57	40
Total	66,085	99.99%	66.99	33	100.03	100

- Due to rounding, totals will differ at various stages of the calculation process.
- The percentages of total accounts are rounded to two decimal places prior to calculating the Customer Base Voting Share.
- Customer Base Voting Share = 67 multiplied by the % of total accounts, rounded to two decimal places.
- Total votes are the sum of the Pro Rata Voting Share and the Customer Base Voting Share, rounded to the nearest whole number.
- The allocation of voting shares will be updated every two years, and as-needed to adjust for changes in the make-up of jurisdictions participating in the CCA.

APPENDIX B
Rosenberg's Rules of Order:
Parliamentary Procedure for the 21st Century



Rosenberg's Rules of Order

REVISED 2011

Simple Rules of Parliamentary Procedure for the 21st Century

By Judge Dave Rosenberg



MISSION AND CORE BELIEFS

To expand and protect local control for cities through education and advocacy to enhance the quality of life for all Californians.

VISION

To be recognized and respected as the leading advocate for the common interests of California's cities.

About the League of California Cities

Established in 1898, the League of California Cities is a member organization that represents California's incorporated cities. The League strives to protect the local authority and autonomy of city government and help California's cities effectively serve their residents. In addition to advocating on cities' behalf at the state capitol, the League provides its members with professional development programs and information resources, conducts education conferences and research, and publishes Western City magazine.

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ABOUT THE AUTHOR

Dave Rosenberg is a Superior Court Judge in Yolo County. He has served as presiding judge of his court, and as presiding judge of the Superior Court Appellate Division. He also has served as chair of the Trial Court Presiding Judges Advisory Committee (the committee composed of all 58 California presiding judges) and as an advisory member of the California Judicial Council. Prior to his appointment to the bench, Rosenberg was member of the Yolo County Board of Supervisors, where he served two terms as chair. Rosenberg also served on the Davis City Council, including two terms as mayor. He has served on the senior staff of two governors, and worked for 19 years in private law practice. Rosenberg has served as a member and chair of numerous state, regional and local boards. Rosenberg chaired the California State Lottery Commission, the California Victim Compensation and Government Claims Board, the Yolo-Solano Air Quality Management District, the Yolo County Economic Development Commission, and the Yolo County Criminal Justice Cabinet. For many years, he has taught classes on parliamentary procedure and has served as parliamentarian for large and small bodies.



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INTRODUCTION

The rules of procedure at meetings should be simple enough for most people to understand. Unfortunately, that has not always been the case. Virtually all clubs, associations, boards, councils and bodies follow a set of rules — *Robert's Rules of Order* — which are embodied in a small, but complex, book. Virtually no one I know has actually read this book cover to cover. Worse yet, the book was written for another time and for another purpose. If one is chairing or running a parliament, then *Robert's Rules of Order* is a dandy and quite useful handbook for procedure in that complex setting. On the other hand, if one is running a meeting of say, a five-member body with a few members of the public in attendance, a simplified version of the rules of parliamentary procedure is in order.

Hence, the birth of *Rosenberg's Rules of Order*.

What follows is my version of the rules of parliamentary procedure, based on my decades of experience chairing meetings in state and local government. These rules have been simplified for the smaller bodies we chair or in which we participate, slimmed down for the 21st Century, yet retaining the basic tenets of order to which we have grown accustomed. Interestingly enough, *Rosenberg's Rules* has found a welcoming audience. Hundreds of cities, counties, special districts, committees, boards, commissions, neighborhood associations and private corporations and companies have adopted *Rosenberg's Rules* in lieu of *Robert's Rules* because they have found them practical, logical, simple, easy to learn and user friendly.

This treatise on modern parliamentary procedure is built on a foundation supported by the following four pillars:

1. **Rules should establish order.** The first purpose of rules of parliamentary procedure is to establish a framework for the orderly conduct of meetings.
2. **Rules should be clear.** Simple rules lead to wider understanding and participation. Complex rules create two classes: those who understand and participate; and those who do not fully understand and do not fully participate.
3. **Rules should be user friendly.** That is, the rules must be simple enough that the public is invited into the body and feels that it has participated in the process.
4. **Rules should enforce the will of the majority while protecting the rights of the minority.** The ultimate purpose of rules of procedure is to encourage discussion and to facilitate decision making by the body. In a democracy, majority rules. The rules must enable the majority to express itself and fashion a result, while permitting the minority to also express itself, but not dominate, while fully participating in the process.

Establishing a Quorum

The starting point for a meeting is the establishment of a quorum. A quorum is defined as the minimum number of members of the body who must be present at a meeting for business to be legally transacted. The default rule is that a quorum is one more than half the body. For example, in a five-member body a quorum is three. When the body has three members present, it can legally transact business. If the body has less than a quorum of members present, it cannot legally transact business. And even if the body has a quorum to begin the meeting, the body can lose the quorum during the meeting when a member departs (or even when a member leaves the dais). When that occurs the body loses its ability to transact business until and unless a quorum is reestablished.

The default rule, identified above, however, gives way to a specific rule of the body that establishes a quorum. For example, the rules of a particular five-member body may indicate that a quorum is four members for that particular body. The body must follow the rules it has established for its quorum. In the absence of such a specific rule, the quorum is one more than half the members of the body.


The Role of the Chair

While all members of the body should know and understand the rules of parliamentary procedure, it is the chair of the body who is charged with applying the rules of conduct of the meeting. The chair should be well versed in those rules. For all intents and purposes, the chair makes the final ruling on the rules every time the chair states an action. In fact, all decisions by the chair are final unless overruled by the body itself.

Since the chair runs the conduct of the meeting, it is usual courtesy for the chair to play a less active role in the debate and discussion than other members of the body. This does not mean that the chair should not participate in the debate or discussion. To the contrary, as a member of the body, the chair has the full right to participate in the debate, discussion and decision-making of the body. What the chair should do, however, is strive to be the last to speak at the discussion and debate stage. The chair should not make or second a motion unless the chair is convinced that no other member of the body will do so at that point in time.

The Basic Format for an Agenda Item Discussion

Formal meetings normally have a written, often published agenda. Informal meetings may have only an oral or understood agenda. In either case, the meeting is governed by the agenda and the agenda constitutes the body's agreed-upon roadmap for the meeting. Each agenda item can be handled by the chair in the following basic format:



First, the chair should clearly announce the agenda item number and should clearly state what the agenda item subject is. The chair should then announce the format (which follows) that will be followed in considering the agenda item.

Second, following that agenda format, the chair should invite the appropriate person or persons to report on the item, including any recommendation that they might have. The appropriate person or persons may be the chair, a member of the body, a staff person, or a committee chair charged with providing input on the agenda item.

Third, the chair should ask members of the body if they have any technical questions of clarification. At this point, members of the body may ask clarifying questions to the person or persons who reported on the item, and that person or persons should be given time to respond.

Fourth, the chair should invite public comments, or if appropriate at a formal meeting, should open the public meeting for public input. If numerous members of the public indicate a desire to speak to the subject, the chair may limit the time of public speakers. At the conclusion of the public comments, the chair should announce that public input has concluded (or the public hearing, as the case may be, is closed).

Fifth, the chair should invite a motion. The chair should announce the name of the member of the body who makes the motion.

Sixth, the chair should determine if any member of the body wishes to second the motion. The chair should announce the name of the member of the body who seconds the motion. It is normally good practice for a motion to require a second before proceeding to ensure that it is not just one member of the body who is interested in a particular approach. However, a second is not an absolute requirement, and the chair can proceed with consideration and vote on a motion even when there is no second. This is a matter left to the discretion of the chair.

Seventh, if the motion is made and seconded, the chair should make sure everyone understands the motion.

This is done in one of three ways:

1. The chair can ask the maker of the motion to repeat it;
2. The chair can repeat the motion; or
3. The chair can ask the secretary or the clerk of the body to repeat the motion.

Eighth, the chair should now invite discussion of the motion by the body. If there is no desired discussion, or after the discussion has ended, the chair should announce that the body will vote on the motion. If there has been no discussion or very brief discussion, then the vote on the motion should proceed immediately and there is no need to repeat the motion. If there has been substantial discussion, then it is normally best to make sure everyone understands the motion by repeating it.

Ninth, the chair takes a vote. Simply asking for the “ayes” and then asking for the “nays” normally does this. If members of the body do not vote, then they “abstain.” Unless the rules of the body provide otherwise (or unless a super majority is required as delineated later in these rules), then a simple majority (as defined in law or the rules of the body as delineated later in these rules) determines whether the motion passes or is defeated.

Tenth, the chair should announce the result of the vote and what action (if any) the body has taken. In announcing the result, the chair should indicate the names of the members of the body, if any, who voted in the minority on the motion. This announcement might take the following form: “The motion passes by a vote of 3-2, with Smith and Jones dissenting. We have passed the motion requiring a 10-day notice for all future meetings of this body.”

Motions in General

Motions are the vehicles for decision making by a body. It is usually best to have a motion before the body prior to commencing discussion of an agenda item. This helps the body focus.

Motions are made in a simple two-step process. First, the chair should recognize the member of the body. Second, the member of the body makes a motion by preceding the member’s desired approach with the words “I move ...”

A typical motion might be: “I move that we give a 10-day notice in the future for all our meetings.”


The chair usually initiates the motion in one of three ways:

1. **Inviting the members of the body to make a motion**, for example, “A motion at this time would be in order.”
2. **Suggesting a motion to the members of the body**, “A motion would be in order that we give a 10-day notice in the future for all our meetings.”
3. **Making the motion**. As noted, the chair has every right as a member of the body to make a motion, but should normally do so only if the chair wishes to make a motion on an item but is convinced that no other member of the body is willing to step forward to do so at a particular time.

The Three Basic Motions

There are three motions that are the most common and recur often at meetings:

The basic motion. The basic motion is the one that puts forward a decision for the body’s consideration. A basic motion might be: “I move that we create a five-member committee to plan and put on our annual fundraiser.”



The motion to amend. If a member wants to change a basic motion that is before the body, they would move to amend it. A motion to amend might be: “I move that we amend the motion to have a 10-member committee.” A motion to amend takes the basic motion that is before the body and seeks to change it in some way.

The substitute motion. If a member wants to completely do away with the basic motion that is before the body, and put a new motion before the body, they would move a substitute motion. A substitute motion might be: “I move a substitute motion that we cancel the annual fundraiser this year.”

“Motions to amend” and “substitute motions” are often confused, but they are quite different, and their effect (if passed) is quite different. A motion to amend seeks to retain the basic motion on the floor, but modify it in some way. A substitute motion seeks to throw out the basic motion on the floor, and substitute a new and different motion for it. The decision as to whether a motion is really a “motion to amend” or a “substitute motion” is left to the chair. So if a member makes what that member calls a “motion to amend,” but the chair determines that it is really a “substitute motion,” then the chair’s designation governs.

A “friendly amendment” is a practical parliamentary tool that is simple, informal, saves time and avoids bogging a meeting down with numerous formal motions. It works in the following way: In the discussion on a pending motion, it may appear that a change to the motion is desirable or may win support for the motion from some members. When that happens, a member who has the floor may simply say, “I want to suggest a friendly amendment to the motion.” The member suggests the friendly amendment, and if the maker and the person who seconded the motion pending on the floor accepts the friendly amendment, that now becomes the pending motion on the floor. If either the maker or the person who seconded rejects the proposed friendly amendment, then the proposer can formally move to amend.

Multiple Motions Before the Body

There can be up to three motions on the floor at the same time. The chair can reject a fourth motion until the chair has dealt with the three that are on the floor and has resolved them. This rule has practical value. More than three motions on the floor at any given time is confusing and unwieldy for almost everyone, including the chair.

When there are two or three motions on the floor (after motions and seconds) at the same time, the vote should proceed *first* on the *last* motion that is made. For example, assume the first motion is a basic “motion to have a five-member committee to plan and put on our annual fundraiser.” During the discussion of this motion, a member might make a second motion to “amend the main motion to have a 10-member committee, not a five-member committee to plan and put on our annual fundraiser.” And perhaps, during that discussion, a member makes yet a third motion as a “substitute motion that we not have an annual fundraiser this year.” The proper procedure would be as follows:

First, the chair would deal with the *third* (the last) motion on the floor, the substitute motion. After discussion and debate, a vote would be taken first on the third motion. If the substitute motion *passed*, it would be a substitute for the basic motion and would eliminate it. The first motion would be moot, as would the second motion (which sought to amend the first motion), and the action on the agenda item would be completed on the passage by the body of the third motion (the substitute motion). No vote would be taken on the first or second motions.

Second, if the substitute motion *failed*, the chair would then deal with the second (now the last) motion on the floor, the motion to amend. The discussion and debate would focus strictly on the amendment (should the committee be five or 10 members). If the motion to amend *passed*, the chair would then move to consider the main motion (the first motion) as *amended*. If the motion to amend *failed*, the chair would then move to consider the main motion (the first motion) in its original format, not amended.

Third, the chair would now deal with the first motion that was placed on the floor. The original motion would either be in its original format (five-member committee), or if *amended*, would be in its amended format (10-member committee). The question on the floor for discussion and decision would be whether a committee should plan and put on the annual fundraiser.

To Debate or Not to Debate


The basic rule of motions is that they are subject to discussion and debate. Accordingly, basic motions, motions to amend, and substitute motions are all eligible, each in their turn, for full discussion before and by the body. The debate can continue as long as members of the body wish to discuss an item, subject to the decision of the chair that it is time to move on and take action.

There are exceptions to the general rule of free and open debate on motions. The exceptions all apply when there is a desire of the body to move on. The following motions are not debatable (that is, when the following motions are made and seconded, the chair must immediately call for a vote of the body without debate on the motion):

Motion to adjourn. This motion, if passed, requires the body to immediately adjourn to its next regularly scheduled meeting. It requires a simple majority vote.

Motion to recess. This motion, if passed, requires the body to immediately take a recess. Normally, the chair determines the length of the recess which may be a few minutes or an hour. It requires a simple majority vote.

Motion to fix the time to adjourn. This motion, if passed, requires the body to adjourn the meeting at the specific time set in the motion. For example, the motion might be: “I move we adjourn this meeting at midnight.” It requires a simple majority vote.



Motion to table. This motion, if passed, requires discussion of the agenda item to be halted and the agenda item to be placed on “hold.” The motion can contain a specific time in which the item can come back to the body. “I move we table this item until our regular meeting in October.” Or the motion can contain no specific time for the return of the item, in which case a motion to take the item off the table and bring it back to the body will have to be taken at a future meeting. A motion to table an item (or to bring it back to the body) requires a simple majority vote.

Motion to limit debate. The most common form of this motion is to say, “I move the previous question” or “I move the question” or “I call the question” or sometimes someone simply shouts out “question.” As a practical matter, when a member calls out one of these phrases, the chair can expedite matters by treating it as a “request” rather than as a formal motion. The chair can simply inquire of the body, “any further discussion?” If no one wishes to have further discussion, then the chair can go right to the pending motion that is on the floor. However, if even one person wishes to discuss the pending motion further, then at that point, the chair should treat the call for the “question” as a formal motion, and proceed to it.

When a member of the body makes such a motion (“I move the previous question”), the member is really saying: “I’ve had enough debate. Let’s get on with the vote.” When such a motion is made, the chair should ask for a second, stop debate, and vote on the motion to limit debate. The motion to limit debate requires a two-thirds vote of the body.

NOTE: A motion to limit debate could include a time limit. For example: “I move we limit debate on this agenda item to 15 minutes.” Even in this format, the motion to limit debate requires a two-thirds vote of the body. A similar motion is a *motion to object to consideration of an item*. This motion is not debatable, and if passed, precludes the body from even considering an item on the agenda. It also requires a two-thirds vote.

Majority and Super Majority Votes

In a democracy, a simple majority vote determines a question. A tie vote means the motion fails. So in a seven-member body, a vote of 4-3 passes the motion. A vote of 3-3 with one abstention means the motion fails. If one member is absent and the vote is 3-3, the motion still fails.

All motions require a simple majority, but there are a few exceptions. The exceptions come up when the body is taking an action which effectively cuts off the ability of a minority of the body to take an action or discuss an item. These extraordinary motions require a two-thirds majority (a super majority) to pass:

Motion to limit debate. Whether a member says, “I move the previous question,” or “I move the question,” or “I call the question,” or “I move to limit debate,” it all amounts to an attempt to cut off the ability of the minority to discuss an item, and it requires a two-thirds vote to pass.

Motion to close nominations. When choosing officers of the body (such as the chair), nominations are in order either from a nominating committee or from the floor of the body. A motion to close nominations effectively cuts off the right of the minority to nominate officers and it requires a two-thirds vote to pass.

Motion to object to the consideration of a question. Normally, such a motion is unnecessary since the objectionable item can be tabled or defeated straight up. However, when members of a body do not even want an item on the agenda to be considered, then such a motion is in order. It is not debatable, and it requires a two-thirds vote to pass.

Motion to suspend the rules. This motion is debatable, but requires a two-thirds vote to pass. If the body has its own rules of order, conduct or procedure, this motion allows the body to suspend the rules for a particular purpose. For example, the body (a private club) might have a rule prohibiting the attendance at meetings by non-club members. A motion to suspend the rules would be in order to allow a non-club member to attend a meeting of the club on a particular date or on a particular agenda item.

Counting Votes

The matter of counting votes starts simple, but can become complicated.


Usually, it’s pretty easy to determine whether a particular motion passed or whether it was defeated. If a simple majority vote is needed to pass a motion, then one vote more than 50 percent of the body is required. For example, in a five-member body, if the vote is three in favor and two opposed, the motion passes. If it is two in favor and three opposed, the motion is defeated.

If a two-thirds majority vote is needed to pass a motion, then how many affirmative votes are required? The simple rule of thumb is to count the “no” votes and double that count to determine how many “yes” votes are needed to pass a particular motion. For example, in a seven-member body, if two members vote “no” then the “yes” vote of at least four members is required to achieve a two-thirds majority vote to pass the motion.

What about tie votes? In the event of a tie, the motion always fails since an affirmative vote is required to pass any motion. For example, in a five-member body, if the vote is two in favor and two opposed, with one member absent, the motion is defeated.

Vote counting starts to become complicated when members vote “abstain” or in the case of a written ballot, cast a blank (or unreadable) ballot. Do these votes count, and if so, how does one count them? The starting point is always to check the statutes.

In California, for example, for an action of a board of supervisors to be valid and binding, the action must be approved by a majority of the board. (California Government Code Section 25005.) Typically, this means three of the five members of the board must vote affirmatively in favor of the action. A vote of 2-1 would not be sufficient. A vote of 3-0 with two abstentions would be sufficient. In general law cities in



California, as another example, resolutions or orders for the payment of money and all ordinances require a recorded vote of the total members of the city council. (California Government Code Section 36936.) Cities with charters may prescribe their own vote requirements. Local elected officials are always well-advised to consult with their local agency counsel on how state law may affect the vote count.

After consulting state statutes, step number two is to check the rules of the body. If the rules of the body say that you count votes of “those present” then you treat abstentions one way. However, if the rules of the body say that you count the votes of those “present and voting,” then you treat abstentions a different way. And if the rules of the body are silent on the subject, then the general rule of thumb (and default rule) is that you count all votes that are “present and voting.”

Accordingly, under the “present and voting” system, you would **NOT** count abstention votes on the motion. Members who abstain are counted for purposes of determining quorum (they are “present”), but you treat the abstention votes on the motion as if they did not exist (they are not “voting”). On the other hand, if the rules of the body specifically say that you count votes of those “present” then you **DO** count abstention votes both in establishing the quorum and on the motion. In this event, the abstention votes act just like “no” votes.

How does this work in practice?

Here are a few examples.

Assume that a five-member city council is voting on a motion that requires a simple majority vote to pass, and assume further that the body has no specific rule on counting votes. Accordingly, the default rule kicks in and we count all votes of members that are “present and voting.” If the vote on the motion is 3-2, the motion passes. If the motion is 2-2 with one abstention, the motion fails.

Assume a five-member city council voting on a motion that requires a two-thirds majority vote to pass, and further assume that the body has no specific rule on counting votes. Again, the default rule applies. If the vote is 3-2, the motion fails for lack of a two-thirds majority. If the vote is 4-1, the motion passes with a clear two-thirds majority. A vote of three “yes,” one “no” and one “abstain” also results in passage of the motion. Once again, the abstention is counted only for the purpose of determining quorum, but on the actual vote on the motion, it is as if the abstention vote never existed — so an effective 3-1 vote is clearly a two-thirds majority vote.

Now, change the scenario slightly. Assume the same five-member city council voting on a motion that requires a two-thirds majority vote to pass, but now assume that the body **DOES** have a specific rule requiring a two-thirds vote of members “present.” Under this specific rule, we must count the members present not only for quorum but also for the motion. In this scenario, any abstention has the same force and effect as if it were a “no” vote. Accordingly, if the votes were three “yes,” one “no” and one “abstain,” then the motion fails. The abstention in this case is treated like a “no” vote and effective vote of 3-2 is not enough to pass two-thirds majority muster.

Now, exactly how does a member cast an “abstention” vote?

Any time a member votes “abstain” or says, “I abstain,” that is an abstention. However, if a member votes “present” that is also treated as an abstention (the member is essentially saying, “Count me for purposes of a quorum, but my vote on the issue is abstain.”) In fact, any manifestation of intention not to vote either “yes” or “no” on the pending motion may be treated by the chair as an abstention. If written ballots are cast, a blank or unreadable ballot is counted as an abstention as well.

Can a member vote “absent” or “count me as absent?” Interesting question. The ruling on this is up to the chair. The better approach is for the chair to count this as if the member had left his/her chair and is actually “absent.” That, of course, affects the quorum. However, the chair may also treat this as a vote to abstain, particularly if the person does not actually leave the dais.

The Motion to Reconsider

There is a special and unique motion that requires a bit of explanation all by itself; the motion to reconsider. A tenet of parliamentary procedure is finality. After vigorous discussion, debate and a vote, there must be some closure to the issue. And so, after a vote is taken, the matter is deemed closed, subject only to reopening if a proper motion to consider is made and passed.

A motion to reconsider requires a majority vote to pass like other garden-variety motions, but there are two special rules that apply only to the motion to reconsider.

First, is the matter of timing. A motion to reconsider must be made at the meeting where the item was first voted upon. A motion to reconsider made at a later time is untimely. (The body, however, can always vote to suspend the rules and, by a two-thirds majority, allow a motion to reconsider to be made at another time.)

Second, a motion to reconsider may be made only by certain members of the body. Accordingly, a motion to reconsider may be made only by a member who voted in the majority on the original motion. If such a member has a change of heart, he or she may make the motion to reconsider (any other member of the body — including a member who voted in the minority on the original motion — may second the motion). If a member who voted in the minority seeks to make the motion to reconsider, it must be ruled out of order. The purpose of this rule is finality. If a member of minority could make a motion to reconsider, then the item could be brought back to the body again and again, which would defeat the purpose of finality.

If the motion to reconsider passes, then the original matter is back before the body, and a new original motion is in order. The matter may be discussed and debated as if it were on the floor for the first time.



Courtesy and Decorum

The rules of order are meant to create an atmosphere where the members of the body and the members of the public can attend to business efficiently, fairly and with full participation. At the same time, it is up to the chair and the members of the body to maintain common courtesy and decorum. Unless the setting is very informal, it is always best for only one person at a time to have the floor, and it is always best for every speaker to be first recognized by the chair before proceeding to speak.

The chair should always ensure that debate and discussion of an agenda item focuses on the item and the policy in question, not the personalities of the members of the body. Debate on policy is healthy, debate on personalities is not. The chair has the right to cut off discussion that is too personal, is too loud, or is too crude.

Debate and discussion should be focused, but free and open. In the interest of time, the chair may, however, limit the time allotted to speakers, including members of the body.

Can a member of the body interrupt the speaker? The general rule is “no.” There are, however, exceptions. A speaker may be interrupted for the following reasons:

Privilege. The proper interruption would be, “point of privilege.” The chair would then ask the interrupter to “state your point.” Appropriate points of privilege relate to anything that would interfere with the normal comfort of the meeting. For example, the room may be too hot or too cold, or a blowing fan might interfere with a person’s ability to hear.

Order. The proper interruption would be, “point of order.” Again, the chair would ask the interrupter to “state your point.” Appropriate points of order relate to anything that would not be considered appropriate conduct of the meeting. For example, if the chair moved on to a vote on a motion that permits debate without allowing that discussion or debate.

Appeal. If the chair makes a ruling that a member of the body disagrees with, that member may appeal the ruling of the chair. If the motion is seconded, and after debate, if it passes by a simple majority vote, then the ruling of the chair is deemed reversed.

Call for orders of the day. This is simply another way of saying, “return to the agenda.” If a member believes that the body has drifted from the agreed-upon agenda, such a call may be made. It does not require a vote, and when the chair discovers that the agenda has not been followed, the chair simply reminds the body to return to the agenda item properly before them. If the chair fails to do so, the chair’s determination may be appealed.

Withdraw a motion. During debate and discussion of a motion, the maker of the motion on the floor, at any time, may interrupt a speaker to withdraw his or her motion from the floor. The motion is immediately deemed withdrawn, although the chair may ask the person who seconded the motion if he or she wishes to make the motion, and any other member may make the motion if properly recognized.

