



AGENDA

Regular Meeting – November 21, 2019
Board Room – 12:00 noon

Call to Order - Ascertain Quorum

12:00

[Chair Joel Butler]

Acceptance of the Agenda

[Chair Joel Butler]

Safety Brief

[Tony Cannon : Kevin Keyzer]

American Public Power Association's Excellence in Public Power Communications Awards

- Video Category
- Web / Social Media Category

[Steve Hawley]

Recognition of Chad Flannagan as the recipient of the A-Surface Operator of the Year Award from the NC Water Operators Association

[Randy Emory]

Recognition of the Wastewater Treatment Plant for receipt of the 2019 George W. Burke, Jr. Safety Award from the NC AWWA-WEA

[Randy Emory]

Recognition of the Eastern Water and Wastewater Network Backhoe Rodeo Team

[Randy Emory]

1. Approval of Minutes

[Chair Joel Butler]

Regular Meeting: October 17, 2019

2. Review of Monthly Financial Statement – October 31, 2019

[Jeff McCauley]

3. Presentation of Annual Audit Report Fiscal Year 2018-2019

[Jeff McCauley]

4. Resolution for Designating Authorized Representatives for Federal Emergency Management Agency (FEMA) Reporting

[Jeff McCauley]

5. Consideration of Adoption of a Prequalification Policy and the Prequalification Assessment Tool and Criteria for the Water Treatment Plant Project

[Randy Emory]

6. Recommended Award of Construction Contract for the New 3 MG Ground Storage Tank at the Water Treatment Plant
[Randy Emory]
7. Consideration of a Resolution Authorizing the General Manager/CEO to Submit an Application to the U.S. Environmental Protection Agency (USEPA) for a Water Infrastructure Finance and Innovation Act of 2014 (WIFIA) Loan for the Water Treatment Plant Expansion Project
[Randy Emory]
8. Consideration of 2020 GUC Meeting Schedule
[Tony Cannon]

Information Items

9. Capital Project Updates
[Chris Padgett : Kevin Keyzer]
10. General Manager's Report
[Tony Cannon]
11. Board Chair's Remarks/Report
[Chair Joel Butler]
12. Board Members' Remarks
[Board]

Notice of Upcoming Meetings/Functions:

[Chair Joel Butler]

GUC Regular Meeting, Thursday, December 19, 2019, 12:00 noon, Board Room

Adjournment

[Chair Joel Butler]

1:30



Agenda Item # 1

Meeting Date: November 21, 2019

Item:	Approval of Minutes
Contact:	Amy Wade
Explanation:	Regular Minutes: October 17, 2019
Strategic Plan Elements:	<p>Strategic Themes:</p> <ul style="list-style-type: none">• Exceptional Customer Service• Shaping Our Future <p>Objectives:</p> <ul style="list-style-type: none">• Exceeding customer expectations• Embracing change to ensure organizational alignment and efficiency <p>Core Values:</p> <ul style="list-style-type: none">• Exceed customers' expectations• Support the community• Deliver reliable services
Previous Board Actions:	N/A
Fiscal Note:	N/A
Recommended Action(s):	Approval of minutes as presented or amended

GREENVILLE UTILITIES COMMISSION

GREENVILLE, NORTH CAROLINA

Thursday, October 17, 2019

The Board of Commissioners of the Greenville Utilities Commission met in the Greenville Utilities Board Room in regular session at 12:00 noon with the following members, and others present, and Chair Butler presiding.

Commission Board Members Present:

Joel Butler	Minnie J. Anderson
Parker Overton	Kelly L. Darden, Jr.
Tommy Stoughton	Lindsey Griffin

Ann E. Wall and Peter Geiger had excused absences.

Commission Staff Present:

Tony Cannon, General Manager/CEO (via phone)	Durk Tyson
Chris Padgett	Kevin Keyzer
Phil Dixon	Jonathan Britt
Keith Jones	Kathy Howard
George Reel	Lou Norris
Randy Emory	Kristen Jarman
Roger Jones	Troy Heath
Steve Hawley	
Tony Godwin	
David Springer	
John Worrell	
Scott Mullis	
Amy Wade	

Others Present:

Ginger Livingston, The Daily Reflector; Michael Cowin, City of Greenville; Rick Smiley, City Council; and Troy Heath, Brandon Morrison, Emma Hodson, and Ve'Lecia Council, Chamber Leadership Institute Participants.

Chair Butler called the meeting to order and Mr. Stoughton ascertained that a quorum was present.

ACCEPTANCE OF THE AGENDA

A motion was made by Mr. Overton, seconded by Ms. Anderson, to accept the agenda as presented. The motion carried unanimously.

SAFETY BRIEF

Chris Padgett, Chief Administrative Officer, called upon Kevin Keyzer, Risk and Facilities Manager, to provide the safety brief. Mr. Keyzer explained the plan of action should there be an emergency at today's meeting.

APPROVAL OF MINUTES (Agenda Item 1)

A motion was made by Mr. Overton, seconded by Mr. Stoughton, to approve the September 19, 2019 Regular Meeting minutes as presented. The motion carried unanimously.

REVIEW OF MONTHLY FINANCIAL STATEMENT – September 30, 2019 (Agenda Item 2)

September 30, 2019 Financial Statement:

Key financial metrics for the combined funds for the period ending September 30, 2019:

Operating Cash:	\$83,705,918	Days of Cash on Hand:	134
Less Current Liabilities	(\$22,914,993)		
Fund Balance:	\$60,790,925		
Fund Balance Available for Appropriation:	23.3%	Days of Cash on Hand After Liabilities:	98
Average Investment Yield:	2.16%		

Fund Equity/Deficit Before Transfers

	Current Month			Year to Date		
	Actual	Budget	Last Year	Actual	Budget	Last Year
Electric	\$136,361	\$1,149,668	\$690,221	\$2,482,661	\$2,408,320	\$4,535,555
Water	\$1,249,021	\$919,214	\$306,311	\$2,457,550	\$1,586,154	\$1,289,254
Sewer	\$1,037,977	\$198,582	\$425,298	\$1,909,184	\$202,228	\$1,415,862
Gas	(\$303,918)	(\$264,559)	(\$510,923)	(\$1,130,483)	(\$1,218,751)	(\$1,028,882)
Combined	\$2,119,441	\$2,002,905	\$910,907	\$5,718,912	\$2,977,951	\$6,211,789

Fund Equity/Deficit After Transfers

	Current Month			Year to Date		
	Actual	Budget	Last Year	Actual	Budget	Last Year
Electric	\$53,031	\$1,165,074	\$690,221	\$2,315,998	\$2,454,532	\$4,535,555
Water	\$819,854	\$521,945	\$60,478	\$1,349,216	\$394,347	\$551,755
Sewer	\$862,977	\$129,574	\$291,965	\$1,509,184	(\$4,796)	\$1,015,863
Gas	(\$324,751)	(\$251,557)	(\$510,923)	(\$1,172,149)	(\$1,179,745)	(\$1,028,882)
Combined	\$1,411,111	\$1,565,036	\$531,741	\$4,002,249	\$1,664,338	\$5,074,291

Keith Jones, Director of Financial Services and Accounting, provided a presentation on the Financial Statement for September 30, 2019.

The weather impact for the month of September indicated that the cooling degree days were lower than September 2018. The September rainfall was 6.51 inches which was less than last year. The portfolio earned 2.16 % for the month of September.

Overall year-to-date results through the end of September remain stable. The Electric Rate Stabilization Reserves are approximately \$24 million, and the Gas Rate Stabilization Reserves are \$1.6 million. The Operating Reserves are 134 Days Cash on Hand, and Renewals and Replacements Reserves are approximately \$2.6 million. The Capital Project Funds Reserved for Existing and Future Capital Projects are approximately \$32 million.

A motion was made by Mr. Stoughton, seconded by Ms. Anderson, to accept the Financial Statement for September 30, 2019. The motion carried unanimously.

RECOMMENDED APPROVAL OF GREENVILLE-ENC ALLIANCE SERVICES AGREEMENT (Agenda Item 3)

Chris Padgett, Chief Administrative Officer, announced that after much discussion among business and community leaders over the past two years, a new public-private partnership, Greenville-ENC Alliance, (the Alliance) was established to lead economic development efforts county-wide. Members of this partnership include GUC and the City of Greenville as sustaining members, other Pitt County municipalities and various other public and private sector investors. The Alliance is governed by a Board of Directors and is in the process of acquiring resources to manage the day to day operations necessary to complete its plan of work.

Recognizing the potential benefits and efficiencies that would be gained if the Alliance were able to utilize the employment structures and systems of GUC, the Alliance Board of Directors is requesting that GUC enter into a Services Agreement wherein GUC will provide staffing for the new organization. Mr. Padgett outlined the components of the Services Agreement and stated that GUC will bill the Alliance the direct cost on a regular basis for GUC’s employees serving in the capacity of staff of the Alliance.

After discussion, a motion was made by Mr. Darden, seconded by Mr. Stoughton, to authorize the General Manager/CEO or his designee to negotiate and execute the Services Agreement with Greenville-ENC Alliance. The motion carried unanimously.

FINANCE/AUDIT COMMITTEE UPDATE (Agenda Item 4)

Chair-Elect Parker Overton serves as Chair of the Finance/Audit Committee and he provided an update from the October 1, 2019 meeting. Mr. Overton stated that there were no recommended changes to the Investment Policy from staff and there are currently no issues to report as part of the Annual FY 2018-2019 Audit Update. The auditors will provide a full report at the November Board meeting.

CAPITAL PROJECT UPDATES (Agenda Item 5)

Chris Padgett, Chief Administrative Officer, provided an update on the progress of the new Operations Center project. The steel structures for Building 2 are complete and the wall and roof decking are next. The pouring of the concrete slab for Building 3 has begun and will be completed in phases due to the size of the structure. Storm water drainage work will continue as well as the work on the interior drive connection from Rock Springs Road thru the site to the front of the property on Highway NC 43. The project continues to remain on schedule and within budget.

GENERAL MANAGER’S REPORT (Agenda Item 6)

1. Informational Reading

Bids and Proposals, Statistical Data Report, Sewer Spill Tracking Report, Load Management Report, and PGA Report were provided.

The following Bids and Ranking of Proposals awarded by the General Manager/CEO during the past month were reported for information:

GREENVILLE UTILITIES COMMISSION
TABULATION OF BIDS RECEIVED

ITEM I (10) 25 KVA CONVENTIONAL DISTRIBUTION TRANSFORMERS 120/240,
STK # 204900
AUGUST 20, 2019 @ 3:00 PM

VENDORS	DELIVERY TIME (WKS)	UNIT PRICE	OWNERSHIP COST/UNIT	TOTAL
National Transformer Sales, Inc.	12	\$734.00	\$1,846.70*	\$7,340.00
Wesco Distribution, Inc.	8	780.00	1,904.70	7,800.00
Anixter, Inc. (Cooper)	10	791.00	1,883.30	7,910.00
Anixter, Inc. (GE)	7	823.00	1,880.80	8,230.00

* Indicates recommended award based on lowest total ownership cost.

ITEM II (15) 50 KVA CSP DISTRIBUTION TRANSFORMER 120/240, STK # 204930
AUGUST 20, 2019 @ 3:00 PM

VENDORS	DELIVERY TIME (WKS)	UNIT PRICE	OWNERSHIP COST/UNIT	TOTAL
National Transformer Sales, Inc.	12	\$1,073.00	\$2,918.00*	\$16,095.00
Wesco Distribution, Inc.	12	1,160.00	3,054.20	17,400.00
Anixter, Inc. (Cooper)	10	1,179.00	3,009.30	17,685.00
Anixter, Inc. (GE)	7	1,213.00	3,024.40	18,195.00

* Indicates recommended award based on lowest total ownership cost.

ITEM III (3) 100 KVA CONVENTIONAL DISTRIBUTION TRANSFORMERS 277/480,
STK # 208170
AUGUST 20, 2019 @ 3:00 PM

VENDORS	DELIVERY TIME (WKS)	UNIT PRICE	OWNERSHIP COST/UNIT	TOTAL
National Transformer Sales, Inc.	12	\$1,800.00	\$4,899.60*	\$5,400.00
Anixter, Inc. (GE)	7	1,979.00	5,172.80	5,937.00
Wesco Distribution, Inc.	12	2,330.00	5,403.50	6,990.00
Anixter, Inc. (Cooper)	13	2,625.00	5,674.50	7,875.00

* Indicates recommended award based on lowest total ownership cost.

ITEM IV (30) 50 KVA PADMOUNT TRANSFORMERS 240/120, STK # 205140
AUGUST 20, 2019 @ 3:00 PM

VENDORS	DELIVERY TIME (WKS)	UNIT PRICE	OWNERSHIP COST/UNIT	TOTAL
National Transformer Sales, Inc.	10	\$1,353.00	\$3,199.80*	\$40,590.00
Wesco Distribution, Inc.	18	1,497.00	3,349.80	44,910.00
Anixter, Inc. (GE)	7	1,589.00	3,361.10	47,670.00
Anixter, Inc. (Cooper)	9	1,715.00	3,599.30	51,450.00

* Indicates recommended award based on lowest total ownership cost.

ITEM V (30) 75 KVA PHASE PADMOUNT TRANSFORMER 240/120, STK # 205040
AUGUST 20, 2019 @ 3:00 PM

VENDORS	DELIVERY TIME (WKS)	UNIT PRICE	OWNERSHIP COST/UNIT	TOTAL
National Transformer Sales, Inc.	10	\$1,660.00	\$4,221.40*	\$49,800.00
Anixter, Inc. (GE)	7	1,791.00	4,368.00	53,730.00
Wesco Distribution, Inc.	18	1,792.00	4,413.70	53,760.00
Anixter, Inc. (Cooper)	16	2,159.00	4,697.30	64,770.00

* Indicates recommended award based on lowest total ownership cost.

ITEM VI (2) 500 KVA THREE-PHASE PADMOUNT TRANSFORMERS 120/208, STK # 205190
AUGUST 20, 2019 @ 3:00 PM

VENDORS	DELIVERY TIME (WKS)	UNIT PRICE	OWNERSHIP COST/UNIT	TOTAL
Anixter, Inc. (GE)	8	\$11,954.00	\$22,547.60*	\$23,908.00
National Transformer Sales, Inc.	12	9,748.00	23,788.60	19,496.00
Anixter, Inc. (Cooper)	24	11,164.00	25,044.40	22,328.00
Wesco Distribution, Inc.	20	13,835.00	27,677.30	27,670.00

* Indicates recommended award based on lowest total ownership cost.

ITEM VII (1) 2500 KVA PHASE PADMOUNT TRANSFORMER 277/480, STK # 205210
AUGUST 20, 2019 @ 3:00 PM

VENDORS	DELIVERY TIME (WKS)	UNIT PRICE	OWNERSHIP COST/UNIT	TOTAL
Anixter, Inc. (GE)	9	\$34,266.00	\$85,838.10*	\$34,266.00
Anixter, Inc. (Cooper)	16	41,335.00	90,501.10	41,335.00
Wesco Distribution, Inc.	20	45,010.00	96,721.60	45,010.00

* Indicates recommended award based on lowest total ownership cost.

ITEM VIII (1) 1000 KVA THREE-PHASE PADMOUNT TRANSFORMER 120/208,
STK # 206291
AUGUST 20, 2019 @ 3:00 PM

VENDORS	DELIVERY TIME (WKS)	UNIT PRICE	OWNERSHIP COST/UNIT	TOTAL
National Transformer Sales, Inc.	12	\$17,007.00	\$41,421.30*	\$17,007.00
Anixter, Inc. (GE)	9	20,775.00	42,994.50	20,775.00
Anixter, Inc. (Cooper)	19	21,159.00	44,983.50	21,159.00
Wesco Distribution, Inc.	14	24,085.00	48,416.20	24,085.00

* Indicates recommended award based on lowest total ownership cost.

TRUCK TOOLS
SEPTEMBER 5, 2019 @ 4:00 PM

VENDORS	DELIVERY TIME	EXTENSION
Industrial & Construction Enterprises	5-10 Days	\$14,855.22*
Grainger	1-3 Days	12,047.66 ⁽¹⁾
Anixter, Inc.	—	15,104.40
American Safety	4 Weeks	16,101.53
Wesco Distribution, Inc.	2 Weeks	16,221.66
Fastenal, Inc.	10 Days	16,239.36
Line Equipment	2-4 Weeks	17,095.88

*Indicates recommended award based on the lowest responsible, responsive bid.
⁽¹⁾ Indicates vendor takes exception to our Terms and Conditions and quoted alternate brands.

(4) 2,000 KVA THREE PHASE PADMOUNT TRANSFORMERS 480/277, STK # 205830
SEPTEMBER 11, 2019 @ 3:00 PM

VENDORS	DELIVERY TIME (WKS)	UNIT PRICE	OWNERSHIP COST/UNIT	TOTAL
WEG	18	\$33,198.00	\$74,601.00	\$132,792.00*
Wesco Distribution, Inc.	18	33,210.00	74,613.00	132,840.00
Richardson Associates (amorph)	18	36,824.00	73,018.70	147,296.00
Richardson Associates	16	39,672.00	81,311.70	158,688.00

*Indicates recommended award based on 3% evaluation, lowest responsible, responsive bidder.

ONE (1) 4-WHEEL DRIVE TRENCHING MACHINE
SEPTEMBER 18, 2019 @ 3:00 PM

Vendors	Model	Delivery Time	Total Unit Price
Vermeer All Roads	RTX450	6-8 Weeks	\$59,900.00*
Ditch Witch of N.C.	RT45	75 Days	70,998.59

*Indicates recommended award based on the lowest responsible, responsive bid.

Load Management Report

The Duke Energy Progress (DEP) monthly peak occurred on September 12, 2019 for the hour ending at 5:00 p.m. GUC's load management system was in full operation during this period. As a result, the estimated avoided demand costs amount to \$1,626,372.

2. Key Performance Indicators (KPIs)

The following KPIs highlighted for this month were provided in the dashboard format along with the corresponding scorecard:

- Installation of New Services – Electric
- Days Operating Cash on Hand
- Fund Balance
- System Losses - Water

3. Commendations

The following are compliment records:

Lee Ausbon, Substation/Communication Supervisor Electric, and Ken Wade, Substation Control Engineer and Interim Electric Distribution Engineer, received a compliment from Mr. David Young Manager of Safety and Training with ElectricCities. Mr. Young sent an email message to Lee and Ken to thank them for their efforts to bring the new Substation Schools together for this fall and next year.

Keith Fisher, Water Resources Systems Supervisor, received an email message from customer Nancy Griffith. Ms. Griffith wrote to thank Keith for his professional manner while replacing a pipe in her yard and the whole affair was handled perfectly. The others on the crew included Tyronne Moore, Water Resources Pipe Layer Leader I; Derek Averill, Water Resources Equipment Operator IV; Tony Haywood, Water Resources Pipe Layer III; Chris Rouse, Water Resources Equipment Operator III; Mike Silverthorne, Water Resources Equipment Operator IV; Kevin Hudson, Water Resources Pipe Layer III; and Tracy Colville, Water Resources Equipment Operator III.

Tracy Hodges, Electric Staff Support Specialist III, received a call from customer William Mills. Mr. Mills called to compliment the crew that worked with him to get his services on. He said that GUC was easy to work with and everything was done quickly and professionally. The crew included Jeff Oakley, Electric Engineer Assistant; Mark Howery, Troubleshooter Crew Leader; Brian Baker, Overhead Lineworker First Class; Bobby Adams, Underground Electric Crew Leader; Chris Hudson, Underground Lineworker Third Class; Nicholas Proctor, Underground Lineworker Third Class; John Oswald, Underground Lineworker Third Class; and Tracy Hodges, Electric Staff Support Specialist III.

Shirley Peel, Gas Staff Support Specialist III, received a call from customer Mr. Johnson. Mr. Johnson called to compliment John Sheppard, Gas Service Worker Senior, for providing excellent customer service when he responded to a gas leak at his residence. He said that John was very thorough, polite and professional.

Brian Weigand, Collections Manager, received an email from customer Tammy Flynn. Ms. Flynn wrote to tell Brian that Jolene Donaldson, Collections Supervisor, is awesome. She

stated that Jolene was friendly, compassionate and more than willing to assist her and she followed up with a phone call.

4. Other

Mr. Padgett reminded the commissioners to turn in their iPads today.

A copy of the GUC 2020 Health and Dental Benefits Guide was distributed.

GUC's Water Treatment Plant expansion project has been selected as one of 39 projects across the country to apply for a long-term, low-cost supplemental loan from the Water Infrastructure Finance and Innovation Act (WIFIA) program issued by the United States Environmental Protection Agency (EPA). This loan would allow for more flexibility in funding of the project and will save money for customers.

BOARD CHAIR'S REMARKS/REPORT (Agenda Item 7)

Chair Butler shared the approved minutes from the recent Finance/Audit Committee meeting minutes dated, March 11, 2019.

He also reminded the Commissioners of the following meetings:

- GUC Regular Meeting, Thursday, November 21, 2019, 12:00 noon, Board Room

CLOSED SESSIONS:

Mr. Phillip Dixon, General Counsel, stated that the Board of Commissioners should consider entering Closed Session pursuant to the following statutes.

N.C.G.S. 143-318.11(a)(1) To prevent the disclosure of information that is privileged or confidential pursuant to the law of this State or of the United States, or not considered a public record within the meaning of Chapter 132 of the General Statutes.

N.C.G.S. 143-318.11 (a)(6) To consider the qualifications, competence, performance, condition of appointment of a public officer or employee or prospective public officer or employee.

Upon motion by Mr. Overton, seconded by Mr. Griffin, the Greenville Utilities Board of Commissioners unanimously agreed to enter Closed Session at 12:29 p.m. for such purposes.

There being no further business to come before the Board of Commissioners in Closed Session, upon motion by Mr. Overton, seconded by Ms. Anderson, the Board of Commissioners unanimously agreed to return to Open Session at 1:19 p.m.

Without any further business to conduct in Open Session, upon Motion by Commissioner Stoughton, seconded by Commissioner Anderson, the Board of Commissioners unanimously agreed to adjourn the meeting at 1:19 p.m.

Respectfully submitted,

Amy Carson Wade, Executive Secretary

APPROVED:

Tommy Stoughton, Secretary



Agenda Item # 2

Meeting Date: November 21, 2019

Item: Review of Monthly Financial Statement for October 31, 2019

Contact: Jeff McCauley

Explanation: October 31, 2019 Financial Statement

The Financial Statement for October 2019 is attached.

Key financial metrics for the combined funds for the period ending October 2019:

Operating Cash	\$87,396,727	Days of Cash on Hand	143
Less Current Liabilities	<u>(\$22,155,503)</u>		
Fund Balance	\$65,241,224	Days of Cash on Hand After Liabilities	107

Fund Balance Available for Appropriation: 25.0%

Average Investment Yield: 2.03%

Fund Equity/Deficit Before Transfers

	Current Month			Year to Date		
	Actual	Budget	Last Year	Actual	Budget	Last Year
Electric	(\$1,604,538)	(\$1,585,999)	(\$361,059)	\$878,123	\$822,321	\$4,174,496
Water	\$647,672	\$906,193	\$274,944	\$3,105,222	\$2,300,959	\$1,564,198
Sewer	\$732,670	\$189,387	\$450,826	\$2,641,854	\$391,615	\$1,866,688
Gas	(\$61,332)	(\$244,394)	\$323,557	(\$1,191,815)	(\$1,463,145)	(\$705,325)
Combined	(\$285,528)	(\$734,813)	\$688,268	\$5,433,384	\$2,051,750	\$6,900,057

Fund Equity/Deficit After Transfers

	Current Month			Year to Date		
	Actual	Budget	Last Year	Actual	Budget	Last Year
Electric	(\$1,605,650)	(\$1,570,596)	(\$361,059)	\$710,348	\$883,936	\$4,174,496
Water	\$147,335	\$508,924	\$29,111	\$1,496,551	\$711,883	\$580,866
Sewer	\$232,391	\$120,379	\$317,493	\$1,741,575	\$115,583	\$1,333,356
Gas	(\$61,600)	(\$231,392)	\$323,557	(\$1,233,749)	(\$1,411,137)	(\$705,325)
Combined	(\$1,287,524)	(\$1,172,685)	\$309,102	\$2,714,725	\$300,265	\$5,383,393

Strategic Plan Elements:	<p>Strategic Themes:</p> <ul style="list-style-type: none"> • Exceptional Customer Service • Safety, Reliability & Value • Shaping Our Future <p>Objectives:</p> <ul style="list-style-type: none"> • Providing competitive rates, while maintaining the financial stability of the utility • Exceeding customer expectations • Safely providing reliable and innovative utility solutions • Developing and enhancing strategic partnerships <p>Core Values:</p> <ul style="list-style-type: none"> • Exceed Customers' Expectations • Act with Integrity • Value Employees • Deliver Reliable Services • Prioritize Safety • Support the Community
Previous Board Actions:	<p>N/A</p>
Fiscal Note:	<p>N/A</p>
Recommended Action(s):	<p>Accept October 31, 2019 Financial Statement</p>

GREENVILLE UTILITIES COMMISSION

Financial Report

October 31, 2019



***Greenville
Utilities***

GREENVILLE UTILITIES COMMISSION

October 31, 2019

I. Key Financial Highlights

A. <u>Days Cash on Hand</u>	<u>October 2019</u>	<u>October 2018</u>	<u>October 2017</u>		
Electric Fund	118	118	118		
Water Fund	195	135	168		
Sewer Fund	271	246	243		
Gas Fund	<u>227</u>	<u>214</u>	<u>217</u>		
Combined Funds	143	137	138		
B. <u>Fund Balance Available for Appropriation</u>	<u>Electric</u>	<u>Water</u>	<u>Sewer</u>	<u>Gas</u>	<u>Combined Funds</u>
Operating cash	\$55,769,281	\$7,817,633	\$9,662,673	\$14,147,140	\$87,396,727
Current liabilities	(\$17,179,612)	(\$1,749,445)	(\$943,252)	(\$2,283,194)	(\$22,155,503)
Fund balance available for appropriation	\$38,589,669	\$6,068,188	\$8,719,421	\$11,863,946	\$65,241,224
Percentage of total budgeted expenditures	21.8%	25.5%	34.1%	34.7%	25.0%
Days unappropriated fund balance on hand	82	151	244	191	107
C. <u>Portfolio Management</u>	<u>Fiscal Year 2019-20</u>	<u>Fiscal Year 2018-19</u>	<u>Fiscal Year 2017-18</u>		
	<u>Interest Earnings</u>	<u>Yield</u>	<u>Interest Earnings</u>	<u>Yield</u>	
July	\$275,957	2.33%	\$163,613	1.53%	\$64,466
August	\$375,514	2.28%	\$189,935	1.71%	\$71,444
September	\$353,378	2.16%	\$181,289	1.80%	\$74,785
October	\$337,847	2.03%	\$224,945	1.89%	\$96,107

II. Fund Performance

<u>Electric</u>	<u>October 2019</u>	<u>October 2018</u>	<u>October 2017</u>
Number of Accounts	69,126	68,102	66,711

- YTD volumes billed to customers are 2,679,083 kWh less than last year but 47,996,022 kWh more than budget.
- YTD revenues from retail rates and charges are \$100,834 more than last year and \$2,005,443 more than budget.
- YTD total revenues are \$625,209 less than last year but \$2,042,087 more than budget.
- YTD total expenditures are \$2,671,164 more than last year and \$1,986,285 more than budget.
- YTD revenues exceed YTD expenditures by \$878,123 compared to excess revenues of \$4,174,496 for last year.
- YTD net fund equity after transfers is \$710,348.

GREENVILLE UTILITIES COMMISSION

October 31, 2019

<u>Water</u>	<u>October 2019</u>	<u>October 2018</u>	<u>October 2017</u>
Number of Accounts	36,793	36,397	35,900

- YTD volumes billed to customers are 65,691 kgallons more than last year and 71,559 kgallons more than budget.
- YTD revenues from retail rates and charges are \$878,508 more than last year and \$129,117 more than budget.
- YTD total revenues are \$1,511,230 more than last year and \$569,641 more than budget.
- YTD total expenditures are \$29,794 less than last year and \$234,622 less than budget.
- YTD revenues exceed YTD expenditures by \$3,105,222 compared to excess revenues of \$1,564,198 for last year.
- YTD net fund equity after transfers is \$1,496,551.