Special Notes About Public Input

The rules outlined above will help make meetings very public-friendly. But in addition, and particularly for the chair, it is wise to remember three special rules that apply to each agenda item:

Rule One: Tell the public what the body will be doing.

Rule Two: Keep the public informed while the body is doing it.

Rule Three: When the body has acted, tell the public what the body did.



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REDWOOD COAST Energy Authority

STAFF REPORT

AGENDA DATE:	December 12, 2016
TO:	Board of Directors
PREPARED BY:	Executive Director
SUBJECT:	Headwaters Fund Loan

RECOMMENDED ACTION:

Approve Headwaters Fund \$700,000 unsecured, non-revolving line of credit with 5% interest rate, 1% underwriting fee, and 72 month term, and authorize the Executive Director to execute any associated documents and agreements pending final review and approval by RCEA General Counsel.

SUMMARY

Following RCEA Board approval to apply, staff worked with the Redwood Region Economic Development Commission (RREDC) to submit a loan application to Headwaters Fund, which was unanimously approved by the Headwaters Fund Board at their November 15th meeting. The approved terms that will be recommended to the County Board of Supervisors for final authorization are:

- Unsecured, non-revolving line of credit
- 72 month term
- \$700,000 maximum
- 5% interest rate
- 1% (\$7,000) underwriting fee

It is expected that RREDC will service the loan for the County, and RREDC and County staff are in the process of developing the needed agreements. County staff intends to request final approval from the Board of Supervisors at their January 3, 2017 meeting.

As the final agreement documents with RREDC and the County are still being finalized, to keep the process on track staff requests approval of the loan with the above stated terms and authorization to the Executive Director to execute the loan agreement documents after final drafts have been reviewed and approved by RCEA General Counsel.

RECOMMENDED ACTION:

Approve Headwaters Fund \$700,000 unsecured, non-revolving line of credit with 5% interest rate, 1% underwriting fee, and 72 month term, and authorize the Executive Director to execute any associated documents and agreements pending final review and approval by RCEA General Counsel.

ATTACHMENTS: None.



STAFF REPORT

AGENDA DATE:	December 12, 2016
TO:	Board of Directors
PREPARED BY:	Executive Director
SUBJECT:	Staffing and Reorganization

RECOMMENDED ACTION

Adopt Resolution 2016-5 adopting Compensation Policy, Employee Performance Review Policy, Organization Chart Update, Position Descriptions, and Salary Schedule.

SUMMARY

As reported at previous meetings, staff has been working over the course of several months with CCE consultants TEA and LEAN to develop a CCE staffing plan that meets the operation needs of the CCE program while also incorporating and meeting RCEA existing programs and associated staffing needs. Staff is also working with HR consultant Don Turko to develop updated staffing and compensation policies and procedures.

The resulting proposed Compensation Policy, Performance Review Policy, and staffing/re-organization documents are attached:

1. **Salary Survey.** With input from RCEA's relevant consultants and the RCEA Board Staffing Subcommittee, staff completed a salary survey of comparative positions at other comparable regional agencies.

The process for the Salary Survey is defined in the Compensation Policy developed by HR consultant Turko: the Policy established a set of "Labor Market Agencies" (which were presented to the Board in November) from which "Benchmark Classifications" are selected and an "Average of the Salary Survey" is calculated based on the mid-point of the salary ranges for the Benchmark Positions. The Average of the Salary Survey values are then used to establish the mid-point of the salary range for RCEA's comparable job classifications.

Attached is Salary Survey data, which includes the Benchmark Classifications chosen for each RCEA classification, the mid-point of those benchmark positions, the resulting average mid-point, and the proposed RCEA classification mid-points based on those averages.

2. **Resolution 2016-5 adopting the following documents:**

- a. **Employee Compensation Policy.** Drafted by HR Consultant Turko using established public-sector HR best practices, The policy defines the philosophy of compensation for regular employees, and specifically defines how salary increases for various job classifications are determined. As noted above, the set of other attached documents have been developed in accordance with this proposed policy.
- b. **Employee Performance Review Policy.** This policy, also developed by Mr. Turko, defines in detail the process for conducting performance reviews and awarding any associated merit-based pay increases. As part of his ongoing scope of work, Mr. Turko is also developing the evaluation forms and other supporting documents associated with implementing this policy at the staff level, and will be conducting a related all-day training in January for RCEA staff with supervisory responsibilities.
- c. **Organization Chart.** As presented in November, staff has worked with RCEA's team of consultants to update RCEA's Organization Chart with a structure that meets and efficiently integrates the needs of both RCEA's ongoing programs and new Community Choice Energy Program responsibilities.
- d. **Position Descriptions.** A comprehensive set of updated position descriptions was developed to align with the new roles and responsibilities associated with the organization chart update. As outlined in the Performance Review Policy, these position descriptions will be paired with more detail and specific annual work plans for each employee.
- e. **Salary Schedule.** A proposed update to the RCEA Salary Schedule was developed to align with the new organization chart and associated positions and informed by the Salary Survey per the proposed Compensation Policy.

The proposed schedule for implementation of the above items is:

- Compensation and Performance Evaluation Policies effective upon adoption. Staff training will be conducted in January on the new policies, and employee work plans will be developed per the Performance Review Policy in February.
- Organization Chart and Position Descriptions effective January 1, with the Executive Director to implement the hiring and transition process over the course of Quarter 1 2017, to be completed by April 1, 2017. Staff will continue to operate under current job descriptions as needed until they have been reassigned and have met with their supervisor to review the new job description.
- Contingent on available funding, the Salary Schedule update will be effective February 1, 2017. In the interim staff will remain under the current salary schedule at their current classification. The transition to the newly-defined classifications and associated salary schedule will be implemented in accordance with the compensation policy, including a proposed re-set of the Executive Director's salary to step 1.

FINANCIAL IMPACTS

The additional new positions and proposed update to the salary schedule will result in an increase to RCEA's personnel budget. The costs increase can be fully covered by the current budgets of ongoing programs along with the Community Choice Energy Program working budget for RCEA internal costs associated with operating the program. This CCE working budget for RCEA internal costs is incorporated into the final Program Implementation Plan approved by the Board in October; the Implementation Plan pro forma budgets \$2 million for RCEA staffing and consulting costs (not including RCEA's core team of service providers), which is approximate 3.9% of the total program budget.

All RCEA staff are "at will" employees and all positions will continue to be staffed and continued contingent on available funding.

RECOMMENDED ACTIONS:

Adopt Resolution 2016-5 adopting Compensation Policy, Employee Performance Review Policy, Organization Chart Update, Position Descriptions, and Salary Schedule.

ATTACHMENTS:

1. Salary Survey
2. Resolution 2016-5 and associated attachments:
 - a. Employee Compensation Policy
 - b. Employee Performance Review Policy
 - c. Organization Chart
 - d. Position Descriptions
 - e. Salary Schedule

Salary Survey of Benchmark Classifications at RCEA Labor Market Agencies

Presented 12/12/16

Figures represent base pay only; while RCEA offers comparable insurance benefits to other local public agencies, it should be noted that some of these Labor Market Agencies participate in CalPERS which provides a significantly greater value than RCEA's basic 3% retirement plan matching contribution

Title	Organization	Midpoint of range or single point
Assistant/Associate/Coordinator		
Administrative Assistant	HSU Schatz Energy Research Center	\$36,628.80
Administrative Assistant	City of Eureka	\$33,201.00
Administrative Support	North Coast Air Quality Management District	\$30,341.50
Clerk I	Trinity County PUD	\$37,876.50
Customer Services Representative I/II	City of Ukiah Electric Utility	\$38,158.44
Administrative Secretary	County of Humboldt	\$37,719.42
AVERAGE		\$35,654.28
Proposed RCEA Midpoint (step 5)		\$35,000.00
Specialist/Senior Specialist		
Admin		
Customer Service & Accounting/HR Assistant	Humboldt Bay Municipal Water District	\$48,124.00
Executive Assistant & Board Secretary	Humboldt Bay Municipal Water District	\$50,528.00
Assistant To The APCO & Clerk Of The Board	North Coast Air Quality Management District	\$61,008.00
IT Technician I/II	County of Humboldt	\$55,791.48
Clerk II	Trinity County PUD	\$54,538.00
Clerk III	Trinity County PUD	\$61,765.50
Accounting & HR Specialist	Humboldt Bay Municipal Water District	\$55,723.00
Programatic		
Scheduler-Planner Specialist I	Mendocino Energy Watch Program	\$46,227.64
Scheduler-Planner Specialist II	Mendocino Energy Watch Program	\$58,531.20
Burn Permit Coordinator	North Coast Air Quality Management District	\$61,008.00
Electric Utility Program Coordinator	City of Ukiah Electric Utility	\$51,548.76
Utility Services Team Leader	City of Ukiah Electric Utility	\$50,291.34
Operations/Customer Service Specialist	Humboldt Bay Municipal Water District	\$55,723.00
Program & Regulatory Analyst	Humboldt Bay Municipal Water District	\$60,942.00
Research Engineer	HSU Schatz Energy Research Center	\$51,823.20
Customer Care Specialist	Sonoma Clean Power	\$62,500.00
AVERAGE		\$55,379.57
Proposed RCEA Midpoint (Specialist step 8)		\$55,000.00
Technician/Senior Technician		
Sustainability and Energy Efficiency Specialist I	Mendocino Energy Watch Program	\$58,791.20
Sustainability and Energy Efficiency Specialist II	Mendocino Energy Watch Program	\$74,432.80
Inspector I-III	North Coast Air Quality Management District	\$61,008.00
Air Pollution Specialist	North Coast Air Quality Management District	\$61,008.00
Electrical Engineering Technician I-III	City of Ukiah Electric Utility	\$71,433.72
Utility Worker	Trinity County PUD	\$70,034.00
AVERAGE		\$66,117.95
Proposed RCEA Midpoint (Tech step 8)		\$65,000.00

Manager/Senior Manager		
Admin		
Controller	North Coast Air Quality Management District	\$61,008.00
Assistant Office Administrator	Trinity County PUD	\$76,108.00
Deputy (Assistant) Finance Director	City of Eureka	\$79,314.00
Billing & Customer Service Manager	City of Ukiah Electric Utility	\$65,673.97
Public Works Operations Manager	City of Eureka	\$68,514.00
Programatic		
Development and Sustainability Manager I	Mendocino Energy Watch Program	\$79,154.40
Special Projects Manager	City of Eureka	\$79,314.00
Project Manager	City of Eureka	\$68,514.00
Deputy Public Works Director	City of Eureka	\$83,280.00
Permits and Planning Manager	North Coast Air Quality Management District	\$88,793.00
Compliance and Enforcement Manager	North Coast Air Quality Management District	\$82,308.00
Senior Research Engineer	HSU Schatz Energy Research Center	\$78,041.60
Construction Projects Manager	County of Humboldt	\$75,447.96
AVERAGE		\$75,805.46
Proposed RCEA Midpoint (Manager step 8)		\$75,000.00

Director		
Administrative		
Business Manager	Humboldt Bay Municipal Water District	\$84,732.00
Finance Director	City of Eureka	\$106,296.00
Chief Financial Officer	Trinity County PUD	\$82,890.00
Office Administrator	Trinity County PUD	\$93,902.00
Compliance Manager	Sonoma Clean Power	\$120,000.00
Programatic		
Development and Sustainability Manager II	Mendocino Energy Watch Program	\$100,193.60
Assistant Utility Director	City of Ukiah Electric Utility	\$109,363.20
Electrical Supervisor	City of Ukiah Electric Utility	\$98,208.60
Superintendent	Humboldt Bay Municipal Water District	\$93,411.00
Electric Superintendant	Trinity County PUD	\$160,914.00
Director of Power Services	Sonoma Clean Power	\$160,000.00
Director of Programs	Sonoma Clean Power	\$135,000.00
AVERAGE		\$112,075.87
Proposed RCEA Midpoint (step 5)		\$100,000.00

Executive Director		
General Manager	Humboldt Bay Municipal Water District	\$122,400.00
Air Pollution Control Officer	North Coast Unified Air Quality District	\$138,320.00
General Manager	Trinity County Public Utility District	\$202,774.00
Electric Utility Director	City of Ukiah Electric Utility	\$144,000.00
Chief Executive Officer	Sonoma Clean Power	\$205,000.00
AVERAGE		\$162,498.80
Proposed RCEA Midpoint (step 5)		\$130,000.00

RESOLUTION NO. 2016-5
OF THE REDWOOD COAST ENERGY AUTHORITY ADOPTING
A COMPENSATION POLICY, EMPLOYEE PERFORMANCE REVIEW POLICY,
ORGANIZATION CHART, POSITION DESCRIPTIONS, AND SALARY SCHEDULE.

WHEREAS, the Redwood Coast Energy Authority (RCEA) requires a skilled team of employees for the successful administration of its ongoing programs as well as the launch of a Community Choice Energy Program on behalf of participating Humboldt County jurisdictions; and

WHEREAS, RCEA desires to attract and retain qualified employees at all levels of the organization and to maintain fair and competitive salary ranges consistent, within the economic constraints of the Authority, with the labor market in which RCEA competes for talented employees.; and

WHEREAS, RCEA is committed to a high standard operation excellence, including effective and fair employee policies and performance management practices.

NOW, THEREFORE, BE IT RESOLVED, that the Board of the Redwood Coast Energy Authority does hereby adopt and order as follows:

Section 1. The Board adopts an Employee Compensation Policy, as set forth in Appendix A, attached hereto and incorporated herein.

Section 2. The Board adopts an Employee Performance Review Policy, as set forth in Appendix B, attached hereto and incorporated herein.

Section 3. The Board adopts an updated Organization Chart and associated Position Descriptions, as set forth in Appendix C, attached hereto and incorporated herein. The update Organization Chart and Position Descriptions will be effective January 1, with the Executive Director to implement, the transition and hiring process over the course of the first quarter of 2017, to be completed by April 1, 2017. Staff will continue to operate under current job descriptions until they have been reassigned under the new organization chart and have met with their supervisor to review their new job description.

Section 4. The Board adopts an updated Job Classification Salary Schedule, as set forth in Appendix D, attached hereto and incorporated herein. Contingent on available funding, the Salary Schedule update will be effective February 1, 2017, prior to which staff will remain under the 2014 Board-adopted salary schedule at their current classification. The transition to the newly-defined classifications and associated salary schedule will be implemented in accordance with the Employee Compensation Policy, as well as a re-set of the Executive Director's salary down to step 1 of the updated Salary Schedule.

Adopted this ____ day of _____, 2016

ATTEST:

Linda Atkins, RCEA Board Chair

_____, Clerk

Date: _____

Date: _____

CLERK'S CERTIFICATE

I hereby certify that the foregoing is a true and correct copy of Resolution No. 2016-5 passed and adopted at a regular meeting of the Redwood Coast Energy Authority, County of Humboldt, State of California, held on the ____ day of _____, 2016, by the following vote:

AYES:

NOES:

ABSENT:

ABSTENTIONS:

Clerk of the Board, Redwood Coast Energy Authority

REDWOOD COAST ENERGY AUTHORITY

EMPLOYEE COMPENSATION POLICY

1. Purpose

The purpose of this policy is to define the philosophy of compensation for the Redwood Coast Energy Authority (hereinafter the Authority) for regular employees, and to specifically define how salary increases for various job classifications are determined.

The Compensation Policy specifically addresses:

- Objectives of the Policy
- Statement of Compensation Policy
- Basis for Determination of Salary and Salary Changes
- Salary Surveys
- Internal Alignment
- Review of Performance and Salary
- Procedures

Specific clarification of Performance Evaluation, Employee Classifications, and all matters pertaining to employee benefits are addressed under separate policies.

2. Definitions

a. Average of the Salary Survey

The average of the salary survey is the average of the salary figures for all the agencies surveyed at the mid-point of the salary range.

b. Labor Market Agencies

The Authority recognizes one labor market for all of its regular positions. The labor market includes the following agencies:

1. Humboldt Bay Municipal Water District
2. City of Eureka
3. County of Humboldt
4. North Coast Unified Air Quality Management District
5. HSU Schatz Energy Research Center
6. Mendocino Energy Watch (administered by Community Development Commission of Mendocino County)
7. Trinity County Public Utility District
8. City of Ukiah Electric Utility
9. Sonoma Clean Power

Additions and/or deletions to the recognized labor market may be made by the Board at a scheduled meeting of the Authority.

c. Benchmark Classification

A benchmark classification is a position or classification which is regarded as representative or comparable from agency to agency and which will serve as the basis for the internal alignment of salaries of related agency classifications. The Executive Director shall determine the benchmark positions to be utilized in any survey.

d. Salary Surveys

A periodic survey of the Labor Market Agencies will be conducted of the designated benchmark classifications at least every two (2) years. The results of the survey, including the collected raw survey data will be shared with the Authority board in a public meeting prior to adoption of changes to the Authority's salary ranges.

e. Merit Increase

A salary increase granted to an employee on the basis of performance that meets or exceeds performance criteria for the job classification.

3. Statement of Policy

In order to attract and retain qualified employees at all levels of the organization, it is the policy of the Authority to maintain fair and competitive salary ranges consistent, within the economic constraints of the Authority, with the labor market in which we compete for talented employees.

a. Statement of Compensation Policy

It is the policy of the Authority to:

- i. Establish salary ranges that reflect the value of various jobs, as determined by periodic job evaluation and review, taking into account the duties and levels of responsibility of each job;
- ii. Establish salary ranges consistent with the Authority's fiscal ability to maintain services consistent with projected revenues and Board direction;
- iii. Survey other agencies who employ similar positions relative to salary and to adjust salary ranges when warranted by changing economic and competitive factors, including periodic salary surveys;
- iv. Encourage superior performance by adjusting the salary of each employee on the basis of the quality of individual performance (merit) as determined by performance evaluations;
- v. Ensure that compensation is not influenced by race, creed, national origin, color, marital status, age, sex or sexual identity, or disability.

b. Basis for Determination of Salary and Salary Changes

Salary levels will be based upon:

- i. The fair and competitive salary ranges adopted by the Authority Board consistent with the economic constraint of the Authority and the labor market. This will be determined by the Board and at its sole discretion after reviewing the local area's consumer price index, salary increases granted by the comparable Labor Market Agencies, and the Authority's ability to maintain organizational services at a level consistent with projected revenues and Board direction.
- ii. A periodic (every 2 years) salary survey of benchmark positions within the established labor market to determine if any classifications should be considered for a market adjustment in salary;
- iii. Internal Authority classification relationships, and;
- iv. All compensation increases within a classification's salary range will be based upon merit.

c. Salary Surveys

The Authority has identified the Labor Market Agencies for benchmark classifications. The biennial salary survey shall identify the "average" level of salary for each benchmark classification paid by the labor market.

d. Internal Alignment

A minimum and maximum salary range is established for each job classification based upon external labor market data and upon the internal alignment of job classifications throughout the Authority. The alignment of the job classification system will be maintained and reviewed on a regular and systemic basis.

e. Review of Performance and Salary

While the performance of each employee is regularly reviewed, overall performance and salary level shall be appraised, in detail, at least once during every twelve (12) month period. The merit of employee performance as reported on such appraisals will determine salary increases to be granted.

Change in pay of an individual employee shall primarily reflect upon competence in the performance of all assigned duties and sustained accomplishment of the objectives and tasks of the position. Performance will be evaluated by those in management having direct supervisory responsibility for the employee and shall be reviewed and approved in accordance with the procedures outlined in the Performance Evaluation Policy.

Specific situations which warrant review of performance and of salary include the following:

i. New Hire/Initial Hire Employees

Before an applicant is hired or an employee promoted to a new or revised position, a job description must be prepared and the position must be evaluated, approved and placed in a salary range. Starting salary will be at the minimum established for the range, with the following exceptions:

- Directors may appoint new employees up to and including 5% above the range minimum, subject to approval of the Executive Director.
- The Executive Director may authorize appointments up to and including the mid-point of the salary range in the event of a recruitment emergency or exceptional qualifications of a candidate.

During the initial employment period, or first twelve (12) months of employment, employees are eligible to receive up to a 5% increase based upon the merit of their performance.

ii. Merit Increases

Employees are eligible to receive up to a 5% salary increase per year based upon the merit of their performance as established in their annual performance evaluation. The merit increase consideration allows an individual employee's salary to increase within the range established for his/her job classification (ie., no more than the maximum salary in the salary range.)

iii. Compensation Adjustments

Employees may receive additional compensation adjustments at such time that the Board determines that classifications and/or salary ranges should be adjusted based upon survey data. However the Board retains the jurisdiction to adjust salary ranges without modifying individual salaries, or to adjust individual salaries only for a portion of the classification (for example limiting the adjustment to employees who have been at the top step of the salary range for more than one year).

iv. Promotion

Employees promoted to a new position in a classification with a higher salary range will be compensated at least at the minimum salary in the new range.

A promoted employee begins a twelve (12) month probationary period in the new classification. During this period, employees are eligible to receive up to a 5% merit increase based upon completion of probation and a performance review with satisfactory or better performance.

v. Out of Class Pay

Subject to the prior written authorization of the Executive Director, employees may be eligible for up to 5% out of class pay for performing the majority of their assigned duties at a level significantly above their current job classification for periods 60 or more days.

4. Procedures for Approval of Salary Adjustments

a. Documentation Required

To ensure that salary adjustments are based upon an individual employee's current performance, proposed personnel actions that result in a change in compensation must include an explanation of the employee's performance in the space provided at the bottom of the Personnel Action Form (PAF).

b. Procedure

- i. Supervisors shall evaluate employee performance formally prior to any personnel action that affects salary positively, or negatively. The Personnel Action Form should be prepared and forwarded to the Director responsible for Human Resources for the Authority. It is important that proposed compensation increases are not discussed with the employee until after the Director responsible for Human Resources has reviewed the PAF for accuracy and consistency with the employee's salary, performance history, and policy.
- ii. The Director responsible for Human Resources will receive and review all Employee PAFs and initiate further discussion with the supervisor if necessary. If the PAF documents are in order, the supervisor will be authorized to schedule a meeting with the employee to discuss both their performance and the recommended salary adjustments and effective date.
- iii. The completed evaluation form, signed by the employee and supervisor shall be returned to Human Resources for processing and permanent placement in the employee's personnel file.

REDWOOD COAST ENERGY AUTHORITY

EMPLOYEE PERFORMANCE REVIEW POLICY

Purpose:

The Redwood Coast Energy Authority, hereinafter the Authority, requires annual performance evaluations of all employees in order to create and maintain an environment of workplace excellence and for accountability to the public we serve.

Statement of Procedure:

Annual employee performance evaluations are shown to increase the effectiveness of employees in fulfilling the mission, values, and goals of their organization. Regular performance evaluations also assist employees in carrying out their assigned tasks and in selecting professional development activities which encourage personal and professional growth. Performance evaluations are also tools that organizational management may utilize for succession planning in that they identify employees who should be coached for future professional and management level positions. Employee evaluations are based on job expectations that are clearly defined by the supervisor in open communication with the employee.

The immediate supervisor shall have the responsibility for evaluating the employee's job performance throughout the year, and if the need arises, holding periodic coaching sessions with the employee to discuss ways to improve current job performance. Annually based on the designated steps contained in this policy, the supervisor and employee will have face-to-face meetings to discuss the employee's assigned duties and performance, emphasizing strengths, and areas needing improvement in job performance. All such meetings should be utilized as a learning tool to identify areas of improvement which maximize the attainment of organizational goals and promote workplace excellence.

1. Initial Employment Period: All new regular employees shall be evaluated during their first twelve (12) months of employment, and annually thereafter. This review will be part of the employee's evaluation during the initial employment period and shall serve as a basis for recommending continued employment after completion of the Initial Employment Period. During the initial employment period the immediate supervisor should meet with the employee to evaluate the employee's performance at least every two to three months. After the first three months, the supervisor shall provide the employee with a written evaluation utilizing the Initial Employment Performance Evaluation Form and discuss the

findings with the employee. Prior to the completion of the initial employment period the immediate supervisor will meet with the employee and discuss his/her performance and the results of the evaluation of his/her initial employment period, including any merit increase being recommended.

If the employee successfully completes the initial employment process a copy of the signed evaluation will be placed in the employee's personnel file. The employee shall be evaluated annually thereafter.

2. **Annual Evaluation for Regular Employees:** All regular employees will be evaluated annually using the Annual Employee Evaluation Form. Immediate supervisors are permitted some flexibility in scheduling the steps in the following process; however, all three steps must be completed for each employee no later than the employee's anniversary date of appointment in their current classification.

Steps in the Annual Performance Evaluation Process:

Step 1. Planning Period. The Planning period will normally occur early in the work year. During the Planning Period, the immediate supervisor will meet with the employee to discuss the employee's job description, prepare a work plan with objectives and establish a professional development plan for the coming year.

Step 2. Mid-Year Review. The Mid-Year Review will normally occur sometime in the Second or Third Quarter of the Work Year. During the Mid-Year Review meeting, the immediate supervisor and employee will meet to review and update the work plan and objectives and revise, as necessary. The employee should bring supporting documentation of their accomplishments and the supervisor should bring supporting documentation of exceptional or unsatisfactory performance during the review period.

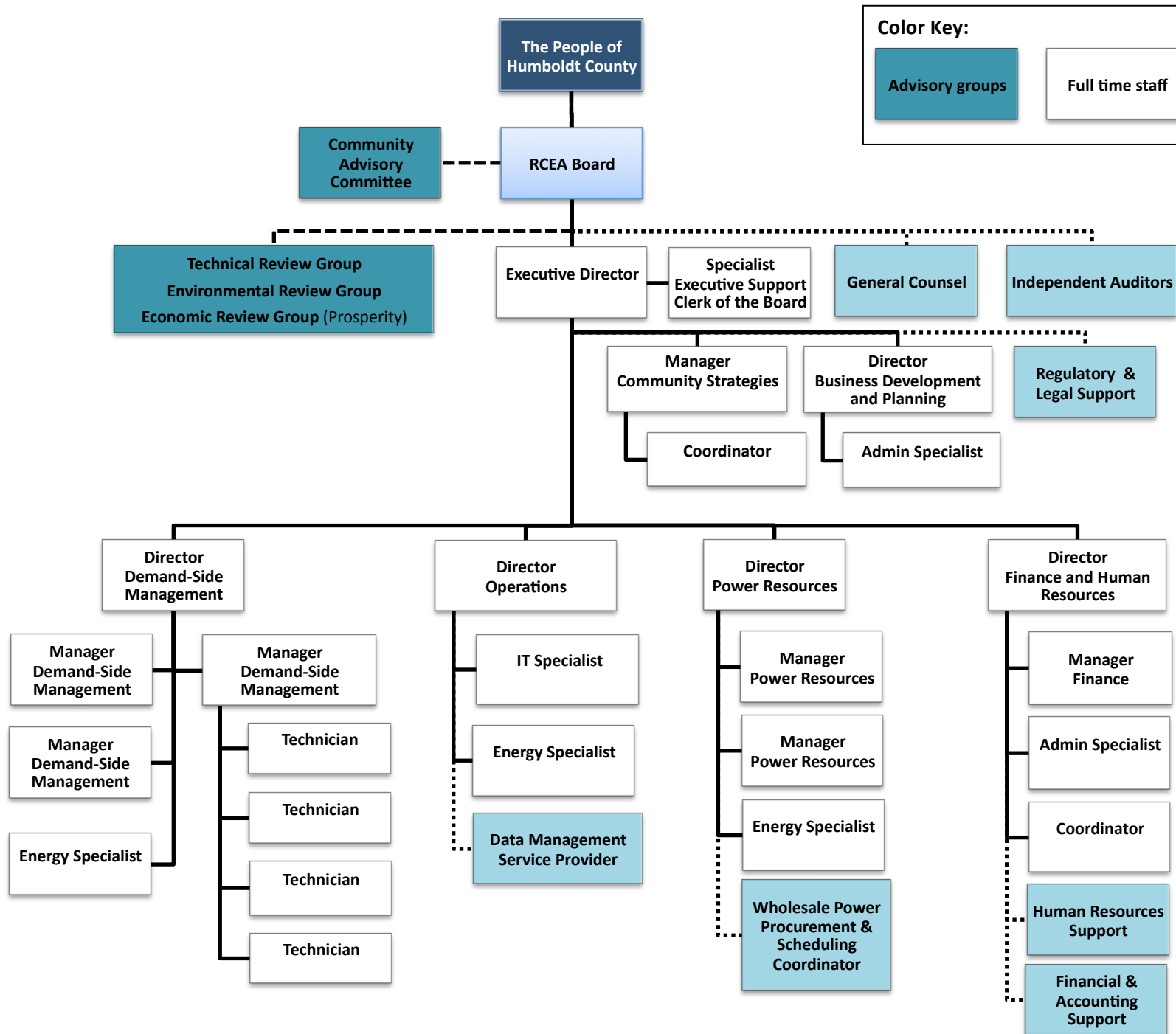
Step 3. End-of-Year Review. The End of Year Review will occur near the employee's anniversary date of appointment in his or her current classification. During the End of Year Review meeting the immediate supervisor and the employee will meet to review and update the work plan and professional development plan, if needed. Prior to the meeting, the employee will provide a self-evaluation and, during the meeting the supervisor will provide his/her direct feedback regarding the employee's performance during the past year indicating what his/her recommendations will be in the End of Year Review. The supervisor will then complete the Annual Evaluation Form in a timely manner and provide the employee with a copy. The employee will have two (2) work days to review the evaluation and to either sign the evaluation as provided or to make any written comments which may be attached to the evaluation form prior to placement in the employee's personnel file. If the employee declines to sign, the employee's decision will be noted on the form before it is placed in the employee's personnel file. Failure to perform timely performance evaluations on

subordinate employees by a supervisor may be grounds for the denial of the supervisor's annual merit increase by the Authority's Executive Director.

Immediately following the completion of the End of Year Review the immediate supervisor shall schedule a follow-up meeting with the Employee to schedule and begin the Planning Period steps in the next Annual Performance Review cycle.

Nothing contained within this policy on Performance Evaluations shall be interpreted to provide any employee to a claim to permanent employment with the Authority. The Authority policy statement regarding at will employment for all staff remains as stated in the Employee Handbook as adopted by the Board of Directors.

Proposed RCEA Organization Chart Update – Dec 2016





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Assistant / Coordinator

Class Description: Under the supervision of a Director or a mid-level supervisor, an Assistant or Coordinator supports RCEA staff by providing general or clerical duties related to one or more programmatic or administrative functions. Limited-term/part-time Assistant and Coordinator positions provide internship-style career development opportunities related to energy, public policy, and/or government administration for those new to these fields.

Summary

Under direct supervision, provides varied administrative and programmatic support for agency operations, including office administration, customer service, and energy programs, as assigned.

Essential Functions and Responsibilities

Duties are illustrative and may vary. Other duties may be assigned.

- Provide administrative support to staff and assist in general office management.
- Provide office and field-based customer service assistance.
- Perform office tasks such as answering phones, processing paper and electronic records, and entering data.

Minimum Qualifications

Experience/Education:

Any combination of training and experience that would provide the required knowledge, skills, and abilities is qualifying. A typical way to obtain the required qualifications would be:

- Education or experience equal to an Associate's degree in a related field, or two (2) years relevant work or educational experience, or any combination thereof.

Knowledge of:

- Basic office functions, such as operation of common office equipment, email and phone communications, scheduling, and document handling.
- Business software applications, including word processing, spreadsheets, email, calendars, and web browsers.
- Basic business terminology.
- Note taking, task management, and time management approaches and tools.

Ability to:

- Learn, understand, and effectively communicate information to coworkers, customers, and/or vendors.
- Promote and maintain a customer-centric approach to job duties.
- Work effectively as part of a team.
- Handle multiple tasks simultaneously at a fast pace and within stringent time constraints.
- Understand and apply office policies and procedures.
- Exercise discretion and independent judgment when necessary.



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Specialist/Senior Specialist - Executive Support & Clerk of the Board

General Class Description: Under general direction of a Manager or Director, a Specialist assists in developing and implementing programs or activities of their associated department; provides assistance to staff; performs related work as assigned. This class has no managerial level responsibility. A Specialist is responsible for supporting program goals and objectives, may supervise interns, and participates in the day-to-day operations and activities of their designated program or functional area within a department. A Specialist works with their Manager or Director to follow consistent and efficient implementation of agency operational policies and long-term operational excellence. This position class is distinguished by general and clearly-defined duties related to program and project management, with expertise developed and expanded under supervision and oversight. This position exercises discretion and independent judgment in the coordination and prioritization of duties and responsibilities assigned.

Position Summary

The Executive Support Specialist & Clerk of the Board works under general direction of the Executive Director and has responsibility for complex and high-level administrative support and scheduling related to the activities of the Executive Director, Board of Directors, and Executive Committee. This role requires extensive staff, Board, and public contact requiring a high degree of tact, diplomacy, confidentiality, and independent judgment as well as the accurate interpretation of agency policies, procedures, standards and requirements. This role requires knowledge of public agency governance, administrative support services such as scheduling, preparing documents, note-taking, record keeping, and effective communication.

Essential Functions and Responsibilities

Duties are illustrative and may vary. Other duties may be assigned.

- Provide administrative, analytical, and technical support to the Executive Director.
- Research, draft, and prepare various written materials including correspondence, reports, charts, and presentations.
- Plan, coordinate, notice, and prepare for Board and Committee meetings.
- Ensure all Board deadlines are met; initiate and track action items and follow up on actions to be taken.
- Prepare Board meeting packets and minutes, review for accuracy, and include relevant board policies.
- Maintain formal Board records such as agenda, minutes, and ordinances.
- Update the Board Member reference binder as needed.
- Respond to and process public records requests.
- Provide general administrative support through calendaring, scheduling, coordinating meetings, travel, timekeeping, events, and presentations.
- Provide technical assistance to the public, deliver training, and represent RCEA at public events.

Minimum Qualifications

Experience/Education:

Any combination of training and experience that would provide the required knowledge, skills, and abilities is qualifying. A typical way to obtain the required qualifications would be:

- Education or experience equivalent to a Bachelor's degree or greater in a related field.
- A minimum of 1 year (3 years for Senior Specialist designation) of relevant work experience.

Knowledge of:

- Business software applications, including Microsoft Office, and tools for calendaring and project management.
- Principles of public agency management and governance, including public records law and the Brown Act.
- Principles and methods of recordkeeping and public information dissemination.
- Administrative and office functions, such as reserving meeting rooms, scheduling, and filing.
- Principles and methods of project management.

Ability to:

- Prepare correspondence and reports, coordinate with staff and departments,
- Learn, interpret, and apply policies, procedures, and regulations; and to provide guidance and interpretation for staff and the public.
- Operate office equipment.
- Establish and maintain effective relationships with diverse community stakeholders.
- Communicate effectively verbally, in writing, and through presentations.
- Identify and solve problems effectively and expeditiously.
- Manage multiple priorities, meet deadlines, and quickly adapt to changing priorities in a fast-paced dynamic environment.
- Work well under pressure.
- Be thorough and detail-oriented.
- Demonstrate patience, tact, teamwork and commitment to superior service and performance.

Working Conditions and Essential Requirements

The physical demands described here are representative of those required for the position. Position requires sitting, walking, standing, bending, and twisting in the performance of daily activities. The position requires hand manipulation and repetitive hand movement and fine coordination in using a computer keyboard and other office equipment. The position requires near and far vision in reading reports and use of a computer. Acute hearing is required in supporting meetings and providing phone and in-person customer service. The position occasionally requires lifting and/or moving objects. RCEA will make reasonable accommodation of the known physical or mental limitations of a qualified applicant with a disability upon request. Possession and continued maintenance of a valid class C California driver's license or the ability to provide alternate transportation and a safe driving record.

Preferred Qualifications

- Possession of a Master's degree in a related field desirable.
- Knowledge of RCEA Programs.
- Knowledge of CPUC energy efficiency programs.
- Prior experience managing sub-contractors.

- Prior experience working with public agencies.
- Experience working with organizations involved with projects and programs in the areas of economic, environmental and economic development, especially in an entrepreneurial context.

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Specialist/Senior Specialist - Administrative

General Class Description: Under general direction of a Manager or Director, a Specialist assists in developing and implementing programs or activities of their associated department; provides assistance to staff; performs related work as assigned. This class has no managerial level responsibility. A Specialist is responsible for supporting program goals and objectives, may supervise interns, and participates in the day to day operations and activities of their designated program or functional area within a department. A Specialist works with their Manager or Director to follow consistent and efficient implementation of agency operational policies and long-term operational excellence. This position class is distinguished by general and clearly-defined duties related to program and project management, with expertise developed and expanded under supervision and oversight. This position exercises discretion and independent judgment in the coordination and prioritization of duties and responsibilities assigned.

Summary:

Under supervision of a Manager or Director, the Administrative Specialist coordinates and performs routine business functions for RCEA Administration, and for specific programs on an as-needed basis. The Administrative Specialist collects and enters data, maintains files, conducts internal audits, processes administrative paperwork, and assists program leads with project management tasks. The role communicates with vendors and peers at partner organizations, and potentially leads small initiatives. The Administrative Specialist promotes understanding of general policies and procedures, and contributes to overall organizational improvement. The position requires knowledge of office administration, general business principles, and project management for an organization with multiple diverse programs.

Essential Functions and Responsibilities

Duties are illustrative only and may vary. Other duties may be assigned.

- With minimal oversight, collect, enter, and verify data in program tracking tools or accounting systems with a high degree of accuracy.
- Maintain administrative paper-based and electronic file systems.
- Participate in periodic internal audits.
- Support new business development activities for estimating budget, scheduling, and resource allocation.
- Engage with vendor and partner peers to effectively and accurately complete administrative tasks and resolve issues.
- Support and train staff on general policies and procedures, and contributes to ongoing improvement.
- Create project and vendor reports, invoices, and related documentation.
- Help to assemble and submit grant applications, project reports, and related documents.
- Assist with periodic administrative tasks such as public information requests, audits, grants and reports, and public presentations.
- Assist peers with project management tasks such as scheduling, budgeting, and resource tracking.
- Conduct basic research, documentation, and analysis tasks.

Minimum Qualifications

Experience/Education:

Any combination of training and experience that would provide the required knowledge, skills, and abilities is qualifying. A typical way to obtain the required qualifications would be:

- Education or experience equivalent to a Bachelor's degree or greater in a related field.
- A minimum of 1 year (3 years for Senior Specialist designation) of relevant work experience.

Knowledge of:

- General office productivity software including MS Office, Adobe PDF, web browsers, and scheduling applications.
- Effective verbal and written communication.
- Multiline business telephone systems.
- Digital media delivery including websites and Facebook.
- Basic website design and content management.
- Basic graphic design and document creation.

Ability to:

- Accurately collect, enter, and process data.
- Maintain paper-based and electronic records.
- Review and edit budgets, schedules, resource allocations, and related project management tasks.
- Assist administrative staff to draft, review, and publish reports, invoices, and related documents.
- Effectively communicate with vendors and project peers to obtain services, complete administrative requirements, and resolve issues.
- Train diverse staff on general policies and procedures.
- Support project teams to develop, prepare, and submit grant applications, project reports, and related documentation.
- Conduct basic research, perform analysis, and effectively summarize results.
- Assist with improvements and additions to administrative policies and procedures.
- Staff public events.
- Address basic questions about the agency and its various programs.
- Manage multiple priorities, meet deadlines, and quickly adapt to changing priorities in a fast-paced dynamic environment.
- Work well under pressure.
- Be thorough and detail-oriented.
- Demonstrate patience, tact, teamwork and commitment to superior service and performance.
- Communicate effectively verbally, in writing, and through presentations.

Working Conditions and Essential Requirements

The physical demands described here are representative of those required for the position. Position requires sitting, walking, standing, bending, and twisting in the performance of daily activities. The position requires hand manipulation and repetitive hand movement and fine coordination in using a computer keyboard and other office equipment. The position requires near and far vision in reading reports and use of a computer. Acute hearing is required in supporting meetings and providing phone and

in-person customer service. The position occasionally requires lifting and/or moving objects. RCEA will make reasonable accommodation of the known physical or mental limitations of a qualified applicant with a disability upon request. Possession and continued maintenance of a valid class C California driver's license or the ability to provide alternate transportation and a safe driving record.

Preferred Qualifications

- Knowledge of RCEA Programs.
- Knowledge of CPUC energy efficiency programs.
- Fluency in Spanish.
- Prior experience working with the public.
- Prior experience working with public agencies.
- Experience working with organizations involved with projects and programs in the areas of economic, environmental and economic development, especially in an entrepreneurial context.

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Specialist/Senior Specialist – Energy Programs

General Class Description: Under general direction of a Manager or Director, a Specialist assists in developing and implementing programs or activities of their associated department; provides assistance to staff; performs related work as assigned. This class has no managerial level responsibility. A Specialist is responsible for supporting program goals and objectives, may supervise interns, and participates in the day to day operations and activities of their designated program or functional area within a department. A Specialist works with a Manager or Director to follow consistent and efficient implementation of agency operational policies and long-term operational excellence. This position class is distinguished by general and clearly-defined duties related to program and project management, with expertise developed and expanded under supervision and oversight. This position exercises discretion and independent judgment in the coordination and prioritization of duties and responsibilities assigned.

Position Summary

The Energy Program Specialist works under general direction of the departmental Manager or Director and has responsibility for a range of matters related to one or more of RCEA's programs. The Energy Program Specialist implements defined routine activities to deliver services to other staff, customers, and third-party partners. Tasks may be to engage with customers and service providers, implement specific program activities, work on specific project deliverables, manage customer and project data, and prepare project documentation. A Specialist may also order supplies, conduct inventories, and support program auditing and reporting. Program Specialists may be tasked to collect and analyze data, prepare preliminary drafts, and support other staff on larger and more complex analyses, and recommend improvements and additions to implementation policies and procedures. Program Specialists participate in general team meetings, and help to refine and enhance program offerings. A Program Specialist is familiar with basic project management, general office procedures, and customer engagement.

Essential Functions and Responsibilities

Duties are illustrative only and may vary. Other duties may be assigned.

- Professionally represent the organization to customers and project partners while conducting outreach and implementation activities.
- Identify and engage with customers and partners to promote various RCEA services, implement measures at selected locations, and maintain superior customer communication.
- Maintain project data, prepare reports, track progress, and document findings.
- Conduct research and analysis on selected topics.
- Under general supervision, act as project manager for small projects or initiatives.
- Assist senior staff with larger or more complex tasks through discussion, research, preliminary design work, writing, and critical thinking.
- Contribute to interim and final reports, audits, and other program documentation.
- Participate in program design reviews to refine current offerings and develop new ones.
- Coordinate with third party providers to obtain product and service information.
- Potentially serve as lead for one or several interns.
- Provide staffing support at public events.
- Participate in routine evaluation and continuous improvement of existing policies and procedures.

Minimum Qualifications

Experience/Education:

Any combination of training and experience that would provide the required knowledge, skills, and abilities is qualifying. A typical way to obtain the required qualifications would be:

- Education or experience equivalent to a Bachelor's degree or greater in a related field.
- A minimum of 1 year (3 years for Senior Specialist designation) of relevant work experience.

Knowledge of:

- Energy efficiency related technologies and practices.
- Standard business computers and software, including word processing, spreadsheets, e-mail, and web browsers
- Administrative practices and procedures, such as business letter writing and the operation of common office equipment.
- Basic project management.
- Principles of customer service and business communication.

Ability to:

- Exercise independence in identifying, evaluating and prioritizing tasks to meet organizational goals.
- Evaluate, recommend and implement measures.
- Assist in collaborative program development and design processes, including needs assessments, project design, proposals, preparing marketing tools, evaluation and reporting.
- Monitor, evaluate and assure compliance with program goals, policies and procedures.
- Handle multiple projects simultaneously within stringent time constraints.
- Learn, interpret, and apply policies, procedures, and resolutions.
- Exercise discretion and independent judgment when necessary.
- Maintain a good working relationship with co-workers, stakeholders and clients.
- Use basic hand tools and climb ladders, work overhead, and crawl in confined locations.
- Possession of a properly registered and insured personal vehicle, and a valid California Driver's License.
- Manage multiple priorities, meet deadlines, and quickly adapt to changing priorities in a fast-paced dynamic environment.
- Work well under pressure.
- Be thorough and detail-oriented.
- Demonstrate patience, tact, teamwork and commitment to superior service and performance.
- Communicate effectively verbally, in writing, and through presentations.

Working Conditions and Essential Requirements

The physical demands described here are representative of those required for the position, which may include both office-based activities and field work. Position requires sitting, walking, standing, bending, and twisting in the performance of daily activities. The position requires hand manipulation and repetitive hand movement and fine coordination in using a computer keyboard and other office equipment. The position requires near and far vision in reading reports and use of a computer. Acute hearing is required in supporting meetings and providing phone and in-person customer service. Some placements may require fine and gross motor control is required to set up and operate diagnostic and data collection

equipment in a variety of settings. Some placements may require the ability to use ladders and hand tools and to physically navigate building service spaces such as attics and crawlspaces or equivalent. The position occasionally requires lifting and/or moving objects. RCEA will make reasonable accommodation of the known physical or mental limitations of a qualified applicant with a disability upon request. Possession and continued maintenance of a valid class C California driver's license or the ability to provide alternate transportation and a safe driving record.

Preferred Qualifications

- Bachelor degree in Engineering, Energy Management, Environmental Sciences, or related discipline from an accredited institution.
- Prior experience working with public agencies.
- Experience working with organizations, involved with projects and programs in the areas of energy efficiency, environmental and economic development, in an entrepreneurial context.
- Knowledge of RCEA Programs.
- Prior experience working with public agencies and/or public utilities.
- Experience working with organizations involved with projects and programs in the areas of economic, environmental and economic development, especially in an entrepreneurial context.

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Specialist/Senior Specialist – Information Technology

General Class Description: Under general direction of a Manager or Director, a Specialist assists in developing and implementing programs or activities of their associated department; provides assistance to staff; performs related work as assigned. This class has no managerial level responsibility. A Specialist is responsible for supporting program goals and objectives, may supervise interns, and participates in the day-to-day operations and activities of their designated program or functional area within a department. A Specialist works with their Manager or Director to follow consistent and efficient implementation of agency operational policies and long-term operational excellence. This position class is distinguished by general and clearly-defined duties related to program and project management, with expertise developed and expanded under supervision and oversight. This position exercises discretion and independent judgment in the coordination and prioritization of duties and responsibilities assigned.

Position Summary

The IT Specialist works under general direction of the Operations Director and has responsibility for a wide range of matters related to RCEA's information technology including computer systems, communication systems, networking, data management, and electronic office equipment. The IT Specialist defines and implements routine electronic-based activities including routine system operation, configuration, and diagnosis and repair of hardware, network, and software issues; develops and trains staff on system usage, application, and limitations; implements data security policies and procedures; assists with and researches ongoing enhancement and upgrades of office systems to meet ongoing staff requirements; participates in and leads selected program tasks with a strong focus on electronic equipment or data management; assists program teams to identify and develop computer and data-related solutions.

Essential Functions and Responsibilities

Duties are illustrative only and may vary. Other duties may be assigned.

- Work closely with the Operations Director to develop and implement all aspects of digital office systems.
- Conduct routine electronic maintenance and enhancements to support staff productivity and system stability and reliability.
- Evaluate new hardware, operating system, and network solutions to fit with existing and emerging business requirements.
- Implement computer, network, and phone services for new and existing staff.
- Provide ongoing staff training and support for all electronic systems.
- Work with the Operations Director and other staff to ensure proper and secure handling of sensitive data, and ensure staff understanding of and compliance with data security policies and procedures.
- Troubleshoot and resolve hardware, network, and software issues.
- Serve as lead on selected projects with an emphasis on computer or application expertise, such as data storage and backup, security systems, electric vehicle charging network portals.
- Serve as technical administrator for digitally-based information systems, such as websites, listservs, email, and collaborative apps.
- Assist staff to research, install, and operate specialized program-centric hardware and software.

- Consult on project-related business requirements for computer systems.
- Coordinate and support routine and ad-hoc audits, information requests, and other data-intensive activities for both administrative and program-focused content.
- Act as alternate data security officer during the absence of the Operations Director.
- Audit all electronic systems to confirm proper and secure operation.
- Assist Operations Director with budget, equipment and request prioritization, electronic asset management, and similar administrative tasks.
- Act as liaison with third party providers of office equipment and services.

Minimum Qualifications

Experience/Education:

Any combination of training and experience that would provide the required knowledge, skills, and abilities is qualifying. A typical way to obtain the required qualifications would be:

- Education or experience equivalent to a Bachelor's degree or greater in computer science, networking, or business administration with an emphasis on electronic data systems, or a related field.
- A minimum of 1 year (3 years for Senior Specialist designation) of relevant work experience.

Knowledge of:

- Operating systems: Windows 10 Professional, MS Surface.
- Hardware: desktop systems, laptops, tablets, Android phones.
- Productivity apps: MS Office 2016 and two prior releases, Adobe PDF, Google account services.
- Standard peripherals, including input devices, monitors, projectors, backup power.
- Print: small and medium business copier equipment, single and multifunction printers.
- Data management: NAS-based peer server, user and content management, backup, security.
- Networking: Gigabit CAT6 hardwire, wifi (secured and unsecured).
- Phone: SMB dedicated digital phone system such as the NEC Aspire S.
- Web: Administrator for Joomla-based website.
- Email: Administrator for Dreamhost email utilities, Gmail.
- Hand and specialty tools to build, diagnose, and repair computer, network, and phone systems.

Ability to:

- Troubleshoot and resolve a wide range of routine issues found in typical office computer systems.
- Train and support a diverse range of staff on new and existing computer and communication systems.
- Exhibit high degree of integrity based on degree of access to confidential information and mission-critical systems.
- Plan and organize multiple, often simultaneous marketing campaigns and/or activities, often with varying goals and metrics.
- Manage a steady queue of ongoing staff requests, maintenance tasks, and upgrades.
- Observe, recommend, and assist staff regarding data security and content management policies and procedures.
- Maintain data security incident and enhancement logs.
- Participate in routine content management and data security audits and reviews.
- Diplomatically prioritize tasks based on dynamic and competing needs from multiple departments.
- Deliver a flexible work shift to maximize office productivity during normal business hours, and conduct disruptive activities after normal hours.