<u>Sewer</u>	<u>October 2019</u>	<u>October 2018</u>	<u>October 2017</u>
Number of Accounts	30,453	30,083	29,579

- YTD revenues from retail rates and charges are \$227,404 more than last year and \$461,946 more than budget.
- YTD total revenues are \$736,084 more than last year and \$1,093,846 more than budget.
- YTD total expenditures are \$39,082 less than last year and \$1,156,393 less than budget.
- YTD revenues exceed YTD expenditures by \$2,641,854 compared to excess revenues of \$1,866,688 for last year.
- YTD net fund equity after transfers is \$1,741,575.

<u>Gas</u>	<u>October 2019</u>	<u>October 2018</u>	<u>October 2017</u>
Number of Accounts	23,280	23,147	22,923

- YTD total volumes billed to customers are 50,426 ccfs less than last year but 435,217 ccfs more than budget.
- YTD revenues from retail rates and charges are \$877,696 less than last year but \$493,908 more than budget.
- YTD total revenues are \$858,458 less than last year but \$527,934 more than budget.
- YTD total expenditures are \$371,968 less than last year but \$256,604 more than budget.
- YTD expenditures exceed YTD revenues by \$1,191,815 compared to deficit revenues of \$705,325 for last year.
- YTD net fund deficit after transfers is \$1,233,749.

GREENVILLE UTILITIES COMMISSION

October 31, 2019

							YTD %			YTD %
III.	<u>Volumes Billed</u>	<u>October 2019</u>	<u>YTD FY 2019-20</u>	<u>October 2018</u>	<u>YTD FY 2018-19</u>	<u>Change</u>	<u>October 2017</u>	<u>YTD FY 2017-18</u>	<u>Change</u>	
	Electric (kwh)	151,894,744	670,361,188	153,757,514	673,040,271	-0.4%	145,961,596	633,175,664	5.9%	
	Water (kgal)	364,474	1,403,410	323,319	1,337,719	4.9%	334,925	1,312,948	6.9%	
	Sewer (kgal)	274,615	1,033,515	257,964	1,021,268	1.2%	259,146	1,001,852	3.2%	
	Gas (ccf)	Firm	655,241	2,521,713	637,178	2,471,598	2.0%	665,929	2,354,631	7.1%
		Interruptible	<u>1,197,842</u>	<u>4,632,812</u>	<u>1,073,891</u>	<u>4,733,353</u>	<u>-2.1%</u>	<u>1,272,030</u>	<u>4,299,858</u>	<u>7.7%</u>
	Total	1,853,083	7,154,525	1,711,069	7,204,951	-0.7%	1,937,959	6,654,489	7.5%	

IV.	<u>Cooling Degree Day Information</u>	<u>Fiscal Year 2019-20</u>	<u>Fiscal Year 2018-19</u>	<u>% Change</u>	<u>6 Year Average</u>	<u>30 Year Average</u>
	July	531.5	454.0	17.1%	488.9	488.8
	August	451.0	478.5	-5.7%	446.2	433.4
	September	363.5	436.5	-16.7%	332.0	264.7
	October	<u>111.5</u>	<u>153.5</u>	<u>-27.4%</u>	<u>101.7</u>	<u>71.2</u>
	YTD	1,457.5	1,522.5	-4.3%	1,368.8	1,258.1

V.	<u>Heating Degree Day Information</u>	<u>Fiscal Year 2019-20</u>	<u>Fiscal Year 2018-19</u>	<u>% Change</u>	<u>6 Year Average</u>	<u>30 Year Average</u>
	July	0.0	0.0	0.0%	0.0	0.0
	August	0.0	0.0	0.0%	0.0	0.0
	September	0.0	0.0	0.0%	0.5	7.6
	October	<u>49.5</u>	<u>159.0</u>	<u>-68.9%</u>	<u>95.9</u>	<u>137.5</u>
	YTD	49.5	159.0	-68.9%	96.4	145.1

Commissioners Executive Summary

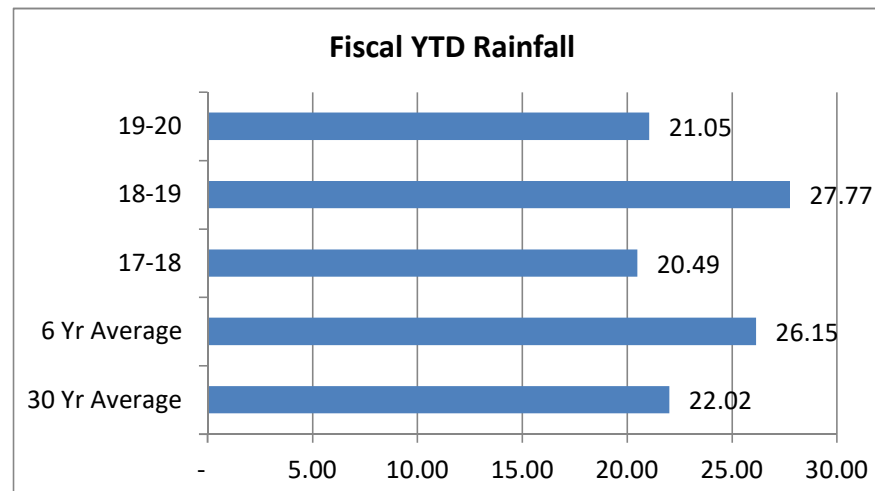
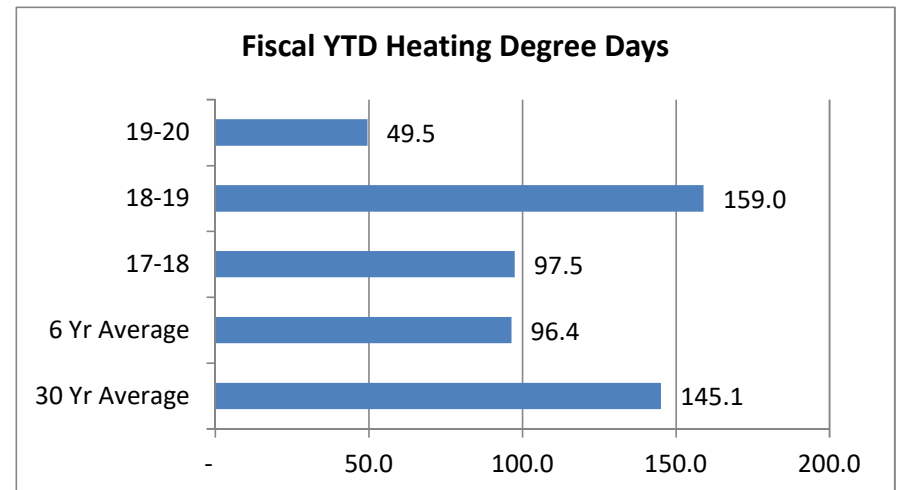
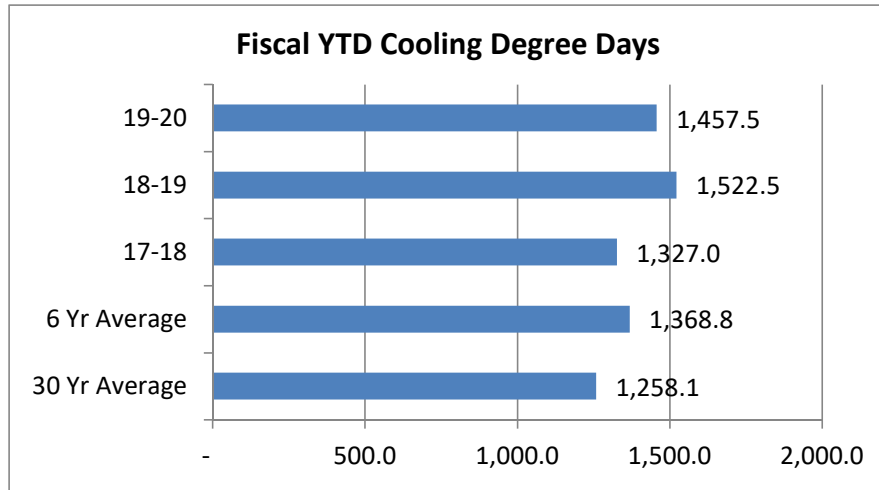
October 31, 2019

	Current Month			Year To Date		
	Actual	Budget	Last Year	Actual	Budget	Last Year
Electric						
Revenues	13,209,665	12,600,551	13,650,715	64,649,874	62,607,787	65,275,083
Expenses	(14,814,203)	(14,186,550)	(14,011,774)	(63,771,751)	(61,785,466)	(61,100,587)
Equity/Deficit from Operations	(1,604,538)	(1,585,999)	(361,059)	878,123	822,321	4,174,496
Transfers and Fund Balance	(1,112)	15,403	-	(167,775)	61,615	-
Total Equity/Deficit	(1,605,650)	(1,570,596)	(361,059)	710,348	883,936	4,174,496
Water						
Revenues	2,212,231	2,312,070	1,800,874	8,894,104	8,324,463	7,382,874
Expenses	(1,564,559)	(1,405,877)	(1,525,930)	(5,788,882)	(6,023,504)	(5,818,676)
Equity/Deficit from Operations	647,672	906,193	274,944	3,105,222	2,300,959	1,564,198
Transfers and Fund Balance	(500,337)	(397,269)	(245,833)	(1,608,671)	(1,589,076)	(983,332)
Total Equity/Deficit	147,335	508,924	29,111	1,496,551	711,883	580,866
Sewer						
Revenues	2,321,596	2,000,976	2,135,073	9,116,589	8,022,743	8,380,505
Expenses	(1,588,926)	(1,811,589)	(1,684,247)	(6,474,735)	(7,631,128)	(6,513,817)
Equity/Deficit from Operations	732,670	189,387	450,826	2,641,854	391,615	1,866,688
Transfers and Fund Balance	(500,279)	(69,008)	(133,333)	(900,279)	(276,032)	(533,332)
Total Equity/Deficit	232,391	120,379	317,493	1,741,575	115,583	1,333,356
Gas						
Revenues	2,261,905	2,035,016	2,866,593	7,689,596	7,161,662	8,548,054
Expenses	(2,323,237)	(2,279,410)	(2,543,036)	(8,881,411)	(8,624,807)	(9,253,379)
Equity/Deficit from Operations	(61,332)	(244,394)	323,557	(1,191,815)	(1,463,145)	(705,325)
Transfers and Fund Balance	(268)	13,002	-	(41,934)	52,008	-
Total Equity/Deficit	(61,600)	(231,392)	323,557	(1,233,749)	(1,411,137)	(705,325)
Combined						
Total Revenues	20,005,397	18,948,613	20,453,255	90,350,163	86,116,655	89,586,516
Total Expenses	(20,290,925)	(19,683,426)	(19,764,987)	(84,916,779)	(84,064,905)	(82,686,459)
Total Equity/Deficit from Operations	(285,528)	(734,813)	688,268	5,433,384	2,051,750	6,900,057
Total Transfers and Fund Balance	(1,001,996)	(437,872)	(379,166)	(2,718,659)	(1,751,485)	(1,516,664)
Total Equity/Deficit	(1,287,524)	(1,172,685)	309,102	2,714,725	300,265	5,383,393

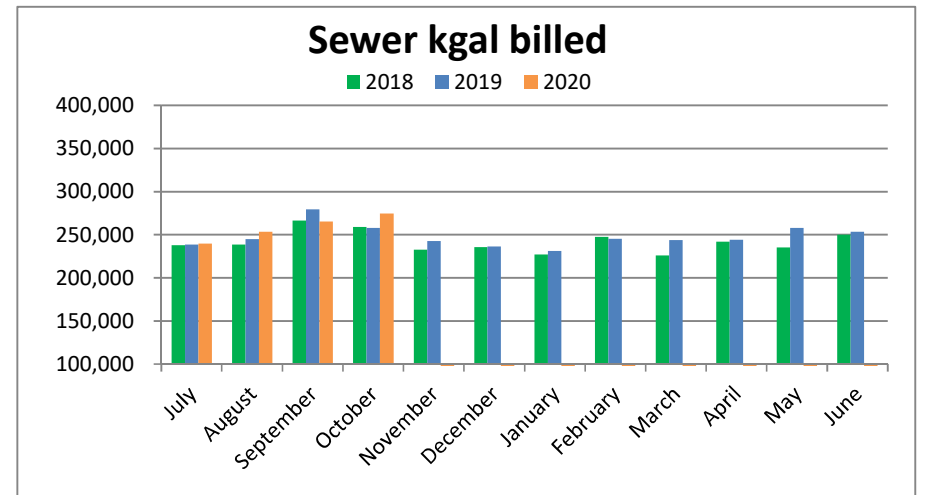
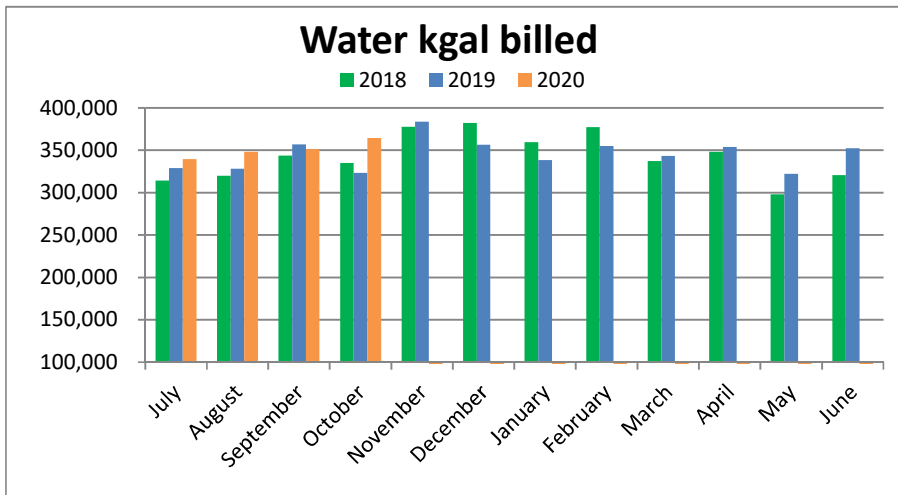
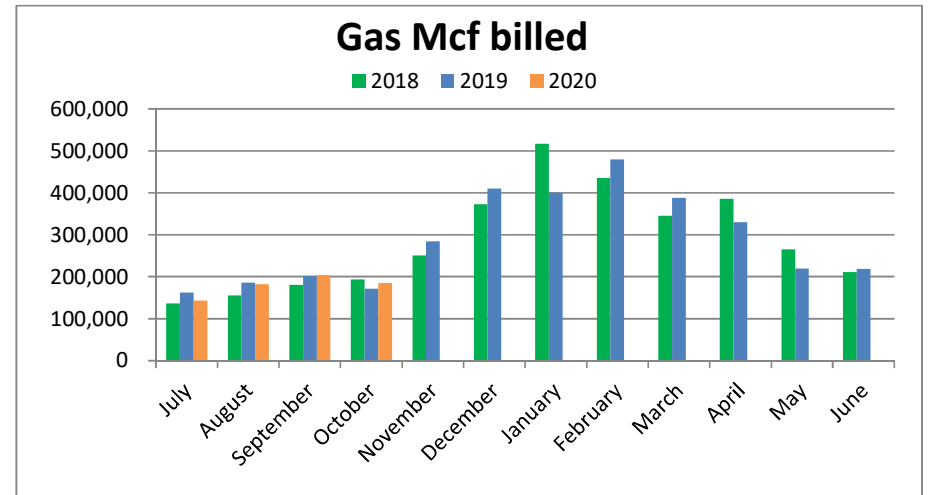
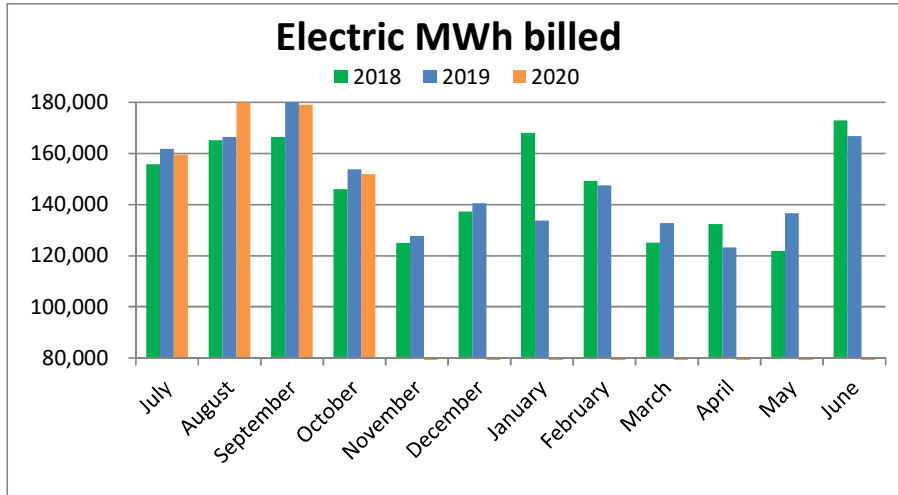
Budgetary Summary
October 31, 2019

	YTD Actual	Encumbrances	Total	Total Budget	Available Budget
Electric Fund	\$63,939,526	\$4,172,407	\$68,111,933	\$177,374,633	\$109,262,700
Water Fund	\$7,397,553	\$1,206,557	8,604,110	\$23,779,721	15,175,611
Sewer Fund	\$7,375,014	\$1,612,929	8,987,943	\$25,560,232	16,572,289
Gas Fund	\$8,923,345	\$16,074,185	24,997,530	\$34,163,362	9,165,832
Total	\$87,635,438	\$23,066,078	\$110,701,516	\$260,877,948	\$150,176,432

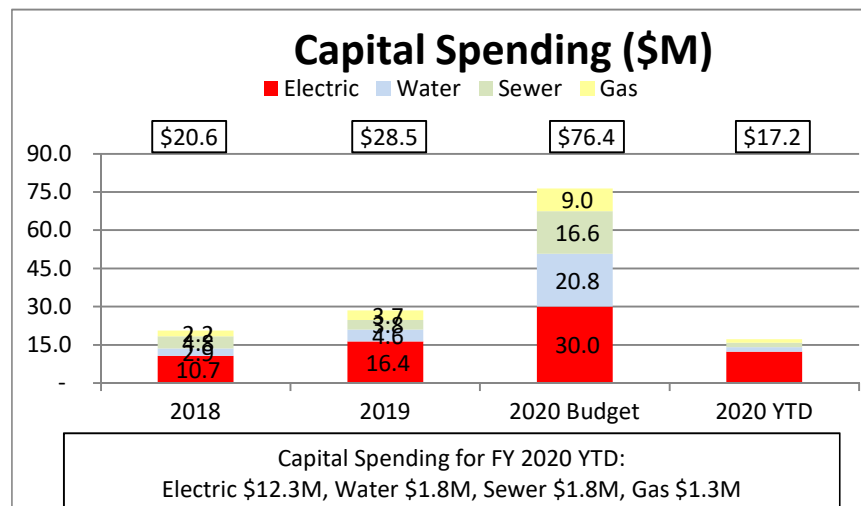
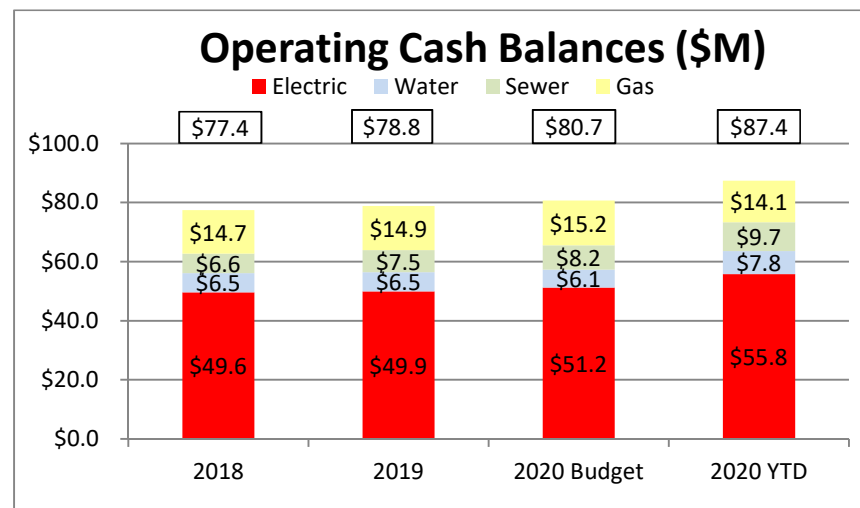
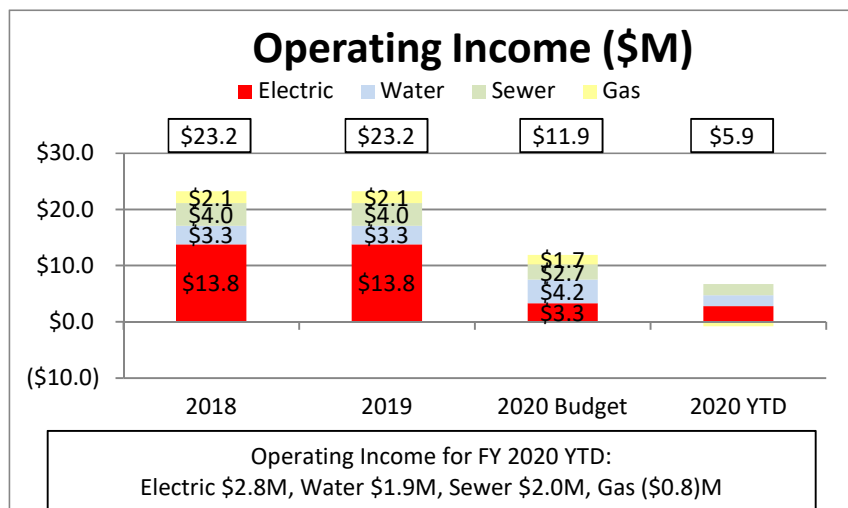
Weather



Customer Demand



Financial Trends



**Greenville Utilities Commission
Revenue and Expenses - Combined
October 31, 2019**

	Current Fiscal Year							Prior Fiscal Year				
				Variance			Variance	Total	% of			Change
	Line #	October Actual	October Budget	Favorable (Unfavorable)	YTD Actual	YTD Budget	Favorable (Unfavorable)	Original Budget	Original Budget	October Actual	YTD Actual	Prior YTD to Current YTD
Revenue:												
Rates & Charges	1	\$19,263,025	\$18,166,925	\$1,096,100	\$86,851,548	\$83,755,455	\$3,096,093	\$248,354,659	35.0%	\$19,810,306	\$86,601,506	\$250,042
Fees & Charges	2	196,585	215,077	(18,492)	888,258	860,308	27,950	2,580,890	34.4%	244,263	1,511,662	(623,404)
U. G. & Temp. Ser. Chgs.	3	39,660	31,052	8,608	131,261	124,208	7,053	372,614	35.2%	35,303	172,553	(41,292)
Miscellaneous	4	148,058	386,392	(238,334)	595,286	780,016	(184,730)	2,339,995	25.4%	225,213	828,163	(232,877)
Interest Income	5	152,781	149,167	3,614	627,375	596,668	30,707	1,790,000	35.0%	138,170	472,632	154,743
FEMA/Insurance Reimbursement	6	-	-	-	39,788	-	39,788	-	n/a	-	-	39,788
Bond Proceeds	7	-	-	-	-	-	-	359,813	0.0%	-	-	-
Capital Contributions	8	205,288	-	205,288	1,216,647	-	1,216,647	-	n/a	-	-	1,216,647
	9	\$20,005,397	\$18,948,613	\$1,056,784	\$90,350,163	\$86,116,655	\$4,233,508	\$255,797,971	35.3%	\$20,453,255	\$89,586,516	\$763,647
Expenditures:												
Operations	10	\$5,349,092	\$5,572,392	\$223,300	\$21,487,381	\$23,665,202	\$2,177,821	\$69,883,841	30.7%	\$5,173,245	\$20,884,097	\$603,284
Purchased Power/Gas	11	12,475,512	11,624,830	(850,682)	53,166,831	49,858,805	(3,308,026)	148,441,100	35.8%	12,032,653	51,483,620	1,683,211
Capital Outlay	12	920,815	934,730	13,915	3,592,156	3,835,002	242,846	11,408,801	31.5%	832,524	2,978,138	614,018
Debt Service	13	992,347	998,193	5,846	3,967,392	3,992,772	25,380	12,338,160	32.2%	1,168,752	4,675,008	(707,616)
City Turnover	14	480,824	480,824	-	1,923,296	1,923,296	-	5,769,888	33.3%	492,387	1,969,548	(46,252)
Street Light Reimbursement	15	72,335	72,457	122	279,723	289,828	10,105	869,481	32.2%	65,426	196,048	83,675
Transfer to OPEB Trust Fund	16	-	-	-	500,000	500,000	-	500,000	100.0%	-	500,000	-
	17	\$20,290,925	\$19,683,426	(\$607,499)	\$84,916,779	\$84,064,905	(\$851,874)	\$249,211,271	34.1%	\$19,764,987	\$82,686,459	\$2,230,320
Equity/Deficit from Operations	18	(\$285,528)	(\$734,813)	\$449,285	\$5,433,384	\$2,051,750	\$3,381,634	\$6,586,700		\$688,268	\$6,900,057	(\$1,466,673)
Transfers and Fund Balance												
Transfer from Capital Projects	19	\$0	\$270,461	(\$270,461)	\$0	\$1,081,844	(\$1,081,844)	\$3,245,539	0.0%	\$0	\$0	\$0
Transfer from Rate Stabilization	20	-	-	-	-	-	-	2,600,000	0.0%	-	-	-
Appropriated Fund Balance	21	-	-	-	-	-	-	-	n/a	-	-	-
Transfer to Capital Projects	22	(1,001,996)	(687,500)	(314,496)	(2,676,993)	(2,749,997)	73,004	(8,250,000)	32.4%	(379,166)	(1,516,664)	(1,160,329)
Transfer to Rate Stabilization	23	-	(20,833)	20,833	(41,666)	(83,332)	41,666	(250,000)	16.7%	-	-	(41,666)
Transfer to Designated Reserves	24	-	-	-	-	-	-	-	n/a	-	-	-
	25	(\$1,001,996)	(\$437,872)	(\$564,124)	(\$2,718,659)	(\$1,751,485)	(\$967,174)	(\$2,654,461)		(\$379,166)	(\$1,516,664)	(\$1,201,995)
Total Equity/Deficit	26	(\$1,287,524)	(\$1,172,685)	(\$114,839)	\$2,714,725	\$300,265	\$2,414,460	\$3,932,239		\$309,102	\$5,383,393	(\$2,668,668)

Greenville Utilities Commission
Revenue and Expenses - Electric Fund
October 31, 2019

Current Fiscal Year								Prior Fiscal Year				
		October	October	Variance			Variance	Total	% of			Change
	Line #	Actual	Budget	Favorable	YTD	YTD	Favorable	Original	Original	October	YTD	Prior YTD to
				(Unfavorable)	Actual	Budget	(Unfavorable)	Budget	Budget	Actual	Actual	Current YTD
Customer Demand:												
Number of Accounts	1	69,126								68,102		
kWh Purchased	2	137,536,000	143,381,995	5,845,995	679,009,194	637,039,869	(41,969,325)	1,770,005,223	38.4%	143,036,937	678,281,188	728,006
kWh Billed ¹	3	151,894,744	124,572,869	27,321,875	670,361,188	622,365,166	47,996,022	1,721,333,020	38.9%	153,757,514	673,040,271	(2,679,083)
Revenue:												
Rates & Charges - Retail	4	\$12,851,101	\$12,254,695	\$596,406	\$63,229,806	\$61,224,363	\$2,005,443	\$169,333,894	37.3%	\$13,265,710	\$63,128,972	\$100,834
Fees & Charges	5	119,342	130,451	(11,109)	493,969	521,804	(27,835)	1,565,396	31.6%	134,963	1,107,390	(613,421)
U. G. & Temp. Ser. Chgs.	6	38,560	29,844	8,716	126,961	119,376	7,585	358,114	35.5%	33,903	166,753	(39,792)
Miscellaneous	7	104,585	89,728	14,857	365,568	358,912	6,656	1,076,711	34.0%	132,011	579,135	(213,567)
Interest Income	8	96,077	95,833	244	393,782	383,332	10,450	1,150,000	34.2%	84,128	292,833	100,949
FEMA/Insurance Reimbursement	9	-	-	-	39,788	-	39,788	-	n/a	-	-	39,788
Bond Proceeds	10	-	-	-	-	-	-	105,688	0.0%	-	-	-
Capital Contributions	11	-	-	-	-	-	-	-	n/a	-	-	-
	12	\$13,209,665	\$12,600,551	\$609,114	\$64,649,874	\$62,607,787	\$2,042,087	\$173,589,803	37.2%	\$13,650,715	\$65,275,083	(\$625,209)
Expenditures:												
Operations	13	\$1,981,064	\$2,404,631	\$423,567	\$8,660,309	\$10,182,789	\$1,522,480	\$30,083,472	28.8%	\$2,017,209	\$8,702,866	(\$42,557)
Purchased Power	14	11,343,994	10,515,584	(828,410)	49,238,030	46,175,065	(3,062,965)	129,385,800	38.1%	10,641,127	47,094,269	2,143,761
Capital Outlay	15	801,511	578,036	(223,475)	2,858,605	2,374,416	(484,189)	7,060,927	40.5%	657,384	2,309,892	548,713
Debt Service	16	277,382	277,925	543	1,108,416	1,111,700	3,284	3,440,789	32.2%	281,912	1,127,648	(19,232)
City Turnover	17	337,917	337,917	-	1,351,668	1,351,668	-	4,055,000	33.3%	348,716	1,394,864	(43,196)
Street Light Reimbursement	18	72,335	72,457	122	279,723	289,828	10,105	869,481	32.2%	65,426	196,048	83,675
Transfer to OPEB Trust Fund	19	-	-	-	275,000	300,000	25,000	300,000	91.7%	-	275,000	-
	20	\$14,814,203	\$14,186,550	(\$627,653)	\$63,771,751	\$61,785,466	(\$1,986,285)	\$175,195,469	36.4%	\$14,011,774	\$61,100,587	\$2,671,164
Equity/Deficit from Operations	21	(\$1,604,538)	(\$1,585,999)	(\$18,539)	\$878,123	\$822,321	\$55,802	(\$1,605,666)		(\$361,059)	\$4,174,496	(\$3,296,373)
Transfers and Fund Balance												
Transfer from Capital Projects	22	\$0	\$98,736	(\$98,736)	\$0	\$394,944	(\$394,944)	\$1,184,830	0.0%	\$0	\$0	\$0
Transfer from Rate Stabilization	23	-	-	-	-	-	-	2,600,000	0.0%	-	-	-
Appropriated Fund Balance	24	-	-	-	-	-	-	-	n/a	-	-	-
Transfer to Capital Projects	25	(1,112)	(83,333)	82,221	(167,775)	(333,329)	165,554	(1,000,000)	16.8%	-	-	(167,775)
Transfer to Rate Stabilization	26	-	-	-	-	-	-	-	n/a	-	-	-
Transfer to Designated Reserves	27	-	-	-	-	-	-	-	n/a	-	-	-
	28	(\$1,112)	\$15,403	(\$16,515)	(\$167,775)	\$61,615	(\$229,390)	\$2,784,830		\$0	\$0	(\$167,775)
Total Equity/Deficit	29	(\$1,605,650)	(\$1,570,596)	(\$35,054)	\$710,348	\$883,936	(\$173,588)	\$1,179,164		(\$361,059)	\$4,174,496	(\$3,464,148)

Note 1: kWh billed does not include volumes delivered in the current month and billed in the next month.

**Greenville Utilities Commission
Revenue and Expenses - Water Fund
October 31, 2019**

	Current Fiscal Year							Prior Fiscal Year				
	Line #	October Actual	October Budget	Variance Favorable (Unfavorable)	YTD Actual	YTD Budget	Variance Favorable (Unfavorable)	Total Original Budget	% of Original Budget	October Actual	YTD Actual	Change Prior YTD to Current YTD
Customer Demand:												
Number of Accounts	1	36,793								36,397		
Kgallons Pumped	2	477,204	471,590	(5,614)	1,774,463	1,677,608	(96,855)	4,965,490	35.7%	476,333	1,701,326	73,137
Kgallons Billed - Retail	3	338,193	318,074	20,119	1,316,182	1,250,298	65,884	3,511,400	37.5%	300,239	1,255,867	60,314
Kgallons Billed - Wholesale ¹	4	26,281	28,462	(2,181)	87,228	81,553	5,675	592,395	14.7%	23,080	81,851	5,377
Kgallons Billed	5	364,474	346,536	17,938	1,403,410	1,331,851	71,559	4,103,795	34.2%	323,319	1,337,719	65,691
Revenue:												
Rates & Charges - Retail	6	\$1,988,286	\$1,926,647	\$61,639	\$7,744,517	\$7,615,400	\$129,117	\$21,159,177	36.6%	\$1,657,924	\$6,866,009	\$878,508
Rates & Charges - Wholesale ¹	7	61,607	63,211	(1,604)	215,937	185,767	30,170	1,280,336	16.9%	54,032	196,196	19,741
Fees & Charges	8	30,356	36,978	(6,622)	175,653	147,912	27,741	443,728	39.6%	40,158	157,592	18,061
Temporary Service Charges	9	1,100	1,208	(108)	4,300	4,832	(532)	14,500	29.7%	1,400	5,800	(1,500)
Miscellaneous	10	19,521	272,359	(252,838)	82,041	323,884	(241,843)	971,636	8.4%	34,202	110,515	(28,474)
Interest Income	11	14,244	11,667	2,577	56,765	46,668	10,097	140,000	40.5%	13,158	46,762	10,003
FEMA/Insurance Reimbursement	12	-	-	-	-	-	-	-	n/a	-	-	-
Bond Proceeds	13	-	-	-	-	-	-	153,125	0.0%	-	-	-
Capital Contributions	14	97,117	-	97,117	614,891	-	614,891	-	n/a	-	-	614,891
	15	\$2,212,231	\$2,312,070	(\$99,839)	\$8,894,104	\$8,324,463	\$569,641	\$24,162,502	36.8%	\$1,800,874	\$7,382,874	\$1,511,230
Expenditures:												
Operations	16	\$1,378,533	\$1,154,437	(\$224,096)	\$4,867,638	\$4,908,138	\$40,500	\$14,496,346	33.6%	\$1,195,174	\$4,503,342	\$364,296
Capital Outlay	17	34,555	99,806	65,251	240,697	408,830	168,133	1,216,846	19.8%	61,959	165,146	75,551
Debt Service	18	151,471	151,634	163	605,547	606,536	989	1,972,757	30.7%	268,797	1,075,188	(469,641)
Transfer to OPEB Trust Fund	19	-	-	-	75,000	100,000	25,000	100,000	75.0%	-	75,000	-
	20	\$1,564,559	\$1,405,877	(\$158,682)	\$5,788,882	\$6,023,504	\$234,622	\$17,785,949	32.5%	\$1,525,930	\$5,818,676	(\$29,794)
Equity/Deficit from Operations	21	\$647,672	\$906,193	(\$258,521)	\$3,105,222	\$2,300,959	\$804,263	\$6,376,553		\$274,944	\$1,564,198	\$1,541,024
Transfers and Fund Balance												
Transfer from Capital Projects	22	\$0	\$31,898	(\$31,898)	\$0	\$127,592	(\$127,592)	\$382,781	0.0%	\$0	\$0	\$0
Transfer from Rate Stabilization	23	-	-	-	-	-	-	-	n/a	-	-	-
Appropriated Fund Balance	24	-	-	-	-	-	-	-	n/a	-	-	-
Transfer to Capital Projects	25	(500,337)	(429,167)	(71,170)	(1,608,671)	(1,716,668)	107,997	(5,150,000)	31.2%	(245,833)	(983,332)	(625,339)
Transfer to Designated Reserves	26	-	-	-	-	-	-	-	n/a	-	-	-
	27	(\$500,337)	(\$397,269)	(\$103,068)	(\$1,608,671)	(\$1,589,076)	(\$19,595)	(\$4,767,219)		(\$245,833)	(\$983,332)	(\$625,339)
Total Equity/Deficit	28	\$147,335	\$508,924	(\$361,589)	\$1,496,551	\$711,883	\$784,668	\$1,609,334		\$29,111	\$580,866	\$915,685

Note 1: Kgallons Billed - Wholesale and Rates and Charges - Wholesale represents sales to the Town of Bethel, the Town of Farmville, Greene County, the Town of Winterville and Stokes Regional Water Corporation.

**Greenville Utilities Commission
Revenue and Expenses - Sewer Fund
October 31, 2019**

	Current Fiscal Year							Prior Fiscal Year				
	Line #	October Actual	October Budget	Variance Favorable (Unfavorable)	YTD Actual	YTD Budget	Variance Favorable (Unfavorable)	Total Original Budget	% of Original Budget	October Actual	YTD Actual	Change Prior YTD to Current YTD
Customer Demand:												
Number of Accounts	1	30,453								30,083		
Kgallons Total Flow	2	283,790	315,298	31,508	1,175,370	1,321,093	145,723	4,025,734	29.2%	323,480	1,378,980	(203,610)
Kgallons Billed - Retail	3	266,343	233,689	32,654	1,006,842	934,747	72,095	2,804,272	35.9%	243,464	976,961	29,881
Kgallons Billed - Wholesale ¹	4	8,272	6,917	1,355	26,673	31,045	(4,372)	114,371	23.3%	14,500	44,307	(17,634)
Total Kgallons Billed	5	274,615	240,606	34,009	1,033,515	965,792	67,723	2,918,643	35.4%	257,964	1,021,268	12,247
Revenue:												
Rates & Charges - Retail	6	\$2,107,540	\$1,897,682	\$209,858	\$8,052,597	\$7,590,651	\$461,946	\$22,772,175	35.4%	\$1,958,354	\$7,825,193	\$227,404
Rates & Charges - Wholesale ¹	7	46,321	38,736	7,585	149,369	173,860	(24,491)	640,477	23.3%	81,199	248,118	(98,749)
Fees & Charges	8	28,907	35,680	(6,773)	159,610	142,720	16,890	428,159	37.3%	37,881	178,202	(18,592)
Miscellaneous	9	13,854	12,211	1,643	89,081	48,844	40,237	146,518	60.8%	41,226	81,535	7,546
Interest Income	10	16,803	16,667	136	64,176	66,668	(2,492)	200,000	32.1%	16,413	47,457	16,719
FEMA/Insurance Reimbursement	11	-	-	-	-	-	-	-	n/a	-	-	-
Bond Proceeds	12	-	-	-	-	-	-	101,000	0.0%	-	-	-
Capital Contributions	13	108,171	-	108,171	601,756	-	601,756	-	n/a	-	-	601,756
	14	\$2,321,596	\$2,000,976	\$320,620	\$9,116,589	\$8,022,743	\$1,093,846	\$24,288,329	37.5%	\$2,135,073	\$8,380,505	\$736,084
Expenditures:												
Operations	15	\$1,115,205	\$1,165,598	\$50,393	\$4,311,617	\$4,942,997	\$631,380	\$14,590,050	29.6%	\$1,142,972	\$4,244,145	\$67,472
Capital Outlay	16	13,743	181,003	167,260	248,485	728,179	479,694	2,180,346	11.4%	33,309	162,808	85,677
Debt Service	17	459,978	464,988	5,010	1,839,633	1,859,952	20,319	5,680,853	32.4%	507,966	2,031,864	(192,231)
Transfer to OPEB Trust Fund	18	-	-	-	75,000	100,000	25,000	100,000	75.0%	-	75,000	-
	19	\$1,588,926	\$1,811,589	\$222,663	\$6,474,735	\$7,631,128	\$1,156,393	\$22,551,249	28.7%	\$1,684,247	\$6,513,817	(\$39,082)
Equity/Deficit from Operations	20	\$732,670	\$189,387	\$543,283	\$2,641,854	\$391,615	\$2,250,239	\$1,737,080		\$450,826	\$1,866,688	\$775,166
Transfers and Fund Balance												
Transfer from Capital Projects	21	\$0	\$105,992	(\$105,992)	\$0	\$423,968	(\$423,968)	\$1,271,903	0.0%	\$0	\$0	\$0
Transfer from Rate Stabilization	22	-	-	-	-	-	-	-	n/a	-	-	-
Appropriated Fund Balance	23	-	-	-	-	-	-	-	n/a	-	-	-
Transfer to Capital Projects	24	(500,279)	(175,000)	(325,279)	(900,279)	(700,000)	(200,279)	(2,100,000)	42.9%	(133,333)	(533,332)	(366,947)
Transfer to Designated Reserves	25	-	-	-	-	-	-	-	n/a	-	-	-
	26	(\$500,279)	(\$69,008)	(\$431,271)	(\$900,279)	(\$276,032)	(\$624,247)	(\$828,097)		(\$133,333)	(\$533,332)	(\$366,947)
Total Equity/Deficit	27	\$232,391	\$120,379	\$112,012	\$1,741,575	\$115,583	\$1,625,992	\$908,983		\$317,493	\$1,333,356	\$408,219

Note 1: Kgallons Billed - Wholesale and Rates and Charges - Wholesale represents sales to the Town of Bethel and the Town of Grimesland.

	Current Fiscal Year							Prior Fiscal Year				
	Line #	October Actual	October Budget	Variance Favorable (Unfavorable)	YTD Actual	YTD Budget	Variance Favorable (Unfavorable)	Total Original Budget	% of Original Budget	October Actual	YTD Actual	Change Prior YTD to Current YTD
Customer Demand:												
Number of Accounts	1	23,280								23,147		
CCFs Purchased	2	2,560,470	1,908,659	(651,811)	8,534,332	6,714,388	(1,819,944)	34,083,189	25.0%	2,714,888	8,467,099	67,233
CCFs Delivered to GUC	3	2,456,846	1,852,926	(603,920)	8,120,551	6,518,328	(1,602,223)	33,087,960	24.5%	2,608,138	8,110,451	10,100
CCFs Billed - Firm	4	655,241	1,004,238	(348,997)	2,521,713	3,515,592	(993,879)	16,835,500	15.0%	637,178	2,471,598	50,115
CCFs Billed - Interruptible	5	1,197,842	915,150	282,692	4,632,812	3,203,716	1,429,096	15,342,000	30.2%	1,073,891	4,733,353	(100,541)
CCFs Billed - Total	6	1,853,083	1,919,388	(66,305)	7,154,525	6,719,308	435,217	32,177,500	22.2%	1,711,069	7,204,951	(50,426)
Revenue:												
Rates & Charges - Retail	7	\$2,208,170	\$1,985,954	\$222,216	\$7,459,322	\$6,965,414	\$493,908	\$33,168,600	22.5%	\$2,793,087	\$8,337,018	(\$877,696)
Fees & Charges	8	17,980	11,968	6,012	59,026	47,872	11,154	143,607	41.1%	31,261	68,478	(9,452)
Miscellaneous	9	10,098	12,094	(1,996)	58,596	48,376	10,220	145,130	40.4%	17,774	56,978	1,618
Interest Income	10	25,657	25,000	657	112,652	100,000	12,652	300,000	37.6%	24,471	85,580	27,072
FEMA/Insurance Reimbursement	11	-	-	-	-	-	-	-	n/a	-	-	-
Bond Proceeds	12	-	-	-	-	-	-	-	n/a	-	-	-
Capital Contributions	13	-	-	-	-	-	-	-	n/a	-	-	-
	14	\$2,261,905	\$2,035,016	\$226,889	\$7,689,596	\$7,161,662	\$527,934	\$33,757,337	22.8%	\$2,866,593	\$8,548,054	(\$858,458)
Expenditures:												
Operations	15	\$874,290	\$847,726	(\$26,564)	\$3,647,817	\$3,631,278	(\$16,539)	\$10,713,973	34.0%	\$817,890	\$3,433,744	\$214,073
Purchased Gas	16	1,131,518	1,109,246	(22,272)	3,928,801	3,683,740	(245,061)	19,055,300	20.6%	1,391,526	4,389,351	(460,550)
Capital Outlay	17	71,006	75,885	4,879	244,369	323,577	79,208	950,682	25.7%	79,872	340,292	(95,923)
Debt Service	18	103,516	103,646	130	413,796	414,584	788	1,243,761	33.3%	110,077	440,308	(26,512)
City Turnover	19	142,907	142,907	-	571,628	571,628	-	1,714,888	33.3%	143,671	574,684	(3,056)
Transfer to OPEB Trust Fund	20	-	-	-	75,000	-	(75,000)	-	n/a	-	75,000	-
	21	\$2,323,237	\$2,279,410	(\$43,827)	\$8,881,411	\$8,624,807	(\$256,604)	\$33,678,604	26.4%	\$2,543,036	\$9,253,379	(\$371,968)
Equity/Deficit from Operations	22	(\$61,332)	(\$244,394)	\$183,062	(\$1,191,815)	(\$1,463,145)	\$271,330	\$78,733		\$323,557	(\$705,325)	(\$486,490)
Transfers and Fund Balance												
Transfer from Capital Projects	23	\$0	\$33,835	(\$33,835)	\$0	\$135,340	(\$135,340)	\$406,025	0.0%	\$0	\$0	\$0
Transfer from Rate Stabilization	24	-	-	-	-	-	-	-	n/a	-	-	-
Appropriated Fund Balance	25	-	-	-	-	-	-	-	n/a	-	-	-
Transfer to Capital Projects	26	(268)	-	(268)	(268)	-	(268)	-	n/a	-	-	(268)
Transfer to Rate Stabilization	27	-	(20,833)	20,833	(41,666)	(83,332)	41,666	(250,000)	16.7%	-	-	(41,666)
Transfer to Designated Reserves	28	-	-	-	-	-	-	-	n/a	-	-	-
	29	(\$268)	\$13,002	(\$13,270)	(\$41,934)	\$52,008	(\$93,942)	\$156,025		\$0	\$0	(\$41,934)
Total Equity/Deficit	30	(\$61,600)	(\$231,392)	\$169,792	(\$1,233,749)	(\$1,411,137)	\$177,388	\$234,758		\$323,557	(\$705,325)	(\$528,424)

Greenville Utilities Commission
Statement of Revenues, Expenses and Changes in Fund Net Position
October 31, 2019

	Line #	Major Funds				Total
		Electric Fund	Water Fund	Sewer Fund	Gas Fund	
Operating revenues:						
Charges for services	1	\$ 13,009,003	\$ 2,081,349	\$ 2,182,770	\$ 2,226,150	\$ 19,499,272
Other operating revenues	2	51,234	11,253	11,501	6,578	80,566
Total operating revenues	3	13,060,237	2,092,602	2,194,271	2,232,728	19,579,838
Operating expenses:						
Administration and general	4	840,029	371,602	367,180	361,925	1,940,736
Operations and maintenance	5	1,141,034	1,006,932	748,030	512,365	3,408,361
Purchased power and gas	6	11,343,994	-	-	1,131,518	12,475,512
Depreciation	7	788,240	330,449	503,180	188,527	1,810,396
Total operating expenses	8	14,113,297	1,708,983	1,618,390	2,194,335	19,635,005
Operating income (loss)	9	(1,053,060)	383,619	575,881	38,393	(55,167)
Non-operating revenues (expenses):						
Interest income	10	195,225	37,329	50,474	54,819	337,847
Debt interest expense and service charges	11	(164,874)	(68,361)	(132,688)	(55,287)	(421,210)
Other nonoperating revenues	12	53,350	43,260	43,168	3,519	143,297
Other nonoperating expenses	13	-	-	-	-	-
Net nonoperating revenues	14	83,701	12,228	(39,046)	3,051	59,934
Income before contributions and transfers	15	(969,359)	395,847	536,835	41,444	4,767
Contributions and transfers:						
Capital contributions	16	-	97,117	358,171	-	455,288
Transfer to City of Greenville, General Fund	17	(337,917)	-	-	(142,907)	(480,824)
Transfer to City of Greenville, street light reimbursement	18	(72,335)	-	-	-	(72,335)
Total contributions and transfers	19	(410,252)	97,117	358,171	(142,907)	(97,871)
Changes in net position	20	(1,379,611)	492,964	895,006	(101,463)	(93,104)
Net position, beginning of month	21	156,005,009	79,155,476	115,612,422	49,259,989	400,032,896
Net position, end of month	22	\$ 154,625,398	\$ 79,648,440	\$ 116,507,428	\$ 49,158,526	\$ 399,939,792

Greenville Utilities Commission
Statement of Revenues, Expenses and Changes in Fund Net Position
Fiscal Year to Date
October 31, 2019

		Major Funds					
	Line #	Electric Fund	Water Fund	Sewer Fund	Gas Fund	Total	Last Year
Operating revenues:							
Charges for services	1	\$ 63,850,736	\$ 8,140,406	\$ 8,361,577	\$ 7,518,348	\$ 87,871,067	\$ 88,285,720
Other operating revenues	2	219,809	47,472	50,787	32,607	350,675	475,025
Total operating revenues	3	64,070,545	8,187,878	8,412,364	7,550,955	88,221,742	88,760,745
Operating expenses:							
Administration and general	4	4,009,025	1,465,866	1,447,554	1,432,140	8,354,585	8,182,610
Operations and maintenance	5	4,926,284	3,476,771	2,939,066	2,290,679	13,632,800	13,020,113
Purchased power and gas	6	49,238,030	-	-	3,928,801	53,166,831	51,483,620
Depreciation	7	3,096,666	1,313,351	2,010,556	747,279	7,167,852	6,883,793
Total operating expenses	8	61,270,005	6,255,988	6,397,176	8,398,899	82,322,068	79,570,136
Operating income (Loss)	9	2,800,540	1,931,890	2,015,188	(847,944)	5,899,674	9,190,609
Non-operating revenues (expenses):							
Interest income	10	785,187	137,774	191,048	228,687	1,342,696	759,781
Debt interest expense and service charges	11	(658,384)	(273,107)	(530,473)	(220,880)	(1,682,844)	(1,347,116)
Other nonoperating revenues	12	185,547	217,040	231,997	25,988	660,572	639,423
Other nonoperating expenses	13	-	-	-	-	-	(181,370)
Net nonoperating revenues	14	312,350	81,707	(107,428)	33,795	320,424	(129,282)
Income before contributions and transfers	15	3,112,890	2,013,597	1,907,760	(814,149)	6,220,098	9,061,327
Contributions and transfers:							
Capital contributions	16	-	614,891	851,756	-	1,466,647	-
Transfer to City of Greenville, General Fund	17	(1,351,668)	-	-	(571,628)	(1,923,296)	(1,969,548)
Transfer to City of Greenville, street light reimbursement	18	(279,723)	-	-	-	(279,723)	(196,048)
Total contributions and transfers	19	(1,631,391)	614,891	851,756	(571,628)	(736,372)	(2,165,596)
Changes in net position	20	1,481,499	2,628,488	2,759,516	(1,385,777)	5,483,726	6,895,731
Beginning net position	21	153,143,899	77,019,952	113,747,912	50,544,303	394,456,066	375,096,028
Ending net position	22	\$ 154,625,398	\$ 79,648,440	\$ 116,507,428	\$ 49,158,526	\$ 399,939,792	\$ 381,991,759

¹ Other, nonoperating revenues include miscellaneous non-operating revenue and capital projects revenue.

Greenville Utilities Commission
Statement of Cash Flows
Fiscal Year to Date
October 31, 2019

	Line #	Electric	Water	Sewer	Gas	Total	Last Year
Sources:							
Operating income	1	\$ 2,800,540	\$ 1,931,890	\$ 2,015,188	\$ (847,944)	\$ 5,899,674	\$ 9,190,609
Depreciation	2	3,096,666	1,313,351	2,010,556	747,279	7,167,852	6,883,793
Changes in working capital	3	5,244,044	379,726	113,094	636,017	6,372,881	(324,516)
Interest earned	4	393,782	56,764	64,176	112,652	627,374	472,632
FEMA/insurance reimbursement	5	39,788	-	-	-	39,788	-
Transfer from rate stabilization	6	-	-	-	-	-	-
Transfer from capital projects	7	-	-	-	-	-	-
Proceeds from debt issuance	8	-	-	-	-	-	-
Subtotal	9	11,574,820	3,681,731	4,203,014	648,004	20,107,569	16,222,518
Uses:							
City Turnover	10	(1,351,668)	-	-	(571,628)	(1,923,296)	(1,969,548)
City Street Light reimbursement	11	(279,723)	-	-	-	(279,723)	(196,048)
Debt service payments	12	(1,021,115)	(474,067)	(936,984)	(581,593)	(3,013,759)	(8,771,365)
Debt Issuance costs	13	1,112	337	279	268	1,996	-
Other nonoperating expenses	14	-	-	-	-	-	(181,370)
Capital Outlay expenditures	15	(2,858,605)	(240,697)	(248,485)	(244,369)	(3,592,156)	(2,978,137)
Transfers to Rate Stabilization Fund	16	-	-	-	(41,666)	(41,666)	-
Transfers to Capital Projects Fund	17	(167,775)	(1,608,671)	(900,279)	(268)	(2,676,993)	(1,516,664)
Subtotal	18	(5,677,774)	(2,323,098)	(2,085,469)	(1,439,256)	(11,525,597)	(15,613,132)
Net increase (decrease) - operating cash	19	5,897,046	1,358,633	2,117,545	(791,252)	8,581,972	609,386
Rate stabilization funds							
Transfers from Operating Fund	20	-	-	-	41,666	41,666	-
Interest earnings	21	181,326	-	-	10,804	192,130	140,134
Transfers to Operating Fund	22	-	-	-	-	-	-
Net increase (decrease) - rate stabilization fund	23	181,326	-	-	52,470	233,796	140,134
Capital projects funds							
Proceeds from debt issuance	24	-	-	-	-	-	-
Contributions/grants	25	-	-	250,000	-	250,000	-
Interest earnings	26	210,079	78,222	123,608	105,231	517,140	146,446
Transfers from Operating Fund	27	167,775	1,608,671	900,279	268	2,676,993	1,516,664
Changes in working capital	28	(134,348)	(4)	(10,477)	(3)	(144,832)	17,741
Capital Projects expenditures	29	(6,260,591)	(2,212,337)	(1,707,576)	(1,195,068)	(11,375,572)	(2,379,619)
Net increase (decrease) - capital projects	30	(6,017,085)	(525,448)	(444,166)	(1,089,572)	(8,076,271)	(698,768)
Capital reserves funds							
System development fees	31	-	191,228	211,570	-	402,798	257,110
Interest earnings	32	-	2,788	3,263	-	6,051	569
Transfers to Capital Projects Fund	33	-	-	-	-	-	-
Transfers to Operating Fund	34	-	-	-	-	-	-
Net increase (decrease) - capital reserves	35	-	194,016	214,833	-	408,849	257,679
Net increase (decrease) in cash and investments	36	61,287	1,027,201	1,888,212	(1,828,354)	1,148,346	308,431
Cash and investments and revenue bond proceeds, beginning	37	\$ 110,851,788	\$ 21,554,844	\$ 28,596,863	\$ 32,123,964	\$ 193,127,459	\$ 82,053,279
Cash and investments and revenue bond proceeds, ending	38	\$ 110,913,075	\$ 22,582,045	\$ 30,485,075	\$ 30,295,610	\$ 194,275,805	\$ 82,361,710