- Work with a variety of hand and specialty tools to install, diagnose, and repair electronic equipment such as computers, peripherals, telephones, cabling, and network appliances.
- Provide excellent customer service and communicate clearly and effectively with staff, third-party providers, and business partners.
- Identify and solve problems effectively and expeditiously.
- Supervise and coordinate the work of assigned interns.
- Manage multiple priorities, meet deadlines, and quickly adapt to changing priorities in a fast-paced dynamic environment.
- Work well under pressure.
- Be thorough and detail-oriented.
- Demonstrate patience, tact, teamwork and commitment to superior service and performance.

Working Conditions and Essential Requirements

The physical demands described here are representative of those required for the position. Position requires sitting, walking, standing, bending, and twisting in the performance of daily activities. The position requires hand manipulation and repetitive hand movement and fine coordination in using a computer keyboard and other office equipment. The position requires near and far vision in reading reports and use of a computer. Acute hearing is required in supporting meetings and providing phone and in-person customer service. Fine and gross motor control is required to perform repair and assembly tasks ranging from computer assembly and repair to routing cables. The position requires the ability to physically navigate building service spaces such as attics and crawlspaces or equivalent. The position occasionally requires lifting and/or moving objects. RCEA will make reasonable accommodation of the known physical or mental limitations of a qualified applicant with a disability upon request. Possession and continued maintenance of a valid class C California driver's license or the ability to provide alternate transportation and a safe driving record.

Preferred Qualifications

- Possession of a Master's degree in a related field.
- Knowledge of RCEA programs.
- Prior experience working with public agencies and/or public utilities.
- Experience working with organizations involved with projects and programs in the areas of economic, environmental and economic development, especially in an entrepreneurial context.

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Technician/Senior Technician – Demand Side Management Programs

General Class Description: Under general direction of a Manager or Director, a Technician develops and implements programs or activities of their associated department; provides assistance to management; performs related work as assigned. This class has supervisory responsibility. A Technician is responsible for achieving program goals and objectives, may supervise staff, and participates in the day to day operations and activities of their designated program or functional area within a department. A Technician works with a Manager or Director to follow consistent and efficient implementation of agency operational policies and long-term operational excellence. This position class is distinguished by broadly defined duties related to program and project management, with expertise developed and expanded under supervision and oversight. This position exercises discretion and independent judgment in the coordination and prioritization of duties and responsibilities assigned, and acts on behalf of the Manager or Director in their absence.

Position Summary

The Technician works under general direction of the departmental Manager or Director and has responsibility for a wide range of matters related to one or more of RCEA's programs. The Technician develops and implements activities to deliver services to other staff, customers, and third-party partners. Tasks may be to engage with customers and product and service providers, define and develop program offerings, implement measures, manage customer relations, and coordinate tools and resources for program activities. The Technician role requires strong technical knowledge of building energy systems such as home performance principles, building science, commercial lighting and space conditioning, controls, and overall best practices. A Technician demonstrates broad discretion and diplomacy to engage with customers autonomously and make recommendations with the potential for financial, operational, and health and safety consequences in customer settings. Selected positions require specific certifications. A Technician is familiar with project management, general office procedures, and has strong technical writing, analysis, and reporting skills.

Essential Functions and Responsibilities

Duties are illustrative only and may vary. Other duties may be assigned.

- Professionally represent the organization to customers and project partners while conducting outreach and implementation activities.
- Identify and engage with customers and partners to promote various RCEA services, identify and implement measures, and develop long-term relationships for energy-related projects.
- Act as project manager for a portfolio of projects, typically in a specific business or technology sector.
- Coordinate with business partners to meet shared objectives, resolve issues, streamline project delivery, and achieve a high standard of customer satisfaction.
- Lead the implementation of one or more programs to address opportunities in energy efficiency, integrated demand side management (IDSM), greenhouse gas reduction, and renewable energy.
- Conduct ongoing research and analysis on technological and business development, and recommend changes and enhancements to program design and direction.
- Support data collection and management, and metric development.
- Support program budgets, expenses, schedules, and reporting.
- Perform data analysis for energy efficiency, IDSM, and other selected projects.

- Prepare written and graphical information relating to assigned and related program areas.
- Coordinate various outreach and public education efforts.
- Assist with ongoing tracking and reporting of regulatory and compliance obligations.
- Provide supervision to other staff members, job trainees, and volunteers in support of various RCEA programs.
- Assist with coordinating and staffing public events, workshops, and meetings.
- Participate in routine evaluation and continuous improvement of existing policies and procedures.
- Assist with general office support.

Minimum Qualifications

Experience/Education:

Any combination of training and experience that would provide the required knowledge, skills, and abilities is qualifying. A typical way to obtain the required qualifications would be:

- Education or experience equivalent to a Bachelor's degree or greater in a related field.
- A minimum 3 years (5 years for Senior Technician designation) of progressively responsible relevant work experience.
- Some positions will require specific professional certifications and/or the ability to achieve and maintain those certifications in the first six months in the position.

Knowledge of:

- Energy-related technologies and processes.
- Business computers and software, including word processing, spreadsheets, e-mail clients, and web browsers.
- Administrative practices and procedures, such as business letter writing and the operation of common office equipment.
- Intermediate project management.
- Principles of customer service and business communication.

Ability to:

- Critically evaluate proposals, policies, procedures, and metrics for program success.
- Provide program-based guidance to clients, the general public, and business partners.
- Evaluate, recommend and implement measures.
- Monitor, evaluate, and assure compliance with program goals, policies and procedures.
- Assist in the design of new energy efficiency, IDSM, and related programs.
- Plan, schedule, budget, and allocate resources.
- Prepare (or assist with the preparation of) routine reports as required by RCEA, funding agencies, regulatory, and other interested parties; and ability to ensure that all reports are accurate, comprehensive, timely, well documented, and maintain the credibility of the program.
- Assist in collaborative program development and design, including needs assessments, project design, drafting proposals, preparing marketing tools, evaluation and reporting.
- Maintain a good working relationship with co-workers, stakeholders and clients.
- Create digital maps, charts, and other visual aids to graphically present physical details, project metrics, and similar data.
- Independently learn, interpret, and apply policies, procedures, and resolutions.
- Apply intermediate mathematical skills to organize, compute, and interpret data.
- Use good judgment and to develop and adaptively implement existing program processes and procedures.
- Use hand and diagnostic tools and climb ladders, work overhead, and crawl in confined locations.

- Manage multiple priorities, meet deadlines, and quickly adapt to changing priorities in a fast-paced dynamic environment.
- Possession of a properly registered and insured personal vehicle, and a valid California Driver's License.
- Work well under pressure.
- Be thorough and detail-oriented.
- Demonstrate patience, tact, teamwork and commitment to superior service and performance.
- Communicate effectively verbally, in writing, and through presentations.

Working Conditions and Essential Requirements

The physical demands described here are representative of those required for the position, which includes both office-based activities and field work. Position requires sitting, walking, standing, bending, and twisting in the performance of daily activities. The position requires hand manipulation and repetitive hand movement and fine coordination in using a computer keyboard and other office equipment. The position requires near and far vision in reading reports and use of a computer. Acute hearing is required in supporting meetings and providing phone and in-person customer service. Fine and gross motor control is required to set up and operate diagnostic and data collection equipment in a variety of settings. The position requires the ability to use ladders and hand tools and to physically navigate building service spaces such as attics and crawlspaces or equivalent. The position occasionally requires lifting and/or moving objects. RCEA will make reasonable accommodation of the known physical or mental limitations of a qualified applicant with a disability upon request. Possession and continued maintenance of a valid class C California driver's license or the ability to provide alternate transportation and a safe driving record.

Preferred Qualifications

- Education to the Masters of Science or Arts level with a focus on energy efficiency and/or renewable energy.
- Knowledge of RCEA Programs.
- Prior experience working with public agencies.
- Extensive knowledge of and work experience in energy conservation and efficiency strategies and measures, building construction, and related IDSM topics.
- Experience working with organizations involved with projects and programs in the areas of energy efficiency, environmental and economic development.
- Knowledge of investor owned utility and/or California Public Utilities Commission's energy efficiency programs, regulatory proceedings, and public policy.
- Prior experience working with public agencies and/or public utilities.
- Experience working with organizations involved with projects and programs in the areas of economic, environmental and economic development, especially in an entrepreneurial context.

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DRAFT

Manager/Senior Manager - Community Strategies

General Class Description: Under general direction of a Director, a program or project Manager assists in planning, organizing, coordinating, and managing programs or activities of their associated department; provides professional assistance to staff; performs related work as assigned. This class has lead responsibility for planning and implementation for one or more programs or functional areas. A Manager is responsible for accomplishing program goals and objectives, and directs the day-to-day operations and activities of their designated program or functional area within a department. A Manager works with their Director to ensure consistent and efficient implementation of agency operational policies and long-term operational excellence. This position class is distinguished by complex and widely-scoped duties related to program and project management, subject-matter expertise, and may include supervisory responsibility. This position exercises considerable discretion and independent judgment in the coordination and prioritization of duties and responsibilities assigned, and in acting on behalf of the department Director in their absence.

Position Summary

The Community Strategies Manager works under general direction of the Executive Director and has responsibility for a wide range of matters related to RCEA's community engagement and marketing efforts, including facilitating stakeholder partnerships and public engagement, outreach activities including advertising, social media presence, and event coordination, and other day-to-day communications and public relations activities. This position manages the planning, staffing, and oversight of the Community Strategies team. The position requires knowledge of community outreach and engagement strategies, public relations, and marketing for an organization with multiple programmatic areas of focus.

Essential Functions and Responsibilities

Duties are illustrative only and may vary. Other duties may be assigned.

- Work closely with the Executive Director to deepen and refine all aspects of communications, including web presence and external relations.
- Develop and implement the organization's ongoing community engagement strategies, including presentations, newsletters, sponsorships, memberships, and event outreach.
- Plan and execute strategic marketing campaigns to support organizational and program initiatives.
- Work closely with the Executive Director and program teams to develop and distribute press announcements and respond to press inquiries.
- Plan, organize and implement a wide variety of events including community meetings, workshops, press conferences and ribbon cutting ceremonies.
- Coordinate the preparation of organization and program collateral and promotional material, paid advertising, and social media content.
- Oversee front-office duties including main reception and general inquiries.
- Oversee necessary updates to the website design and content, with close coordination from the IT team for technical support.

- Provide supervision to assigned staff members, including initial and annual performance evaluations.
- Act as liaison with third party contractors specific to the Community Strategies team.

Minimum Qualifications

Experience/Education

Any combination of training and experience that would provide the required knowledge, skills, and abilities is qualifying. A typical way to obtain the required qualifications would be:

- Education or experience equivalent to a Bachelor's degree or greater in communications, marketing, public affairs, energy management, environmental sciences or a closely related field
- A minimum 5 years (7 years for Senior Manager designation) of progressively responsible experience in marketing or community engagement.

Knowledge of:

- Principles and methods of integrated marketing communication, community and media relations, and public education.
- Methods, operational characteristics, services, and activities necessary for effective community outreach and engagement.
- Best practices for event planning and front office services.
- Principles, practices and methods of preparing and reviewing information, including graphics, written, and spoken copy; publishing and disseminating information; graphic design, photography, printing, and web-based delivery.
- The organization and operations of a local government joint powers authority agency and concepts of public administration.
- The history of Community Choice Aggregation legislation and implementation in California, efficiency standards/Title 24 and implementation in California, the Governor's ZEV Action Plan, and the history, implementation and operation of RCEA.
- E-mail and listserv marketing platforms and customer relationship management platforms.
- Microsoft Office Suite, Adobe Creative Suite, and web development tools such as Joomla, Dreamweaver and/or HTML.

Ability to:

- Plan and organize multiple, often simultaneous marketing campaigns and/or activities, often with varying goals and metrics.
- Create effective and dynamic communications materials to convey complex information to a wide and varied audience.
- Establish and maintain effective relationships with diverse community stakeholders.
- Provide excellent customer service and communicate clearly and effectively with internal and external customers.
- Identify and solve problems effectively and expeditiously.
- Direct, supervise, and coordinate the work of assigned staff.
- Manage multiple priorities, meet deadlines, and quickly adapt to changing priorities in a fast-paced dynamic environment.
- Work well under pressure.
- Be thorough and detail-oriented.
- Demonstrate patience, tact, teamwork and commitment to superior service and performance.

Working Conditions and Essential Requirements

The physical demands described here are representative of those required for the position. Position requires sitting, walking, standing, bending, and twisting in the performance of daily activities. The position requires hand manipulation and repetitive hand movement and fine coordination in using a computer keyboard and other office equipment. The position requires near and far vision in reading reports and use of a computer. Acute hearing is required in supporting meetings and providing phone and in-person customer service. The position occasionally requires lifting and/or moving objects. RCEA will make reasonable accommodation of the known physical or mental limitations of a qualified applicant with a disability upon request. Possession and continued maintenance of a valid class C California driver's license or the ability to provide alternate transportation and a safe driving record.

Preferred Qualifications

- Possession of a Master's degree in a related field.
- Knowledge of RCEA programs.
- Prior experience working with public agencies and/or public utilities.
- Experience working with organizations involved with projects and programs in the areas of economic, environmental and economic development, especially in an entrepreneurial context.

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DRAFT

Manager/Senior Manager - Finance

General Class Description: Under general direction of a Director, a program or project Manager assists in planning, organizing, coordinating, and managing programs or activities of their associated department; provides professional assistance to staff; performs related work as assigned. This class has lead responsibility for planning and implementation for one or more programs or functional areas. A Manager is responsible for accomplishing program goals and objectives, and directs the day-to-day operations and activities of their designated program or functional area within a department. A Manager works with their Director to ensure consistent and efficient implementation of agency operational policies and long-term operational excellence. This position class is distinguished by complex and widely-scoped duties related to program and project management, subject-matter expertise, and may include supervisory responsibility. This position exercises considerable discretion and independent judgment in the coordination and prioritization of duties and responsibilities assigned, and in acting on behalf of the department Director.

Position Summary

The Finance Manager works under general direction of the Director of Finance and Human Resources and has responsibility for a wide range of matters related to RCEA's finance function, including AR/AP, payroll, bookkeeping and purchasing. This position also assists with fiscal auditing processes, planning and implementing policy and process improvements, and ensuring knowledge of and compliance with fiscal policies and procedures. The position requires knowledge of energy-related technologies, local and state energy policy and goals, and project management and coordination.

Essential Functions and Responsibilities

Duties are illustrative and may vary. Other duties may be assigned.

- Processes monthly payroll; calculates and pays employer-related taxes; prepares payroll reports as requested.
- Performs accounts receivable and accounts payable functions; pays bills, prepares invoices, and processes purchase requisitions.
- As bookkeeper, performs journal entries into QuickBooks, reconciles records, and prepares accounting reports as requested.
- Conduct banking activities.
- Assists with management of recordkeeping and filing systems.
- Assists with fiscal and program audits, and other evaluation activities on an as-needed basis.
- Provides support to the Human Resources function, including making requested changes to payroll processing, and assisting with new hire paperwork in the absence of the Director.
- Manage vendor, contractor, consultant, and third-party relationships.
- Assist with logistical and administrative oversight of fiscal operations, representing and enforcing RCEA policies and procedures, training, and identifying gaps in resourcing/seeking out solutions.

Minimum Qualifications

Experience/Education:

Any combination of training and experience that would provide the required knowledge, skills, and abilities is qualifying. A typical way to obtain the required qualifications would be:

- Education or experience equivalent to a Bachelor's degree or greater in accounting or a closely related field.
- A minimum 5 years (7 years for Senior Manager designation) of progressively responsible experience in finance or administration (preferably in the public sector).

Knowledge of:

- Generally accepted accounting principles and practices.
- Computerized accounting systems, such as QuickBooks.
- Common agency funding sources such as contracts, grants, and credit facilities.
- Payroll applications, policies and procedures.
- Office administrative practices and procedures, including operating office equipment and business software applications such as Microsoft Office.
- General administrative functions including human resources, purchasing, and vendor relations.
- Principles and methods of project management.

Ability to:

- Perform data entry, maintain organized and accurate filing systems, prepare reports and other business communications.
- Be thorough, accurate, and detail-oriented.
- Prepare weekly and monthly reporting and outputs for program and department leads as scheduled.
- Effectively communicate, work collaboratively with staff and third-party providers, and identify and solve problems.
- Exercise discretion and independent judgment when necessary.
- Learn, interpret, and apply policies, procedures and resolutions.
- Work well under pressure.
- Demonstrate patience, tact, teamwork and commitment to superior service and performance.
- Manage multiple priorities, meet deadlines, and quickly adapt to changing priorities in a fast-paced dynamic environment.
- Work well under pressure.
- Be thorough and detail-oriented.
- Demonstrate patience, tact, teamwork and commitment to superior service and performance.
- Communicate effectively verbally, in writing, and through presentations.

Working Conditions and Essential Requirements

The physical demands described here are representative of those required for the position. Position requires sitting, walking, standing, bending, and twisting in the performance of daily activities. The position requires hand manipulation and repetitive hand movement and fine coordination in using a computer keyboard and other office equipment. The position requires near and far vision in reading reports and use of a computer. Acute hearing is required in supporting meetings and providing phone and in-person customer service. The position occasionally requires lifting and/or moving objects. RCEA will make reasonable accommodation of the known physical or mental limitations of a qualified applicant with a disability upon request. Possession and continued maintenance of a valid class C California driver's license or the ability to provide alternate transportation and a safe driving record.

Preferred Qualifications

- Possession of a Master's degree in a related field desirable.
- Knowledge of RCEA Programs.
- Knowledge of energy funding and grant programs.
- Prior experience working with public agencies.
- Experience working with organizations involved with projects and programs in the areas of economic, environmental and economic development, especially in an entrepreneurial context.

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Manager/Senior Manager – Demand Side Management Programs

General Class Description: Under general direction of a Director, a program or project Manager assists in planning, organizing, coordinating, and managing programs or activities of their associated department; provides professional assistance to staff; performs related work as assigned. This class has lead responsibility for planning and implementation for one or more programs or functional areas. A Manager is responsible for accomplishing program goals and objectives, and directs the day-to-day operations and activities of their designated program or functional area within a department. A Manager works with their Director to ensure consistent and efficient implementation of agency operational policies and long-term operational excellence. This position class is distinguished by complex and widely-scoped duties related to program and project management, subject-matter expertise, and may include supervisory responsibility. This position exercises considerable discretion and independent judgment in the coordination and prioritization of duties and responsibilities assigned, and in acting on behalf of the department Director in their absence.

Position Summary

The Demand Side Management (DSM) Program Manager works under general direction of the Director of Demand Side Management and has responsibility for a wide range of matters related to RCEA's DSM programs. The role plans and manages implementation of energy efficiency and distributed renewable energy initiatives and projects. This position also assists with continuous program improvements, and develops and enhances the overall DSM program portfolio. This position may supervise other DSM program staff, manages staff scheduling and workloads, manages budgets, and oversees implementation of projects and deliverables. The position requires knowledge of energy-related technologies, local and state energy policy and goals, and project management and coordination.

Essential Functions and Responsibilities

Duties are illustrative and may vary. Other duties may be assigned.

- Oversee the day-to-day functions of RCEA's DSM programs to achieve programmatic goals, provide high-quality service, and exemplify efficient and adaptive design.
- In collaboration with the Director of DSM Programs, assist with strategic planning and development of DSM programs consistent with RCEA's mission.
- Perform and oversee routine program activities, such as energy auditing, project design and analysis, consultation with customers, tracking, and reporting.
- Assists Director to manage overall budget, schedule, and resources to achieve project deliverables within a dynamic program environment.
- Manage vendor, contractor, consultant, and third-party relationships.
- Provide logistical and administrative oversight of program operations, including supervising staff, inventory management, controlling and monitoring expenditures, representing and enforcing RCEA policies and procedures, training, and identifying resource gaps and solutions.
- Provide technical assistance to the public, deliver training, and represent RCEA at external events.

Minimum Qualifications

Experience/Education:

Any combination of training and experience that would provide the required knowledge, skills, and abilities is qualifying. A typical way to obtain the required qualifications would be:

- Education or experience equivalent to a Bachelor's degree or greater in energy management, engineering, environmental sciences, or a closely related field.
- A minimum of 5 years (7 years for Senior Manager designation) project management experience, preferably energy project management.
- Experience with supervisory responsibility, preferably for a staff delivering a variety of products and services for a diverse audience and using a range of program design, technologies, and supply and delivery channels.

Knowledge of:

- Energy technologies, principles of energy management, usage, efficiency, and conservation.
- Local and state level energy policy and goals.
- Principles of energy auditing.
- Principles and methods of program development, implementation, and project management.

Ability to:

- Monitor, evaluate, and assure compliance with program goals.
- Effectively manage sub-contractors.
- Facilitate team work by supporting and collaborating with staff.
- Prepare accurate, comprehensive, and timely reporting and other deliverables as required.
- Assist with program development and design, including needs assessments, drafting proposals, preparing marketing tools, evaluation and reporting.
- Learn, interpret, and apply policies, procedures, and regulations; and to provide program-based guidance and interpretation for staff and the public.
- Assist with administration of project budgets, including control and monitoring of project related expenditures.
- Establish and maintain effective relationships with diverse community stakeholders.
- Provide excellent customer service and communicate clearly and effectively with customers.
- Identify and solve problems effectively and expeditiously.
- Direct, supervise, and coordinate the work of assigned staff.
- Manage multiple priorities, meet deadlines, and quickly adapt to changing priorities in a fast-paced dynamic environment.
- Work well under pressure.
- Be thorough and detail-oriented.
- Demonstrate patience, tact, teamwork and commitment to superior service and performance.
- Communicate effectively verbally, in writing, and through presentations.

Working Conditions and Essential Requirements

The physical demands described here are representative of those required for the position. Position requires sitting, walking, standing, bending, and twisting in the performance of daily activities. The position requires hand manipulation and repetitive hand movement and fine coordination in using a computer keyboard and other office equipment. The position requires near and far vision in reading reports and use of a computer. Acute hearing is required in supporting meetings and providing phone and in-person customer service. Fine and gross motor control is required to set up and operate diagnostic and

data collection equipment in a variety of settings. The position requires the ability to use ladders and hand tools and to physically navigate building service spaces such as attics and crawlspaces or equivalent. The position occasionally requires lifting and/or moving objects. RCEA will make reasonable accommodation of the known physical or mental limitations of a qualified applicant with a disability upon request. Possession and continued maintenance of a valid class C California driver's license or the ability to provide alternate transportation and a safe driving record.

Preferred Qualifications

- Possession of a Master's degree in a related field desirable.
- Knowledge of RCEA Programs.
- Knowledge of CPUC energy efficiency programs.
- Prior experience managing sub-contractors.
- Prior experience working with public agencies.
- Experience working with organizations involved with projects and programs in the areas of economic, environmental and economic development, especially in an entrepreneurial context.

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Manager/Senior Manager – Power Resources

General Class Description: Under general direction of a Director, a program or project Manager assists in planning, organizing, coordinating, and managing programs or activities of their associated department; provides professional assistance to staff; performs related work as assigned. This class has lead responsibility for planning and implementation for one or more programs or functional areas. A Manager is responsible for accomplishing program goals and objectives, and directs the day-to-day operations and activities of their designated program or functional area within a department. A Manager works with their Director to ensure consistent and efficient implementation of agency operational policies and long-term operational excellence. This position class is distinguished by complex and widely-scoped duties related to program and project management, subject-matter expertise, and may include supervisory responsibility. This position exercises considerable discretion and independent judgment in the coordination and prioritization of duties and responsibilities assigned, and in acting on behalf of the department Director.

Position Summary

The Power Resources Manager works under the general direction of the Director of Power Resources and has responsibility for a range of matters related to RCEA's Community Choice Energy Program, which could include resource planning, analysis, and management of the utilities' energy supply portfolio and procurement efforts. The Power Resources Manager works closely with RCEA's technical team including external service providers, the public, legislative and regulatory agencies, project developers, brokers, and consultants on specific programs and projects. Responsibilities may include research and due diligence with respect to potential power supply opportunities, assisting with negotiation and administering power purchase agreements, monitoring contractor performance and resolving disputes, validating invoices, identifying issues and monitoring compliance. The Power Resources Manager assists with the preparation of certain regulatory compliance reports focused on resource procurement, climate impacts, annual greenhouse gas inventory and emissions reporting, and preparation of informational material for the RCEA Board and public regarding power supply resource allocations. The Power Resources Manager may have responsibility to development and administer energy programs such as feed-in tariff, efforts to accelerate local renewable energy development, and/or support the integration of demand-side management programs with power portfolio planning.

Essential Functions and Responsibilities

Duties are illustrative only and may vary. Other duties may be assigned.

- Serve in a lead role for the development and implementation of one or more core function of RCEA's community choice energy program, including power procurement, power portfolio management, rate-setting, renewable energy resource development, and customer programs.
- Work closely with other staff to prepare agency operation-related documents and manage day-to-day activities of resulting implementation plans.
- Establish and maintain relationships with appropriate agencies, consultants, professional groups and programs.
- Assist with developing, writing, and presenting staff reports and recommendations to the Board.
- Administer RFP processes, ongoing power procurement and portfolio management, and the assessment of unsolicited proposals.

- Review and analyze electric power supply proposals submitted to RCEA.
- Prepare materials for the RCEA Board and its Committees as well as RCEA staff to facilitate policy discussions related to procurement and resource planning.
- Assist in preparation and updates of reports of wholesale energy products and resource planning studies to yield a portfolio of supply resources to best meet the agency's needs.
- Support and participate in interactions with power developers and brokers during pre-contract discussions, contract negotiations and Board discussion.
- Assist with the administration of RCEA power portfolio, evaluate the RCEA resource portfolio and recommend adjustments.
- Manage performance auditing and monitoring for RCEA community choice energy program contracts.
- Manage the administration of RCEA's various renewable energy certificate accounts within the WREGIS system.
- Prepare compliance reports and materials related to RCEA power supply, including those required by the California Independent Systems Operator (CAISO), California Public Utilities Commission (CPUC), California Energy Commission (CEC), and the Department of Energy (DOE).
- Manage the development and implementation of one or more energy programs such as feed-in tariff, assist with efforts to accelerate local renewable energy development, and/or support the integration of demand-side management programs with power portfolio planning.
- Keep abreast of developments in resource planning processes and in energy resource technologies, seek out new technologies from public or private sources and evaluate new supplies as appropriate.

Minimum Qualifications

Experience/Education:

Any combination of training and experience that would provide the required knowledge, skills, and abilities is qualifying. A typical way to obtain the required qualifications would be:

- Education or experience equivalent to a Bachelor's degree or greater in energy management, engineering, finance, environmental sciences, or a closely related field
- A minimum 5 years (7 years for Senior Manager designation) of progressively responsible experience at an electric utility, municipal utility, a community choice aggregator, or in a closely related field (public sector experience is strongly desired).

Knowledge of:

- Energy generation technologies including carbon neutral electric energy, conventional energy, and renewable energy such as wind, biomass, geothermal, solar, concentrating solar, and hydroelectric.
- Procurement process and use of renewable energy certificates to support mandatory and voluntary compliance programs.
- The California Independent System Operator (CAISO) settlement process.
- California's Renewables Portfolio Standard, Power Content Label and Power Source Disclosure program.
- Power scheduling.
- Power purchase agreement structures, general terms and conditions and basic requirements.
- Principles and practices of customer energy management including solar and other renewable technologies, demand management, and energy conservation.
- The Western Renewable Energy Information System (WREGIS).
- Regulatory reporting and compliance requirements of the California Public Utilities Commission (CPUC).

- Above average working knowledge of current business software programs, including Microsoft Office and other program and budget tracking tools.

Ability to:

- Take responsibility and work independently, as well as coordinate collaborative efforts and achieve work goals with other staff.
- Convey complex information in a simple and understandable manner.
- Manage multiple priorities, meet deadlines, and quickly adapt to changing priorities in a fast paced dynamic environment.
- Achieve goals and provide accurate, timely, and meaningful progress updates.
- Identify and solve problems effectively and expeditiously.
- Establish and maintain effective working relationships with persons encountered during the performance of duties, including contactors, developers and power brokers, commercial partners, RCEA staff team and the RCEA Board Directors.
- Direct, supervise and coordinate the work of assigned staff.
- Prepare high quality research, reports and request for proposals.
- Perform quantitative data and statistical analysis (including Levelized Cost of Service (LCOE) and Net Present Value (NPV)) and effectively communicate results to others.
- Effectively interpret and apply contract language and commercial agreements.
- Evaluate contractor performance and potential project opportunities, and project siting, permitting and interconnection issues.
- Exercise sound judgment, creative problem solving, effective dispute resolution, and commercial awareness.
- Provide excellent customer service and communicate clearly and effectively with customers.
- Understand, anticipate, and appreciate customer needs and concerns.
- Work well under pressure.
- Be thorough and detail-oriented.
- Demonstrate patience, tact, teamwork and commitment to superior service and performance.
- Communicate effectively verbally, in writing, and through presentations.

Working Conditions and Essential Requirements

The physical demands described here are representative of those required for the position. Position requires sitting, walking, standing, bending, and twisting in the performance of daily activities. The position requires hand manipulation and repetitive hand movement and fine coordination in using a computer keyboard and other office equipment. The position requires near and far vision in reading reports and use of a computer. Acute hearing is required in supporting meetings and providing phone and in-person customer service. The position occasionally requires lifting and/or moving objects. RCEA will make reasonable accommodation of the known physical or mental limitations of a qualified applicant with a disability upon request. Possession and continued maintenance of a valid class C California driver's license or the ability to provide alternate transportation and a safe driving record.

Preferred Qualifications

- Possession of a Master's degree in a related field.
- Knowledge of RCEA programs.
- Prior experience working with public agencies and/or public utilities.
- Knowledge of public agency contracting and grant management and public agency governance procedure.
- Principles of management, supervision, training, and performance evaluation.
- Experience working with organizations involved with projects and programs in the areas of economic, environmental and economic development, especially in an entrepreneurial context.

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Director - Finance and Human Resources

General Class Description: Under general direction of the Executive Director, a Director plans, organizes, coordinates, and directs the programs or activities of the associated department; provides expert professional guidance to staff of department; performs related work as assigned. This class has department-head level responsibility for overall policy development, program planning, fiscal management, administration, and operation of the departmental functions and various support services. A Department Director is responsible for accomplishing departmental goals and objectives, supervising staff, administering the department's annual budget, and directing the day-to-day operations and activities of the department. A Director works with Executive Director and other Directors to ensure consistent and efficient implementation of agency operational policies and long-term operational excellence. This position class is distinguished by complex and widely scoped duties with major financial or operational impact on key business processes. This position exercises considerable discretion and independent judgment in the coordination and prioritization of duties and responsibilities assigned and in acting on behalf of the Executive Director.

Position Summary

The Director of Finance and Human Resources works under the general direction of the Executive Director and has responsibility for a wide range of matters to support RCEA's internal functions including banking oversight, accounting, government reporting and compliance, purchasing, and human resources. This includes managing the planning, staffing, and oversight of RCEA's Administrative and Human Resources team. The position requires knowledge of department-level operations for an organization of approximately 25 people, with an emphasis on finance and accounting, human resource/employment laws and best practices, vendor and contract management, public agency governance, and supervision best practices.

Essential Functions and Responsibilities

Duties are illustrative only and may vary. Other duties may be assigned.

- Oversee and supervise implementation of agency financial policies and procedures, including AP/AR, payroll, contract claims processing and tracking, purchasing, state and federal reporting, audits, and maintenance of financial records.
- Plan, develop, and oversee the agency's human resource function including: supporting recruitment, classification, compensation and benefits, privacy, training, compliance, and development and implementation of personnel policies.
- Work as part of a senior management team to establish inter-departmental processes to support efficient office and business functions; coordinate the evaluation and tracking of staff performance and staff development needs; research and implement short and long-term staff development plans; review and evaluate existing processes and identify departmental needs.
- Work closely with other department directors to prepare agency operation-related documents for Board review, and manage resulting implementation plans.
- Review and evaluate ongoing employment developments and compliance with local, Federal and State human resource laws; recommend policy amendments where necessary or beneficial.
- Establish and maintain relationships with appropriate agencies, consultants, professional groups and programs associated with RCEA management and operations.
- Develop, write, and present staff reports and recommendations to the Board.

Minimum Qualifications

Experience/Education:

Any combination of training and experience that would provide the required knowledge, skills, and abilities is qualifying. A typical way to obtain the required qualifications would be:

- Education or experience equal to a Bachelor's or Master's degree in business or public administration, finance, organizational development, operations management, or a closely related field.
- A minimum of eight (8) years of progressively responsible experience in human resources and fiscal management (public sector experience is strongly desired).

Knowledge of:

- Principles of business and office fiscal operations and management, human resource management and compliance, and general program management.
- Public finance and accounting principles, including grant and contract management, and knowledge of various credit facilities.
- Employee recruitment, selection, and training processes.
- Management techniques to train and supervise employees and implement employment policies.
- Public agency governance procedures.
- Above average working knowledge of current business software programs, including Microsoft Office and QuickBooks.

Ability to:

- Plan, organize and manage all aspects of internal finance and human resources operations.
- Represent, uphold, and communicate RCEA administrative policies and procedures to internal staff, the Board of Directors and external parties and vendors.
- Support the development and management of complex budget and financing strategies.
- Stay current on accounting systems, software and procedures.
- Establish and maintain a safe, comfortable, and dynamic work environment for employees.
- Promote effective and positive working relationships amongst employees.
- Perform data collection, interpretation and analysis pertaining to administrative, human resource, and fiscal matters.
- Identify complex problems, develop and implement solutions.
- Effectively direct, supervise and coordinate the work of assigned staff.
- Manage multiple priorities, meet deadlines, and quickly adapt to changing priorities in a fast-paced dynamic environment.
- Work well under pressure.
- Be thorough and detail-oriented.
- Demonstrate patience, tact, teamwork and commitment to superior service and performance.
- Communicate effectively verbally, in writing, and through presentations.

Working Conditions and Essential Requirements

The physical demands described here are representative of those required for the position. Position requires sitting, walking, standing, bending, and twisting in the performance of daily activities. The position requires hand manipulation and repetitive hand movement and fine coordination in using a computer keyboard and other office equipment. The position requires near and far vision in reading

reports and use of a computer. Acute hearing is required in supporting meetings and providing phone and in-person customer service. The position occasionally requires lifting and/or moving objects. RCEA will make reasonable accommodation of the known physical or mental limitations of a qualified applicant with a disability upon request. Possession and continued maintenance of a valid class C California driver's license or the ability to provide alternate transportation and a safe driving record.

Preferred Qualifications

- Possession of a Master's degree in a related field.
- Knowledge of RCEA programs.
- Prior experience working with public agencies and/or public utilities.
- Experience working with organizations involved with projects and programs in the areas of economic, environmental and economic development, especially in an entrepreneurial context.

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Director - Operations

General Class Description: Under general direction of the Executive Director, a Director plans, organizes, coordinates, and directs the programs or activities of the associated department; provides expert professional assistance to staff of department; performs related work as assigned. This class has department-head level responsibility for overall policy development, program planning, fiscal management, administration and operation of the departmental functions and various support services. A Department Director is responsible for accomplishing departmental goals and objectives, supervising staff, administering the department's annual budget, and directing the day-to-day operations and activities of the department. A Director works with Executive Director and other Directors to ensure consistent and efficient implementation of agency operational policies and long-term operational excellence. This position class is distinguished by complex and widely scoped duties with major financial or operational impact on key business processes. This position exercises considerable discretion and independent judgment in the coordination and prioritization of duties and responsibilities assigned and in acting on behalf of the Executive Director.

Summary

The Director of Operations works under the general direction of the Executive Director and has responsibility for core facility functions including information technology (IT) and data security functions, utility and customer data management, communication systems, physical buildings and infrastructure, energy assurance planning, and safety. The position is also responsible for physical asset management, as well as selected programs with an emphasis on capital assets such as electric vehicle charging infrastructure. The incumbent manages the planning, staffing, and oversight of RCEA's Operations team and selected program staff. The position requires knowledge of business systems and facilities operations for an office environment/organization of approximately 20-30 people and experience managing programs focused on emerging low carbon and sustainable energy initiatives.

Essential Functions and Responsibilities

Duties are illustrative only and may vary. Other duties may be assigned.

- Oversee and supervise agency business systems operations, including information technology services, data security, communications systems, office equipment, and quality assurance.
- Oversee and manage maintenance, repair, and expansion of physical buildings or properties to ensure that the functionality of the built environment effectively integrates staff with systems, place, process, and technology.
- Oversee the development and implementation of technology solutions for all general office activities, along with user training to ensure maximum adoption of existing and new technical solutions.
- Manage complex, large-scale data-centric contracts.
- Oversee and supervise selected agency programs that include capital assets, such as the RCEA EV charging network.
- Work as part of a senior management team to establish inter-departmental processes to support efficient office and business functions; reviews and evaluates existing processes and identifies business systems operations and facilities needs.
- Collaborate and consult with other program directors to identify and develop low-carbon and sustainable energy initiatives.

- Work closely with other department directors to prepare agency operation-related documents for Board review, and manages resulting implementation plans.
- Establish and maintain relationships with appropriate consultants and vendors associated with department operations.
- Lead change management efforts to support ongoing organizational maturity and growth.
- Serve as Security Officer for both the built environment and organizational data.
- Develop, write, and present staff reports and recommendations to the Board.

Minimum Qualifications

Experience/Education:

Any combination of training and experience that would provide the required knowledge, skills, and abilities is qualifying. A typical way to obtain the required qualifications would be:

- Education or experience equal to a Bachelor's or Master's degree in business or public administration, organizational development, operations management, or a closely related field
- A minimum of eight (8) years of progressively responsible experience in business systems and operations (public sector experience is strongly desired)
- Continuing education with an emphasis on building system design and operation, energy efficiency, and safety.
- Experience working with contractors and vendors to secure services and materials.

Knowledge of:

- Technical and administrative operations of IT functions, data management and security procedures, standard office and communications equipment, and quality assurance programs.
- Management and educational techniques to train employees and implement policies.
- Facilities management principles, methodologies, and tools.
- Above average working knowledge of current business software programs and project management approaches and tools, content management, and data security.
- Familiarity with advanced fuels initiatives in California and California Energy Commission Grant Funding Opportunities.
- Knowledge of ongoing technical advances in low carbon fuel options, energy efficiency, renewable energy, and building science.
- Current familiarity with climate change, adaptation, zero net energy, and similar programs to support local implementation of related state and federal initiatives.
- Public agency governance procedures.
- Change management principles and practices.

Ability to:

- Plan, organize and manage all aspects of internal business systems operations.
- Apply a structured methodology to plan and lead operational changes; define and measure success metrics and monitor progress.
- Analyze complex business needs and recommend technical solutions.
- Negotiate and collaborate with partner organizations, up to and including Fortune 500 businesses, on complex, long-range mission-critical projects.
- Ensure consistency and maintainability of existing applications by creating, maintaining, and enforcing standards/procedures for implementing technical solutions.
- Perform data collection, interpretation and analysis pertaining to business systems operations.
- Support long-term strategic planning.
- Represent, uphold and communicate RCEA operational policies and procedures to internal staff, the Board of Directors and external parties and vendors.

- Effectively direct, supervise and coordinate the work of assigned staff.
- Manage multiple priorities, meet deadlines, and quickly adapt to changing priorities in a fast-paced dynamic environment.
- Work well under pressure.
- Be thorough and detail-oriented.
- Demonstrate patience, tact, teamwork and commitment to superior service and performance.
- Communicate effectively verbally, in writing, and through presentations.
- Develop fiscally prudent policies and procedures that acknowledge and uphold public trust.

Working Conditions and Essential Requirements

The physical demands described here are representative of those required for the position. Position requires sitting, walking, standing, bending, and twisting in the performance of daily activities. The position requires hand manipulation and repetitive hand movement and fine coordination in using a computer keyboard and other office equipment. The position requires near and far vision in reading reports and use of a computer. Acute hearing is required in supporting meetings and providing phone and in-person customer service. The position occasionally requires lifting and/or moving objects. Fine and gross motor control is required to perform repair and assembly tasks ranging from computer assembly and repair to routing cables. The position requires the ability to physically navigate building service spaces such as attics and crawlspaces or equivalent. RCEA will make reasonable accommodation of the known physical or mental limitations of a qualified applicant with a disability upon request. Possession and continued maintenance of a valid class C California driver's license or the ability to provide alternate transportation and a safe driving record.

Preferred Qualifications

- Possession of a Master's degree in a related field desirable
- Knowledge of RCEA programs
- Prior experience working with public agencies and/or public utilities
- Experience working with organizations involved with projects and programs in the areas of economic, environmental and economic development, especially in an entrepreneurial context.

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Director - Demand Side Management Programs

General Class Description: Under general direction of the Executive Director, a Director plans, organizes, coordinates, and directs the programs or activities of the associated department; provides expert professional guidance to staff of department; performs related work as assigned. This class has department-head level responsibility for overall policy development, program planning, fiscal management, administration, and operation of the departmental functions and various support services. A Department Director is responsible for accomplishing departmental goals and objectives, supervising staff, administering the department's annual budget, and directing the day-to-day operations and activities of the department. A Director works with Executive Director and other Directors to ensure consistent and efficient implementation of agency operational policies and long-term operational excellence. This position class is distinguished by complex and widely scoped duties with major financial or operational impact on key business processes. This position exercises considerable discretion and independent judgment in the coordination and prioritization of duties and responsibilities assigned and in acting on behalf of the Executive Director.

Position Summary

The Director of Demand Side Management works under the general direction of the Executive Director and has responsibility for a wide range of matters to support RCEA's Demand Side Management (DSM) functions, including planning and leading the implementation of energy efficiency and distributed renewable energy initiatives and programs. This includes managing the planning, staffing, and oversight of RCEA's DSM team. The position requires knowledge of department-level operations and budget management, vendor and contract management, investor-owned utility, state, and federal energy programs, local, state and federal energy policy, public agency governance, and supervision best practices.

Essential Functions and Responsibilities

Duties are illustrative only and may vary. Other duties may be assigned.

- Plan, develop, and oversee implementation of agency DSM functions, policies, and procedures, including energy efficiency and distributed renewable energy program strategy and initiatives.
- Ensure quality service delivery and achievement of programmatic goals and objectives.
- Evaluate new program offerings, coordinate with external stakeholders, assist in negotiating contracts, and participate in local and state DSM policy and strategy.
- Coordinate with department staff to manage the budget, identify support needs, and manage resources.
- Work as part of a senior management team to establish inter-departmental processes to support efficient office and business functions; review and evaluate existing processes and identify departmental needs.
- Work closely with other department directors to prepare agency operation-related documents for Board review, and manage resulting implementation plans.
- Establish and maintain relationships with appropriate agencies, consultants, professional groups and programs associated with RCEA management and operations.
- Develop, write, and present staff reports and recommendations to the Board.

Minimum Qualifications

Experience/Education:

Any combination of training and experience that would provide the required knowledge, skills, and abilities is qualifying. A typical way to obtain the required qualifications would be:

- Education or experience equal to a Bachelor's or Master's degree in energy management, engineering, environmental sciences, or a closely related field
- A minimum of eight (8) years of progressively responsible experience in demand side energy management (public sector experience is strongly desired).

Knowledge of:

- Technical and administrative principles and methods of energy management and distributed renewable energy generation.
- Local, state, and federal energy initiatives and goals.
- Management techniques to train and supervise employees and implement employment policies.
- Above average working knowledge of current business software programs, including Microsoft Office and other program and budget tracking tools.
- Public agency contracting and grant management.
- Public agency governance procedures.

Ability to:

- Plan, organize and manage all aspects of DSM functions, including strategic and fiscal planning, proposal and budget development, resource allocation, portfolio development, compliance with department goals, policies, and procedures, program evaluation, and contingency planning.
- Analyze complex and dynamic contracts and statutory requirements.
- Represent, uphold, and communicate RCEA administrative policies and procedures to internal staff, the Board of Directors and external parties and vendors.
- Develop and manage complex budget and financing strategies.
- Promote effective and positive working relationships among employees.
- Identify complex problems, develop and implement solutions.
- Effectively direct, supervise and coordinate the work of assigned staff.
- Manage multiple priorities, meet deadlines, and quickly adapt to changing priorities in a fast-paced dynamic environment.
- Work well under pressure.
- Be thorough and detail-oriented.
- Demonstrate patience, tact, teamwork and commitment to superior service and performance.
- Communicate effectively verbally, in writing, and through presentations.

Working Conditions and Essential Requirements

The physical demands described here are representative of those required for the position. Position requires sitting, walking, standing, bending, and twisting in the performance of daily activities. The position requires hand manipulation and repetitive hand movement and fine coordination in using a computer keyboard and other office equipment. The position requires near and far vision in reading reports and use of a computer. Acute hearing is required in supporting meetings and providing phone and in-person customer service. The position occasionally requires lifting and/or moving objects. RCEA will make reasonable accommodation of the known physical or mental limitations of a qualified applicant with a disability upon request. Possession and continued maintenance of a valid class C California driver's license or the ability to provide alternate transportation and a safe driving record.

Preferred Qualifications

- Possession of a Master's degree in a related field.
- Knowledge of RCEA programs.
- Prior experience working with public agencies and/or public utilities.
- Experience working with organizations involved with projects and programs in the areas of economic, environmental and economic development.

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Director - Power Resources

General Class Description: Under general direction of the Executive Director, a Director plans, organizes, coordinates, and directs the programs or activities of the associated department; provides expert professional assistance to staff of department; performs related work as assigned. This class has department-head level responsibility for overall policy development, program planning, fiscal management, administration and operation of the departmental functions and various support services. A Department Director is responsible for accomplishing departmental goals and objectives, supervising staff, administering the department's annual budget, and directing the day to day operations and activities of the department. A Director works with Executive Director and other Directors to ensure consistent and efficient implementation of agency operational policies and long-term operational excellence. This position class is distinguished by complex and widely scoped duties with major financial or operational impact on key business processes. This position exercises considerable discretion and independent judgment in the coordination and prioritization of duties and responsibilities assigned and in acting on behalf of the Executive Director.

Position Summary

The Director of Power Resources, under direction of the Executive Director, has responsibility for a wide range of matters to support RCEA's Community Choice Energy Program, including resource planning, analysis, and management of the agencies' energy supply portfolio and procurement efforts. The Director of Power Resources works closely with RCEA's technical team including external service providers, the public, legislative and regulatory agencies, project developers, brokers, and consultants providing direction and information on specific programs and projects. Responsibilities include research and due diligence with respect to power supply opportunities, negotiation and administration of power purchase agreements, contractor performance monitoring and dispute resolution, invoice validation, issue identification and compliance oversight. The Director of Power Resources is also responsible for the preparation of certain regulatory compliance reports focused on resource procurement, climate impacts, annual greenhouse gas inventory and emissions reporting, and preparation of informational material for the RCEA Board and public regarding power supply resource allocations. The Director of Power Resources will direct development and administration of energy programs such as feed-in tariff, lead efforts to accelerate local renewable energy development, and coordinate the integration of demand-side management programs with power portfolio planning. The Director of Power Resources supervises positions assigned to the Power Resources team.

Essential Functions and Responsibilities

Duties are illustrative only and may vary. Other duties may be assigned.

- Lead the development and implementation of core functions of RCEA's community choice energy program, including power procurement, power portfolio management, rate-setting, renewable energy resource development, and customer programs.
- Work as part of a senior management team to establish inter-departmental processes to support efficient office and business functions; review and evaluate existing processes and identifies departmental needs.
- Work closely with other department directors to prepare agency operation-related documents for Board review, and manages resulting implementation plans.

- Establish and maintain relationships with appropriate agencies, consultants, professional groups and programs associated with RCEA management and operations.
- Direct and participate in the administration of RFP processes, ongoing power procurement and portfolio management, and the assessment of unsolicited proposals.
- Lead the review and analysis of proposals for electric power supply submitted to RCEA by developers and brokers.
- Prepare and present information and recommendations to assist RCEA staff and the Board in assessing and identifying 'best fit' market opportunities for RCEA.
- Lead the preparation of materials for the RCEA Board and its Committees as well as RCEA staff to facilitate policy discussions related to procurement and resource planning.
- Lead preparation and updates of reports of wholesale energy products and resource planning studies to yield a portfolio of supply resources to best meet the agency's needs.
- Lead or participate in interactions with power developers and brokers during pre-contract discussions, contract negotiations and Board discussion.
- Lead core functions related to the administration of RCEA power portfolio, evaluating the RCEA resource portfolio and recommending adjustments.
- Lead or participate in the negotiation and writing of contracts for the purchase and/or sales of electric resources.
- Manage performance auditing and monitoring for RCEA community choice energy program contracts.
- Manage the administration of RCEA's various renewable energy certificate accounts within the WREGIS system.
- Direct the preparation of compliance reports and materials related to RCEA power supply, including those required by the California Public Utilities Commission (CPUC), California Energy Commission (CEC), and the Department of Energy (DOE)
- Lead the development and implementation of energy programs such as feed-in tariff, lead efforts to accelerate local renewable energy development, and coordinate the integration of demand-side management programs with power portfolio planning.
- Keep abreast of developments in resource planning processes and in energy resource technologies, seek out new technologies from public or private sources, and evaluate new supplies as appropriate.
- Develop, write, and present staff reports and recommendations to the Board.
- Represent RCEA on external agencies' task forces and working groups as assigned.

Minimum Qualifications

Experience/Education:

Any combination of training and experience that would provide the required knowledge, skills, and abilities is qualifying. A typical way to obtain the required qualifications would be:

- Education or experience equal to a Bachelor's or Master's degree in energy management, engineering, finance, environmental sciences, or a closely related field
- A minimum of eight (8) years of progressively responsible experience at an electric utility, municipal utility, a community choice aggregator, or in a closely related field (public sector experience is strongly desired).

Knowledge of:

- Energy generation technologies including carbon neutral electric energy, conventional energy, and renewable energy such as wind, biomass, geothermal, solar, concentrating solar, and hydroelectric.
- Procurement process and use of renewable energy certificates to support mandatory and voluntary compliance programs.
- The California Independent System Operator (CAISO) settlement process.

- California's Renewables Portfolio Standard, Power Content Label and Power Source Disclosure program.
- Power scheduling.
- Power purchase agreement structures, general terms and conditions and basic requirements.
- Principles and practices of customer energy management including solar and other renewable technologies, demand management, and energy conservation.
- The Western Renewable Energy Information System (WREGIS).
- Regulatory reporting and compliance requirements of the California Public Utilities Commission (CPUC).
- Principles of management, supervision, training, and performance evaluation.
- Above average working knowledge of current business software programs, including Microsoft Office and other program- specific tools.
- Public agency contracting and grant management.
- Public agency governance procedures.