Greenville Utilities Commission
Statement of Net Position
October 31, 2019

	Line #	Electric Fund	Water Fund	Sewer Fund	Gas Fund	Total
Assets						
Current assets:						
Cash and investments - Operating Fund	1	55,769,281	7,817,633	9,662,673	14,147,140	87,396,727
Cash and investments - Rate Stabilization Fund	2	24,088,039	-	-	1,631,964	25,720,003
Cash and investments - Capital Project Fund	3	9,058,460	4,337,403	11,387,467	9,539,949	34,323,279
Accounts receivable, net	4	16,232,806	2,602,749	2,713,005	2,288,994	23,837,554
Due from other governments	5	1,875,760	433,913	539,472	334,834	3,183,979
Inventories	6	6,544,777	889,026	232,069	658,596	8,324,468
Prepaid expenses and deposits	7	72,203	97,259	94,330	56,822	320,614
Total current assets	8	113,641,326	16,177,983	24,629,016	28,658,299	183,106,624
Non-current assets:						
Restricted assets:						
Restricted cash and cash equivalents:						
Bond funds	9	21,997,295	7,976,104	6,665,458	4,976,557	41,615,414
Capacity fees	10	-	1,920,812	2,158,902	-	4,079,714
System development fees	11	-	530,092	610,574	-	1,140,666
Total restricted cash and cash equivalents	12	21,997,295	10,427,008	9,434,934	4,976,557	46,835,794
Total restricted assets	13	21,997,295	10,427,008	9,434,934	4,976,557	46,835,794
Notes receivable	14	-	253,992	-	-	253,992
Capital assets:						
Land, easements and construction in progress	15	24,982,465	8,587,443	13,011,563	4,493,506	51,074,977
Other capital assets, net of depreciation	16	100,704,980	83,030,458	136,106,008	41,708,355	361,549,801
Total capital assets	17	125,687,445	91,617,901	149,117,571	46,201,861	412,624,778
Total non-current assets	18	147,684,740	102,298,901	158,552,505	51,178,418	459,714,564
Total assets	19	261,326,066	118,476,884	183,181,521	79,836,717	642,821,188
Deferred Outflows of Resources						
Pension deferrals	20	3,618,150	1,941,446	1,853,199	1,411,961	8,824,756
OPEB deferrals	21	4,226,412	2,267,831	2,164,748	1,649,331	10,308,322
Unamortized bond refunding charges	22	423,857	556,516	538,594	93,152	1,612,119
Total deferred outflows of resources	23	8,268,419	4,765,793	4,556,541	3,154,444	20,745,197
Liabilities						
Current liabilities:						
Accounts payable and accrued expenses	24	18,759,055	763,272	700,876	1,714,483	21,937,686
Customer deposits	25	3,407,649	780,664	1,480	460,570	4,650,363
Accrued interest payable	26	446,044	151,412	137,860	123,905	859,221
Unearned revenue ²	27	-	69,860	118,800	-	188,660
Current portion of compensated absences	28	792,361	393,117	362,240	333,033	1,880,751
Current maturities of long-term debt	29	940,552	819,354	3,699,461	239,281	5,698,648
Total current liabilities	30	24,345,661	2,977,679	5,020,717	2,871,272	35,215,329
Non-current liabilities						
Compensated absences	31	172,100	105,828	81,183	118,394	477,505
Long-term debt, excluding current portion	32	64,453,271	26,560,554	52,812,657	20,697,386	164,523,868
Net OPEB liability	33	19,174,718	10,288,874	9,821,197	7,482,817	46,767,606
Net pension liability	34	4,498,067	2,413,597	2,303,888	1,755,343	10,970,895
Total non current liabilities	35	88,298,156	39,368,853	65,018,925	30,053,940	222,739,874
Total liabilities	36	112,643,817	42,346,532	70,039,642	32,925,212	257,955,203
Deferred Inflows of Resources						
Pension deferrals	37	23,285	12,494	11,927	9,087	56,793
OPEB deferrals	38	2,301,985	1,235,211	1,179,065	898,336	5,614,597
Total deferred inflows of resources	39	2,325,270	1,247,705	1,190,992	907,423	5,671,390
Net Position						
Net investment in capital assets	40	82,714,774	72,770,613	99,809,505	30,334,903	285,629,795
Unrestricted	41	71,910,624	6,877,827	16,697,923	18,823,623	114,309,997
Total net position	42	\$ 154,625,398	\$ 79,648,440	\$ 116,507,428	\$ 49,158,526	\$ 399,939,792

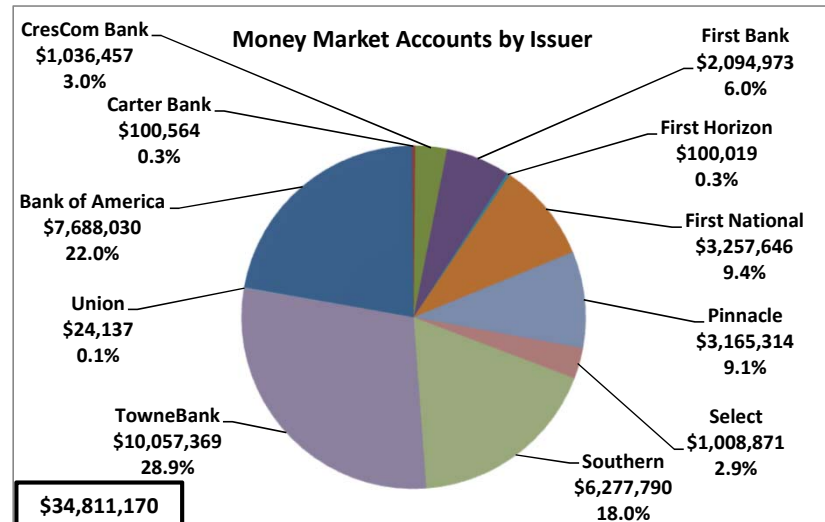
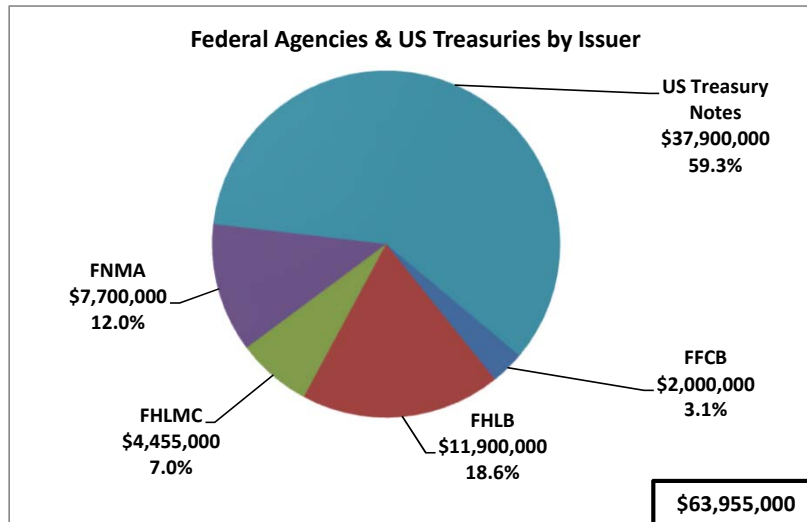
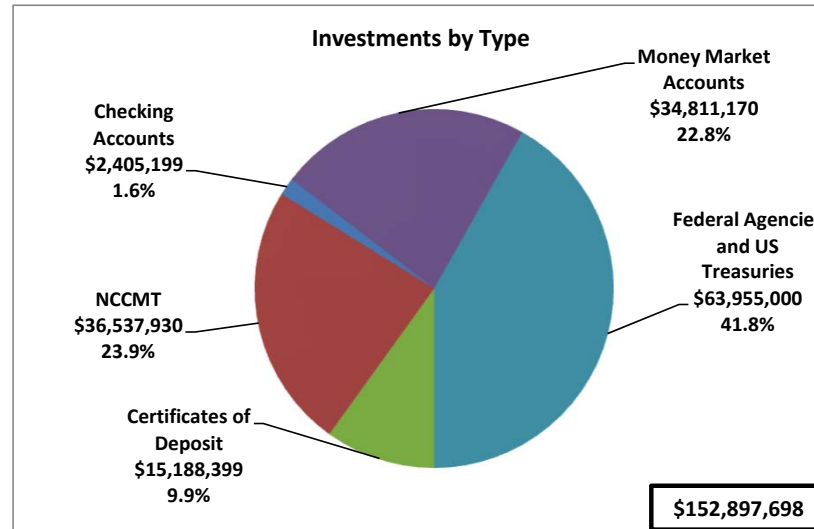
¹ Negative cash balances in the Capital Projects funds reflect reimbursements due from revenue bonds, SRF loans and grants.

² Unearned revenue includes prepaid street light installations and prepaid water and sewer tap fees.

Capital Projects Summary Report
October 31, 2019

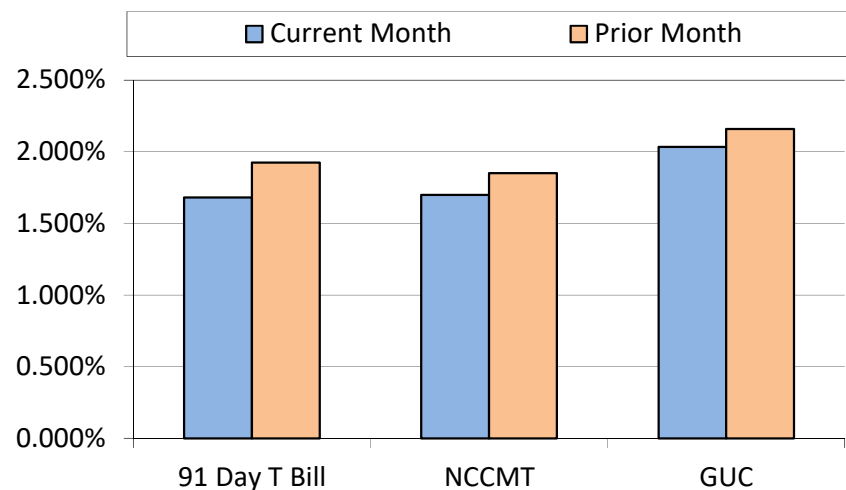
Project #	Project Name	Original Budget	Board Approval	Current	Current Month Expenditures	Year To Date Expenditures	Project To Date Expenditures	% of Budget		Available Budget	Estimated Completion Date
				Approved Budget				Expended	Encumbrances		
FCP-100	Downtown Office Efficiency and Enhancement	1,750,000	6/11/2015	4,075,000	276,384	892,340	1,994,044	48.9%	1,789,361	291,595	1/31/2020
FCP10072	New Operations Center Phase 2	4,000,000	6/9/2016	53,300,000	2,387,608	6,480,450	14,410,808	27.0%	33,688,961	5,200,231	12/31/2020
Total Shared Capital Projects		\$ 5,750,000		\$ 57,375,000	\$ 2,663,992	\$ 7,372,790	\$ 16,404,852	28.6%	\$ 35,478,322	\$ 5,491,826	
ECP-133	Sugg Parkway Transmission Line	1,700,000	5/17/2011	1,700,000	6,150	6,150	6,150	0.4%	-	1,693,850	12/31/2020
ECP-134	Sugg Parkway Substation	3,400,000	5/17/2011	3,400,000	-	-	15,049	0.4%	6,927	3,378,024	12/31/2020
ECP-144	10th Street Connector Project	1,535,000	12/19/2013	1,535,000	8,080	8,080	1,142,086	74.4%	-	392,914	TBD by NCDOT
ECP10168	POD #3 to Simpson Substation 115 kV Transmission Loop	300,000	6/9/2016	300,000	-	-	124,272	41.4%	-	175,728	6/30/2022
ECP10171	Greenville 115kV Transmission Circuit #18 Flood Mitigation	600,340	12/21/2017	1,500,000	278,795	353,870	372,970	24.9%	967,471	159,559	2/28/2020
ECP10172	Greenville 230 kV West Substation Flood Mitigation	3,355,000	12/21/2017	3,355,000	585	1,677,133	2,505,392	74.7%	862	848,746	12/31/2019
ECP10174	Electric System Expansion	2,500,000	6/8/2017	2,500,000	-	-	-	0.0%	-	2,500,000	6/30/2020
ECP10187	Vidant Peaking Generators	6,000,000	6/14/2018	6,000,000	16,384	451,514	601,087	10.0%	3,571,059	1,827,854	6/30/2020
ECP10208	Battery Storage Pilot Program 1MW	1,600,000	6/13/2019	1,600,000	-	-	-	0.0%	-	1,600,000	6/30/2020
Total Electric Capital Projects		\$ 20,990,340		\$ 21,890,000	\$ 309,994	\$ 2,496,747	\$ 4,767,006	21.8%	\$ 4,546,319	\$ 12,576,675	
WCP-117	WTP Upgrade Phase I	1,900,000	6/12/2014	47,500,000	138,303	712,555	3,994,025	8.4%	1,101,576	42,404,399	12/31/2022
WCP-121	10th Street Connector Project	892,500	10/16/2014	1,896,000	-	-	5,875	0.3%	851,079	1,039,046	TBD by NCDOT
WCP-123	COG Town Creek Culvert Improvement	80,000	3/19/2015	1,260,000	-	-	150	0.0%	-	1,259,850	12/31/2020
WCP-124	Residual Lagoon Improvements	1,250,000	6/11/2015	1,250,000	75,269	309,065	309,065	24.7%	168,805	772,130	6/30/2020
WCP10030	Water Distribution System Improvements	500,000	6/14/2018	500,000	-	-	-	0.0%	-	500,000	12/31/2022
WCP10032	Water Main Rehabilitation Program Phase II	1,000,000	6/13/2019	1,000,000	-	-	-	0.0%	-	1,000,000	12/31/2020
Total Water Capital Projects		\$ 5,622,500		\$ 53,406,000	\$ 213,572	\$ 1,021,620	\$ 4,309,115	8.1%	\$ 2,121,460	\$ 46,975,425	
SCP-118	Southside Pump Station Upgrade	3,450,000	6/13/2013	6,600,000	-	-	6,011,136	91.1%	55,582	533,282	2/29/2020
SCP-123	COG Town Creek Culvert Improvement	80,000	3/19/2015	2,950,000	-	-	50,593	1.7%	-	2,899,407	12/31/2020
SCP10217	10th Street Connector Project	306,000	6/9/2016	306,000	-	-	-	0.0%	-	306,000	TBD by NCDOT
SCP10219	Candlewick Area Sanitary District Sewer Project	700,000	7/21/2016	800,000	-	-	669,026	83.6%	45,000	85,974	10/31/2019
SCP10221	Southeast Sewer Service Area Project	2,500,000	6/8/2017	3,000,000	-	-	-	0.0%	-	3,000,000	12/31/2020
SCP10222	Sewer Outfall Rehabilitation Phase 4	2,480,000	6/8/2017	2,480,000	-	8,562	125,353	5.1%	246,600	2,108,047	12/30/2019
SCP10223	Regional Pump Station Upgrades	1,800,000	6/8/2017	1,800,000	325,947	508,298	890,879	49.5%	127,296	781,825	10/31/2020
SCP10229	Greene Street Pump Station and Force Main	1,100,000	6/14/2018	1,100,000	-	-	-	0.0%	-	1,100,000	12/31/2020
SCP10230	Forlines Pump Station Expansion	250,000	6/14/2018	250,000	-	-	-	0.0%	-	250,000	7/31/2021
SCP10233	WWTP Headworks Improvements	2,500,000	6/13/2019	2,500,000	-	-	-	0.0%	-	2,500,000	6/30/2020
SCP10234	Harris Mill Run Outfall	500,000	6/13/2019	500,000	-	-	-	0.0%	-	500,000	12/31/2021
SCP10235	Duplex Pump Station Improvements	500,000	6/13/2019	500,000	-	-	-	0.0%	-	500,000	6/30/2022
SCP10236	Green Mill Run Tributary - 18-21 inch section	1,800,000	6/13/2019	1,800,000	-	-	-	0.0%	-	1,800,000	3/1/2021
SCP10238	WWTP Clarifier Replacement Project	6,000,000	8/19/2019	6,000,000	-	-	-	0.0%	-	6,000,000	7/31/2022
Total Sewer Capital Projects		\$ 23,966,000		\$ 30,586,000	\$ 325,947	\$ 516,860	\$ 7,746,987	25.3%	\$ 474,478	\$ 22,364,535	
GCP-92	LNG Liquefaction Additions	1,000,000	6/11/2015	1,000,000	-	-	28,428	2.8%	-	971,572	On Hold
GCP10099	High-Pressure Multiple Gas Facilities Relocation	9,500,000	6/8/2017	9,500,000	-	1,350	4,150	0.0%	3,330	9,492,520	6/30/2023
GCP10101	Firetower Road Widening	1,300,000	6/8/2017	1,300,000	-	-	-	0.0%	-	1,300,000	12/31/2022
GCP10104	Memorial Drive Bridge Replacement	1,500,000	6/14/2018	1,500,000	-	3,000	3,030	0.2%	197,775	1,299,195	TBD by NCDOT
GCP10108	Allen Road Widening (NCDOT U-5875)	1,000,000	6/13/2019	1,000,000	-	-	-	0.0%	-	1,000,000	12/31/2023
GCP10109	Integrity Management Replacement Project	1,750,000	6/13/2019	1,750,000	-	-	-	0.0%	-	1,750,000	6/30/2022
Total Gas Capital Projects		\$ 16,050,000		\$ 16,050,000	\$ -	\$ 4,350	\$ 35,608	0.2%	\$ 201,105	\$ 15,813,287	
Grand Total Capital Projects		\$ 72,378,840		\$ 179,307,000	\$ 3,513,505	\$ 11,412,367	\$ 33,263,568	18.6%	\$ 42,821,684	\$ 103,221,748	

Investment Portfolio Diversification October 31, 2019

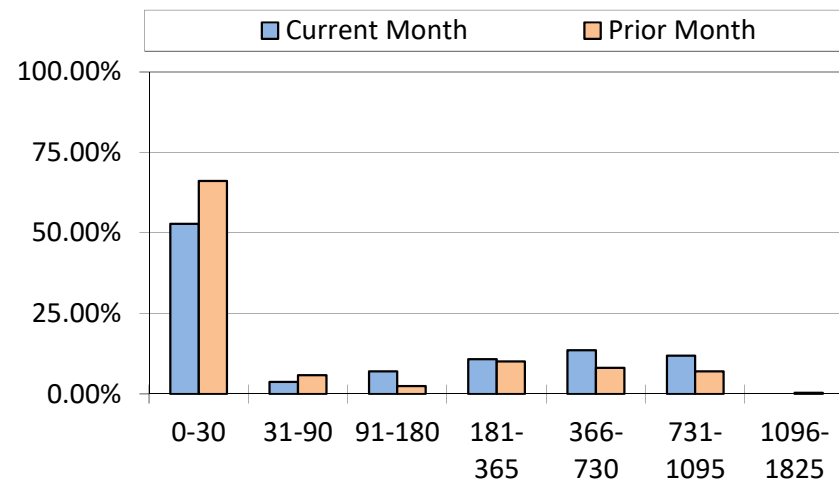


Cash and Investment Report
October 31, 2019

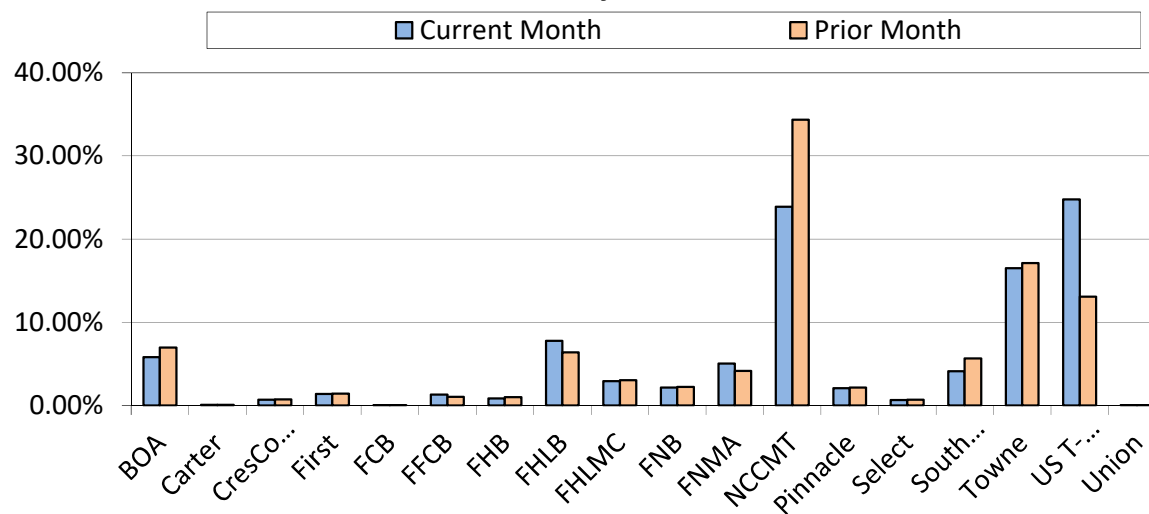
Yield Comparison



**Days to Maturity
Percent of Portfolio**



Portfolio by Issuer



**GUC Investments
Summary by Issuer
October 31, 2019**

Issuer	Number of Investments	Par Value	Market Value	% of Portfolio	Average YTM 365	Average Days to Maturity
Bank of America	2	8,900,216.79	8,900,216.79	5.81	1.296	1
Carter Bank	1	100,563.91	100,563.91	0.07	2.090	1
CresCom Bank	1	1,036,456.50	1,036,456.50	0.68	1.450	1
First Bank	1	2,094,972.83	2,094,972.83	1.37	2.050	1
First Citizens Bank	1	100.00	100.00	0.00	0.001	1
Federal Farm Credit Bank	4	2,000,000.00	2,003,268.77	1.31	2.011	405
First Horizon Bank	2	1,292,930.66	1,292,930.66	0.84	0.116	1
Federal Home Loan Bank	9	11,900,000.00	11,946,265.18	7.80	1.944	598
Federal Home Loan Mort Corp	9	4,455,000.00	4,456,303.32	2.91	1.948	473
First National Bank	1	3,257,645.57	3,257,645.57	2.13	2.200	1
Federal National Mort Assoc	9	7,700,000.00	7,711,786.37	5.04	1.912	283
N C Capital Management Trust	3	36,537,930.28	36,537,930.28	23.87	1.918	1
Pinnacle Bank	1	3,165,314.06	3,165,314.06	2.07	1.800	1
Select Bank & Trust Co.	1	1,008,871.26	1,008,871.26	0.66	1.790	1
Southern Bank & Trust Co.	1	6,277,790.46	6,277,790.46	4.10	2.250	1
US Treasury Note	18	37,900,000.00	38,006,486.00	24.83	2.119	545
TowneBank	4	25,245,768.12	25,245,768.12	16.49	2.513	84
Union Bank	1	24,137.32	24,137.32	0.02	0.250	1
Total and Average	69	152,897,697.76	153,066,807.40	100.00	2.033	229

GUC Investments
Portfolio Management
Portfolio Details - Investments
October 31, 2019

Page 1

CUSIP	Investment #	Issuer	Average Balance	Purchase Date	Par Value	Market Value	Book Value	Stated Rate	YTM 360	YTM 365	Days to Maturity	Maturity Date
Certificates of Deposit - Bank												
SYS1061	1061	TowneBank		04/30/2019	5,000,000.00	5,000,000.00	5,000,000.00	3.210	3.166	3.210	29	11/30/2019
SYS1094	1094	TowneBank		09/27/2019	5,093,756.42	5,093,756.42	5,093,756.42	2.480	2.446	2.480	178	04/27/2020
SYS1113	1113	TowneBank		10/29/2019	5,094,643.01	5,094,643.01	5,094,643.01	2.380	2.347	2.380	210	05/29/2020
Subtotal and Average			14,938,572.10		15,188,399.43	15,188,399.43	15,188,399.43		2.650	2.687	140	
NC Capital Management Trust												
SYS33	33	N C Capital Management Trust			1,655,434.19	1,655,434.19	1,655,434.19	1.700	1.677	1.700	1	
SYS745	745	N C Capital Management Trust			34,698,327.58	34,698,327.58	34,698,327.58	1.930	1.904	1.930	1	
SYS988	988	N C Capital Management Trust			184,168.51	184,168.51	184,168.51	1.700	1.677	1.700	1	
Subtotal and Average			43,398,213.36		36,537,930.28	36,537,930.28	36,537,930.28		1.892	1.918	1	
Passbook/Checking Accounts												
SYS735	735	Bank of America			1,212,187.11	1,212,187.11	1,212,187.11		0.000	0.000	1	
SYS706	706	First Citizens Bank		07/01/2019	100.00	100.00	100.00	0.001	0.001	0.001	1	
SYS974	974	First Horizon Bank		07/01/2019	1,192,912.13	1,192,912.13	1,192,912.13		0.000	0.000	1	
Subtotal and Average			2,584,144.16		2,405,199.24	2,405,199.24	2,405,199.24		0.000	0.000	1	
Money Market Accounts												
SYS733	733	Bank of America			7,688,029.68	7,688,029.68	7,688,029.68	1.500	1.479	1.500	1	
SYS1082	1082	Carter Bank		07/24/2019	100,563.91	100,563.91	100,563.91	2.090	2.061	2.090	1	
SYS954	954	CresCom Bank			1,036,456.50	1,036,456.50	1,036,456.50	1.450	1.430	1.450	1	
SYS946	946	First Bank			2,094,972.83	2,094,972.83	2,094,972.83	2.050	2.022	2.050	1	
SYS975	975	First Horizon Bank			100,018.53	100,018.53	100,018.53	1.500	1.479	1.500	1	
SYS899	899	First National Bank			3,257,645.57	3,257,645.57	3,257,645.57	2.200	2.170	2.200	1	
SYS915	915	Pinnacle Bank			3,165,314.06	3,165,314.06	3,165,314.06	1.800	1.775	1.800	1	
SYS916	916	Select Bank & Trust Co.			1,008,871.26	1,008,871.26	1,008,871.26	1.790	1.765	1.790	1	
SYS917	917	Southern Bank & Trust Co.			6,277,790.46	6,277,790.46	6,277,790.46	2.250	2.219	2.250	1	
SYS1032	1032	TowneBank			10,057,368.69	10,057,368.69	10,057,368.69	2.240	2.209	2.240	1	
SYS927	927	Union Bank			24,137.32	24,137.32	24,137.32	0.250	0.247	0.250	1	
Subtotal and Average			33,366,533.62		34,811,168.81	34,811,168.81	34,811,168.81		1.956	1.983	1	
Federal Agency Coupon Securities												
3133EKR65	1090	Federal Farm Credit Bank		09/23/2019	500,000.00	500,751.20	499,940.00	1.800	1.787	1.812	327	09/23/2020
3133EK2C9	1095	Federal Farm Credit Bank		10/15/2019	500,000.00	500,019.84	500,000.00	1.890	1.864	1.890	714	10/15/2021
3133EK3P9	1098	Federal Farm Credit Bank		10/22/2019	500,000.00	500,034.85	500,000.00	1.790	1.765	1.790	356	10/22/2020
3133EJRL5	961	Federal Farm Credit Bank		06/11/2018	500,000.00	502,462.88	500,000.00	2.550	2.515	2.550	223	06/11/2020
3130AH2A0	1089	Federal Home Loan Bank		09/12/2019	500,000.00	500,079.08	500,000.00	2.000	1.973	2.000	678	09/09/2021
3130AH4N0	1091	Federal Home Loan Bank		09/19/2019	1,000,000.00	1,000,306.46	1,000,000.00	2.020	1.992	2.020	322	09/18/2020

Portfolio GUC
CP
PM (PRF_PM2) 7.3.0

Run Date: 11/06/2019 - 11:47

GUC Investments
Portfolio Management
Portfolio Details - Investments
October 31, 2019