Ability to:

- Take responsibility and work independently, as well as coordinate collaborative efforts and achieve work goals with and through other staff.
- Convey complex information in a simple and understandable manner.
- Establish and maintain effective working relationships with persons encountered during the performance of duties, including contactors, developers and power brokers, commercial partners, RCEA staff team and the RCEA Board Directors.
- Effectively interpret and apply contract language and commercial agreements.
- Evaluate contractor performance and potential project opportunities, and project siting, permitting and interconnection issues.
- Perform quantitative data and statistical analysis (including Levelized Cost of Service (LCOE) and Net Present Value (NPV)) and effectively communicate results to others.
- Manage multiple priorities, meet deadlines, and quickly adapt to changing priorities in a fast paced dynamic environment.
- Achieve goals and provide accurate, timely, and meaningful progress updates.
- Work accurately and swiftly under pressure.
- Be thorough and detail-oriented.
- Demonstrate patience, tact, teamwork and commitment to superior service and performance.
- Identify and solve problems effectively and expeditiously.
- Direct, supervise and coordinate the work of assigned staff.
- Communicate effectively verbally, in writing, and through presentations.
- Prepare high quality research, reports and request for proposals.
- Exercise sound judgment, creative problem solving, effective dispute resolution, and commercial awareness.
- Provide excellent customer service and communicate clearly and effectively with customers.
- Understand, anticipate, and appreciate customer needs and concerns.

Working Conditions and Essential Requirements

The physical demands described here are representative of those required for the position. Position requires sitting, walking, standing, bending, and twisting in the performance of daily activities. The position requires hand manipulation and repetitive hand movement and fine coordination in using a computer keyboard and other office equipment. The position requires near and far vision in reading reports and use of a computer. Acute hearing is required in supporting meetings and providing phone and in-person customer service. The position occasionally requires lifting and/or moving objects. RCEA will make reasonable accommodation of the known physical or mental limitations of a qualified applicant with a disability upon request. Possession and continued maintenance of a valid class C California driver's license or the ability to provide alternate transportation and a safe driving record.

Preferred Qualifications

- Possession of a Master's degree in a related field.
- Knowledge of RCEA programs.
- Prior experience working with public agencies and/or public utilities.
- Experience working with organizations involved with projects and programs in the areas of economic, environmental and economic development, especially in an entrepreneurial context.

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Director of Business Development and Planning

General Class Description: Under general direction of the Executive Director, a Director plans, organizes, coordinates, and directs the programs or activities of the associated department; provides expert professional assistance to staff of department; performs related work as assigned. This class has department-head level responsibility for overall policy development, program planning, fiscal management, administration and operation of the departmental functions and various support services. A Department Director is responsible for accomplishing departmental goals and objectives, supervising staff, administering the department's annual budget, and directing the day to day operations and activities of the department. A Director works with Executive Director and other Directors to ensure consistent and efficient implementation of agency operational policies and long-term operational excellence. This position class is distinguished by complex and widely scoped duties with major financial or operational impact on key business processes. This position exercises considerable discretion and independent judgment in the coordination and prioritization of duties and responsibilities assigned and in acting on behalf of the Executive Director.

Position Summary

The Director of Business Development and Planning works under the general direction of the Executive Director and has responsibility for a wide range of matters to support RCEA's core business operations including strategic planning, organization and program development and funding, contracting, budget oversight, management of resource allocation, and implementation of organizational policies and procedures. The incumbent manages the planning, staffing, and oversight of RCEA's Business Development and Planning team. The position requires knowledge of relevant funding and business development opportunities, public agency and program-specific operations, and budget and resource management for an organization of 20-30 people.

Essential Functions and Responsibilities

Duties are illustrative and may vary. Other duties may be assigned.

- Implement strategic and innovative operational planning that anticipates future consequences and maintains RCEA's position at the forefront of the energy sector.
- Coordinate with senior staff to forecast current and future costs, revenue, and resource requirements associated with organizational programs and contracts.
- Lead and coordinate business development activities and grant writing efforts.
- Collaborate and interact with grantors, foundations and other funding sources to secure relevant funds and resources for the organization.
- Serve a central role in the leadership and oversight for RCEA programs to ensure a customer service-oriented management philosophy which transcends all levels of the organization.
- Shape and lead processes, procedures, and goals that support effective implementation of RCEA's programs and projects.
- Support departmental fiscal oversight and performance management.
- Assist the Executive Director with RCEA's budgeting and planning processes as well as efforts to secure the resources necessary to fulfill RCEA's mission.

- Support the development and management of RCEA's budget, and lead the development and management of program and project budgets.
- Manage and coordinate relationships with key contractors, service providers, and program partners.
- Manage compliance with relevant regulatory requirements.
- Ensure compliance with all grant and contract terms, conditions, and reporting requirements.
- Build, lead, and motivate high-performing teams to be accountable; support multiple concurrent and complex projects; and achieve challenging goals.
- Lead key resource tasks including determining needs, hiring employees, overseeing assignment of employees and planning staff development.
- Stimulate and actively initiate positive change in the organization while carefully considering implications and impacts of decisions across time and on others.
- Update and implement all necessary business policies and support ongoing improvement to overall management policies and procedures.
- Collaborate on process and/or program re-engineering and change management initiatives that lead to continuous service improvements.

Minimum Qualifications

Education/Experience

Any combination of training and experience that would provide the required knowledge, skills, and abilities is qualifying. A typical way to obtain the required qualifications would be:

- A bachelor's degree from an accredited college or university in a relevant field.
- At least three years of experience that demonstrates the ability to perform the essential functions of the position.

Knowledge of:

- CA Public Utilities Commission, CA Energy Commission, and Community Choice Aggregation programs and program administration.
- General business principles and practices, including finance, human resources, program management, business development, strategic planning
- Principles and methods of reporting and auditing for a division or significant program area.
- Knowledge of tools and systems that enable energy-related services and programs.
- Fundamental drivers of agency and business customers and partners to make wise decisions in the pursuit of long-term value.
- How to build and maintain new relationships.

Ability to:

- Be responsible for the quality and content of all financial data.
- Work with diverse stakeholders and communities.
- Assess opportunities and pathways forward while understanding trade-offs and risks both for stand-alone and an overall portfolio of programs.
- Navigate through an organization, identify decision-makers, and demonstrate value.
- Network and facilitate partnerships, contracts, grants, initiatives, and related business transactions.
- Develop effective tools for the complex analysis of energy projects and programs.
- Handle multiple projects simultaneously within stringent time constraints.

- Effectively manage providers to ensure services and products are received within contracted time, quality, quantity and cost requirements.
- Monitor, evaluate, and assure compliance with administrative and financial goals, policies and procedures.
- Exercise discretion and independent judgment.
- Maintain a good working relationship with co-workers, stakeholders and clients.
- Possession of excellent communication, management, and personal skills.
- Facilitate or assist with a collaborative program development and design process, including needs assessments, project design, proposals, marketing tools, evaluation, and reporting.
- Learn, interpret, and apply policies, procedures, and regulations; and to provide program-based guidance and interpretation for staff and the public.
- Plan, schedule, budget and allocate program resources.
- Prepare program budgets to meet regulatory requirements.
- Assist with administration of project budgets, including control and monitoring of expenditures.
- Prepare accurate, comprehensive, timely, credible project reports as required by RCEA, funding agencies and other relevant parties.
- Work accurately and swiftly under pressure.
- Be thorough and detail-oriented.
- Demonstrate patience, tact, teamwork and commitment to superior service and performance.

Preferred Qualifications

- Possession of master's degree in a relevant field.
- Knowledge of RCEA programs.
- Knowledge of standard accounting practices and procedures and proficiency with Quickbooks.
- Knowledge of local, state, federal, and tribal energy programs.
- Prior experience supervising one or more staff members.
- Prior experience managing service providers and suppliers.
- Prior experience working with public agencies.
- Experience working with organizations involved with projects and programs in the areas of economic, environmental and economic development.

Working Conditions and Essential Requirements

The physical demands described here are representative of those required for the position. Position requires sitting, walking, standing, bending, and twisting in the performance of daily activities. The position requires hand manipulation and repetitive hand movement and fine coordination in using a computer keyboard and other office equipment. The position requires near and far vision in reading reports and use of a computer. Acute hearing is required in supporting meetings and providing phone and in-person customer service. The position occasionally requires lifting and/or moving objects. RCEA will make reasonable accommodation of the known physical or mental limitations of a qualified applicant with a disability upon request. Possession and continued maintenance of a valid class C California driver's license or the ability to provide alternate transportation and a safe driving record.

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Executive Director

General Class Description: Under the delegated authority of the RCEA Board of Directors, the Executive Director oversees all the functions and activities of the organization and provides expert professional guidance to staff and the Board of Directors. The Executive Director works with the Board of Directors and staff to ensure consistent and efficient implementation of agency operational policies and long-term operational excellence. This position class is distinguished by organization-level responsibility, and complex and widely scoped duties with major financial and operational impact on key business processes. This position exercises considerable discretion and independent judgment in the coordination and prioritization of duties and responsibilities assigned and in acting on behalf of the Board of Directors.

Position Summary

The Executive Director works under the general direction and delegated authority of the Redwood Coast Energy Authority (RCEA) Board of Directors and has overall strategic and operational responsibility for RCEA staff, programs, and execution of RCEA's mission. The Executive Director manages the staffing and oversight of RCEA's department Directors, the Community Strategies Manager, and Board Clerk positions. The position requires deep knowledge of the field, core programs, and public agency governance, as well as operations and business plans for the Redwood Coast Energy Authority and management of an organization of approximately 25 people.

Essential Functions and Responsibilities

Duties are illustrative only and may vary. Other duties may be assigned.

- Provide leadership in support of RCEA's mission.
- Oversee implementation of the Humboldt County Comprehensive Action Plan for Energy (CAPE).
- Support the Board of Directors, and build and maintain board involvement. Assist the Executive Committee (Chair and Vice-Chair) with administration of Board of Directors meetings and matters.
- Develop and manage energy programs and services for the benefit of energy consumers in the Humboldt County region.
- Function as RCEA's Public Information Officer and serve as primary media contact; approve all press releases and public service announcements, web site content, and paid advertising.
- Establish and maintain close contact with member agency representatives, including City Managers, Council members, Supervisors, and others to achieve the objectives of RCEA.
- Develop energy partnerships among private, non-profit, governmental and educational organizations and enter into other services and programs as directed by the Board of Directors.
- Use external presence and relationships to garner new opportunities, build partnerships in new markets, and communicate new initiatives, program updates, and program results.
- Oversee the management of RCEA staff, operations, and administration.
- Ensure ongoing programmatic excellence, rigorous program evaluation, consistent quality of finance and administration, communications, and development of resources to achieve strategic goals.

- Lead, coach, develop and retain a high-performing senior management team.
- Ensure effective systems to track progress and regularly evaluate organization components.
- Establishes and maintains relationships with appropriate agencies, consultants, professional groups and programs associated with RCEA management and operations.
- Develops, writes, and presents staff reports and recommendations to the Board.

Minimum Qualifications

Experience/Education:

Any combination of training and experience that would provide the required knowledge, skills, and abilities is qualifying. A typical way to obtain the required qualifications would be:

- Education or experience equal to a Bachelor's or Master's degree with major course-work in energy, environment, economic development, public administration, or a closely related field.
- A minimum of ten (10) years of progressively responsible professional and managerial experience in a public or private sector energy program or business (public sector experience is strongly desired).

Knowledge of:

- Principles of public agency management and governance, including public accounting and the Brown Act.
- Principles of business and organizational management, including finance, human resources, and operations; supervision and training of staff; and customer service.
- Investor Owned Utility, state, and federal energy efficiency and renewable energy programs; grant and contract management; and data-driven program innovation and evaluation.
- Local, state, and federal energy policy.
- Principles of marketing, public relations, and development, with the goal of engaging a wide range of stakeholders and cultures.
- Current business software applications, including Microsoft Office and QuickBooks.

Demonstrated ability to:

- Effectively lead a performance- and outcomes-based organization and staff, and develop and implement strategies to take the organization to the next stage of growth.
- Act with integrity, maintain a positive attitude and leadership-style, and be mission-driven and self-directed.
- Employ an action-oriented, entrepreneurial, and adaptable approach to business planning.
- Coordinate and align departmental performance toward overall organizational success.
- Manage and develop high-performance teams, set and achieve strategic objectives, and manage an organization-wide budget.
- Represent, uphold, and communicate RCEA administrative policies and procedures to internal staff, the Board of Directors and external parties and vendors.
- Cultivate relationships with Board members, community stakeholders, and industry-leaders.
- Effectively represent and communicate organization-related business to a wide audience, including the public, media, stakeholders, Board members, and staff.
- Advocate for effective and positive working relationships amongst staff.
- Manage multiple priorities, meet deadlines, and quickly adapt to changing priorities in a fast-paced dynamic environment.
- Work well under pressure.
- Be thorough and detail-oriented.
- Demonstrate patience, tact, teamwork and commitment to superior service and performance.

Working Conditions and Essential Requirements

The physical demands described here are representative of those required for the position. Position requires sitting, walking, standing, bending, and twisting in the performance of daily activities. The position requires hand manipulation and repetitive hand movement and fine coordination in using a computer keyboard and other office equipment. The position requires near and far vision in reading reports and use of a computer. Acute hearing is required in supporting meetings and providing phone and in-person customer service. The position occasionally requires lifting and/or moving objects. RCEA will make reasonable accommodation of the known physical or mental limitations of a qualified applicant with a disability upon request. Possession and continued maintenance of a valid class C California driver's license or the ability to provide alternate transportation and a safe driving record.

Preferred Qualifications

- Possession of a Master's degree in a related field.
- Knowledge of RCEA programs.
- Prior experience working with public agencies and/or public utilities.
- Experience working with organizations involved with projects and programs in the areas of economic, environmental and economic development, especially in an entrepreneurial context.

THE REDWOOD COAST ENERGY AUTHORITY IS COMMITTED TO A DIVERSE WORKFORCE AND IS AN EQUAL OPPORTUNITY EMPLOYER. RCEA MAINTAINS AND PROMOTES A POLICY OF NONDISCRIMINATION AND NONHARASSMENT ON THE BASIS OF RACE, RELIGION, COLOR, SEX, AGE, HANDICAP, MARITAL STATUS, SEXUAL ORIENTATION, AND NATIONAL ORIGIN OR GENETIC CHARACTERISTIC.

Redwood Coast Energy Authority - Job Classifications and Pay Scales - 12/12/16 Proposed Update

	Step 1	Step 2	Step 3	Step 4	Step 5	Step 6	Step 7	Step 8	Step 9	Step 10
Assistant/Coordinator/Associate										
Hourly	15.21	15.60	16.00	16.41	16.83	17.25	17.68	18.12	18.57	19.04
Monthly	2,635.76	2,703.34	2,772.66	2,843.75	2,916.67	2,989.58	3,064.32	3,140.93	3,219.45	3,299.94
Annual	31,629.08	32,440.08	33,271.88	34,125.00	35,000.00	35,875.00	36,771.88	37,691.17	38,633.45	39,599.29

Specialist										
Hourly	22.15	22.72	23.30	23.90	24.51	25.14	25.78	26.44	27.10	27.78
Monthly	3,838.96	3,937.40	4,038.36	4,141.90	4,248.11	4,357.03	4,468.75	4,583.33	4,697.92	4,815.36
Annual	46,067.54	47,248.76	48,460.26	49,702.83	50,977.27	52,284.38	53,625.00	55,000.00	56,375.00	57,784.38

Senior Specialist										
Hourly	24.82	25.59	26.38	27.20	28.04	28.91	29.77	30.67	31.59	32.54
Monthly	4,414.81	4,528.01	4,644.11	4,763.19	4,885.32	5,010.59	5,135.85	5,264.25	5,395.85	5,530.75
Annual	52,977.67	54,336.07	55,729.30	57,158.26	58,623.86	60,127.03	61,630.21	63,170.96	64,750.24	66,368.99

Technician										
Hourly	26.17	26.85	27.53	28.24	28.96	29.71	30.47	31.25	32.03	32.83
Monthly	4,536.95	4,653.29	4,772.60	4,894.98	5,020.49	5,149.22	5,281.25	5,416.67	5,552.08	5,690.89
Annual	54,443.45	55,839.44	57,271.22	58,739.71	60,245.86	61,790.63	63,375.00	65,000.00	66,625.00	68,290.63

Senior Technician										
Hourly	30.10	30.87	31.66	32.48	33.31	34.16	35.02	35.89	36.79	37.71
Monthly	5,217.50	5,351.28	5,488.49	5,629.22	5,773.56	5,921.60	6,069.64	6,221.38	6,376.92	6,536.34
Annual	62,609.97	64,215.36	65,861.90	67,550.67	69,282.74	71,059.22	72,835.70	74,656.59	76,523.01	78,436.08

Manager										
Hourly	30.20	30.98	31.77	32.58	33.42	34.28	35.16	36.06	36.96	37.88
Monthly	5,234.95	5,369.18	5,506.85	5,648.05	5,792.87	5,941.41	6,093.75	6,250.00	6,406.25	6,566.41
Annual	62,819.37	64,430.12	66,082.18	67,776.59	69,514.45	71,296.88	73,125.00	75,000.00	76,875.00	78,796.88

Senior Manager										
Hourly	34.73	35.62	36.54	37.47	38.43	39.42	40.40	41.41	42.45	43.51
Monthly	6,020.19	6,174.55	6,332.88	6,495.26	6,661.80	6,832.62	7,003.43	7,178.52	7,357.98	7,541.93
Annual	72,242.27	74,094.64	75,994.50	77,943.08	79,941.62	81,991.41	84,041.19	86,142.22	88,295.78	90,503.17

Director										
Hourly	43.45	44.56	45.70	46.88	48.08	49.28	50.51	51.77	53.07	54.39
Monthly	7,530.73	7,723.83	7,921.88	8,125.00	8,333.33	8,541.67	8,755.21	8,974.09	9,198.44	9,428.40
Annual	90,368.79	92,685.94	95,062.50	97,500.00	100,000.00	102,500.00	105,062.50	107,689.06	110,381.29	113,140.82

Executive Director										
Hourly	56.48	57.93	59.41	60.94	62.50	64.06	65.66	67.31	68.99	70.71
Monthly	9,789.95	10,040.98	10,298.44	10,562.50	10,833.33	11,104.17	11,381.77	11,666.32	11,957.97	12,256.92
Annual	117,479.43	120,491.72	123,581.25	126,750.00	130,000.00	133,250.00	136,581.25	139,995.78	143,495.68	147,083.07

Steps are 2.5%, set from the mid-point of each position's range (highlighted cell) based on the Average of the Salary Survey of Benchmark Classifications at RCEA's Labor Market Agencies per the RCEA Employee Compensation Policy.



REDWOOD COAST Energy Authority

STAFF REPORT

AGENDA DATE:	November 21, 2016
TO:	Board of Directors
PREPARED BY:	Executive Director
SUBJECT:	Community Choice Energy Program Update

RECOMMENDED ACTION:

Adopt Resolution 2016-6 adopting an Energy Risk Management Policy.

SUMMARY

Attached is a proposed Energy Risk Management Policy that establishes RCEA's Energy Risk Management Program, including risk management functions and procedures to manage the risks associated with power procurement activities.

The purpose of this Policy is to help RCEA increase the likelihood of achieving its goals by specifying management responsibilities, organizational structures, risk management standards, and operating controls and limits necessary to properly identify and manage RCEA's exposure to risk. The Policy establishes the framework by which management, staff and The Energy Authority (TEA) will:

- Identify and quantify risk
- Develop and execute procurement strategies
- Create a framework of controls and oversight
- Monitor, measure and report on the effectiveness of the Program

The Policy delegates operational controls and oversight to the designated Risk Management Team and TEA to facilitate daily operations of the Community Choice Energy Program, including delegating transaction execution authorities. This provides the operational frame work to guide day-to-day power management activities in alignment with 1) TEA's contract, which establish them as RCEA's power-procurement agent for all non-local power products, and 2) the Board-adopted Community Energy Program Guideline, which establish RCEA's over-arching policy objectives and targets for the program during the initial launch-phase years of the program.

RECOMMENDED ACTION:

Adopt Resolution 2016-6 adopting an Energy Risk Management Policy.

ATTACHMENTS:

Resolution 2016-6, including the proposed Energy Risk Management Policy.

**RESOLUTION NO. 2016-6
OF THE REDWOOD COAST ENERGY AUTHORITY
ADOPTING AN ENERGY RISK MANAGEMENT POLICY**

WHEREAS, the Redwood Coast Energy Authority (RCEA) is launching a community choice energy program on behalf of participating jurisdictions in Humboldt County; and

WHEREAS, RCEA has contracted with The Energy Authority (TEA) to service and RCEA's power manager and power procurement agent; and

WHEREAS, RCEA desires to put in place strong power-procurement risk management practices and to increase the likelihood of achieving its community choice energy program goals by specifying management responsibilities, organizational structures, risk management standards, and operating controls and limits necessary to properly identify and manage RCEA's exposure to risk.

NOW, THEREFORE, BE IT RESOLVED, that the Board of the Redwood Coast Energy Authority hereby adopts a) an Energy Risk Management Policy as set forth in Appendix A, attached hereto and incorporated herein, and b) approves Jeff Fuller of TEA and Don Dame, Retired Assistant General Manager of the Northern California Power Agency, as the TEA and Independent Outside Representatives on the Risk Management Team as specified in the Energy Risk Management Policy.

Adopted this ____ day of _____, 2016

ATTEST:

Linda Atkins, RCEA Board Chair

_____, Clerk

Date: _____

Date: _____

CLERK'S CERTIFICATE

I hereby certify that the foregoing is a true and correct copy of Resolution No. 2016-6 passed and adopted at a regular meeting of the Redwood Coast Energy Authority, County of Humboldt, State of California, held on the ____ day of _____, 2016, by the following vote:

AYES:

NOES:

ABSENT:

ABSTENTIONS:

Clerk of the Board, Redwood Coast Energy Authority

APPENDIX A

**REDWOOD COAST ENERGY AUTHORITY
ENERGY RISK MANAGEMENT POLICY**



ENERGY RISK MANAGEMENT POLICY

December 2016 - DRAFT

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Section 1: POLICY OVERVIEW

1.1 Background and Purpose

The Redwood Coast Energy Authority (“RCEA”) is a public joint powers agency located within the geographic boundaries of Humboldt County. Member agencies of RCEA include the seven (7) incorporated cities located in Humboldt County, the County of Humboldt and the Humboldt Bay Municipal Water District. RCEA members desire to implement and administer a community choice aggregation (“CCA”) program for members that elect to become participants. The CCA program will give its members an opportunity to join together to procure electricity supplies and implement local programs that meet the goals of the local community. Electricity procured to serve customers will continue to be delivered over PG&E’s transmission and distribution system.

Presently, RCEA’s CCA Members include the following local government entities:

- Unincorporated Humboldt County
- City of Arcata
- City of Blue Lake
- City of Eureka
- City of Fortuna
- City of Trinidad
- City of Rio Dell

Providing retail electric generation service to customers enrolled in the CCA program exposes RCEA to risks such as retail load uncertainty (due to weather, customer opt-out, and other factors), energy market price, counterparty credit, PG&E generation and PCIA rate competitiveness and other regulatory risks.

This Energy Risk Management Policy (“Policy”) establishes RCEA’s Energy Risk Management Program (“Program”) including risk management functions and procedures to manage the risks associated with power procurement activities.

The ultimate purpose of this Policy is to help RCEA increase the likelihood of achieving its goals by specifying management responsibilities, organizational structures, risk management standards, and operating controls and limits necessary to properly identify and manage RCEA’s exposure to risk.

1.2 Scope

Unless otherwise explicitly stated in this Policy, or other policies approved by the Board, this Policy applies to all power procurement and related business activities that may impact the risk profile of RCEA. This Policy documents the framework by which management, staff and The Energy Authority (TEA) will:

- Identify and quantify risk
- Develop and execute procurement strategies
- Create a framework of controls and oversight

- Monitor, measure and report on the effectiveness of the Program

To ensure successful operation of the CCA program, RCEA has partnered with experienced contractors to provide energy-related services. Specific to power procurement, RCEA has partnered with TEA. At the outset of the CCA Program, TEA will be executing the preponderance of front- (transacting), middle- (monitoring) and back-office (settlement) related activities on RCEA's behalf. In providing these services, TEA will observe the policies outlined in this document. TEA maintains its own risk policies and procedures, following industry practices of segregation of duties, which will also govern activities executed on RCEA's behalf.

1.3 Energy Risk Management Objective

The objective of the Energy Risk Management Policy is to provide a framework for conducting procurement activities that maximizes the probability of RCEA meeting the goals listed in Section 2.1.

Pursuant to this Policy, RCEA will identify and measure the magnitude of the risks to which it is exposed and that contribute to the potential for not meeting identified goals.

1.4 Policy Administration

This Policy document has been reviewed and approved by the RCEA Board of Directors ("Board"). The Risk Management Team ("RMT") and Board must approve amendments to this Policy, except for the appendices, which may be amended with approval of only the RMT. The RMT must give notice to the Board of any amendment it makes to an appendix or a reference policy or procedure document.