Page 2

CUSIP	Investment #	Issuer	Average Balance	Purchase Date	Par Value	Market Value	Book Value	Stated Rate	YTM 360	YTM 365	Days to Maturity	Maturity Date
Federal Agency Coupon Securities												
3130AH4G5	1092	Federal Home Loan Bank		09/19/2019	500,000.00	500,246.72	500,000.00	2.000	1.973	2.000	504	03/19/2021
313380GJ0	1093	Federal Home Loan Bank		09/13/2019	2,250,000.00	2,279,407.50	2,273,332.50	2.000	1.620	1.643	1,043	09/09/2022
313380GJ0	1099	Federal Home Loan Bank		10/23/2019	1,950,000.00	1,975,486.50	1,970,280.00	2.000	1.606	1.628	1,043	09/09/2022
3130ACE26	1103	Federal Home Loan Bank		10/24/2019	2,100,000.00	2,095,275.00	2,095,611.00	1.375	1.581	1.602	332	09/28/2020
3130ACLP7	930	Federal Home Loan Bank		10/30/2017	1,000,000.00	1,000,021.19	1,000,000.00	1.950	1.923	1.950	370	11/05/2020
3130ACVE1	937	Federal Home Loan Bank		12/13/2017	500,000.00	500,167.73	500,000.00	1.800	1.775	1.800	42	12/13/2019
3130ACE26	989	Federal Home Loan Bank		11/02/2018	2,100,000.00	2,095,275.00	2,041,011.00	1.375	2.861	2.900	332	09/28/2020
3134GTFF5	1053	Federal Home Loan Mort Corp		04/08/2019	500,000.00	500,728.80	500,000.00	2.460	2.426	2.460	159	04/08/2020
3134GUAT7	1088	Federal Home Loan Mort Corp		09/13/2019	500,000.00	500,079.51	500,000.00	2.080	2.052	2.080	682	09/13/2021
3134GULE8	1096	Federal Home Loan Mort Corp		10/28/2019	500,000.00	500,033.03	500,000.00	2.000	1.973	2.000	727	10/28/2021
3134G96B8	866	Federal Home Loan Mort Corp		08/24/2016	500,000.00	500,047.33	500,000.00	2.000	1.479	1.500	297	08/24/2020
3134GAYV0	882	Federal Home Loan Mort Corp		12/30/2016	500,000.00	500,081.69	500,000.00	2.000	1.973	2.000	790	12/30/2021
3134GAYV0	883	Federal Home Loan Mort Corp		12/30/2016	500,000.00	500,081.69	500,000.00	2.000	1.973	2.000	790	12/30/2021
3134GAZR8	887	Federal Home Loan Mort Corp		12/30/2016	455,000.00	455,169.94	455,000.00	2.050	2.022	2.050	790	12/30/2021
3134GBV41	932	Federal Home Loan Mort Corp		11/27/2017	500,000.00	500,031.71	500,000.00	1.700	1.677	1.700	26	11/27/2019
3134GBW40	935	Federal Home Loan Mort Corp		11/27/2017	500,000.00	500,049.62	500,000.00	1.750	1.726	1.750	26	11/27/2019
3135G0H55	1100	Federal National Mort Assoc		10/23/2019	2,100,000.00	2,106,237.00	2,105,029.50	1.875	1.646	1.669	423	12/28/2020
3136G3Y74	865	Federal National Mort Assoc		08/24/2016	500,000.00	499,779.24	500,000.00	1.750	1.334	1.353	389	11/24/2020
3136G4GU1	880	Federal National Mort Assoc		11/25/2016	500,000.00	499,891.76	499,500.00	1.400	1.415	1.434	24	11/25/2019
3136G4GU1	881	Federal National Mort Assoc		11/25/2016	500,000.00	499,891.76	499,925.00	1.400	1.386	1.405	24	11/25/2019
3136G4HH9	885	Federal National Mort Assoc		11/30/2016	500,000.00	499,901.91	500,000.00	1.500	1.480	1.500	117	02/26/2020
3136G4HH9	886	Federal National Mort Assoc		11/30/2016	500,000.00	499,901.91	500,000.00	1.500	1.480	1.500	117	02/26/2020
3136G4JZ7	889	Federal National Mort Assoc		12/30/2016	500,000.00	499,950.38	500,000.00	1.625	1.603	1.625	59	12/30/2019
3135G0S53	892	Federal National Mort Assoc		01/27/2017	500,000.00	499,995.41	500,000.00	1.700	1.677	1.700	87	01/27/2020
3135G0H55	992	Federal National Mort Assoc		11/05/2018	2,100,000.00	2,106,237.00	2,057,307.00	1.875	2.818	2.857	423	12/28/2020
Subtotal and Average			22,920,838.84		26,055,000.00	26,117,623.64	25,996,936.00		1.914	1.940	469	
Treasury Coupon Securities												
9128284C1	1000	US Treasury Note		11/07/2018	2,100,000.00	2,105,586.00	2,082,855.45	2.250	2.811	2.850	151	03/31/2020
912828U81	1019	US Treasury Note		01/02/2019	2,250,000.00	2,271,982.50	2,220,468.75	2.000	2.424	2.457	791	12/31/2021
912828W89	1062	US Treasury Note		04/02/2019	2,100,000.00	2,117,451.00	2,076,046.88	1.875	2.240	2.271	881	03/31/2022
912828XW5	1087	US Treasury Note		07/02/2019	2,250,000.00	2,264,377.50	2,251,054.69	1.750	1.710	1.734	972	06/30/2022
912828UF5	1101	US Treasury Note		10/23/2019	2,200,000.00	2,197,580.00	2,197,937.50	1.125	1.599	1.621	60	12/31/2019
912828U81	1102	US Treasury Note		10/23/2019	1,950,000.00	1,969,051.50	1,966,833.98	2.000	1.575	1.596	791	12/31/2021
912828C57	1104	US Treasury Note		10/24/2019	2,100,000.00	2,119,446.00	2,118,867.18	2.250	1.591	1.613	516	03/31/2021
912828W89	1105	US Treasury Note		10/24/2019	2,100,000.00	2,117,451.00	2,115,503.90	1.875	1.543	1.565	881	03/31/2022
9128284C1	1107	US Treasury Note		10/24/2019	2,100,000.00	2,105,586.00	2,105,578.13	2.250	1.609	1.632	151	03/31/2020
912828S27	1108	US Treasury Note		10/25/2019	2,100,000.00	2,084,544.00	2,082,937.50	1.125	1.594	1.616	607	06/30/2021

Portfolio GUC
CP
PM (PRF_PM2) 7.3.0

GUC Investments
Portfolio Management
Portfolio Details - Investments
October 31, 2019

Page 3

CUSIP	Investment #	Issuer	Average Balance	Purchase Date	Par Value	Market Value	Book Value	Stated Rate	YTM 360	YTM 365	Days to Maturity	Maturity Date
Treasury Coupon Securities												
912828T34	1109	US Treasury Note		10/25/2019	2,100,000.00	2,082,696.00	2,080,886.70	1.125	1.583	1.605	699	09/30/2021
912828XW5	1110	US Treasury Note		10/25/2019	1,950,000.00	1,962,460.50	1,959,750.00	1.750	1.537	1.559	972	06/30/2022
912828XY1	1111	US Treasury Note		10/25/2019	2,100,000.00	2,111,949.00	2,112,550.78	2.500	1.592	1.614	242	06/30/2020
912828T34	995	US Treasury Note		11/06/2018	2,100,000.00	2,082,696.00	1,993,605.45	1.125	2.921	2.962	699	09/30/2021
912828UF5	996	US Treasury Note		11/06/2018	2,100,000.00	2,097,690.00	2,061,281.25	1.125	2.727	2.765	60	12/31/2019
912828XY1	997	US Treasury Note		11/06/2018	2,100,000.00	2,111,949.00	2,087,367.20	2.500	2.835	2.875	242	06/30/2020
912828C57	998	US Treasury Note		11/07/2018	2,100,000.00	2,119,446.00	2,066,613.28	2.250	2.901	2.942	516	03/31/2021
912828S27	999	US Treasury Note		11/07/2018	2,100,000.00	2,084,544.00	2,002,792.95	1.125	2.915	2.956	607	06/30/2021
Subtotal and Average			23,547,099.19		37,900,000.00	38,006,486.00	37,582,931.57		2.090	2.119	545	
Miscellaneous Discounts -Amortizing												
Subtotal and Average			4,837,356.44									
Total and Average			145,592,757.70		152,897,697.76	153,066,807.40	152,522,565.33		2.005	2.033	229	



Agenda Item # 3

Meeting Date: November 21, 2019

Item:	Presentation of Annual Audit Report Fiscal Year 2018-19
Contact:	Jeff McCauley
Explanation:	Cherry Bekaert LLP has been engaged by GUC to perform auditing services. Representative(s) from the audit firm will be present at the meeting to answer any questions you may have concerning the report.
Strategic Plan Elements:	<p>Strategic Themes:</p> <ul style="list-style-type: none">• Exceptional Customer Service• Safety, Reliability & Value• Shaping Our Future <p>Objectives:</p> <ul style="list-style-type: none">• Providing competitive rates, while maintaining the financial stability of the utility• Exceeding customer expectations• Safely providing reliable and innovative utility solutions <p>Core Values:</p> <ul style="list-style-type: none">• Exceed Customers' Expectations• Act with Integrity• Value Employees• Deliver Reliable Services• Prioritize Safety• Support the Community
Previous Board Actions:	N/A
Fiscal Note:	N/A
Recommended Action(s):	Accept Annual Audit Report for FY 2018-19

To the Board of Commissioners
Greenville Utilities Commission of the City of Greenville
Greenville, North Carolina

We have audited the financial statements of the business-type activities, each major fund, and the aggregate remaining fund information of Greenville Utilities Commission (the "Commission"), an enterprise fund of the City of Greenville, North Carolina, as of and for the year ended June 30, 2019. Professional standards require that we provide you with information about our responsibilities under generally accepted auditing standards and *Government Auditing Standards*, as well as certain information related to the planned scope and timing of our audit. We have communicated such information in our letter to you dated February 25, 2019. Professional standards also require that we communicate to you the following information related to our audit.

SIGNIFICANT AUDIT MATTERS

Qualitative Aspects of Accounting Practices

Management is responsible for the selection and use of appropriate accounting policies. The significant accounting policies used by the Commission are described in Note 1 to the financial statements. No new accounting policies were adopted and the application of existing policies was not changed during 2019. We noted no transactions entered into by the Commission during the year for which there is a lack of authoritative guidance or consensus. All significant transactions have been recognized in the financial statements in the proper period.

Accounting estimates are an integral part of the financial statements prepared by management and are based on management's knowledge and experience about past and current events and assumptions about future events. Certain accounting estimates are particularly sensitive because of their significance to the financial statements and because of the possibility that future events affecting them may differ significantly from those expected. The most sensitive estimates affecting the Commission's financial statements were:

- Depreciation expense
- Allowance for doubtful accounts
- Net pension liability valuation/LGERS
- Net OPEB liability
- Vacation leave accrual
- Fair value of investments
- Unbilled receivables
- Unamortized bond refunding charges

These estimates were based on depreciable lives; an analysis of historical revenues and historical loss levels; actuarial valuations; reports of accumulated vacation hours and current pay rates; quoted market values; rates and units of utilities consumed within the last month of the year; and debt refunding documents. We evaluated the key factors and assumptions used to develop these estimates to determine that they were reasonable in relation to the financial statements taken as a whole. While the procedures used by management and the estimated amounts seem reasonable at this time, there will usually be differences between these estimates and actual results and these differences may be material.

The financial statement disclosures are neutral, consistent, and clear.

Difficulties Encountered in Performing the Audit

We encountered no significant difficulties in dealing with management in performing and completing our audit.

Corrected and Uncorrected Misstatements

Professional standards require us to accumulate all known and likely misstatements identified during the audit, other than those that are clearly trivial, and communicate them to the appropriate level of management. We did not propose any adjusting journal entries nor did we have any passed adjusting journal entries.

Disagreements with Management

For purposes of this letter, a disagreement with management is a financial accounting, reporting, or auditing matter, whether or not resolved to our satisfaction, that could be significant to the financial statements or the auditor's report. We are pleased to report that no such disagreements arose during the course of our audit.

Management Representations

We have requested certain representations from management that are included in the management representation letter dated October 14, 2019.

Management Consultations with Other Independent Accountants

In some cases, management may decide to consult with other accountants about auditing and accounting matters, similar to obtaining a "second opinion" on certain situations. If a consultation involves application of an accounting principle to the Commission's financial statements or a determination of the type of auditor's opinion that may be expressed on those statements, our professional standards require the consulting accountant to check with us to determine that the consultant has all the relevant facts. To our knowledge, there were no such consultations with other accountants.

Other Audit Findings or Issues

We generally discuss a variety of matters, including the application of accounting principles and auditing standards, with management each year prior to retention as the Commission's auditors. However, these discussions occurred in the normal course of our professional relationship and our responses were not a condition to our retention.

OTHER MATTERS

We applied certain limited procedures to Management's Discussion and Analysis and the required supplementary information as listed in the table of contents, which are required supplementary information ("RSI") that supplements the basic financial statements. Our procedures consisted of inquiries of management regarding 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 did not audit the RSI and do not express an opinion or provide any assurance on the RSI.

We were engaged to report on the individual fund statements and schedules and other schedules which accompany the financial statements but are not RSI. With respect to this supplementary information, we made certain inquiries of management and evaluated the form, content, and methods of preparing the information to determine that the information complies with accounting principles generally accepted in the United States of America, the method of preparing it has not changed from the prior period, and the information is appropriate and complete in relation to our audit of the financial statements. We compared and reconciled the supplementary information to the underlying accounting records used to prepare the financial statements or to the financial statements themselves.

We were not engaged to report on the introductory and statistical sections, which accompany the financial statements but are not RSI. Such information has not been subjected to the auditing procedures applied in the audit of the basic financial statements, and accordingly, we do not express an opinion or provide any assurance on it.

Restriction on Use

This information is intended solely for the information and use of the Board of Commissioners and management of Greenville Utilities Commission and is not intended to be, and should not be, used by anyone other than these specified parties.

Chemy Bekaert LLP

Raleigh, North Carolina

October 14, 2019



Agenda Item # 4

Meeting Date: November 21, 2019

Item:	Resolution for Designating Authorized Representatives for Federal Emergency Management Agency (FEMA) Reporting
Contact:	Jeff McCauley
Explanation:	FEMA requires the Board to designate authorized representatives to serve as agents for the Commission in all matters relating to disaster relief and emergency assistance.
Strategic Plan Elements:	<p>Strategic Themes:</p> <ul style="list-style-type: none">• Safety, Reliability & Value• Shaping Our Future <p>Objectives:</p> <ul style="list-style-type: none">• Safely providing reliable and innovative utility solutions. <p>Core Values:</p> <ul style="list-style-type: none">• Deliver reliable services• Support the Community
Previous Board Actions:	N/A
Fiscal Note:	N/A
Recommended Action(s):	Approve and authorize execution of the attached Resolution

RESOLUTION DESIGNATING AGENTS TO SERVE
ON BEHALF OF GREENVILLE UTILITIES COMMISSION
OF THE CITY OF GREENVILLE, NORTH CAROLINA,
IN ALL MATTERS RELATING TO REIMBURSEMENT FOR
DISASTER RELIEF & EMERGENCY ASSISTANCE

BE IT RESOLVED by the Greenville Utilities Commission of the City of Greenville, North Carolina, that the Accountant Auditor III as the Primary Agent and the Director of Financial Services and Accounting be designated as the Secondary Agent; and

BE IT FURTHER RESOLVED that the above-named agents are authorized to execute and file applications for federal and/or state assistance on behalf of Greenville Utilities Commission for the purpose of obtaining certain state and federal financial assistance; and

BE IT FURTHER RESOLVED that the above-named agents are authorized to represent and act for Greenville Utilities Commission in all dealings with State of North Carolina and the Federal Emergency Management Agency for all matters pertaining to such disaster assistance required; and

BE IT FINALLY RESOLVED that the above-named agents are authorized to act severally.

RESOLVED this the _____ day of _____, 2019.

Joel Butler, Chair

ATTEST:

Tommy Stoughton, Secretary

**RESOLUTION
DESIGNATION OF APPLICANT'S AGENT**

North Carolina Division of Emergency Management

Organization Name (hereafter named Organization) Greenville Utilities Commission	Disaster Number: FEMA -4465-DR-NC
Applicant's State Cognizant Agency for Single Audit purposes (If Cognizant Agency is not assigned, please indicate): NC Department of Public Safety	
Applicant's Fiscal Year (FY) Start July 1, 2019 Month: July Day: 1	
Applicant's Federal Employer's Identification Number 56 - 6000517	
Applicant's Federal Information Processing Standards (FIPS) Number 147 - U7842 - 00	

PRIMARY AGENT	SECONDARY AGENT
Agent's Name Sandy H. Dail	Agent's Name Keith Jones
Organization Greenville Utilities Commission	Organization Greenville Utilities Commission
Official Position Accountant Auditor III	Official Position Director of Financial Services & Accounting
Mailing Address <small>P.O. Box 1847 401 S. Greene Street</small>	Mailing Address <small>P.O. Box 1847 401 S. Greene Street</small>
City, State, Zip Greenville, NC 27834	City, State, Zip Greenville, NC 27834
Daytime Telephone (252) 551-1476	Daytime Telephone (252) 329-2181
Facsimile Number (252) 551-3302	Facsimile Number (252) 551-3302
Pager or Cellular Number (252) 531-7536	Pager or Cellular Number (252) 378-6350

BE IT RESOLVED BY the governing body of the Organization (a public entity duly organized under the laws of the State of North Carolina) that the above-named Primary and Secondary Agents are hereby authorized to execute and file applications for federal and/or state assistance on behalf of the Organization for the purpose of obtaining certain state and federal financial assistance under the Robert T. Stafford Disaster Relief & Emergency Assistance Act, (Public Law 93-288 as amended) or as otherwise available. BE IT FURTHER RESOLVED that the above-named agents are authorized to represent and act for the Organization in all dealings with the State of North Carolina and the Federal Emergency Management Agency for all matters pertaining to such disaster assistance required by the grant agreements and the assurances printed on the reverse side hereof. BE IT FINALLY RESOLVED THAT the above-named agents are authorized to act severally. PASSED AND APPROVED this day of , 20 .

GOVERNING BODY	CERTIFYING OFFICIAL
Name and Title Joel Butler, Chair	Name Tony Cannon
Name and Title Tommy Stoughton, Secretary	Official Position General Manager/CEO
Name and Title	Daytime Telephone (252) 551-1500

CERTIFICATION

I, Amy Wade, (Name) duly appointed and Executive Secretary (Title) of the Governing Body, do hereby certify that the above is a true and correct copy of a resolution passed and approved by the Governing Body of Greenville Utilities Commission (Organization) on the _____ day of _____, 20__.

Date: _____

Signature: _____

APPLICANT ASSURANCES

The applicant hereby assures and certifies that it will comply with the FEMA regulations, policies, guidelines and requirements including OMB's Circulars No. A-95 and A-102, and FMC 74-4, as they relate to the application, acceptance and use of Federal funds for this Federally assisted project. Also, the Applicant gives assurance and certifies with respect to and as a condition for the grant that:

1. It possesses legal authority to apply for the grant, and to finance and construct the proposed facilities; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with the provisions of: Executive Order 11988, relating to Floodplain Management and Executive Order 11990, relating to Protection of Wetlands.
3. It will have sufficient funds available to meet the non-Federal share of the cost for construction projects. Sufficient funds will be available when construction is completed to assure effective operation and maintenance of the facility for the purpose constructed.
4. It will not enter into a construction contract(s) for the project or undertake other activities until the conditions of the grant program(s) have been met.
5. It will provide and maintain competent and adequate architectural engineering supervision and inspection at the construction site to insure that the completed work conforms with the approved plans and specifications; that it will furnish progress reports and such other information as the Federal grantor agency may need.
6. It will operate and maintain the facility in accordance with the minimum standards as may be required or prescribed by the applicable Federal, State and local agencies for the maintenance and operation of such facilities.
7. It will give the grantor agency and the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
8. It will require the facility to be designed to comply with the "American Standard Specifications for Making Buildings and Facilities Accessible to, and Usable by the Physically Handicapped," Number A117.1-1961, as modified (41 CFR 101-17-7031). The applicant will be responsible for conducting inspections to insure compliance with these specifications by the contractor.
9. It will cause work on the project to be commenced within a reasonable time after receipt of notification from the approving Federal agency that funds have been approved and will see that work on the project will be prosecuted to completion with reasonable diligence.
10. It will not dispose of or encumber its title or other interests in the site and facilities during the period of Federal interest or while the Government holds bonds, whichever is the longer.
11. It agrees to comply with Section 311, P.L. 93-288 and with Title VI of the Civil Rights Act of 1964 (P.L. 83-352) and in accordance with Title VI of the Act, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement. If any real property or structure is provided or improved with the aid of Federal financial assistance extended to the Applicant, this assurance shall obligate the Applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits.
12. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
13. It will comply with the requirements of Title II and Title III of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and Federally assisted programs.
14. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements of law, program requirements, and other administrative requirements approved in accordance with OMB Circular A-102, P.L. 93-288 as amended, and applicable Federal Regulations.
15. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
16. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.
17. (To the best of his/her knowledge and belief) the disaster relief work described on each Federal Emergency Management Agency (FEMA) Project Application for which Federal Financial assistance is requested is eligible in accordance with the criteria contained in 44 Code of Federal Regulations, Part 206, and applicable FEMA Handbooks.
18. The emergency or disaster relief work therein described for which Federal Assistance is requested hereunder does not or will not duplicate benefits received for the same loss from another source.
19. It will (1) provide without cost to the United States all lands, easements and rights-of-way necessary for accomplishments of the approved work; (2) hold and save the United States free from damages due to the approved work or Federal funding.
20. This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, reimbursements, advances, contracts, property, discounts of other Federal financial assistance extended after the date hereof to the Applicant by FEMA, that such Federal Financial assistance will be extended in reliance on the representations and agreements made in this assurance and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear on the reverse as authorized to sign this assurance on behalf of the applicant.
21. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1973. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Director, Federal Emergency Management Agency as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
22. It will comply with the insurance requirements of Section 314, PL 93-288, to obtain and maintain any other insurance as may be reasonable, adequate, and necessary to protect against further loss to any property which was replaced, restored, repaired, or constructed with this assistance.
23. It will defer funding of any projects involving flexible funding until FEMA makes a favorable environmental clearance, if this is required.
24. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966, as amended, (16 U.S.C. 470), Executive Order 11593, and the Archeological and Historic Preservation Act of 1966 (16 U.S.C. 469a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
25. It will, for any repairs or construction financed herewith, comply with applicable standards of safety, decency and sanitation and in conformity with applicable codes, specifications and standards; and, will evaluate the natural hazards in areas in which the proceeds of the grant or loan are to be used and take appropriate action to mitigate such hazards, including safe land use and construction practices.

STATE ASSURANCES

The State agrees to take any necessary action within State capabilities to require compliance with these assurances and agreements by the applicant or to assume responsibility to the Federal government for any deficiencies not resolved to the satisfaction of the Regional Director.



Agenda Item # 5

Meeting Date: November 21, 2019

Item:	Consideration of Adoption of a Prequalification Policy and the Prequalification Assessment Tool and Criteria for the Water Treatment Plant Project
Contact:	Randy Emory
Explanation:	<p>The GUC Board of Commissioners previously approved the use of the Construction Manager at Risk (CMAR) project delivery method for the construction of the Water Treatment Plant Expansion Project. This project delivery method is also being used for the new Operations Center Project.</p> <p>Subsequent to the Board approval, T.A. Loving Construction Company (TALCO) was selected as the project's CMAR.</p> <p>TALCO has been actively involved in the project's preconstruction phase and has recommended that prequalification of subcontractors be used on this project. Prequalification is the process of evaluating and determining whether potential bidders have the skill, judgment, integrity, sufficient financial resources, and ability necessary to the faithful performance of a contract for construction.</p> <p>North Carolina General Statute 143-135.8 enables governmental entities to prequalify bidders for a particular construction project utilizing the CMAR project delivery method, but requires the board of the entity to:</p> <ol style="list-style-type: none">1. Adopt an objective prequalification policy applicable to all construction or repair work prior to the advertisement of the contract for which the governmental entity intends to prequalify bidders; and2. Adopt the assessment tool and criteria for that specific project, which must include the prequalification scoring values and minimum required score for prequalification on that project. <p>Staff has worked with TALCO and developed the attached Prequalification Policy and the Prequalification Assessment Tool and Criteria which are being presented to the Board for consideration.</p> <p>Adoption of these documents will allow GUC and TALCO to use prequalification of subcontractors for all components of the Water Treatment Plant Expansion Project.</p>

**Strategic Plan
Elements:**

Strategic Themes:

- Safety, Reliability & Value
- Shaping Our Future

Objectives:

- Safely providing reliable and innovative utility solutions
- Developing and enhancing strategic partnerships
- Embracing change to ensure organizational alignment and efficiency

Core Values:

- Deliver Reliable Services
- Prioritize Safety

**Previous Board
Actions:**

Adoption of a similar policy and assessment tool and criteria were adopted by the Board of Commissioners for the new Operations Center on March 15, 2018. The Board has taken no previous action related to prequalification for the Water Treatment Plant Expansion Project.

Fiscal Note:

N/A

**Recommended
Action(s):**

Adopt the Prequalification Policy and the Prequalification Assessment Tool and Criteria for the Water Treatment Plant Expansion Project.

GREENVILLE UTILITIES COMMISSION

POLICY FOR PREQUALIFICATION OF BIDDERS FOR CONSTRUCTION PROJECTS

A. PURPOSE:

1. The purpose of this prequalification process is to impartially evaluate a contractor, and to properly determine by its responsible business practices, work experience, manpower, and equipment that it is qualified to bid on a construction project, including prime contracts awarded by construction managers pursuant to the Construction Manager at Risk ("CM at Risk") process. The award of contracts should be the result of open competition in bidding; impartiality in the selection of contractors; integrity in business practices; and skillful and safe performance of public contracts.
2. The Bid Agent shall be responsible for prequalifying individual contractors to bid on construction projects when Greenville Utilities Commission (GUC) believes prequalification is preferred. Prequalification is limited to construction or repair projects (regardless of cost) that are bid under the single-prime, separate-prime (multi-prime), or dual bidding methods. A bidder shall be deemed non-responsive if it submits a bid on a construction project subject to prequalification for which it has not been accepted for prequalification in accordance with this policy.
3. Prequalification is prohibited for contracts for architectural, engineering, surveying, construction management at risk services, design-build services, and public-private partnership construction services.
4. The CM at Risk shall use the process outlined in this policy for the prequalification of contractors on CM at Risk projects. The construction manager and GUC shall jointly develop the assessment tool and criteria for each CM at Risk project, including the prequalification scoring values and minimum requirement score.
5. Notwithstanding the fact that a contractor was prequalified, GUC reserves the right to reject a contractor's bid if it is determined that the contractor has not submitted the lowest responsible and responsive bid. The prequalification of the contractor shall not preclude GUC from subsequently concluding that the contractor is not a responsible bidder pursuant to G.S. 143-129. The prequalification of a contractor for a project shall only apply to the individual project. All construction and repair contracts shall be awarded to the lowest responsive and responsible bidder, taking into consideration quality, performance, and the time specified in the bids for the performance of the contract.

B. DEFINITIONS:

1. Bid Agent – Person assigned the responsibility to prepare the request for qualification, bid, and contract documents, advertise bids and proposals, and open bids for contracts under the direction of the Project Manager. The Bid Agent may be a professional services consultant retained by GUC under an approved contract, the Construction Manager (for CM at Risk projects), a GUC engineer or designee, the Purchasing Officer, or a department head responsible for the project.
2. Project Manager – Employee of the department responsible for a construction, repair, or purchasing project requiring a contract who shall be assigned the responsibility for managing the project and representing the department in matters relating to the project.
3. Construction Manager at Risk – A person, corporation, or entity that provides construction management at risk services. May also be referred to as Construction Manager.

4. Prequalification - A process of evaluating and determining whether potential bidders have the skill, judgment, integrity, sufficient financial resources, and ability necessary to the faithful performance of a contract for construction or repair work.
5. Purchasing Officer– Person in the Finance Department responsible for the overall conduct or oversight of all procurement activities of GUC.

C. PREQUALIFICATION PROCESS:

1. Each prospective bidder on contracts identified for prequalification by the Bid Agent and all CM at Risk projects shall submit an application on the approved prequalification application form in order to become prequalified.
2. The approved prequalification application form will require information to be provided on the ownership of the firm, experience of firm's personnel, any affiliations with other construction firms, bonding capacity, financial resources, the type of work performed by the firm, and other objective criteria rationally related to the particular contract to be awarded.
3. The Bid Agent shall ensure that applications prepared for the projects comply with this policy and State law. The application is to be submitted by the deadline established in the notice of prequalification. The notice must be posted on GUC's website for a minimum of two weeks for any construction project estimated to be \$30,000 or more. The act of submitting the application does not permit the firm to submit a bid. Incomplete applications will be rejected or returned for further detail or correction in the sole discretion of GUC.

D. APPLICATION:

1. The application shall, at a minimum, address the following items:
 - a. **Organizational Structure** – The firm shall provide a list of all owners, officers, partners, or individuals authorized to represent or conduct business for or sign legal documents for the firm. This list must include the full legal name, typed or printed in a clear legible form. Firms experiencing changes in ownership, organizational structure, or material changes in assets must inform the Bid Agent prior to the award of a contract. Failure of the firm to comply with this requirement may result in the termination of any contract awarded by GUC.
 - b. **Classification** – The firm shall indicate the type(s) of work the firm's workforce and equipment normally perform, licensure, and other pertinent information.
 - c. **Experience** – The firm shall furnish a history documenting experience with projects of similar size, scope, or complexity involving the type(s) of work for which prequalification is requested.
 - d. **Financial** – Firms will be required to provide a minimum of one year of complete audited financial statements from the most current period available.
 - e. **Litigation/Claims** - The firm will be required to submit information regarding its litigation history, including litigation with owners and subcontractors.
 - f. **Timeliness** - Firms must provide information on its success at completing projects on time, including the payment of liquidated damages.
 - g. **Capacity** - Firms shall demonstrate sufficient bonding capacity, insurance and

resources for the project. Firms must provide relevant information on the personnel that will be directly responsible for the work, including the location of the office that will be primarily responsible for work.

- h. **Safety** - Firms shall also demonstrate an acceptable safety history. Firms must provide copies of any complaints, safety violations or reports from the North Carolina Qualifications Board, OSHA, or any other regulating agency associated with any construction project.
- i. **Legal Authorization** –The Applicant must provide a copy of their North Carolina Contractor's License, or provide a statement indicating that they are able to acquire one before submitting a bid on a project. If a statement is required, the Applicant shall identify the states in which they are licensed for this type of work.