Section 2: GOALS AND RISK EXPOSURES

2.1 Policy Goals

To help ensure long term viability for the CCA, RCEA has outlined the following Policy Goals. These goals will establish metrics used for modeling and measuring risk exposures of the CCA.

- RCEA will target to maintain competitive retail rates with PG&E after adjusting for the PCIA and Franchise Fee.
- RCEA will target during the initial years of operation to fund financial reserves with the following objectives:
 - Establish long-term business sustainability
 - Build collateral for power procurement activities
 - Establish an investment grade credit rating
 - Develop a source of funds for investment in generation and other local programs
 - Stabilize rates and dampen year-to-year variability in procurement costs

The goals outlined above are incorporated into the financial models that are used in modeling and measuring risk exposures. It is important to note that the goals listed above are not intended to be a comprehensive list of goals for the CCA. Rather, the above reflect a subset of program goals that are critical to long-term business viability for the CCA.

2.2 Risk Exposures

The Program faces a range of risks during launch and ongoing operation:

- Customer Opt-Out risk
- Market risk
- Regulatory risk
- Volumetric risk
- Model risk
- Operational risk
- Counterparty credit risk
- Reputation risk

Customer Opt-Out Risk

Customer opt-out risk is the primary risk the CCA faces. Customer opt-out risk includes any condition or event that creates uncertainty in the CCA's customer base, thereby increasing the potential for the CCA to not meet its Policy goals. A CCA faces other risks, but the ultimate concern is often how these other risks will affect customer opt-outs. This Policy addresses this paramount risk and secondary risk types listed below. These risks are not all inclusive but are identified as the risk factors driving the success of the CCA.

The most relevant measures of the success of this Policy include:

- Retail rate competitiveness with PG&E

- Financial reserve level

For the purpose of this Policy, risk exposure is assessed on all the transactions (energy, environmental attributes, capacity, etc.) executed by TEA on behalf of RCEA, or by RCEA, as well as the risk exposure of open positions and the impacts of these uncertainties on the CCA's load obligations. The following are components of RCEA's energy risk that will be assessed, monitored and managed.

2.3.1 Market Risk

Market risk is the uncertainty of RCEA's financial performance due to variable commodity market prices (market price risk) and uncertain price relationships (basis risk). Variability in market prices creates uncertainty in RCEA's procurement costs and can materially impact RCEA's financial position. Market risk is managed by regular measurement, execution of approved procurement and Congestion Revenue Right strategies and the limit structure set forth in this Policy.

2.3.2 Regulatory Risk

CCAs remain a comparatively new legal entity in the state of California and are subject to an evolving legal and regulatory landscape. Additionally, CCA's are in direct competition with California's Investor Owned Utilities ("IOUs"), which face the risk of stranded investments in generating assets and power purchase agreements procured in the past to serve now departing CCA loads. The manner in which the stranded costs of these legacy power supplies is allocated to departing CCA loads is the subject of regulatory proceedings at the CPUC. The competitive and regulatory landscape results in retail rate competitiveness risks that are unique to CCAs. RCEA will manage regulatory risk by:

- Regular monitoring and analysis of legislative and regulatory proceedings impacting CCAs;
- Regular monitoring and reporting of actual and projected financial results including probability-based and stressed financial results assuming a range of market and retail rate scenarios (both RCEA and PG&E);
- Structuring procurement strategies with the objective function of maintaining a favorable retail rate savings relative to PG&E;
- Actively participating in and representing CCA customer interests during regulatory and legislative proceedings.

2.3.3 Volumetric Risk

Volumetric risk is the uncertainty of RCEA's financial performance due to variability in the quantity of retail load served by RCEA. Retail load uncertainty results from customer opt-outs, temperature deviation from normal, unforeseen adoption of behind the meter generation by RCEA customers, as well as local, state and national economic conditions. Volume risk is managed by taking steps to:

- Quantify anticipated PG&E generation and PCIA rates, and variability therein;
- Quantify variability in procurement costs;

- Monitor and adjust for non-regulatory factors driving volumetric uncertainty (e.g. weather);
- Adopt a formal procurement strategy;
- Implement a key accounts program and maintain strong relationships with the local community;
- Monitor trends in customer onsite generation, economic shifts, and other factors that affect electricity customer volume and composition;
- Expand the customer base of the CCA into neighboring counties and include direct access loads.

2.3.4 Model Risk

Model risk is the uncertainty of RCEA's financial performance due to potentially inaccurate or incomplete characterization of a transaction or power supply portfolio elements due to fundamental deficiencies in models and/or information systems. Model risk is managed by:

- TEA Risk Management Committee approval, and RCEA RMT ratification of, financial and risk models;
- Ongoing review of model outputs as part of controls framework;
- Ongoing RCEA and TEA staff education and participation in CCA industry forums;
- Ongoing update and improvement of models as additional information and expertise is acquired

2.3.5 Operational Risk

Operational risk is the uncertainty of RCEA's financial performance due to weaknesses in the quality, scope, content, or execution of human resources, technical resources, and/or operating procedures within RCEA. Operational risk can also be exacerbated by fraudulent actions by employees or third parties or inadequate or ineffective controls. Operational risk is managed through:

- The controls set forth in this Policy
- RMT oversight of procurement activity
- Timely and effective management reporting
- Staff resources, expertise and/or training reinforcing a culture of compliance
- Ongoing and timely internal and external audits

2.3.6 Counterparty Credit Risk

Counterparty credit risk is the potential that a Counterparty will fail to perform or meet its obligations in accordance with terms agreed to under contract. RCEA's exposure to counterparty credit risk is controlled by the limit controls set forth in the Credit Policy described in Section 7.

2.3.7 Reputation Risk

Reputation risk is the potential that the CCA's reputation is harmed, causing customers to opt-out of the CCA's service and migrate back to PG&E. Reputational risk is managed through:

- Implementation and adherence to this Energy Risk Management Policy
- Establishment and adherence to industry best practices including both those adopted by other CCAs, as well as those adopted by traditional municipal electric utilities.

2.4 Risk Measurement Methodology

A vital element in RCEA's Energy Risk Management Policy is the regular identification, measurement and communication of risk. To effectively communicate risk, all risk management activities must be monitored on a frequent basis using risk measurement methodologies that quantify the risks associated with RCEA's procurement-related business activities and performance relative to goals.

Risk measurement of RCEA's position will be performed using a method that calculates projected procurement costs on an annual basis at various probabilities and that further provides a comparison of projected RCEA retail rates to those of PG&E. The rate comparison will be adjusted for actual and projected PCIA and Franchise Fee charges. Risk measurement methodologies shall be re-evaluated on a periodic basis to ensure RCEA and TEA adjust their methods to reflect the evolving regulatory and competitive landscape. The implementation of these methods shall be overseen and validated by TEA and ratified by the RMT.

Section 3: BUSINESS PRACTICES

3.1 General Conduct

It is the policy of RCEA that all personnel, including the Board, management, and agents, adhere to standards of integrity, ethics, conflicts of interest, compliance with statutory law and regulations and other applicable RCEA standards of personal conduct while employed by or affiliated with RCEA.

3.2 Trading for Personal Accounts

All RCEA Directors, management, employees and agents participating in any transaction or activity within the coverage of this Policy are obligated to give notice in writing to RCEA of any interest such person has in any counterparty that seeks to do business with RCEA, and to identify any real or potential conflict of interest such person has or may have with regard to any contract or transaction with RCEA. Further all persons are prohibited from personally participating in any transaction or similar activity that is within the coverage of this Policy and that is directly or indirectly related to the trading of electricity and/or environmental attributes as a commodity.

If there is any doubt as to whether a prohibited condition exists, then it is the employee's responsibility to discuss the possible prohibited condition with her/his manager or supervisor.

3.3 Adherence to Statutory Requirements

Compliance is required with rules promulgated by the state of California, California Public Utilities Commission, California Energy Commission, Federal Energy Regulatory Commission (FERC), Commodity Futures Trading Commission (CFTC), and other regulatory agencies.

Congress, FERC and CFTC have enacted laws, regulations and rules that prohibit, among other things, any action or course of conduct that actually or potentially operates as a fraud or deceit upon any person in connection with the purchase or sale of electric energy or transmission services. These laws also prohibit any person or entity from making any untrue statement of fact or omitting to state a material fact where the omission would make a statement misleading. Violation of these laws can lead to both civil and criminal actions against the individual involved, as well as RCEA. This Policy is intended to comply with these laws, regulations and rules and to avoid improper conduct on the part of anyone employed by RCEA. These procedures may be modified from time to time by legal requirements, auditor recommendations, RMT requests and other considerations.

In the event of an investigation or inquiry by a regulatory agency, RCEA will provide legal counsel to employees. However, RCEA will not appoint legal counsel to an employee if RCEA's General Counsel and Executive Director determine that the employee was not acting in good faith within the scope of employment.

RCEA employees are prohibited from working for another power supplier, CCA or utility in a related position while they are simultaneously employed by RCEA unless an exception is authorized by the Board. For clarity, this prohibition is not intended to prevent RCEA staff from performing non-CCA activities on behalf RCEA in the normal course of its business.

3.4 Transaction Type, Regions and Markets

Authorized transaction types, regions and markets are listed in Appendix B to this Policy. These transaction types, regions and markets are and shall continue to be focused on supporting RCEA's financial policies, including approved procurement strategies. New or non-standard transaction types may provide RCEA with additional flexibility and opportunity but may also introduce new risks. Therefore, transaction types, regions and markets not included in Appendix B, or transactions within already approved transaction types that are substantially different from any prior transaction executed by RCEA, must be approved by the RMT prior to execution using the process defined below.

When seeking approval for a new or non-standard transaction type, region, and/or market, a New Transaction Approval Form, as shown in Appendix C, should be drafted describing all significant elements of the proposed transaction. The proposal write-up will be prepared by TEA and should, at a minimum, include:

- A description of the benefit to RCEA, including the purpose, function and expected impact on costs (i.e.; decrease costs, manage volatility, control variances, etc.)
- Identification of the in-house or external expertise that will manage and support the new or non-standard transaction type
- Assessment of the transaction's risks, including any material legal, tax or regulatory issues
- How the exposures to the risks above will be managed by the limit structure
- Proposed valuation methodology (including pricing model, where appropriate)
- Proposed reporting requirements, including any changes to existing procedures and system requirements necessary to support the new transaction type
- Proposed accounting methodology
- Proposed work flows/methodology (including systems)

It is the responsibility of TEA's Middle Office to ensure that relevant departments have reviewed the proposed transaction and that material issues are resolved prior to submittal to the RMT for approval. If approved, Appendix B to the Policy will be updated to reflect the new transaction type.

3.5 Counterparty Suitability

TEA's counterparty credit limits and approval processes will govern counterparty suitability for all transactions executed by TEA on behalf of RCEA. TEA will provide a credit review and recommendation, consistent with the credit policies described in Section 6, for any counterparty with whom RCEA contracts directly.

3.6 System of Record

TEA's Middle Office will maintain a set of records for all transactions executed in association with RCEA procurement activities. The records will be maintained in US dollars and transactions will be separately recorded and categorized by type of transaction. This system of record shall be auditable.

3.7 Transaction Valuation

Transaction valuation and reporting of positions shall be based on objective, market-observed prices. Open positions should be valued (marked-to-market) daily, based on consistent valuation methods and data sources. Whenever possible, mark-to-market valuations should be based on independent, publicly available market information and data sources.

3.8 Stress Testing

In addition to limiting and measuring risk using the methods described herein, stress testing shall also be used to examine performance of the RCEA portfolio under adverse conditions. Stress testing is used to understand the potential variability in RCEA's projected procurement costs, and resulting retail rate impacts and competitive positioning, associated with low probability events. The TEA Middle Office will perform stress-testing of the portfolio on a monthly basis and distribute results.

3.9 Trading Practices

It is the expressed intent of this Policy to prohibit the acquisition of risk beyond that encountered in the efficient optimization of RCEA's generation portfolio and execution of procurement strategies. As such, speculative transactions are prohibited. In the course of developing operating plans and conducting procurement activities, RCEA recognizes that expertise must be employed by TEA staff, and it is not the intent of this Policy to restrain the legitimate application of analysis and market expertise in executing procurement strategies intended to minimize costs within the constraints of this Policy. If any questions arise as to whether a particular transaction constitutes speculation, the RMT shall review the transaction(s) to determine whether the transaction would constitute speculation and document its finding in the meeting minutes.

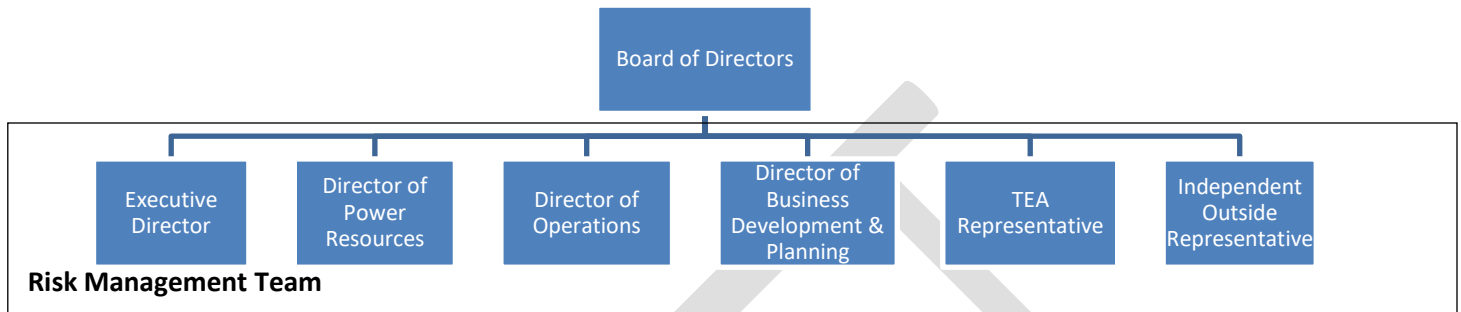
3.10 Policy Compliance

The TEA's Middle Office will provide a daily report monitoring compliance with the limits established by this Policy.

Section 4: ORGANIZATIONAL STRUCTURE AND RESPONSIBILITIES

4.1 Risk Management Organizational Structure

Below is a high-level organization chart describing RCEA's risk management governance.



4.2 Board of Directors

The RCEA Board of Directors has the responsibility to review and approve this Policy. With this approval, the Board assumes responsibility for understanding the risks RCEA is exposed to due to CCA Program activity and how the policies outlined in this document help RCEA manage the associated risks. The Board of Directors is also responsible to:

- Determine RCEA strategic direction
- Understand the procurement strategy employed
- Approve risk exposures beyond the RMT's authority
- Approve voting Members of the RMT

4.3 Risk Management Team (RMT)

The RMT is responsible for implementing, maintaining and overseeing compliance of this Policy. The voting members of the RMT shall be Board-approved RCEA staff members, an independent outside third-party representative, and a representative from TEA. Each voting member will be assigned one vote. The current voting members of the RMT are:

- Executive Director
- Director of Power Resource
- Director of Operations
- Director of Business Development and Planning
- TEA Representative
- Independent Outside Representative

The TEA representative will serve as the RMT Chairperson. The primary goal of the RMT is to ensure that the procurement activities of RCEA are executed within the guidelines of this Policy and are consistent with Board directives. The RMT is also responsible to consider and propose recommendations to this Policy when conditions dictate.

Pursuant to direction from the Board of Directors and the limitations specified by this Policy, the RMT and the Executive Director maintain full authority over all procurement activities for RCEA. This authority includes, but is not limited to, taking any or all actions necessary to ensure compliance with this Policy.

The RMT is responsible for overseeing implementation of this Policy, procurement strategies, and the adoption of new product types. The RMT is also responsible for ensuring procurement strategies are consistent with RCEA's strategic objectives and for reviewing financial results. The RMT shall meet at least quarterly and record business in meeting minutes that will be approved by the RMT. No decision of the RMT is valid unless a majority of voting members has stated approval with a quorum of voting members participating in the vote, including the Executive Director and TEA Representative. All decisions by the RMT, other than those made by common consent, shall be made by simple majority vote of the RMT members with the Executive Director having veto authority.

The RMT maintains the authority and responsibility to:

- Approve and ensure that all procurement strategies are consistent with this Policy;
- Determine if changes in procurement strategies are warranted;
- Approve new transaction types, regions, markets and delivery points ;
- Understand financial and risk models used by TEA;
- Understand counterparty credit review models and methods for setting and monitoring credit limits;
- Receive and review reports as described in this Policy;
- Meet to review actual and projected financial results and potential risks;
- Escalate to the Board of Directors with any risks beyond the RMT's authority;
- Review summaries of limit violations;
- Review the effectiveness of RCEA's energy risk measurement methods;
- Maintain this Policy;
- Monitor regulatory and legislative activities

4.4 Power Manager

The CCA has partnered with TEA as its Power Manager. TEA, as outlined in its Risk Policy, maintains a strong segregation of duties, also referred to as "separation of function" that is fundamental to manage and control the risks outlined in this Policy. The Power Manager will provide education to the RMT on the risk and credit models, methods and processes that it uses to fulfill its obligations under this Policy. Individuals responsible for legally binding the CCA to a transaction will not also perform confirmation, clearance or accounting functions. With this in mind, TEA's responsibilities are divided into front-middle-back office activities, as described below.

4.4.1 Power Manager - Front Office

The Front Office of the Power Manager reports to the Director of Power Resources. The Power Manager's Front Office has overall responsibility for (1) managing all commodity and transmission activities related to procuring and delivering resources needed to serve CCA's

load, (2) the analysis of fundamentals affecting load and supply factors that determine CCA's net position, and (3) transacting within the limits of this Policy, and associated policies, to balance loads and resources, and maximize the value of CCA's assets through the exercise of approved optimization strategies. Other duties associated with these responsibilities include:

- a. Assist in the development and analysis of risk management hedging products and strategies, and bring recommendations to the RMT
- b. Prepare each month a monthly operating plan for the prompt months that gives direction to the day-ahead and real-time trading and scheduling staff regarding the bidding and scheduling of CCA's resource portfolio in the CAISO market
- c. Develop, price and negotiate hedging products
- d. Forecast day-ahead and monitor/ forecast same-day loads
- e. Keep accurate records of all transactions they enter

4.4.2 Power Manager – Middle/Back Office

The Power Manager Middle and Back Offices will report to the Director of Business Development and Planning. The Power Manager Middle Office provides independent market and credit risk oversight. The Power Manager Middle Office is functionally and organizationally separate from the Front Office. The Power Manager Back Office provides support with a wide range of administrative activities necessary to execute and settle transactions and to support the risk control efforts (e.g. transaction entry and/or checking, data collection, billing, etc.) consistent with this Policy. The Power Manager Back Office is functionally and organizationally separate from the Front Office.

The Power Manager's Middle and Back Offices have primary responsibility for trading controls and for ensuring agreement with counterparties regarding the terms of all trades, including forward trading. The Power Manager has the primary responsibility for:

- a. Estimating and publishing daily forward monthly power and natural price curves for a minimum of the balance of the current year through the next calendar year
- b. Calculating and maintaining the net forward power positions of CCA
- c. Ensuring that CCA adheres to all risk policies and procedures of both CCA and the Power Manager in letter and in intent
- d. Maintaining the overall financial security of transactions undertaken by the Power Manager on behalf of CCA
- e. Implementing and enforcing credit policies and limits
- f. Handling confirmation of all power and natural gas trades (physical and financial) and reconciling differences with the trading counterparties
- g. Reviewing trade tickets for adherence to approved limits
- h. Ensuring all trades have been entered into the appropriate system of record
- i. Ensuring that both pre-schedule and actual delivery volumes and prices are entered into the physical database
- j. Carrying out month-end checkout of all physical and financial transactions each month
- k. Reviewing models and methodologies and recommending RMT approval

DRAFT

Section 5: DELEGATION OF AUTHORITY

With the approval of the Policy, the RCEA Board is explicitly delegating operational control and oversight to the RMT and Power Manager, as outlined through this Policy. Specifically, to facilitate daily operations of the CCA, the Board is delegating transaction execution authorities shown in the table below.

Position	Maturity Limit	Term Limit	Volume Limit (MWh) ¹	Value Limit ²
Risk Management Team	30 Months	24 Months	500,000	\$2,000,000
Executive Director	24 Months	18 Months	375,000	\$1,000,000
TEA	18 months	12 Months	250,000	\$500,000

¹Volume limit applies only to energy purchases.

²Value limits apply to non-energy product transactions (e.g., Resource Adequacy and Renewable Energy Credits).

These authorities will be applied to wholesale power activity executed outside of the California Independent System Operator (“CAISO”) markets. These limits provide both RCEA and TEA needed authorities to manage risks as they arise. Transactions falling outside the delegations above require Board approval prior to execution. Activity with CAISO is excluded from this table due to the nature of the market, where prices for activity may not be known until after transactions are committed.

All procurement executed under the delegation above, must align with the RCEA’s underlying risk exposure (locational and temporal) that is being hedged consistent with the approved Procurement Strategy.

5.2 Monitoring, Reporting and Instances of Exceeding Risk Limits

The TEA Middle Office is responsible for monitoring, and reporting compliance with, all limits within this Policy. If a limit or control is violated, the TEA Middle Office will send notification to the trader responsible for the violation and the RMT. The RMT will discuss the cause and potential remediation of the exceedance to determine next steps for curing the exceedance.

Section 6: CREDIT POLICY

During startup of the CCA, it is expected that transactions will be executed by TEA on TEA agreements, and with this activity RCEA is exposed to pass-through credit risk. As the CCA builds its own counterparty master trading agreements, transactions executed on CCA agreements will carry direct credit risk. For activity on TEA and/or CCA agreements, RCEA will adopt a scaling methodology to adjust TEA's credit limits to RCEA's risk tolerance. For scaling with RCEA counterparties, where an agreement exists between RCEA and an entity, the RMT will approve changes to credit limits, otherwise TEA will automatically scale the TEA limit to the RCEA risk tolerance.

All procurement activities executed by TEA on behalf of RCEA, using TEA's counterparty agreements, will be subject to the credit policies and procedures outlined in TEA's Energy Risk Management Policy. TEA's credit policy requires that all Counterparties be evaluated for creditworthiness by the TEA Middle Office prior to execution of any transaction and no less than annually thereafter. Additionally, Counterparties shall be reviewed if a change has occurred, or perceived to have occurred, in market conditions or in a company's management or financial condition. This evaluation, including any recommended increase or decrease to a credit limit, shall be documented in writing and includes all information supporting such evaluation in a credit file for the counterparty. A credit limit for a Counterparty will not be recommended, or approved without first confirming the Counterparty's senior unsecured or corporate credit rating from one of the nationally recognized rating agencies and/or performing a credit review or analysis of the Counterparty's or guarantor's financial statements. The TEA credit analysis shall include, at a minimum, current audited financial statements or other supplementary data that indicates financial strength commensurate with an investment grade rating. Trade and banking references, and any other pertinent information, may also be used in the review process.

Counterparties that do not qualify for a Credit Limit must post an acceptable form of credit support or Prepayment prior to the execution of any transaction. A Counterparty may choose to provide a guarantee from a third party, provided the third party satisfies the criteria for a Credit Limit as outlined in TEA's Energy Risk Management Policy.

6.1 Credit Limit and Monitoring

In executing transactions on RCEA's behalf, TEA will observe a pass-through counterparty credit maximum limit equal to \$1.0 million.

The TEA Middle Office will establish continuous monitoring of the current credit exposure for each Counterparty with whom TEA transacts on behalf of RCEA and include such information in the Current Counterparty Credit Risk Report. This report will be made available, reviewed and communicated to the RMT pursuant to the reporting requirements outlined in Section 7.

Section 7: POSITION TRACKING AND MANAGEMENT REPORTING

Minimum reporting requirements are shown below. The reports outlined below will be made available to RMT members and TEA staff:

- **Daily Financial Model Forecast**

Latest projected financial performance, marked to current market prices, and shown relative to financial goals.

- **Monthly Net Position Report**

Prepare a forward net position report, not less frequently than monthly, and report the results to the RMT.

- **Monthly Pass-through Counterparty Credit Exposure**

This report will show how the credit exposures for transactions that TEA executes on behalf of RCEA will pass-through TEA to RCEA.

- **Monthly Risk Analysis**

This will include a Cash Flow at Risk and stress test of financial forecast relative to financial goals.

- **Quarterly Board Report**

Update on activities and projected financial performance to be presented quarterly at RCEA Board meetings.

Section 8: POLICY REVISION PROCESS

RCEA's Energy Risk Management Policy will evolve over time as market and business factors change. At least on an annual basis, the RMT will review this Policy and associated procedures to determine if they should be amended, supplemented, or updated to account for changing business and/or regulatory requirements. If an amendment is warranted, the Policy amendment will be submitted to the RCEA Board for approval. Changes to appendices to this Policy may be approved and implemented by the RMT.

8.1 Acknowledgement of Policy

Any RCEA employee participating in any activity or transaction within the scope of this Policy shall sign, on an annual basis or upon any revision, a statement approved by the RMT that such employee has:

- Read RCEA's Energy Risk Management Policy
- Understands the terms and agreements of said Policy
- Will comply with said Policy
- Understands that any violation of said Policy shall be subject to employee discipline up to and including termination of employment.