E. REVIEW OF APPLICATION – GUC BID PROJECTS:

- 1. **Prequalification Committee** – The Project Manager shall establish a Prequalification Committee for each project to review and score applications submitted by the firms to determine the prequalification eligibility.
- 2. **Review of Applications** – The Prequalification Committee shall use an objective assessment process and criteria for that specific project. The prequalification criteria shall not require the firm to have previously been awarded a construction or repair project by GUC. The prequalification criteria used by the Prequalification Committee shall include prequalification scoring values and the minimum required score to be prequalified for the project. The Prequalification Committee shall approve or deny the applications in accordance with the prequalification criteria and scoring system.
- 3. **Notice of Decision** – The firms shall be promptly notified in writing of the Prequalification Committee's decision via e-mail and first class mail. The notification to a contractor determined not to be prequalified shall include the reason(s) for denial. Notice shall be provided prior to the advertisement of bids for the project and with sufficient time for the firm to protest the denial of prequalification.

F. REVIEW OF APPLICATION – CM AT RISK PROJECTS:

- 1. **Prequalification Committee** - The Construction Manager and the Project Manager shall agree upon the members of the Construction Manager's Prequalification Committee. The Prequalification Committee will review prequalification applications submitted by the firms and will determine prequalification eligibility for the CM at Risk project.
- 2. **Review of Applications** - The Prequalification Committee and the Project Manager shall agree upon an objective assessment process. The Construction Manager and the Project Manager shall develop prequalification criteria, including prequalification scoring values and the minimum required score to be prequalified for the project. The prequalification criteria shall not require the firm to have previously been awarded a construction or repair project by the Construction Manager or GUC. The Prequalification Committee shall approve or deny the applications in accordance with the prequalification criteria and scoring system.
- 3. **Notice of Decision** - The firms shall be promptly notified of the Prequalification Committee's decision via e-mail and first class mail. The notification to a contractor determined not to be prequalified shall include the reason(s) for denial. Notice shall be provided prior to the advertisement of bids for the project and with sufficient time for the firm to protest the denial of

prequalification.

G. PROTEST PROCEDURE:

1. Protest Procedure – The protest procedure is as follows:

- a. The firm may protest the denial of prequalification. A written protest must be received by the Purchasing Officer, or designee, Project Manager and/or the Construction Manager, via hand delivery or e-mail within five (5) business days of notice of denial. The written protest shall clearly identify the project and the Project Manager, clearly articulate the reasons for the protest, and attach any documents or additional information in support of the firm's position. The Purchasing Officer, or designee, Project Manager and/or the Construction Manager, will contact the firm and set up a date and time to discuss the protest. If upon review, the Project Manager and/or the Construction Manager, Purchasing Officer, or designee, determines that the firm meets the criteria for prequalification, the firm shall be notified that it is prequalified to bid on the project and allowed to participate in the bid process. If the Project Manager and/or the Construction Manager, Purchasing Officer, or designee, upholds the denial, the firm shall be notified in writing by e-mail and first class mail.
- b. If the firm desires further review after receiving the decision of the Project Manager and/or the Construction Manager Purchasing Officer, the firm may request an administrative review and final decision by the GUC General Manager/CEO, or designee. A written request for administrative review must be received by GUC General Manager/CEO, or designee, within three (3) business days of the firm's receipt of the decision from the Project Manager and/or the Construction Manager, Purchasing Officer, or designee. The request for administrative review shall clearly identify the project and the Project Manager, clearly articulate the reasons for the review, and attach any documents or additional information in support of the firm's position. GUC General Manager/CEO, or designee, will contact the firm and set up a date and time for the administrative review. If, upon review, the GUC General Manager/CEO, or designee, determines that the firm meets the criteria for prequalification, the firm shall be notified that it is prequalified to bid on the project and allowed to participate in the bid process. If GUC General Manager/CEO, or designee, upholds the denial, the firm shall be notified in writing by e-mail and first class mail.

2. General Rules for Protests – Firms submitting applications shall be provided an e-mail address for communication with the Project Manager and/or the Construction Manager or the Purchasing Officer during the protest process. The firm shall provide at least two e-mail addresses for use by the Project Manager and/or the Construction Manager or the Purchasing Officer in communicating with the firm. The bid opening cannot occur (for the Bid Packages in dispute) until the protest process is completed. The bid opening must be scheduled in order to allow sufficient time for a bidder that is prequalified as a result of a protest to submit a bid on that project.

T. A. Loving Company

Prequalification Ratings Matrix for First-Tier Subcontractors under CM @ Risk

Date: _____
 Project _____
 Name: GUC Water Treatment Plant Phase 1 WTP Improvements

1
Subcontractor

Form #	Description	Max Pts	Pts
1. GENERAL COMPANY INFORMATION			
1.1	Primary/Main Office Location	2	
1.2	Business Type	1	
1.3	Licensing Information	1	
1.4	Type of Work Performed	1	
1.5	Bonding - Surety letter attached	3	
1.6	Bonding - Funds expended by Surety Co. on firm's behalf	2	
1.7	Insurance certificate attached	3	
1.8	Financials - Listed/attached (0 or 5)	5	
	Subtotal	18	0

2. GENERAL REQUIREMENTS			
2.1	Annual dollar value last 3 years	3	
2.2	Number of current projects under contract	3	
2.3	Largest job completed	5	
2.4	Current project references	9	
2.5	Office - Project managed and directed from NC office	3	
2.6	Litigation/Claims - last 5 years	3	
2.7	Litigation/Claims - Currently outstanding against company	3	
2.8	Failed to complete construction contract	5	
2.9	Paid Liquidated Damages on a project	5	
2.10	Convicted of conflicts of interest/bribery/bid-rigging	3	
2.11	Barred from public work in NC	3	
2.12a	Safety EMR rating/OSHA logs and summaries	2	
2.12b	Safety - OSHA fines/jobsite fatalities	2	
2.12c	Safety - written safety/health program	2	
2.12d	Safety - Weekly safety and health program	2	
2.12e	Safety - Weekly safety and health inspections	2	
2.13	Documented HUB Plan	2	
	Subtotal	57	0

T. A. Loving Company

Prequalification Ratings Matrix for First-Tier Subcontractors under CM @ Risk

Date: _____
 Project _____
 Name: GUC Water Treatment Plant Phase 1 WTP Improvements

1
Subcontractor

Form #	Description	Max Pts	Pts
--------	-------------	---------	-----

3. PROJECT SPECIFIC REQUIREMENTS

3.1	Project Superintendent included resume	1	
3.2	Superintendent Experience	3	
3.3	Project Manager included resume	1	
3.4	Project Manager Experience	3	
3.5	Similar Project References	15	
	Subtotal	23	0

4. SIGNATURE

4	Fully executed including notary	2	
	Subtotal	2	0

	TOTAL POINTS	100	0
--	---------------------	------------	----------

All scores 80 and above will be prequalified.

T. A. LOVING COMPANY

Prequalification Form for First-Tier Subcontractors under CM at Risk

A minimum of 80 points required for prequalification

Pursuant to the NC Statute GS143-128.1, 143-135.8 and the Greenville Utilities Commission (GUC) Policy for Prequalification of Bidders for Construction Projects (attached), this form gathers information about the Subcontractor seeking to qualify for the work and provides a general format for the prequalification criteria. Completing this questionnaire does not guarantee prequalification. Evaluation of the submittal shall be performed by the Prequalification Committee in accordance with the statutes and policies.

Prequalification Due Date: January 7, 2020

Submitted To: **Michael Cox**
T. A. Loving Company
PO Drawer 919 Goldsboro, NC 27533
(400 Patetown Road Goldsboro, NC 27530)
P 919-734-8400 | F 919-736-2148
guc.wtp@taloving.com

Project: **Name:** GUC Water Treatment Plant Phase 1 WTP Improvements
Owner: Greenville Utilities Commission
Location: 1721 Water Way Road, Greenville, NC 27834

Engineer: **Hazen and Sawyer, DPC**
Project Manager: David S. Briley, PE

Construction Duration: 24 months (tentative)

Advertisement to Bid: February, 2020

Bid Date: TBD – Bid dates for each bid package will be provided in bid documents.

Performance & Payment Bond: Required for Bid Packages \$100,000 or higher

Bid Bond: Required for Bid Packages \$300,000 or higher

Project Description:

- The project consists of upgrades to the existing Water Treatment Facility to increase daily capacity to 32 MGD. The work will include construction of a new rapid mix/pre-chemical facility, new 10-MGD Super Pulsator clarifier, and new dual media filters. Upgrades and improvements will also be made to the existing raw water pump station, existing sedimentation basins, and filter backwash supply. The project will also include the construction of a new clearwell pump station and a new bulk chemical storage facility, along with associated sitework, yard piping, chemical feed, electrical, and instrumentation and controls.

Instructions to Prequalify:

- For questions about this form contact Michael Cox (919-734-8400). Questions and assistance with forms may also be directed to Randy Langston (919-734-8400), or via email: guc.wtp@taloving.com.
- Forms may be submitted electronically via email (guc.wtp@taloving.com; one attachment only preferred), mail, or hand delivery to Michael Cox Please make sure, if submitting hand written form, that all information is clearly printed.
- The following forms are provided for reference only and are not required to be submitted with prequalification form:
 - Sample Prequalification Ratings Matrix
 - Greenville Utilities Commission Policy for Prequalification of Bidders for Construction Projects.

T. A. LOVING COMPANY

Prequalification Form for First-Tier Subcontractors under CM at Risk

A minimum of 80 points required for prequalification

If your firm is interested in prequalifying for this project, please check the box for your trade(s). If multiple bid packages are selected, please make sure that project experiences and references are provided to allow Prequalification Committee to evaluate your firm for EACH bid package selected. This is a preliminary list of Bid Packages and may change based on response and qualified bidders.

Check Box if Prequalifying	Bid Package
<input type="checkbox"/>	BP-001: Erosion Control and Sitework
<input type="checkbox"/>	BP-002: Retaining Wall
<input type="checkbox"/>	BP-003: Masonry
<input type="checkbox"/>	BP-004: Structural Steel
<input type="checkbox"/>	BP-005: Roofing
<input type="checkbox"/>	BP-006: Waterproofing, Dampproofing, and Joint Sealants
<input type="checkbox"/>	BP-007: Doors, Frames, and Hardware
<input type="checkbox"/>	BP-008: Roll-Up Door
<input type="checkbox"/>	BP-009: Glass and Glazing, Windows, and Storefronts
<input type="checkbox"/>	BP-010: Paints and Coatings
<input type="checkbox"/>	BP-011: Acoustical Ceilings
<input type="checkbox"/>	BP-012: Signage and Fire Extinguishers
<input type="checkbox"/>	BP-013: Pre-Engineered Metal Buildings
<input type="checkbox"/>	BP-014: Translucent Skylights
<input type="checkbox"/>	BP-015: Heating, Ventilation, and Air Conditioning (HVAC)
<input type="checkbox"/>	BP-016: Plumbing
<input type="checkbox"/>	BP-017: Electrical
<input type="checkbox"/>	BP-018: Fire Sprinkler System
<input type="checkbox"/>	BP-019: Water Treatment Plant Construction
<input type="checkbox"/>	BP-020: Yard Piping and Appurtenances

Date Form Received by T. A. Loving Company: _____

T. A. LOVING COMPANY

Prequalification Form for First-Tier Subcontractors under CM at Risk

A minimum of 80 points required for prequalification

SECTION 1. GENERAL COMPANY INFORMATION

1.1. Office Location

Company Name: _____

Physical Address: _____

Mailing Address: _____

City/State/Zip: _____

Phone: _____ Fax: _____

Primary Contact: _____ Email address: _____

(Contact person for Prequalification Committee.)

Bidding Contact: _____ Email address: _____

(Person to receive bid documents, addenda, clarifications and other bid notices.)

(Prequalification Ratings Matrix: If completely filled in give 2 points. If not, give 0 points.)

1.2. Business Type

Business Type (check box)

☐ Sole Proprietor ☐ Partnership ☐ Corporation ☐ LLC ☐ Other ☐ Joint Venture

How many years has your organization been in business as a Contractor? _____

How many years has your organization been in business under its present business name? _____

HUB Certification - Indicate your NC Statewide Uniform Certification: (check box)

☐ Black ☐ Hispanic ☐ Asian-American ☐ American Indian ☐ Female ☐ None

☐ Socially and Economically Disadvantage ☐ Disabled-Owned ☐ Disabled Business Enterprise

See website link for more information: <http://www.doa.nc.gov/hub/swuc-htm>

Is your firm registered with the State of North Carolina to do business? ☐ Yes ☐ No

Is your firm owned or controlled by a parent or any other organization? ☐ Yes ☐ No

If yes, describe Ownership: _____

List all other names your firm has operated as for the past (5) years: _____

(Prequalification Ratings Matrix: If completely filled in give 1 point. If not, give 0 points.)

1.3. Licensing Information

Please provide all North Carolina professional licenses and license limit/level required for you to perform your services on this project. _____

Has any license ever been denied or revoked? ☐ Yes ☐ No

If yes, please describe: _____

(Prequalification Ratings Matrix: If completely filled in give 1 point. If not, give 0 points.)

T. A. LOVING COMPANY

Prequalification Form for First-Tier Subcontractors under CM at Risk

A minimum of 80 points required for prequalification

1.4. Type of Work Performed on a Regular Basis

Primary Scope of Work: _____

Secondary Scope of Work: _____

Other Scope of Work: _____

What type of work do you self- perform? _____

What Percent of work is performed with your own forces _____ %

How many full time permanent employees do you currently have? _____

Has your company participated in a CMAR project before? ☐ Yes ☐ No

(Prequalification Ratings Matrix: If completely filled in give 1 point. If not, give 0 points.)

1.5. Bonding - Surety Letter

Attach letter, dated within the last 30 days, from your surety company, signed by their Attorney in Fact, verifying their willingness to issue sufficient payment and performance bonds for this project, on behalf of your firm and the dollar limits of that bond commitment, both single and aggregate. Surety company bond rating shall be rated "A" or better under the A.M. Rating system or The Federal Treasury List.

Have you attached a surety letter? ☐ Yes ☐ No

(Prequalification Ratings Matrix: If surety letter attached give 3 points. If not, give 0 points.)

1.6. Bonding – Funds Expended by Surety Company

Have any funds been expended by a Surety Company on your firm's behalf? ☐ Yes ☐ No

If yes, explain: _____

(Prequalification Ratings Matrix: if no funds expended by Surety Company, give 2 points. If yes, give 0 points.)

1.7. Insurance

The minimum requirement of insurance coverage is listed below. Firms must indicate that they can provide evidence of insurance coverage, should they be the successful bidder by attaching a copy of their current insurance certificate.

Have you attached a copy of your insurance certificate? ☐ Yes ☐ No

- General Liability with a required limit of no less than \$1,000,000 each occurrence for bodily injury and property damage, \$2,000,000 Annual Aggregate
- Worker's Compensation with the required limit of no less than \$500,000 each accident, \$500,000 Disease policy limit, \$500,000 Disease each employee
- Additional Insured – T. A. Loving Company and the City of Greenville for the use and benefit of Greenville Utilities Commission
- Excess Liability (Umbrella) policy with the required limit of no less than \$1,000,000 each occurrence
- Automobile liability insurance combined single limit of \$1,000,000 for bodily injury and property damage per each occurrence.

(Prequalification Ratings Matrix: If insurance certificate attached give 3 points. If not, give 0 points.)

T. A. LOVING COMPANY

Prequalification Form for First-Tier Subcontractors under CM at Risk

A minimum of 80 points required for prequalification

1.8. Financials & Banking

Attach latest 2 years fiscal year-end balance sheets and income statements, along with current interim financials (if available). Independently prepared financial statements preferred. (Firm must submit financial data and may clearly indicate a request for confidentiality to avoid this item from becoming part of public record.)

Have you attached required financial statements? ☐ Yes ☐ No

Provide the following information as it relates to your primary corporate banking relationship.

Name of Bank: _____

Contact Person: _____ Contact Phone #: _____

Total available Bank Line of Credit: \$ _____

Total current borrowings against Bank Line of Credit: \$ _____

(Prequalification Ratings Matrix: If financials attached give 5 points. If not, 0 points.)

SECTION 2. GENERAL REQUIREMENTS

2.1. Annual Dollar Value Last Three Years

List the annual dollar value of construction work the company has performed for each year over the last (3) three calendar years (if applicable).

1 year: \$ _____ 2 year: \$ _____ 3 year: \$ _____

(Prequalification Ratings Matrix: For each year completed give 1 point – 3 points maximum)

2.2. Number of Construction Projects Under Contract

How many projects do you currently have under contract or in progress and what is their total dollar value?

A: Number of Projects Under Contract: _____

B: Current Projects Contract Amount: \$ _____

C: Current Amount Remaining to Bill: \$ _____

(Prequalification Ratings Matrix: If section completed give 3 points. If not, give 0 points.)

2.3. Largest Job Completed

What was your largest job COMPLETED within the last three years?

A: Dollar Amount: \$ _____

B: Location: _____

C: Year Completed: _____

(Prequalification Ratings Matrix: Take dollar amount of largest job completed within the last three years and multiply by 1.25. If the result is larger than the estimated budget for this bid package give 5 points. If the result is smaller, give 0 points.)

T. A. LOVING COMPANY

Prequalification Form for First-Tier Subcontractors under CM at Risk

A minimum of 80 points required for prequalification

2.4. Current Project Experience

List the three largest contracts currently under contract or in progress. For each project list the name of the project, owner, architect and general contractor/construction manager and contact information below. Failure to provide current contact information will impact points given by Prequalification Committee.

1. Current Project Name	
Owner Name/Representative	
Owner Phone Number/Email	
Designer Name/Representative	
Designer Phone Number/Email	
CM/GC Name/Representative	
CM/GC Phone Number/Email	
Contract Dollar Amount	
Scope of Work	
Percentage Complete	
Anticipated Completion Date	

2. Current Project Name	
Owner Name/Representative	
Owner Phone Number/Email	
Designer Name/Representative	
Designer Phone Number/Email	
CM/GC Name/Representative	
CM/GC Phone Number/Email	
Contract Dollar Amount	
Scope of Work	
Percentage Complete	
Anticipated Completion Date	

3. Current Project Name:	
Owner Name/Representative	
Owner Phone Number/Email	
Designer Name/Representative	
Designer Phone Number/Email	
CM/GC Name/Representative	
CM/GC Phone Number/Email	
Contract Dollar Amount	
Scope of Work	
Percentage Complete	
Anticipated Completion Date	

(Prequalification Ratings Matrix: For projects above, give up to 9 points for positive references from the Construction Manager/General Contractor. If company contracted directly with the Owner, T. A. Loving Company will contact Owner for reference information.)

T. A. LOVING COMPANY

Prequalification Form for First-Tier Subcontractors under CM at Risk

A minimum of 80 points required for prequalification

2.5. Office Location

Will this project be managed and directed from an office in NC? An office in NC is defined as "The principal place from which the trade or business of the bidder is directed or managed," per GS143-59(c).

☐ Yes ☐ No

(Prequalification Ratings Matrix: If office location is managed and directed from NC office give 3 points. If not, give 0 points.)

2.6. Litigation/Claims Last 5 Years

Has your company been involved in any judgments, claims, arbitrations, mediations proceedings, or suits within the last five years, whether resolved or still pending resolutions? ☐ Yes ☐ No

If yes, state the project name(s), year(s), case number and reason why: _____

(Prequalification Ratings Matrix: If company has been involved in any litigation indicated above without adequate explanation, give 0 points. If no, or if adequate explanation provided, give 3 points.)

2.7. Litigation/Claims Currently Outstanding

Are there currently any judgments, claims, arbitration or mediation proceedings or suits pending or outstanding against your company, its officers, owners or agents? ☐ Yes ☐ No

If yes, state the project name(s), year(s), case number and reason why: _____

(Prequalification Ratings Matrix: If there are currently any litigation indicated above against your company without adequate explanation, give 0 points. If no, or if adequate explanation provided, give 3 points.)

2.8. Failure to Complete Construction Contract

Has your company failed to complete work awarded to it within the last 15 years? ☐ Yes ☐ No

If yes, state the project name(s), year(s), and reason why: _____

(Prequalification Ratings Matrix: If yes without sufficient explanation, give 0 points. If no, or if adequate explanation provided, give 5 points.)

2.9. Liquidated Damages

Have you paid liquidated damages on any project within the last 15 years? ☐ Yes ☐ No

If yes, state the project name(s), year(s), and reason why: _____

(Prequalification Ratings Matrix: If yes without sufficient explanation, give 0 points. If no, or if adequate explanation provided, give 5 points.)

T. A. LOVING COMPANY

Prequalification Form for First-Tier Subcontractors under CM at Risk

A minimum of 80 points required for prequalification

2.10. Convicted of Conflicts of Interest/Bribery/Bid-Rigging

Has your present company, its officers, owners, or agents ever been convicted of charges relating to conflicts of interest, bribery, or bid rigging? ☐ Yes ☐ No

If yes, state the project name(s), year(s), and reason why: _____

(Prequalification Ratings Matrix: If yes, give 0 points. If no, give 3 points.)

2.11. Barred From Public Work in NC

Has your present company, its officers, owners, or agents ever been barred from bidding public work in North Carolina?

☐ Yes ☐ No

If yes, state the project name(s), year(s), and reason why: _____

(Prequalification Ratings Matrix: If yes, give 0 points. If no, give 3 points.)

2.12.a. Safety Record

List your company's Experience Modification Rate (EMR) for the past three years.

Present Rate: _____ Previous Rate: _____ Year Before Rate: _____

If EMR is greater than 1.00 for any given year attach OSHA 300 Log and 300A Summaries for previous 5 years. Attached?

☐ Yes ☐ No

Please attach a letter from you insurance carrier substantiating your last 3 year's EMR rates.

Have you attached an EMR letter from your insurance company? ☐ Yes ☐ No

(Prequalification Ratings Matrix: Give 2 points if EMR for all three years is equal to or less than 1.0.

If EMR for any given year above is greater than 1.0 and OSHA 300 Log and 300A Summaries for previous 5 years is attached, give 2 points. If not attached in this case, give 0 points. Two points maximum.)

If these rates reflect corporate performances over a number of locations, please explain, to the extent possible, the performance experience of the location serving this project: _____

2.12.b. Has your company been issued any OSHA fines or had any jobsite fatalities in the past 3 years? ☐ Yes ☐ No

If yes, please provide specific explanation: _____

(Prequalification Ratings Matrix: If yes without sufficient explanation, give 0 points. If no or sufficient explanation provided, give 2 points.

2.12.c. Does your company have a written Safety/Health Program? ☐ Yes ☐ No

2.12.d. Does your company provide weekly safety and health training to your on-site employees? ☐ Yes ☐ No

T. A. LOVING COMPANY

Prequalification Form for First-Tier Subcontractors under CM at Risk

A minimum of 80 points required for prequalification

2.12.e. Does your company perform weekly safety and health inspections of the workplace? ☐ Yes ☐ No

(Prequalification Ratings Matrix: Give 2 points for each yes response above)

2.13. Documented HUB Plan

Does this company currently have a documented plan for engaging subcontractor participation from Historically Underutilized Businesses? ☐ Yes ☐ No If yes, company HUB Plan may be requested by T. A Loving Company.

(Prequalification Ratings Matrix: if company has a current documented HUB plan give 2 points. If no, give 0 points.)

SECTION 3. Project Specifics

3.1. Superintendent Resume

The assigned project superintendent for this project shall be: _____

Include a resume. Have you included a resume? ☐ Yes ☐ No

(Prequalification Ratings Matrix: If resume included, give 1 point. If no, give 0 points.)

3.2. Superintendent Experience

The years of experience this superintendent has on this specific project type is __ <1 __ 1-2 __ 3-4 __ 5 or more

(Prequalification Ratings Matrix: If <1 give 0 points, if 1-2 give 1 point, if 3-4 give 2 points, if 5 or more give 3 points.)

3.3. Project Manager Resume

The assigned project manager for this project shall be: _____

Include a resume. Have you included a resume? ☐ Yes ☐ No

(Prequalification Ratings Matrix: If resume included, give 1 point. If no, give 0 points.)

3.4. Project Manager Experience

The years of experience the project manager has on this specific project type is __ <1 __ 1-2 __ 3-4 __ 5 or more

(Prequalification Ratings Matrix: If <1 give 0 points, if 1-2 give 1 point, if 3-4 give 2 points, if 5 or more give 3 points.)

T. A. LOVING COMPANY

Prequalification Form for First-Tier Subcontractors under CM at Risk

A minimum of 80 points required for prequalification

3.5. Similar Project Experience

List three CURRENT projects that are AT LEAST 75% COMPLETE or 3 completed projects of similar type completed within the last 10 years which most closely reflect the size and complexity of the type of work being requested for the currently proposed project. IF COMPANY HAS WORKED ON A SIMILAR PROJECT WITHIN LAST 10 YEARS WITH T. A. LOVING COMPANY THEN YOU MUST LIST THAT PROJECT BELOW. Failure to provide current contact information will impact points given by Prequalification Committee.

1. Similar Project Name	
Owner Name/Representative	
Owner Phone Number/Email	
Designer Name/Representative	
Designer Phone Number/Email	
CM/GC Name/Representative	
CM/GC Phone Number/Email	
Contract Dollar Amount	
Scope of Work	
Percentage Complete	
Anticipated Completion Date	

2. Similar Project Name	
Owner Name/Representative	
Owner Phone Number/Email	
Designer Name/Representative	
Designer Phone Number/Email	
CM/GC Name/Representative	
CM/GC Phone Number/Email	
Contract Dollar Amount	
Scope of Work	
Percentage Complete	
Anticipated Completion Date	

3. Similar Project Name:	
Owner Name/Representative	
Owner Phone Number/Email	
Designer Name/Representative	
Designer Phone Number/Email	
CM/GC Name/Representative	
CM/GC Phone Number/Email	
Contract Dollar Amount	
Scope of Work	
Percentage Complete	
Anticipated Completion Date	

(Prequalification Ratings Matrix: For projects above, give up to 15 points for positive references from the Construction Manager/General Contractor. If company contracted directly with the Owner, T. A. Loving Company will contact Owner for reference information.)

T. A. LOVING COMPANY

Prequalification Form for First-Tier Subcontractors under CM at Risk

A minimum of 80 points required for prequalification

SECTION 4. Signature

By signing this document, you are acknowledging that all answers are true to the best of your knowledge. **Any answers found to be falsified will bar you from being prequalified on this project.**

Company Name: _____

Dated this day of: _____

Submitted by: _____ (signature)

_____ (print)

_____ (title)

_____ (phone)

_____ (email)

Notary Certification:

North Carolina, _____ County

I, a Notary Public of the County and State aforesaid, certify that _____, personally appeared before me this day and acknowledged the execution of the foregoing instrument. Witness my hand and official seal, this the _____ day of _____, 20__.

Signature of Notary Public

My commission expires _____, 20__

(Prequalification Ratings Matrix: If signature page fully executed give 2 points. If not, give 0 points.)



Agenda Item # 6

Meeting Date: November 21, 2019

Item:	Recommended Award of Construction Contract for the New 3 MG Ground Storage Tank at the Water Treatment Plant
Contact:	Randy Emory
Explanation:	<p>The construction of a new 3 million-gallon (MG) ground storage tank is a necessary part of the Water Treatment Plant Upgrade Project (WCP-117). Construction of the tank will be a distinct phase of work to be performed under a separate contract as this will provide several advantages. This course of action allows us to expedite this portion of the work and will provide more time for critical tie-ins during construction of the process upgrades included in the overall project. GUC will also realize a savings in the overall project cost because the work will be done outside of the CMAR (Construction Manager at Risk) contract thereby avoiding Construction Manager mark-up.</p> <p>In accordance with NC General Statute 149-129(a) the project was publicly advertised for bids and three bids for the construction contract were received at the bid opening on October 24, 2019.</p> <p>The low bidder was Dellinger, Inc., of Monroe, N.C. in the amount of \$3,345,000. The engineer's estimated range for this work was \$3.5 - \$4.0 million.</p> <p>The engineer's recommendation for award and certified bid tabulation are attached.</p>
Strategic Plan Elements:	<p>Strategic Themes:</p> <ul style="list-style-type: none">• Safety, Reliability & Value• Shaping Our Future <p>Objectives:</p> <ul style="list-style-type: none">• Exceeding customer expectations• Safely providing reliable and innovative utility solutions <p>Core Values:</p> <ul style="list-style-type: none">• Exceed Customers' Expectations• Deliver Reliable Services

- Prioritize Safety
- Support the Community

**Previous Board
Actions:**

Approval of the capital project budget WCP – 117 – Water Treatment Plant Upgrade

Fiscal Note:

This project will be funded from the currently approved capital project budget WCP-117.

**Recommended
Action(s):**

Staff recommends the Commission award the construction contract for the new 3 MG Ground Storage Tank to Dellinger, Inc., in the amount of \$3,345,000.



Hazen and Sawyer
4011 WestChase Boulevard, Suite 500
Raleigh, NC 27607 • 919.833.7152

October 30, 2019

Mr. David W. Springer, PE
Assistant Director of Water Resources
Greenville Utilities Commission
801 Mumford Road
P.O. Box 1847
Greenville, NC 27835

Re: Recommendation of Award for the 3 MG Ground Storage Tank Project at the Greenville Utilities Commission Water Treatment Plant

Dear Mr. Springer:

On October 24, 2019, Greenville Utilities Commission received and opened three (3) bids for the 3 MG Ground Storage Tank Project. All bids are believed to be both responsive and competitive as set forth in the attached Bid Tabulation.

The low bidder was Dellinger Inc. with a Total Base Bid Amount of \$3,345,000.00. We have reviewed the bid documentation submitted by Dellinger Inc. and have personal knowledge of their qualifications and capacity to perform. Based on this, we recommend that the Greenville Utilities Commission award the project to Dellinger Inc. in the amount of \$3,345,000.

If you have any questions or require additional information, please contact me at 919-863-9258 or via email at dbriley@hazenandsawyer.com.

Very truly yours,

David S. Briley, PE
Senior Associate

Enclosure

cc: Randy Emory, Greenville Utilities
Kyle Thompson, Hazen and Sawyer



CERTIFIED BID TABULATION
3 MG Ground Storage Tank
Greenville Utilities Commission Water Treatment Plant

Hazen

Bid Opening: October 24, 2019 at 2:00 PM

General Contractor		Dellinger, Inc. PO Box 929 Monroe, NC 28111-0929	State Utility Contractors, Inc. PO Box 5019 Monroe, NC 28111-5019	T.A. Loving Company PO Box 919 Goldsboro, NC 27533
Addenda Acknowledgement		1,2,3	1,2,3	1,2,3
Bid Security		5%	5%	5%
N.C. License No.		5992	17793	325
No.	Item Description	Lump Sum Bid Amount	Lump Sum Bid Amount	Lump Sum Bid Amount
1	Construction of all facilities shown on the contract Drawings and/or as specified, except for the ground storage tank. Bid item includes, but is not limited to all yard piping, associated valves and appurtenances, pressure instrument and associated electrical, and all site/civil work.	\$1,302,000	\$1,703,000	\$2,137,000
2	Construction of all a single 3 MG prestressed concrete storage tank as shown on the contract Drawings and/or as specified. Bid item includes the ground storage tank and all appurtenances located on/in the tank itself.	\$2,040,000	\$1,960,000	\$1,989,000
3	Perform installation of the 30" FW OUT tie-in during a single long-term shutdown in the event leakage is present at the existing 30" BFV and cannot be relied on for isolation. Bid item includes all efforts required for dewatering, removal of existing valve, installation and tie-in of new valve for a complete and operable system. Bid item 3 will only be utilized, if needed, following the field leakage test described in 01520.	\$3,000	\$50,000	\$5,000
TOTAL BASED BID AMOUNT (SUM OF ITEMS 1-3)		\$3,345,000	\$3,713,000	\$4,131,000

Notes:

A. In accordance with Specification Section 00100 Paragraph 8.2, in the case of conflict between the price in words and its equivalent shown in numerals, the words will take precedence.

CERTIFICATION

The Bids tabulated herein were opened and read aloud at 2:00 p.m. on the 24th day of October 2019, in the Engineering Center Conference Room at 801 Mumford Rd, Greenville, North Carolina. The tabulation is correct in that it contains the bid prices as presented on the original Bid Form of each Bidder.

David S. Briley, PE
Senior Associate





Agenda Item # 7

Meeting Date: November 21, 2019

Item:	Consideration of a Resolution Authorizing the General Manager/CEO to Submit an Application to the U.S. Environmental Protection Agency (USEPA) for a Water Infrastructure Finance and Innovation Act of 2014 (WIFIA) Loan for the Water Treatment Plant Expansion Project
Contact:	Randy Emory
Explanation:	<p>The Water Infrastructure Finance and Innovation Act of 2014 is a federal loan program for infrastructure projects that is administered by the U.S. Environmental Protection Agency. The WIFIA program offers flexible, negotiable and highly attractive financial terms to its loan recipients.</p> <p>In the spring of this year the USEPA published a nationwide Notice of Funding Availability (NOFA) for the WIFIA Loan Program. The NOFA invites potential applicants to submit a Letter of Interest which includes a description of the project for which funds would be sought and any supporting documentation.</p> <p>In response to the NOFA, GUC submitted a Letter of Interest, with supporting documentation, indicating that GUC would be interested in applying for a WIFIA loan for its Water Treatment Plant Expansion Project.</p> <p>The USEPA reviews all Letters of Interest that they receive and select certain projects to be invited to apply for a WIFIA loan. EPA staff advises that if a project is invited to apply, they typically will receive the requested funding provided all their conditions and requirements are met.</p> <p>Staff is pleased to inform the Board that on October 10, 2019, GUC was formally invited to apply for credit assistance for up to \$29,415,925, or not to exceed 49% of the total eligible project costs, for WIFIA financing on the WTP Expansion Project.</p> <p>Invitations to apply were received by 38 entities, in 18 states, with GUC being the only entity in North Carolina to receive an invitation.</p> <p>In order to move ahead with this project, it is necessary for the Board to authorize the General Manager/CEO to apply for the WIFIA loan and serve as GUC's authorized representative.</p>

**Strategic Plan
Elements:**

Strategic Themes:

- Safety, Reliability & Value
- Shaping Our Future

Objectives:

- Providing competitive rates, while maintaining the financial stability of the utility
- Safely providing reliable and innovative utility solutions
- Developing and enhancing strategic partnerships
- Embracing change to ensure organizational alignment and efficiency

Core Values:

- Deliver Reliable Services
- Prioritize Safety
- Support the Community

**Previous Board
Actions:**

None for this loan program

Fiscal Note:

WIFIA loan would provide funding assistance for the Water Treatment Plant Expansion Project – WCP- 117.

**Recommended
Action(s):**

Adopt the attached resolution authorizing the General Manager/ CEO to act as authorized official for the Greenville Utilities Commission in connection with the WIFIA funding application for the Water Treatment Plant Expansion Project.

GREENVILLE UTILITIES COMMISSION

RESOLUTION OF AUTHORIZED REPRESENTATIVE TO MAKE APPLICATION TO THE USEPA FOR A WATER INFRASTRUCTURE FINANCE AND INNOVATION ACT LOAN

- WHEREAS, The Federal Water Infrastructure Finance and Innovation Act (WIFIA) of 2014 has authorized the making of loans to aid eligible units of government in financing the cost of construction of infrastructure projects, and
- WHEREAS, The Greenville Utilities Commission of the City of Greenville, North Carolina, a body politic duly chartered by the State of North Carolina, has need for, and intends to expand and upgrade its Water Treatment Plant described as the Greenville Utilities Commission Water Treatment Plant Upgrade Phase I Project, a project necessary to assure continued adequate water service to the Commission's customers, and
- WHEREAS, The Commission, on behalf of the City of Greenville intends to request Federal loan assistance for the project,

NOW THEREFORE BE IT RESOLVED, BY THE GREENVILLE UTILITIES COMMISSION:

That the Greenville Utilities Commission of the City of Greenville, North Carolina, the **Applicant**, will arrange financing for all remaining costs of the project, if approved for a Federal loan award.

That the **Applicant** will adopt and place into effect on or before completion of the project a schedule of fees and charges and other available funds which will provide adequate funds for proper operation, maintenance, and administration of the system and the repayment of all principal and interest on the debt.

That the **Applicant** will provide for efficient operation and maintenance of the project on completion of construction thereof.

That Mr. Anthony C. Cannon, General Manager/CEO, the **Authorized Official**, and successors so titled, is hereby authorized to execute and file an application on behalf of the **Applicant** with the United States Environmental Protection Agency for a WIFIA loan to aid in the construction of the project described above.

That the **Authorized Official**, and successors so titled, is hereby authorized and directed to furnish such information as the appropriate Federal agency may request in connection with such application or the project and to execute such other documents as may be required in connection with the application.

That the **Applicant** has substantially complied, or will substantially comply, with all Federal, State, and local laws, rules, regulations, and ordinances applicable to the project and to Federal and State grants and loans pertaining thereto.

Adopted this the 21st day of November, 2019.

Joel Butler
Chair

ATTEST:

APPROVED AS TO FORM:

Tommy Stoughton
Secretary

Phillip R. Dixon
General Counsel

CERTIFICATION BY RECORDING OFFICER

The undersigned duly qualified and acting Executive Secretary of the Greenville Utilities Commission of the City of Greenville does hereby certify: That the above/attached resolution is a true and correct copy of the resolution authorizing the filing of an application with the State of North Carolina, as regularly adopted at a legally convened meeting of the Greenville Utilities Commission of the City of Greenville duly held on the 21st day of November, 2019; and, further, that such resolution has been fully recorded in the journal of proceedings and records in my office. IN WITNESS WHEREOF, I have hereunto set my hand this _____ day of November, 2019.

Amy Carson Wade, Executive Secretary



Agenda Item # 8

Meeting Date: November 21, 2019

Item:	Consideration of 2020 GUC Meeting Schedule
Contact:	Tony Cannon
Explanation:	<p>The proposed GUC meeting schedule for 2020 is attached for consideration by the Board. GUC holds its regular meetings on the 3rd Thursday of each month at 12:00 p.m., except in June as noted. Other known meetings have also been included on the proposed schedule.</p> <p>GUC has begun its budgeting process for FY 2020-2021. In the past, the Board has opted to use the regularly scheduled meetings to discuss budget issues in lieu of having all day or half day workshops. In addition, the Board Finance/Audit Committee typically meets with staff to review the preliminary budget prior to the initial discussion with the entire Board.</p> <p>The proposed meeting dates for budget preparation, joint meetings with City Council and regular meetings are listed on the attached meeting schedule. If the Board desires to have additional time for budget discussions, other meetings can be scheduled.</p> <p>Staff is recommending the Board adopt the 2020 GUC Meeting Schedule.</p>
Strategic Plan Elements:	<p>Strategic Themes:</p> <ul style="list-style-type: none">• Exceptional Customer Service• Shaping Our Future <p>Objectives:</p> <ul style="list-style-type: none">• Exceeding customer expectations <p>Core Values:</p> <ul style="list-style-type: none">• Exceed Customers' Expectations• Encourage Innovation/Lifelong Learning• Support the Community
Previous Board Actions:	N/A
Fiscal Note:	N/A

**Recommended
Action(s):**

Adopt the 2020 GUC Meeting Schedule.

2020 GUC Meeting Schedule

January	16	12:00	GUC Meeting
February	20	12:00	GUC Meeting
March	9	12:00	Finance/Audit Committee Meeting
	19	12:00	GUC Meeting – Presentation on Preliminary Draft Budget and Plan, Five-year Capital Plans and Finance/Audit Committee Recommendation
April	16	12:00	GUC Meeting – Adopt FY 20-21 preliminary budget
	20	6:00	GUC/COG Joint Meeting
May	14	6:00	City Council Meeting - Presentation of FY 20-21 GUC balanced budget
	21	12:00	GUC Meeting – Adopt end-of-year budget amendments
June	8	6:00	City Council Meeting - Public Hearing FY 20-21 Budget and FY 19-20 Budget Amendments
	11	12:00	GUC Meeting – Adopt final budget for FY 20-21
	11	6:00	City Council Meeting - Adopt FY 20-21 Budget and FY 19-20 Budget Amendments
July	16	12:00	GUC Meeting
August	20	12:00	GUC Meeting
September	17	12:00	GUC Meeting
	21	6:00	GUC/COG Joint Meeting
October	15	12:00	GUC Meeting
November	19	12:00	GUC Meeting
December	17	12:00	GUC Meeting



Agenda Item # 9

Meeting Date: November 21, 2019

Item:	Capital Project Updates
Contact:	Chris Padgett : Kevin Keyzer
Explanation:	An update on capital projects will be given.
Strategic Plan Elements:	<p>Strategic Themes:</p> <ul style="list-style-type: none">• Shaping Our Future• Safety, Reliability & Value• Exceptional Customer Service <p>Objectives:</p> <ul style="list-style-type: none">• Safely providing reliable and innovative utility solutions• Embracing change to ensure organizational alignment and efficiency• Exceeding customer expectations <p>Core Values:</p> <ul style="list-style-type: none">• Deliver reliable services• Support the community• Exceed customers' expectations
Previous Board Actions:	N/A
Fiscal Note:	N/A
Recommended Action(s):	N/A



Agenda Item # 10

Meeting Date: November 21, 2019

Item:	General Manager's Report
Contact:	Tony Cannon
Explanation:	<p>1. Informational Reading</p> <p>Bids, Statistical Data, Sewer Spill Tracking Report, Load Management Report, and PGA Report are attached.</p> <p>The Management Team will be available at the meeting to answer any questions regarding work activities.</p> <p>2. Key Performance Indicators (KPIs)</p> <p>Attached is a list of GUC's Tier 1 corporate Key Performance Indicators (KPIs). We have the following KPIs in the dashboard format for your review as well as the corresponding scorecard:</p> <ul style="list-style-type: none">• Installation of New Services - Water/Sewer• Response Time to Unplanned Electric Outages• Debt Service Coverage• Net Margin <p>3. Commendations</p> <p>4. Other</p>
Strategic Plan Elements:	<p>Strategic Themes:</p> <ul style="list-style-type: none">• Shaping Our Future• Safety, Reliability & Value• Exceptional Customer Service <p>Objectives:</p> <ul style="list-style-type: none">• Embracing change to ensure organizational alignment and efficiency• Developing and enhancing strategic partnerships• Exceeding customer expectations <p>Core Values:</p> <ul style="list-style-type: none">• Value employees

- Encourage innovation/lifelong learning
- Appreciate diversity
- Support the community

**Previous Board
Actions:**

N/A

Fiscal Note:

N/A

**Recommended
Action(s):**


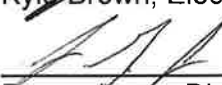
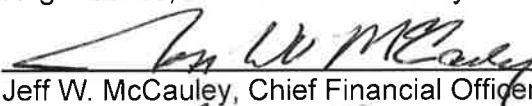
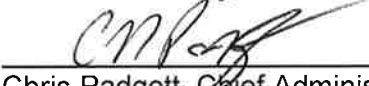
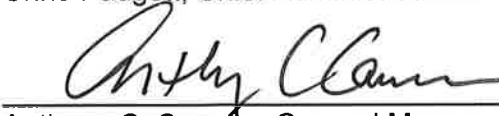
N/A

GREENVILLE UTILITIES COMMISSION
TABULATION OF RE-BIDS RECEIVED FOR
ELECTRICAL TAPE, WIDE RANGE COMPRESSION CONNECTORS (SQUEEZONS),
ALUMINUM SLEEVES, SPLIT BOLT CONNECTORS, AND INSULINKS
SEPTEMBER 19, 2019 @ 4:00 PM

VENDORS	DELIVERY TIME	EXTENSION
Wesco Distribution, Inc.	Stock - 2 Weeks	\$45,407.50*
State Electric Supply	Stock - 45 days	49,413.25

*Indicates recommended award based on the lowest responsible, responsive bid.

Recommended for Award:

 _____ Kyle Brown, Electric Planning Engineer	<u>10-4-19</u> Date
 _____ Roger Jones, Director of Electric Systems	<u>10-7-19</u> Date
 _____ Jeff W. McCauley, Chief Financial Officer	<u>10-8-19</u> Date
 _____ Chris Padgett, Chief Administrative Officer	<u>10-8-19</u> Date
 _____ Anthony C. Cannon, General Manager/CEO	<u>10-8-19</u> Date

Approved for Award:

GREENVILLE UTILITIES COMMISSION

TABULATION OF BIDS RECEIVED

FOR EMPLOYEE UNIFORMS

OCTOBER 9, 2019 @ 3:00 PM

VENDORS	DELIVERY TIME	\$ EXTENSION
J & E Uniforms, Inc.	15-45 Days	\$119,878.79
Unifirst Corporation, Inc.	-	144,196.24
Unimex Corporation	30 Days	164,423.00
Cintas Corporation	7-21 Days	189,601.50


*Indicates recommended award based on the lowest responsible, responsive bid.

Recommended for Award:



Keith Jones, Director of Financial Services and Accounting

10-12-19
Date



Jeff W. McCauley, Chief Financial Officer

10-22-19
Date



Chris Padgett, Chief Administrative Officer

10-24-19
Date

Approved for Award:



Anthony C. Cannon, General Manager/CEO


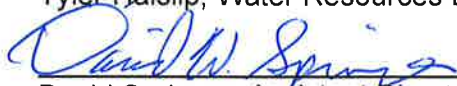
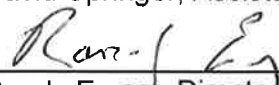


10-24-19
Date

GREENVILLE UTILITIES COMMISSION
TABULATION OF BIDS RECEIVED FOR
SOUTHSIDE PUMP STATION SCREENING STRUCTURE ELECTRICAL WIREWAY REPLACEMENT
OCTOBER 19, 2019 @ 3:00 PM

VENDORS	TOTAL PRICE FOR ITEMS #1 & #2	DELIVERY TIME
Williams Goetz Electric, LLC	39,774.97*	31 Days

*Indicates recommended award based on the lowest responsible, responsive bid.
The RFB was advertised on the GUC website and sent to four vendors.

Recommended for Award:

 _____ Tyler Haislip, Water Resources Engineer I	<u>10/25/19</u> Date
 _____ David Springer, Assistant Director of Water Resources	<u>10/25/19</u> Date
 _____ Randy Emory, Director of Water Resources	<u>10/25/19</u> Date
 _____ Jeff W. McCauley, Chief Financial Officer	<u>11/4/19</u> Date
 _____ Chris Padgett, Chief Administrative Officer	<u>11/5/19</u> Date

Approved for Award:

 _____ Anthony C. Cannon, General Manager/CEO	<u>11-5-19</u> Date
--	------------------------

GREENVILLE UTILITIES COMMISSION

STATISTICAL DATA

Oct-19

	This Month	Same Month Last Year	% Change	Total To Date Past 12 Months	Total To Date Prior Past 12 Months	% Change
ENVIRONMENT						
High Temperature, F	98	92				
Low Temperature, F	41	35				
Degree Days Heating	49.5	159.0		2,632.5	3,124.5	
Degree Days Cooling	111.5	153.5		2,274.5	2,342.5	
Rainfall, Inches	2.67	2.02		54.50	60.12	
River Level-Mean Sea Level						
High, FT	3.1	9.7				
Low, FT	0.1	1.4				
Average FT	1.8	3.3				
ELECTRIC						
Peak Demand, KW	311,242	285,358				
Demand Reduction, KW	69,260	60,560				
KWH Purchased (x1000)	137,536	143,037	-3.8%	1,828,400	1,855,055	-1.4%
KWH Billed (x1000)	151,895	153,758	-1.2%	1,778,904	1,804,666	-1.4%
System Losses, Percent				2.71%	2.72%	
Average Cost/KWH	\$0.0828	\$0.0752				
NATURAL GAS						
MCF Purchased	240,072	260,589	-7.9%	3,511,496	3,639,446	-3.5%
MCF Billed	185,308	171,107	8.3%	3,443,770	3,501,824	-1.7%
System Losses, Percent				1.93%	3.78%	
Average Cost/MCF	4.49	4.95				
WATER						
Peak Day, MG	16.497	16.779				
Average Day, MG	15.394	15.366				
Total Pumped, MG	477.204	476.333	0.2%	5,085.9	4,868.8	4.5%
Total Billed, MG	364.500	323.300	12.7%	4,208.5	4,138.2	1.7%
System Losses, Percent				17.25%	15.01%	
WASTEWATER						
Peak Day, MG	9.89	12.11				
Average Day, MG	9.15	10.43				
Total Flow, MG	283.79	323.48	-12.3%	3,901.37	3,718.30	4.9%
CUSTOMER ACCOUNTS						
Active Services E/W/G	129,199	127,646	1.2%			
Meters Repaired	400	417	-4.1%	3,999	4,794	-16.6%

KW = Kilowatts

KWH = Kilowatthours

MCF = Thousand Cubic Feet

MG = Million Gallons

Water Resources Department
Sewer Spill Tracking Report
November 2018 - October 2019



No.	Date of Spill	Report Date	Location	Manholes		Volume Gallons	Surface Water	If yes, where?		Reportable Yes/No	News Release		Notice of Discharge		Cause of Spill	Corrective Action
				Upstream	Downstream			Name	Volume Gallons		Req'd.	Issued	Req'd.	Issued		
1	11/09/18	11/15/18	MH 5M-086 Outfall line behind Heritage Apts. On W. 5th St.	5M-086	5M-086	42780	Yes	Tar River	42780	Yes	Yes	Yes	Yes	Yes	Other (Pump Station Equipment Failure)	1f
2	11/12/18		5659 Hwy 11 North	N/A	N/A	600	No	N/A	N/A	No	No	No	No	No	Pipe Failure	1e
3	11/18/18		221 West Gum Street/Pollard Street	N/A	N/A	50	No	N/A	N/A	No	No	No	No	No	Roots	2d
4	03/04/19		Corner of Arthur St & Evans St	8J-026	8J-026	25	No	N/A	N/A	No	No	No	No	No	Debris	1c
5	03/06/19	03/12/19	205 Adams Blvd	11H-004	11J-098	50	Yes	Hardee Creek	10	Yes	No	No	No	No	Roots	2d
6	04/01/19	04/01/19	Behind unit #43 at 200 Rollins Dr.	5F-130	5F-130	50	Yes	Green Mill Run	50	Yes	No	No	No	No	Debris	2c
7	05/17/19	05/23/19	Perkins Street	7K-088	7K-088	200	Yes	Green Mill Run	100	Yes	No	No	No	No	Grease	2a
8	10/15/19		Intersection of NC Hwy 11 and North Pitt Rd.	N/A	N/A	748	No	N/A	N/A	No	No	No	No	No	Other (Leaking ARV)	1f

Note: No spills in December, January, February, June, July , August or September

Summary

Total Number of Spills = 8 (4 Reportable;4 Non-Reportable)

Total Spill Volume = 44503 gals or 0.0013% of Total Wastewater Flow

Spill Analysis

<u>Cause</u>	<u>Number of Each</u>	<u>Volume (gals.)</u>
a. Grease	1	200
b. Contractor Damage/Error	0	0
c. Debris	2	75
d. Roots	2	100
e. Pipe Failure	1	600
f. Other	2	43,528

Corrective Action Code

1. Permanent Repair
2. Cleared Blockage & Priority Cleaning Scheduled

GREENVILLE UTILITIES COMMISSION

LOAD MANAGEMENT REPORT

October, 2019

The DEP monthly peak occurred on October 3, 2019 for the hour ending at 4:00 P.M. Our load management system was in full operation during this period with the following estimated reductions observed:

	Estimated KW Load Reduction	Estimated Avoided Demand Costs
<u>Direct Load Control:</u>		
Voltage Adjustment @ Stage 3 (4.6%)	12,900	\$290,508
Air Conditioning Demand Reduction	2,900	\$65,308
Water Heater Demand Reduction	9,700	\$218,444
Heat Pump/Heat Strip Demand Reduction	0	\$0
GUC Generator Reduction:	16,817	\$378,719
<u>Interruptible Load Control:</u>		
MGS-CP & LGS-CP Customer Generators	22,859	\$514,785
Estimated Other Industrial Customer Curtailments	4,083	\$91,949
<u>Total Load Control:</u>	69,259	\$1,559,713
<u>NCEMPA Shifted Peak Credit:</u>		
Power Agency Policy Credit for Contribution to Shifted Peak		
<u>Total Load Reduction and Avoided Costs:</u>	69,259	\$1,559,713

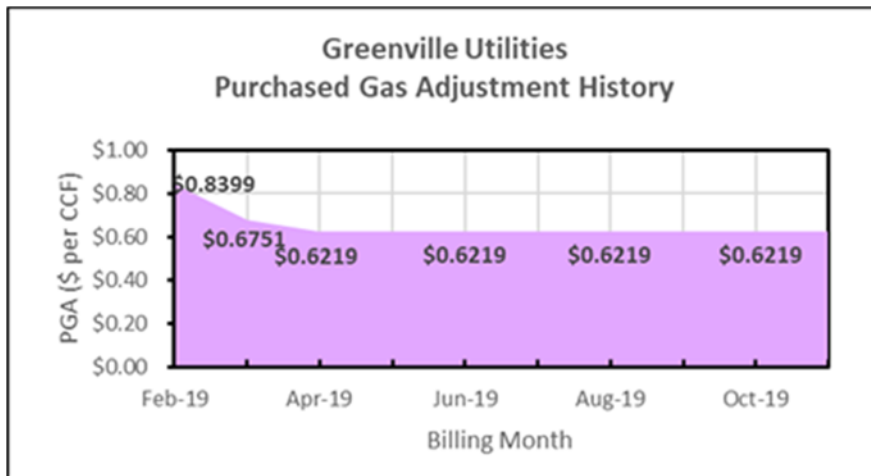
Additional Notes and Comments:

- | | |
|--|----------------|
| 1) Duke Energy Progress (DEP) System Peak: | 11,999 MW |
| 2) GUC Coincident Peak (Less Winterville Demand): | 311,242 KW |
| 3) Local Temperature at Coincident Peak, per PGV: | 97 Degrees F |
| 4) Local "Feels Like" Temperature at Coincident Peak, per PGV: | 99 Degrees F |
| 5) Applicable NCEMPA Demand Rate Charge: | \$22.52 Per KW |

PGA Report November 2019

Please see the PGA history in the table and chart below:

Billing Month	PGA (\$/CCF)	Residential (\$/CCF)	
Feb-19	\$0.8399	\$0.3699	\$1.2098
Mar-19	\$0.6751	\$0.3699	\$1.0450
Apr-19	\$0.6219	\$0.3699	\$0.9918
May-19	\$0.6219	\$0.3699	\$0.9918
Jun-19	\$0.6219	\$0.3699	\$0.9918
Jul-19	\$0.6219	\$0.3396	\$0.9615
Aug-19	\$0.6219	\$0.3396	\$0.9615
Sep-19	\$0.6219	\$0.3396	\$0.9615
Oct-19	\$0.6219	\$0.3396	\$0.9615
Nov-19	\$0.6219	\$0.3396	\$0.9615



Tier 1: Corporate Key Performance Indicators (KPI)

CUSTOMER

- Customer Satisfaction
 - Billing Process Accuracy
 - Installation of New Services
 - Duration of Electric Interruptions (CAIDI)
 - Duration of Electric Interruptions (SAIDI)
 - Frequency of Interruptions in Service – Electric (SAIFI)
 - Response Time to Unplanned Electric Outages
 - Response Time to Cut Gas Lines/Leaks
 - Response Time to Water Leaks/Breaks
 - Typical Monthly Bill Comparisons
-

FINANCIAL

- Overtime Costs
 - Bond Rating
 - Days Operating Cash On Hand
 - Debt Service Coverage
 - Fund Balance (available for appropriation)
 - Net Margin
 - Return on Assets
 - Return on Equity
-

INTERNAL BUSINESS PROCESSES
















- Connections Per Employee
 - Operating Cost Per Customer
 - System Losses – Electric
 - System Losses – Gas
 - System Losses – Water
 - Disruption of Service – Water
 - Preventable Vehicle Accident Rate
-

EMPLOYEES & ORGANIZATIONAL CAPACITY









- Hours Worked Without a Lost Workday Injury
- Restricted Workday Injuries Per 200,000 Hours Worked
- Capital Spending Ratio
- Degree of Asset Depreciation

Corporate KPIs








Customer

Indicator	Goal/Caution	Value	Status
Customer Satisfaction	80.00%	86.00%	
Billing Process Accuracy	99.800%	99.991%	
Install New Service (Electric)	3.00	1.14	
Install New Service (Gas)	15	10.6	
Install New Service (Water/Sewer)	6	5	
Duration of Interruptions - Electric (CAIDI)	82.00	82.42	
Duration of Interruptions - Electric (SAIDI)	65.00	47.94	
Interruptions in Service - Electric (SAIFI)	0.79	0.58	
Response Time to Unplanned Outages	30.00	27.10	
Response Time to Cut Gas Lines/Leaks	0:30:00	0:23:03	
Response Time to Water Leaks	1:00	0:50	
Typical Bill Comparison - Residential Electric	\$119	\$109	
Typical Bill Comparison - Residential Gas	\$70	\$76	
Typical Bill Comparison - Residential Water	\$36	\$37	
Typical Bill Comparison - Residential Sewer	\$48	\$45	

Financial

Indicator	Goal/Caution	Value	Status
Overtime Costs	3%	7%	
Bond Rating	75	85	
Days Operating Cash on Hand	125	143	
Debt Service Coverage	1.75	3.10	
Fund Balance (Available for Appropriation)	16.0%	25.0%	
Net Margin	2.75%	6.74%	
Return on Assets	1.60%	3.04%	
Return on Equity	2.50%	4.67%	

Internal Business Processes

Indicator	Goal/Caution	Value	Status
Connections per Employee	337	341	
Operating Cost per Customer	\$350	\$416	
System Losses - Electric	3.00%	2.62%	
System Losses - Gas	1.50%	0.12%	
System Losses - Water (less than 13.5%)	13.5%	10.8%	
Disruption of Service- Water	6:00	1:30	
Miles Driven Without Preventable Vehicle Incident	1,000,000	617,057	

Employee & Organizational Capacity

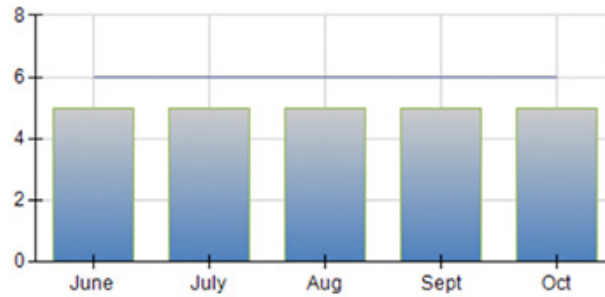
Indicator	Goal/Caution	Value	Status
Hours Worked Without a Lost Workday Injury	3,000,000	2,605,913	
OSHA Recordable Incident Rate	1.00	1.88	
Capital Spending Ratio	120%	107%	
Degree of Asset Depreciation	50%	51%	



Install New Service (Water/Sewer)

Average number of days to install new water/sewer service.