8.2 Policy Interpretations

Questions about the interpretation of any matters of this Policy should be referred to the RMT.

All legal matters stemming from this Policy will be referred to General Counsel.

Appendix A: AUTHORIZED TRANSACTION TYPES, REGIONS AND MARKETS

All transaction types listed below must be executed within the limits set forth in this Policy. *(The following transaction types can be 'nonstandard' at RCEA subject to RMT approval)*

Over the Counter Products

- CAISO Market Products
 - Day-ahead and Real-time Energy
 - Congestion Revenue Rights
 - Convergence
 - Inter Scheduling Coordinator Transactions
 - Tagging into and out of CAISO
- Physical Power Products
 - Short and Long-Term Power and Natural Gas
 - Physical OTC Options
- Physical Resource Adequacy Capacity
- Physical Environmental Products
 - Renewable Energy Credits
 - Specified Source Power
 - Carbon Allowances and Obligations
- Financial Power and Natural Gas
 - Short and Long-Term Swaps
 - Options on Swaps

The point of delivery for all products must be at a location on the CAISO transmission grid.

Appendix B: NEW TRANSACTION APPROVAL FORM

New or Non-Standard Transaction Approval Form

Prepared By:

Date:

New or Non-Standard Transaction Name:

Business Rationale and Risk Assessment:

- Product description – including the purpose, function, expected impact on net revenues (i.e. increase, manage volatility, control variances, etc.) and/or benefit to RCEA
- Identification of the in-house or external expertise that will be relied upon to manage and support the new or non-standard transaction
- Assessment of the transaction's risks, including any material legal, tax or regulatory issues
- How the exposures to the risks above will be managed by the limit structure
- Proposed valuation methodology (including pricing model, where appropriate)
- Proposed reporting requirements, including any changes to existing procedures and system requirements necessary to support the new product
- Proposed accounting methodology
- Proposed Middle Office work flows/methodology, including systems
- Brief description of the responsibilities of various departments within RCEA who will have any manner of contact with the new or non-standard transaction

Reviewed by:

Director of Power Resources

Date

Director of Business Development and Planning

Date

TEA Representative

Date

Executive Director

Date

Appendix C: DEFINITIONS

[TBD]

[Terms in Appendix A]

Cash Flow at Risk:

CAISO:

CCA:

CFTC:

Clearance (power management):

Commodity (section 3.2):

Confirmation (power management):

Congestion Revenue Right:

Counterparty credit risk:

Day-ahead:

Delivery point:

Departing load:

FERC:

Franchise Fee:

Hedging products:

IOU: Investor Owned Utility

Limit structure:

Limit violation:

Market:

Net forward:

Nonstandard:

Opt-out:

PCIA: Power Cost Indifference Adjustment.

Power Manager:

Power procurement:

Pre-schedule:

Region:

Retail load:

RMT: Risk Management Team

Separation of function:

Settlement:

Speculation:

Stranded cost:

Stress testing:

TEA: The Energy Authority

Trade ticket:

Transaction type:

Valuation methodology:

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REDWOOD COAST Energy Authority

STAFF REPORT

AGENDA DATE:	December 12, 2016
TO:	Board of Directors
PREPARED BY:	Energy Efficiency Programs Manager
SUBJECT:	RFQ for Energy Service Companies

RECOMMENDED ACTION

Approve Request for Qualifications (RFQ) for Energy Service Companies pending final review and approval by RCEA General Counsel.

SUMMARY

Staff requests approval to issue an RFQ for Energy Service Companies to sustain and build local capacity. The RFQ will assist in increasing the volume and efficiency of energy services delivered to Humboldt County ratepayers. The RFQ will qualify Energy Service Companies for, but not limited to:

- Program Specific Training
- Energy Watch Program participation.
- Subsequent project bid opportunities.
- Public listing as an RCEA qualified Energy Service Company.

RCEA is continuing to prioritizing additional public-private collaboration and capacity building. RCEA previously released an RFQ for Energy Assessments and Design services, and three firms are currently participating. This RFQ for Energy Service Companies builds on this success, and the combination of both RFQs will increase the capacity of RCEA to facilitate the assessment, design and implementation of local efficiency and renewable energy projects as related to RCEA programs including Community Choice Energy.

FINANCIAL IMPACTS

Financial impacts from any subsequent contracts will be associated with the respective program and project budgets.

RECOMMENDED ACTION

Approve Request for Qualifications (RFQ) for Energy Service Companies pending final review and approval by RCEA General Counsel.

ATTACHMENTS:

1. Draft RFQ for Energy Service Companies.



Redwood Coast Energy Authority

Request for Qualifications

For

Energy Services Companies

RFQ-16-002

Submittals Accepted on an Ongoing Basis

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SUBMITTAL

RCEA is accepting Statements of Qualifications (“SOQ”) in response to this Request for Qualifications (“RFQ”) on an ongoing basis. Reviews will occur on a quarterly basis (calendar year) or when more than five SOQs have been received by Redwood Coast Energy Authority (“RCEA”). The review of the initial SOQ submittals will begin on XXXX. Respondents wishing to be included in the initial review must respond by no later than close of business on XXXX. Submit SOQs by email or in hard copy to:

Redwood Coast Energy Authority
Attention: Lou Jacobson, Program Manager
ljacobson@redwoodenergy.org
633 3rd Street
Eureka, CA 95501

INTRODUCTION

RCEA is a local government joint powers agency whose members include the County of Humboldt, the Cities of Arcata, Blue Lake, Eureka, Ferndale, Fortuna, Rio Dell, and Trinidad, and the Humboldt Bay Municipal Water District. RCEA's purpose is to develop and implement sustainable energy initiatives that reduce energy demand, increase energy efficiency, and advance the use of clean, efficient and renewable resources available in the region.

RCEA offers a wide range of energy related services to all customer segments in Humboldt County including but not limited to:

- Business
- Local, State, and Federal government, including:
 - The County of Humboldt
 - Municipalities
 - Special Districts
 - Local Educational Agencies
 - Tribes
- Non-Profit
- Residential

RCEA has the current programs with immediate and ongoing opportunities:

- **Redwood Coast Energy Watch (RCEW)¹**

RCEW provides turnkey energy efficiency assessments and project management services to commercial and residential ratepayers. Consumers of non-utility based fuel sources are not eligible. On completion, RCEW provides or facilitates the issuance of an incentive or rebate. RCEW has a budget of \$1,380,000.00 in incentives for lighting, refrigeration, HVAC and plug load devices, ending 12/31/2018. RCEA expects the RCEW program to continue beyond 2018.

Table 1: Average Project Metrics 2010-Current

	Average	Range	
		High	Low
Total Cost	\$5,840.00	\$66,289.00	\$117.00
Project Incentive	\$2,252.85	\$23,956.05	\$0.00
Net Cost	\$3,587.93	\$44,289.55	\$0.00
Simple Payback	3.51	73.67	0.00

- A five (5) year program average of 65 projects a year requiring an installer.
- Contracts with local businesses and agencies, not RCEA.
- Incentives paid directly to installers when approved by participants.
- Opportunities to both assess and build; see RFQ-12-001 on Redwood Coast Energy Authority's website.
- Learn more about Energy Watch partnerships by visiting Pacific Gas and Electric's website https://www.pge.com/en_US/business/save-energy-money/contractors-and-programs/community-partnerships/community-partners.page

- **Proposition 39²**

RCEA is assisting local educational agencies implement Proposition 39, or the California Clean Jobs Act of 2012³.

¹ Redwood Coast Energy Watch is a partnership between RCEA and Pacific Gas and Electric Company (PG&E) funded by the ratepayer and managed by PG&E under the auspices of the California Public Utilities Commission.

² RCEA is providing Energy Management and Support services for 23 Humboldt County Local Educational Agencies. RCEA cannot guarantee that Local Educational Agencies will adopt and/or use this RFQ and subsequent qualified vendor list as a means to streamline the bidding process as guided by Government Code 4217.10 et seq.

³ See www.cde.ca.gov/ls/fa/ce/ and/or <http://www.energy.ca.gov/efficiency/proposition39/> for more information.

Opportunities will vary across several building systems including but not limited to:

- Lighting
- HVAC
- Refrigeration
- Solar

The following programs are expected to generate additional opportunities:

- Alternative Transportation
RCEA manages 14 Electric Vehicle (EV) charging stations. RCEA expects additional opportunities in the future to continue to build out EV charging infrastructure.
- Community Choice Energy (CCE)
RCEA expects CCE efforts to lead towards both utility scale and distributed generation project opportunities in the coming years. RCEA also expects the CCE to increase program offerings associated with core efficiency efforts.

RCEA is issuing this RFQ to solicit SOQs from established and experienced energy service companies. The purpose of this RFQ is to:

- Develop an internal qualified list for a range of energy related project activities.
- Produce a qualified list for the public.
- Streamline bidding processes for private and public projects.

Once qualified, the submitting firm will:

- Be added to the appropriate RCEA internal vendors list and be eligible to respond to energy efficiency and generation request for bids (RFBs) and Request for Proposals (RFPs) issued by RCEA or by local government agencies pursuant to Government Code 4217.10 et seq. Contract terms and project costs will be negotiated outside of this RFQ.
- Be added to the appropriate publicly facing vendors list.

REQUEST FOR QUALIFICATIONS

The intent of this RFQ is to prequalify energy service companies to:

- Provide an opportunity to become an RCEW qualified installer.
- Provide an opportunity to respond to Request for Proposals (RFPs), BIDs (RFBs) and Invitations for Bids (IFBs) and professional service request from RCEA, California ratepayers and local governments.
- Build a publicly facing list of qualified energy service companies for community

referrals.

- Increase the volume and efficiency of energy services delivered to Humboldt County ratepayers.

RCEA expects to serve a variety of market sectors and participants. To accommodate that expectation, specific service deliverables will be made part of follow-up RFPs and bid requests. Program specific qualifications may be required prior to the execution of any given energy service contract.

An immediate opportunity for RCEW participating installers is available. See [APPENDIX 1](#) and the associated RCEW Program Manual for additional details. Immediate opportunities for Proposition 39 funded projects are also available. Subsequent RFPs and bid requests and are contingent on available funding.

RFQ REQUIREMENTS

Please submit complete SOQs by email or in hard copy to:

Attention: Redwood Coast Energy Authority
Lou Jacobson, Program Manager
ljacobson@redwoodenergy.org
633 3rd Street
Eureka, CA 95501

Each SOQ must include the following information:

Cover Page

Include no less than the following:

- RCEA SOQ reference number RFQ-16-002
- Clearly indicate company name, address, primary contact's information (mailing address, phone numbers and email)

Section A: Executive Summary

Provide a concise summary of your experience and qualifications relating to energy services ranging from but not limited to alternative transportation infrastructure, on-site storage, generation and energy efficiency. Please address project size and complexity. Ensure that you have provided key organizational information, including but not limited to:

- Type of entity
- Ownership structure
- Applicable organizational information
- Number of employees, and
- Location of principal office

Section B: Experience

Please discuss experience with energy related projects including but not limited to the selection and design of appropriate energy saving measures, project financing, implementation of these measures, and maintenance and ongoing measurement of these measures where energy saving measures encompass generation, conservation, efficiency and demand response.

- *Narrative:* Please provide a narrative summarizing your organizations experience.
- *Experience:* List and describe at least three (3) energy related projects completed within the past five (5) years. Identify projects by name, location, owner, size, scope, complexity and date constructed. Please also include:
 - Experience contracting with public agencies.
 - A list of references including contact names and telephone numbers for the representative projects.

- Type of contract (shared-savings, lease purchase, guaranteed savings), contract term, and if applicable financing arrangement.
- Describe a customer's experience when working with your organization including but not limited to change order processes, billing and on-site service standards.
- Any additional experience applicable to your SOQ not requested.

Section C: Qualifications

Please discuss qualifications. Provide at a minimum:

- *Narrative:* Please provide a narrative summarizing your company's history in the energy industry and associated qualifications.
- *Key certificates and licenses:* Use the table below to document certificates and licenses applicable to your company including certificate/license numbers and expiration dates. Include license holder's full name and position. Please note that the example below shows one employee with multiple licensures and certificates. Please remove the example row items prior to submitting the SOQ.

Full Name	Position/Title	License	License Number	License Expiration Date	Professional Certificate	Certificate Number	Certificate Expiration Date
John Doe	Principle	C-10	12345	9/9/2019	BPI-Building Analyst	678910	9/9/2019
		C-49	293048	9/9/2019	Professional Project Manager	383838	10/10/2020

- *Insurance and Bonding:* Please provide your company's insurance and bonding information. If not applicable, discuss your company's experience with meeting insurance and bonding requirements for both public and private commercial projects.
- *Resumes:* Provide detailed resume(s) of key personnel that may provide services.
- *Past Performance Record:* If any of the following has occurred, please describe in detail the circumstances for each occurrence:
 - Failure to enter into a contract once selected.
 - Withdrawal of a proposal as a result of an error.
 - Termination or failure to complete a contract.
 - Debarment by any municipal, county, state, federal or local agency.
 - Involvement in litigation, arbitration or mediation.

- Conviction of the company or its principals for violating a state or federal anti-trust law by bid-rigging, collusion, or restrictive competition between bidders, or conviction of violating any other federal or state law related to bidding or contract performance.
- Knowing concealment of any deficiency in the performance of a prior contract.
- Falsification of information or submission of deceptive or fraudulent statements in connection with a contract.
- Willful disregard for applicable rules, laws or regulations.
- If seeking to become an RCEW participating installer, ensure your company meets all minimum requirements.

Current Energy Watch participating installers who are in good standing with the program should only submit a cover letter and an executive summary. Installers qualifying through this path must still meet the Program requirements necessary to continue RCEW participation as defined by the subsequent contract and program manual.

Section D: Appendixes

The responding firm is encouraged to append any additional resources to their SOQ to support sections A-C.

Notes:

- Answer all questions or state “N/A” if not applicable.
- Please number and re-state each subheading or question, followed by your response..
- Number all pages.

SELECTION PROCESS

An evaluation committee will review SOQs on an ongoing basis. Criteria for qualification will include, but not be limited to, the items listed below:

- Background and qualifications
- Experience
- Service methodology
- Completeness of SOQ and its adherence to the requirements of this RFQ

EVALUATION PROCESS

RCEA will form a committee to evaluate SOQs. This committee will be referred to as the “Review Panel.”

The Review Panel will evaluate each SOQ on a weighted criteria basis to determine minimum requirements are met to qualify the respondent. The following criteria will be scored on a scale of 1 to 5 with a five being the highest score for each category. The weight that will be applied to each criterion is noted before the criteria below. There is a

maximum of 100 points. SOQs must receive an average score of 75 or better to be determined as qualified. Incomplete SOQs may be grounds for immediate disqualification.

Weight/Scoring Criteria

- 40—Background and Qualifications
- 30—Experience
- 20—Service methodology
- 10— Experience contracting where federal, state and local energy related funding is leveraged

Total Points Possible: 100

Please see [additional terms](#) for other applicable items pertinent to this RFQ and subsequent SOQs.

NOTIFICATION

RCEA will notify all respondents regarding their standing as qualified or not qualified by email and in writing. In the case where a firm is deemed not qualified, RCEA will provide no less than:

- Cause for immediate disqualification if applicable
- Final averaged score
- Final averaged scores across all selection criteria
- Recommended next steps

Disqualified firms may resubmit.

MAINTAINING QUALIFICATIONS

RCEA will routinely assess firms to ensure that they have maintained minimum qualifications for the selected service category. Continued qualification assessments will include but are not limited to the following:

- Documentation requests and verification exercises that confirm the qualified firm continues to hold key certificates, licenses, insurance and bonding to conduct work at the qualified level
- Performance reviews relating to RFPs, bid requests and service contracts
- Consumer feedback.

RCEA, in its sole discretion, reserves the right to remove the respondent from both public and private qualified vendor's lists.

INQUIRIES

Please direct all questions and inquiries to:

Attention: Redwood Coast Energy Authority
Lou Jacobson, Program Manager
ljacobson@redwoodenergy.org
633 3rd Street
Eureka, CA 95501

Questions and inquiries should be submitted by email and will be taken on an ongoing basis.

ADDITIONAL TERMS

- Submittal of an SOQ in response to this RFQ is an acknowledgement and an agreement to all terms and conditions as presented within this document.
- All SOQs submitted in response to this RFQ become the property of RCEA and are public records subject to public review.
- Respondents shall not discriminate on any basis protected by law, including, for example, race, color, national origin, religion, age, ancestry, medical condition, disability, gender, or gender identity.
- Respondents will have to comply with all contractual requirements for any future awarded work. This may include but not be limited to fingerprinting and criminal background checks as required by State law and/or by funders. Contracts may be between RCEA and the qualified respondent or between the adopting local government agency and the responding builder.
- Costs of preparing an SOQ in response to this RFQ are solely the responsibility of the respondent.
- Qualification does not obligate RCEA to award a contract, to defray any costs incurred in the preparation of a SOQ pursuant to this RFQ, or to procure or contract for work.
- Incomplete submittals or submittals with incorrect information may be cause for immediate disqualification.
- RCEA will not be responsible for errors or omissions in any submittal. Issuance of this RFQ does not commit RCEA to award contracts.
- Eligibility to respond to RFPs is at the sole discretion of RCEA. RCEA reserves the right to reject any and all submittals and to waive any irregularities or informalities in the submittals.

- RCEA reserves the right to request additional information or clarification during the evaluation process.
- RCEA reserves the right to remove or disqualify a submitting firm at will.
- RCEA employees are prohibited from participating in the selection process when they have a personal, financial or business relationship with any entity seeking to enter into a contract with RCEA, and RCEA requires compliance with all laws regarding political contributions, conflicts of interest or unlawful activities.
- Respondents are advised that some of these projects are a public work for purposes of the California Labor Code, which requires payment of prevailing wages. District will obtain from the Director of Department of Industrial Relations the general prevailing rate of per diem wages and the general prevailing rate for holiday and overtime work. In accordance with SB 854, the selected companies and its subcontractors working at the site will be required to be registered with the Department of Industrial Relations at all relevant times. Proof of registration shall be provided as to all such contractors prior to the commencement of any work.

APPENDIX 1: REDWOOD COAST ENERGY WATCH

In order to maintain “Turn-Key” Redwood Coast Energy Watch (RCEW) services, service expectations and specifications will be agreed upon through a Vendor Services Contract (VSC) made available to qualified and selected participating installers. The successful execution of a VSC with selected participating installers will allow RCEA to:

- Specify and bid efficiency measures on behalf of RCEW participants. An example of an efficiency measure is retrofitting a T12 linear fluorescent magnetically ballasted fixture to 12 watt TLED lamps with NEMA premium electronic ballasts.
- Support the sales cycle on behalf of both the participating installers and consumer.
- Release “Ready to Go” RFBs to participating installers by generating a work order for program participants that include an engineer’s cost estimate, available incentives for upgrade measures and financial metrics such as estimated return on investment and simple payback.
- Provide participating installers with consistent, predictable work orders, invoicing and payment for efficiency projects.
- Provide project management support and reporting services to ensure installations meet the minimum specifications for local, state and federal incentives and rebates.

SUMMARY OF SOLICITED SERVICES

All participating installers are expected to provide services in accordance with the policies and procedures set forth in the RCEW program manual. The program manual defines the responsibilities of those installers approved to perform installation services for RCEW. RCEA will evaluate these installers throughout the duration of the contract to ensure quality of work.

Installation Services

Installation services will be tied to project level scopes of work, known as work orders consisting of area-by-area energy efficiency measures presented through subsequent Request for Bids (RFB). Work under any given RFB will be competitive and awarded based on the participant’s choice. RCEW will, on request of the participant, select the winning bid. In these cases, RCEW will use the lowest responsible bid. RCEW retains the right to use the “Best Value Criteria” for RFBs enacting Government Code 4217.10 et seq.. All participating installers will be given a chance to bid on each project as applicable to the participating installers standing with the CSLB and licenses.

It is expected that participating installers shall:

- Furnish materials (new and free from defects), labor, and equipment as required to complete the project as defined by the final contracted work order.

- Build to scope as defined by the finalized work order and/or issue change orders as appropriate.
- Submit any change orders to the project work order in accordance with the Program Manual.
- Comply with Program requirements outlined in the program manual
- Comply with all additional contractual requirements as agreed upon by the installer and participant.

Deliverables

Selected participating installers must submit deliverables upon request from RCEA. Acknowledgement of request for information must occur within two (2) business days. Delivery of information should take no longer than ten (10) business days. If more than ten (10) business days is needed, the participating installers shall inform the program and provide an estimated delivery date. Program and participant deliverables are outlined in the program manual.

Payment

The final project cost will be the accepted bid price in addition to all change orders.

Payment of the incentive portion of a project will be made upon completion of a project as defined by the original work order and all subsequent change orders. Change orders in most cases will impact total incentive values and must be reported prior to execution. Payment can be made directly to the installer. A payment calendar will be made available to the selected firms.

The participating installers shall enter into a contract with each customer for all goods and services specified by the work order. The amount of the customer invoice may not exceed the bid value internalizing all subsequent change orders, less any project incentive to be paid by the program to the installer.

The customer, not the program, shall be responsible for the non-incentive portion of the payment to the participating installers. The participating installers shall agree that it is their responsibility to collect the remaining payment from the customer.

The combined incentive and net cost to the participant shall not exceed the amount agreed upon in the primary scope and bid unless a change order was issued and executed. Executed change orders will supersede primary work orders at all times. Additional change orders may expand on or supersede previous change orders.

participating installers without previous RCEW experience shall be subject to a probationary period covering the first ten (10) project installations. The program will withhold 10% of the project incentive portion of the payment during this probationary period pending any correction(s) to the project(s) as deemed necessary by the project manager. The participating installers may invoice the program for the balance of the project incentive upon completion of the probationary quality assurance period or whenever the participating installer is in good standing after the probationary period.

ELIGIBILITY

Eligibility requirements are discussed below. Eligibility does not guarantee selection.

Background Checks

The execution of the VSC is contingent on:

- The primary owner, CEO or director successfully passing RCEA's background check.
- Certification that all employees who are or will work on the job site have passed a background check that meets the definition as defined in the program manual, participating installers are encouraged to use the form attached to the program manual.

State Licensing Requirements

Participating installers must maintain appropriate licenses at all times during the installations performed for this program. The program will accept but will not be limited to the following licenses:

- C10
- A General
- B General

In addition to maintaining the appropriate licensure, installing firms must be in good standing with the California State Licensing Board (CSLB).

Business License

Participating installers are required to know and will be required to comply with business license requirements of the local jurisdictions in which the participating installer performs work.

Commercial General Liability Insurance

The limit shall not be less than \$1,000,000 for each occurrence or \$2,000,000 in aggregate for bodily injury, property damage and personal injury. Coverage shall:

- Have an "Additional Insured" endorsement which adds RCEA, Pacific Gas and Electric Company (PG&E), its affiliates, subsidiaries, and parent company and PG&E and RCEA's directors, officers, managers, agents and employees as additional insured with respect to all liability arising out of or connected with the work performed by or for RCEA (ISO Form CG2010 or equivalent is preferred).
- In the event the Commercial General Liability policy includes a "blanket endorsement by contract," the following language added to the certificate of insurance will satisfy RCEA's and PG&E's additional insured requirement: "RCEA, PG&E, its affiliates, subsidiaries, and parent company, and PG&E's directors, officers, managers, agents and employees with respect to liability arising out of the work performed by or for RCEA are additional insured's under a blanket endorsement.";

- Be endorsed to specify that the participating installers insurance is primary and that any insurance or self-insurance maintained by RCEA or PG&E shall not contribute to it.
- All insurance policies shall provide that the insurance carrier will not cancel, terminate or otherwise modify the terms and conditions of said policies except upon thirty (30) days written notice to the program.
- If the commercial general liability insurance referred to above is written on a Claims Made Form then, following termination of this program, coverage shall survive for a period of not less than five years. Coverage shall also provide for a retroactive date of placement coinciding with the effective date of this Contract.
- Any additional liability or bonding as required by the participant.

Business Auto Insurance

The limit shall not be less than \$1,000,000 for each accident for bodily injury and property damage.

Worker's Compensation Insurance

Worker's compensation insurance shall be carried as required by state law.

If any licensed professional performs services for this program, a professional liability insurance policy in the minimum amount of \$1,000,000 to cover any claims arising out of the participating installer's performance of services under this program will be maintained.

Participating installers shall forward all insurance documents to Lou Jacobson, Program Manager, 633 3rd Street, Eureka, CA 95501.

Additional Terms

- The participating installer shall not enter into subcontracts without the prior written approval of the program, specific to any project receiving ratepayer funding either through project support services or through the direct issuance of an incentive/rebate.
- The VSC is contingent on
 - Submittal of Non-Disclosure Agreements for ALL employees who will handle and/or interact with RCEA and/or any RCEA participants in any capacity.
 - Submittal of a current W9 for invoicing and payment processes.

Neither the program nor the participating installer shall assign the contract without the written consent of the other party.

PARTICIPATING INSTALLER TRAINING

All participating installers selected to participate in the program will be required to attend a training workshop on complying with standards, quality control, and reporting. The training will take no more than eight (8) hours and is TBD.

RCEW understands that time is very valuable. RCEW will be mindful that the time the Program requests from participating installer.