Value: 5 Goal: 6 Warning: 6



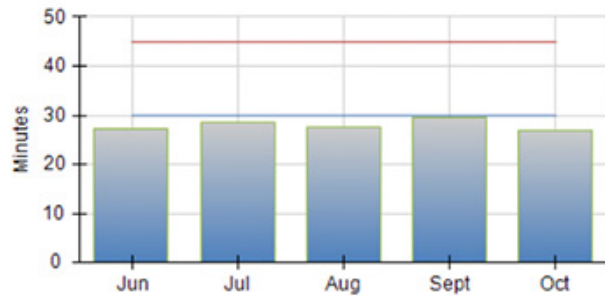
Goal



Response Time to Unplanned Outages

The average number of minutes to respond to a customer outage.

Actual: 27.10 Goal: 30.00 Warning: 45.00



Warning

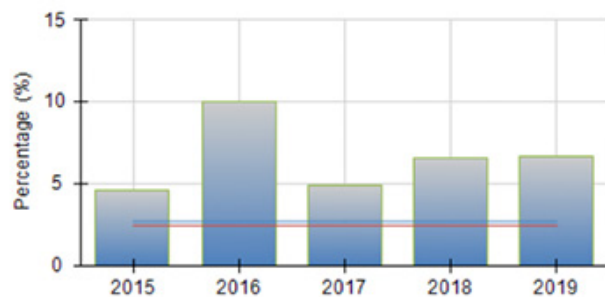
Goal



Net Margin

Net Margin is an annual outcome measure of overall GUC profitability.

Value: 6.74% Goal: 2.75% Warning: 2.50%



Goal
Warning



Debt Service Coverage

Debt Service Coverage is an annual measure used to monitor the overall financial performance of the Utilities. It measures the ratio of operating revenues versus debt service. The minimum levels are 1.0 for all debt and 1.25 for parity. The target levels are set in the Reserve Policy at 1.25 for all and 1.75 for parity.

Value: 3.10 **Goal:** 1.75 **Warning:** 1.00



GUC PERFORMANCE MEASURES

Performance Management Scorecard		Customer
Corporate Objective 16	Improve Customer Satisfaction	
Measure	Install New Service	
Tier	1	Rationale: Measures the timeliness of providing GUC customers with new service
Accountability: Electric, Gas and Water Resources		Frequency: Monthly
DESCRIPTION: Percentage of time when new service is installed within the target time frame. Target for new electric service is 3 days from completion of the application, inspection and occupancy approval. Target for new gas service is 14 days. Target for a new water tap is 6 business days.		
NUMERATOR:	Number of new services installed with the target	
DENOMINATOR:	Total number of new services installed	
TARGET:	90%	DATA SOURCE(S): CIS System

GUC PERFORMANCE MEASURES

Performance Management Scorecard			Customer
Corporate Objective 16	Improve Customer Satisfaction		
Measure	Response Time to Unplanned Electrical Outage		
Tier	1	Rationale: Measures the timeliness of Electric's response to unplanned electrical outages.	
Accountability: Electric		Frequency: Monthly	
DESCRIPTION: Response Time is the measure of time to respond to unplanned customer outages.			
NUMERATOR:	Number of unplanned events with response times meeting target.		
DENOMINATOR:	Total number of unplanned events.		
TARGET:	< 30 minutes	DATA SOURCE(S): Excel spreadsheet	

GUC PERFORMANCE MEASURES

Performance Management Scorecard			Financial
Corporate Objective 15	Improve Financial Performance		
Measure	Debt Service Coverage		
Tier	1	Rationale: Used to measure GUC’s ability to meet its annual debt service obligations	
Accountability: Finance		Frequency: Annual	
DESCRIPTION: Debt Service Coverage is an annual measure used to monitor the ability to meet annual debt service obligations. It measures the ratio of operating revenues versus debt service. The minimum levels stipulated in our bond covenants are 1.0 for all debt and 1.25 for parity debt.			
NUMERATOR:	Net Revenues: (Operating revenues + interest income + misc. income) - (total operating expenses - depreciation – unfunded OPEB expense)		
DENOMINATOR:	Total annual debt service (principal and interest)		
TARGET:	1.25 for all debt 1.75 for parity debt	DATA SOURCE(S): Annual financial report	

GUC PERFORMANCE MEASURES

Performance Management Scorecard			Financial
Corporate Objective 15	Improve Financial Performance		
Measure	Net Margin		
Tier	1	Rationale: Used to measure the annual profitability of GUC	
Accountability: Finance		Frequency: Annual	
DESCRIPTION: Net margin is a measure of how much net income is derived from each revenue dollar.			
NUMERATOR:	Net income less contributions		
DENOMINATOR:	Operating revenues		
TARGET:	2.75%	DATA SOURCE(S): Annual financial report	

**COMPLIMENT/COMPLAINT
RECORD**

Date: 10/10/2019

Received By: Lisa Johnson, Senior Administrative Assistant - Gas

Customer's Name: Marcia Edwards Board

Remarks: Ms. Board called to compliment Enrique for being prompt and very courteous. She said he identified an uncapped pipe going to an old appliance in her home and that he fully explained the safety issue it posed and why he could not connect the service for her at this time. She wanted to share how impressed she was with the level of customer service he provided.

Employee's Name: Enrique Basabe Benitez, Gas Serviceworker

**COMPLIMENT
RECORD**

Date: 10/30/2019

Received By: Will Prescott, Chief Utility Locator

Customer's Name: John Marion

Remarks: Mr. Marion complimented the ULS staff on how good they have been to work with and how helpful they have been while he has been working here in Greenville. He stated that he works all over the southern US and our ULS staff has been some of the best locators with which he has worked.

Employees: Will Prescott, Chief Utility Locator; Angie Taylor, Utility Locator II; Cody Adams, Utility Locator II; David Moore, Utility Locator II; Jeffery Upright, Utility Locator I; Wayne Yates, Utility Locator I; and Jay Wetherington, Utility Locator I

**COMPLIMENT
RECORD**

Date:10/25/19

Received By: Shirley G. Peele, Staff Support Specialist III - Gas

Customer's Name: Ms. Joyce Carraway

Remarks: Ms. Joyce Carraway complimented Alton Hardee, Curtis Dixon and Timothy Beddard for demonstrating excellent customer service during the installation of her natural gas service. She stated she was very impressed and very satisfied with their work.

Employees: Alton Hardee, Gas Systems Crew Leader I; Curtis Dixon, Gas Systems Technician III; and Timothy Beddard, Gas Systems Technician I

Email from: Griffin Avin

To: Roger Jones, Director of Electric Systems

Sent: Wednesday, October 16, 2019

Subject: Thank you from ECU

Mr. Jones,

I want to express my deep gratitude for the support we received from your team today. We put out a call for help and they were quick to respond and helped us out of a critical situation. They assisted us in getting some new cabling tested, and the rubber goods put on so we could energize an emergency power transformer. I wish I could have thanked them personally, but I hope that you may inquiry as to who came out today and will pass along my thanks as well as the thanks of all the staff here on the Health Sciences Campus.

Thanks,

Griffin L. Avin, CEFP

Director of Facilities Services, Health Sciences Campus

Chief Sustainability Officer

East Carolina University

Employees: Kevin Willoughby, Underground Maintenance Crew Leader

Eddie Baxter, Underground Lineworker First Class

Daniel Dilda, Underground Lineworker Second Class

Brandon Butler, Underground Lineworker Second Class

Jay Pigford, Generator Technician

GENERAL ASSEMBLY OF NORTH CAROLINA
SESSION 1991

CHAPTER 861
SENATE BILL 1069

AN ACT TO AMEND AND RESTATE THE CHARTER OF THE GREENVILLE
UTILITIES COMMISSION OF THE CITY OF GREENVILLE.

The General Assembly of North Carolina enacts:

Section 1. For the proper management of the public utilities of the City of Greenville, both within the corporate limits of the City and outside the said corporate limits, a commission to be designated and known as the "Greenville Utilities Commission", is hereby created and established.

Sec. 2. The Greenville Utilities Commission shall consist of eight members, six of whom shall be bona fide residents of the City of whom one shall at all times be the City Manager of Greenville, and two of whom shall be bona fide residents of Pitt County but residing outside the city limits of Greenville, and all of whom shall be customers of the Greenville Utilities Commission. Each Greenville Utilities Commissioner shall hold office for an initial term of three years and, except as set forth herein, will be automatically reappointed to a single additional term of three years, with each term of three years expiring June 30 at the end of the designated term or until reappointed or replaced by the City Council. The first appointees shall hold their offices as follows: the Greenville City Council shall appoint an individual to serve until June 30, 1995; John W. Hughes, Sr. is hereby appointed a Greenville Utilities Commissioner to serve until June 30, 1995, and shall not be eligible for a second term; Bernard E. Kane is hereby appointed a Greenville Utilities Commissioner to serve until June 30, 1995; R. Richard Miller is hereby appointed a Greenville Utilities Commissioner to serve until June 30, 1994, and shall not be eligible for a second term; and the Greenville City Council shall appoint an individual to serve until June 30, 1993; all of whom are bona fide residents of the City. William G. Blount is hereby appointed a Greenville Utilities Commissioner to serve until June 30, 1993, and shall not be eligible for a second term; and the Pitt County Board of Commissioners shall nominate an individual under the procedure established in Section 3 of this act, to be appointed by the Greenville City Council to serve until June 30, 1994; both of whom are Greenville Utilities Commission customers and bona fide residents of Pitt County residing outside the Greenville city limits.

Sec. 3. The Greenville Utilities Commissioners otherwise than as herein provided shall be appointed by the City Council at their regularly monthly meeting in June of each year. It is the intention of this charter that the City Council shall appoint Greenville Utilities Commission members who have utilities expertise. Representation should include some members with financial, engineering, environmental, technical, or

development backgrounds. The two members of the Greenville Utilities Commission residing outside the city limits shall be nominated by the Pitt County Board of Commissioners and appointed by the City Council. The City Council has the right to reject any nominee(s) from the Pitt County Board of Commissioners and to request additional nominees. If the Pitt County Board of Commissioners fails to recommend a nominee to the City Council within 60 days of the original date requested by the City Council, then the City Council may appoint any individual meeting the residency requirement. No person shall be eligible for appointment to the Greenville Utilities Commission who is an officer or employee of the City or Pitt County except that the City Manager of the City of Greenville shall at all times be a full member of the Greenville Utilities Commission. In the event a Greenville Utilities Commissioner resigns, dies, or otherwise becomes incapable of performing his or her duties, the City Council shall appoint, according to the same process described herein for regular appointments, a Greenville Utilities Commissioner to fill the unexpired term at any regular or special meeting of the City Council. Any Greenville Utilities Commissioner filling an unexpired term shall be deemed to have filled said term for the full three-year term. Except as otherwise permitted herein, no Greenville Utilities Commissioner shall serve more than two three-year terms. Greenville Utilities Commissioners filling the first three-year term will automatically fill a second three-year term unless the City Council initiates the replacement process.

Sec. 4. The Greenville Utilities Commissioners shall organize by electing one of their members Chair, whose term of office as Chair shall be for one year unless the Chair's term on the Greenville Utilities Commission shall expire earlier, in which event his or her term as Chair shall expire with the Chair's term on the Greenville Utilities Commission. The Chair shall not be entitled to vote on any proposition before the Greenville Utilities Commission except in case of a tie vote and only for the purpose of breaking the tie. The members of the Greenville Utilities Commission are authorized to fix their own salaries provided, however, that said salaries shall not exceed one hundred fifty dollars (\$150.00) per month for the members and two hundred fifty dollars (\$250.00) per month for the Chair provided, however, the City Council may, at its own discretion, increase these caps from time to time as is appropriate to reflect inflation, and provided, however, the City Manager shall receive no pay as a member of the Greenville Utilities Commission other than his or her salary as City Manager. The Greenville Utilities Commission shall meet at least once each month at a designated time and place unless the Chair designates some other meeting time and so notifies the other members of the Greenville Utilities Commission. The Greenville Utilities Commission and the Greenville City Council shall meet at least once each year to discuss mutual interests of the City of Greenville and the Greenville Utilities Commission. Minutes shall be kept for all regular meetings of the Greenville Utilities Commission.

Sec. 5. The Greenville Utilities Commission shall have entire supervision and control of the management, operation, maintenance, improvement, and extension of the public utilities of the City, which public utilities shall include electric, natural gas, water, and sewer services, and shall fix uniform rates for all services rendered;

provided, however, that any person affected by said rates may appeal from the decision of the Greenville Utilities Commission as to rates to the City Council. With approval by the City Council, the Greenville Utilities Commission may undertake any additional public enterprise service which may lawfully be operated by a municipality.

Sec. 6. The Greenville Utilities Commission shall employ a competent and qualified General Manager whose duties shall be to supervise and manage the said public utilities, subject to the approval of the Greenville Utilities Commission. The General Manager, under the direction of and subject to the approval of the Greenville Utilities Commission, shall cause the said utilities to be orderly and properly conducted; the General Manager shall provide for the operation, maintenance, and improvement of utilities; the General Manager shall provide for the extension of all utilities, except sewer extensions made beyond the area regulated by the City of Greenville are subject to the approval of the City Council, and shall furnish, on application, proper connections and service to all citizens and inhabitants who make proper application for the same, and shall in all respects provide adequate service for the said utilities to the customers thereof; the General Manager shall attend to all complaints as to defective service and shall cause the same to be remedied, and otherwise manage and control said utilities for the best interests of the City of Greenville and the customers receiving service, and shall provide for the prompt collection of all rentals and charges for service to customers and shall promptly and faithfully cause said rentals and charges to be collected and received, all under such rules and regulations as the Greenville Utilities Commission shall, from time to time, adopt and in accordance with the ordinances of the City of Greenville in such case made and provided.

Sec. 7. All monies accruing from the charges or rentals of said utilities shall be deposited into the appropriate enterprise fund of the Greenville Utilities Commission and the Greenville Utilities Commission's Director of Finance shall keep an account of the same. The Greenville Utilities Commission shall at the end of each month make a report to the City Council of its receipts and disbursements; the Greenville Utilities Commission shall pay out of its receipts the cost and expense incurred in managing, operating, improving, maintaining, extending, and planning for future improvements and expansions of said utilities; provided, however, that should the funds arising from the charges and rentals of said utilities be insufficient at any time to pay the necessary expenses for managing, operating, improving, and extending said utilities, then and in that event only, the City Council of the City of Greenville shall provide and pay into the appropriate enterprise fund of the Greenville Utilities Commission a sum sufficient, when added to the funds that have accrued from the rents and charges, to pay the costs and expenses of managing, operating, improving, maintaining, extending, and planning for future improvements and expansions of said utilities; the Greenville Utilities Commission shall pay the principal on all such funds provided by the City Council with interest thereon; provided, further, that the Greenville Utilities Commission shall annually transfer to the City, unless reduced by the City Council, an amount equal to six percent (6%) of the difference between the electric and natural gas system's net fixed assets and total bonded indebtedness plus annually transfer an amount equal to fifty percent (50%) of the Greenville Utilities Commission's retail cost of service for the City

of Greenville's public lighting. Public lighting is defined herein to mean City of Greenville street lights and City of Greenville Parks and Recreation Department recreational outdoor lighting. The preparation of a joint financial audit of the City of Greenville and the Greenville Utilities Commission operations by a single auditing firm is intended under the provisions of this charter and existing North Carolina statutes.

Sec. 8. In compliance with the time requirements of Chapter 159 of the General Statutes, the Greenville Utilities Commission shall prepare and submit to the City Council, for approval, a budget for the coming year showing its estimated revenue, expenses, capital expenditures, debt service, and turnover to the City of Greenville. In addition, the budget ordinance must identify construction projects of the Greenville Utilities Commission which include individual contracts in excess of one-half of one percent ($\frac{1}{2}\%$) of the Greenville Utilities Commission's annual budget. City Council approval of the Greenville Utilities Commission's budget will constitute approval of projects so identified and the contracts contained therein. Contracts in excess of one-half of one percent ($\frac{1}{2}\%$) of the Greenville Utilities Commission's annual budget not so identified and approved in the budget ordinance will require separate City Council approval.

Sec. 9. The Greenville Utilities Commission shall approve the employment and remuneration of all officers, agents, independent contractors, and employees necessary and requisite to manage, operate, maintain, improve, and extend the service of said utilities. It is, however, the intention of this Charter that the Greenville Utilities Commission and the City of Greenville will implement and maintain mutual pay plans, personnel policies, and benefits for their respective employees. The Greenville Utilities Commission may require bond in such sum as it may deem necessary, which shall be approved by the City Council, of all officers, agents, and employees having authority to receive money for the Greenville Utilities Commission. The Greenville Utilities Commission shall have the authority to name and designate a person in its employ as secretary of the Greenville Utilities Commission.

Sec. 10. The Greenville Utilities Commission shall have authority at all times to discharge and remove any officer, agent, independent contractor, or employee of the Greenville Utilities Commission.

Sec. 11. All laws and clauses of laws in conflict with this act are hereby repealed, expressly including Chapter 146 of the Public-Local Laws of 1941, entitled "AN ACT TO PROVIDE A PERMANENT UTILITIES COMMISSION FOR THE CITY OF GREENVILLE, IN PITT COUNTY, AND TO REPEAL CHAPTER TWO HUNDRED AND ELEVEN OF THE PRIVATE LAWS OF ONE THOUSAND NINE HUNDRED AND FIVE, AND AMENDMENTS THERETO, RELATING TO THE WATER AND LIGHT COMMISSION OF THE CITY OF GREENVILLE.", except that this act does not revive any act repealed by that act.

The purpose of this act is to revise the charter of the Greenville Utilities Commission and to consolidate herein certain acts concerning the Greenville Utilities Commission. It is intended to continue without interruption those provisions of prior acts which are consolidated into this act so that all rights and liabilities that have accrued are preserved and may be enforced. This act shall not be deemed to repeal,

modify, or in any manner affect any act validating, confirming, approving, or legalizing official proceedings, actions, contracts, or obligations of any kind.

No provision of this act is intended nor shall be construed to affect in any way any rights or interest, whether public or private:

- (1) Now vested or accrued in whole or in part, the validity of which might be sustained or preserved by reference to law to any provisions of law repealed by this act.
- (2) Derived from or which might be sustained or preserved in reliance upon action heretofore taken pursuant to or within the scope of any provisions of law repealed by this act.

All existing ordinances of the City of Greenville and all existing rules and regulations of the Greenville Utilities Commission not inconsistent with provisions of this act shall continue in full force and effect until repealed, modified, or amended.

No action or proceeding of any nature, whether civil or criminal, judicial or administrative, or otherwise pending at the effective date of this act by or against the City of Greenville or the Greenville Utilities Commission shall be abated or otherwise affected by the adoption of this act. If any provisions of this act or the application thereof to any person or circumstance is held invalid, such invalidity shall not affect other provisions or applications of this act which can be given effect without the invalid provision or application, and to this end the provisions of this act are declared to be severable.

Sec. 12. This act is effective upon ratification.

In the General Assembly read three times and ratified this the 7th day of July, 1992.

James C. Gardner
President of the Senate

Daniel Blue, Jr.
Speaker of the House of Representatives

BYLAWS OF THE GREENVILLE UTILITIES COMMISSION

These Bylaws are adopted by the Greenville Utilities Commission to implement its Charter and to establish basic rules of organization, process and procedure and to provide for the efficient and effective conduct of public business for the benefit of the ratepayers.

To The Extent The Terms & Conditions Of These Bylaws Conflict With the Terms & Conditions of The Charter, The Charter Shall Govern.

- I. Name: The name of the Commission shall be: The Greenville Utilities Commission.
- II. Individual Responsibility: Commission members have responsibility over utilities' affairs when acting as a body appropriately called to session. To request additional information concerning the functions of the Greenville Utilities Commission, Board members should contact the General Manager/CEO.
- III. Board Membership
 - A. Number of Members: The Greenville Utilities Commission shall consist of eight (8) members, all appointed by the Greenville City Council. Two of these appointees are nominated by Pitt County Board of Commissioners.
 - B. Commission Seats: Of the eight (8) members, six (6) members shall be bona fide residents of the City of whom one shall be the City Manager of Greenville, and two of whom shall be bona fide residents of Pitt County but residing outside the city limits of Greenville, who shall be customers of the Greenville Utilities Commission.
 - C. Vacancies on the Commission: In the event a Greenville Utilities Commissioner resigns, dies, or otherwise becomes incapable of performing his or her duties, at any regular or special meeting of the City Council, the City Council shall appoint, according to the same process described herein for regular appointments, a Greenville Utilities Commissioner to fill the unexpired term.
 - D. New members to the Board are required to participate in orientation and training sessions as scheduled by the General Manager/CEO. Orientation shall include such activities as:
 - 1. Workshops for new Board members conducted by the American Public Power Association.
 - 2. Discussions and visits with the General Manager/CEO, General Counsel, and other members of the staff.

3. Provision of printed and audiovisual materials on Greenville Utilities Commission and copies of administrative policies and procedures.

IV. Organization

- A. The Greenville Utilities Commission each year shall elect its officers on the first regularly scheduled meeting of the Commission on or after July 1 at which a quorum is present. Meetings are scheduled for the third Thursday in each month at 12:00 noon.
- B. The officers of the Commission shall be a Chair, a Chair-Elect and a Secretary, elected in that order for a term of one (1) year. The General Manager/CEO shall preside while a new Chair is being elected.
- C. Vacancies in the office of Chair, Chair-Elect or Secretary occurring during the year shall be filled by the Commission at its discretion.

V. Powers and Duties of the Board

The Powers and Duties of the Board shall include but not be limited to the following:

- A. The Greenville Utilities Commission shall have entire supervision and control of the management, operation, maintenance, improvement, and extension of the public utilities of the City, which public utilities shall include electric, natural gas, water, and sewer services, and shall fix uniform rates for all services rendered; provided, however, that any person affected by said rates may appeal from the decision of the Greenville Utilities Commission as to rates to the City Council. With approval by the City Council, the Greenville Utilities Commission may undertake any additional public enterprise service which may lawfully be operated by a municipality (Reference Charter Section 5).
- B. The Board shall discharge its duties and responsibilities as required by its Charter or otherwise imposed by law.
- C. The Board shall employ a General Manager/CEO whose duties shall be to supervise and manage the operations of the Greenville Utilities Commission, subject to the approval of the Board of Commissioners of the Greenville Utilities Commission, as provided in Section 6 of the Charter.
- D. The Board shall annually evaluate the performance of the General Manager/CEO as its Chief Executive Officer (CEO).
- E. Upon the recommendation of the General Manager/CEO, the board shall employ, an attorney to give counsel on matters of legal concern to the Greenville Utilities Commission. The attorney shall represent the Commission on most matters, except that the Commission may hire other expertise as warranted on a case by case basis. The General Manager/CEO shall annually review the performance and services of the General Counsel.

- F. The Board shall annually review its performance. An annual review may consist of a written review and/or survey by Board members and/or a review with or by the General Manager/CEO.

VI. Duties of Officers

- A. The Chair shall preside at Board meetings. The Chair, in consultation with the Secretary and General Manager/CEO, shall review the draft agenda of regular and special meetings of the Board.
- B. The Chair shall appoint committees and designate the chairs unless otherwise directed by majority vote of the Board in session.
- C. The Chair, subject to the approval of the Commission, shall have the authority to execute any official document for and on behalf of the Commission.
- D. The Chair shall not be entitled to vote on any proposition before the Greenville Utilities Commission except in case of a tie vote and only for the purpose of breaking the tie.
- E. The Chair shall be the official spokesperson for the Board and will make, either in person or through the General Manager/CEO, every effort to communicate the Board's decision to the community through the media and any other means available.
- F. In the absence of the Chair, it shall be the duty of the Chair-Elect to preside at meetings of the Board and assume authority of the Chair.
- G. The Secretary shall record minutes of meetings and hearings and distribute minutes in advance for review and approval.
- H. It shall be the responsibility of the Secretary to maintain official minutes and records of Board proceedings and actions. Minutes may be examined by any interested citizen under the supervision of the Secretary or the Secretary's designee. Consistent with the purpose of Closed Sessions, minutes of these meetings shall be separately maintained by the Secretary. Minutes of Closed Sessions may not be examined by interested citizens except as provided by law.
- I. The Secretary shall be responsible for the proper maintenance of official documents including but not limited to Board bylaws, Board policies, and Board decisions.
- J. The Secretary shall discharge any other duties or responsibilities required by law or otherwise imposed upon the Secretary of the Board.
- K. In the absence of the Secretary, it shall be the duty of the Chair-Elect to assume duties of the Secretary.

VII. Committees & Appointments

- A. An Executive Committee composed of the Board Chair, Chair-Elect, Past-Chair (when continuing to serve on the Board) and Secretary will work with the Greenville Utilities Commission staff on policy issues, represent Greenville Utilities Commission in joint discussions on potential growth and regionalization and provide for continuity of knowledge for the chair position.
- B. On an annual basis, the Chair shall appoint two members to a Joint Pay & Benefits Committee to meet jointly with a City Council Joint Pay & Benefits Committee to make recommendations for employee benefits and compensation issues for the upcoming fiscal year. These two members should include at least one member (if available) that served the previous year.
- C. On an annual basis, the Chair shall appoint 3–4 members to serve in conjunction with the Board Chair, on a Finance/Audit Committee to provide “policymaker” input to staff and auditors on the enhancement or implementation of financial procedures or issues. The Chair shall designate a Chair and a Vice-Chair of the Committee.
- D. On an annual basis, the Chair shall appoint 3–4 members to serve in conjunction with the Board Chair on an Economic Development, Marketing and Public Relations Committee to provide policymaker input to staff and consultants in the development of criteria, guidelines, and strategies for the economic development of Pitt County and report to the Board of Commissioners as appropriate. The Chair shall designate a Chair and a Vice-Chair of the Committee.
- E. On an annual basis, the Chair shall appoint 3-4 members to serve in conjunction with the Board Chair on a Legal and Legislative Committee to provide policymaker input to staff on legal and legislative matters that may impact the operations and business of the Commission and report to the Board of Commissioners as appropriate. The Chair shall designate a Chair and a Vice-Chair of the Committee.
- F. Ad Hoc Committees of the Board shall be appointed annually by the Chair, as needed, and shall function until such time as their purpose has been accomplished. The Chair shall designate a Chair and a Vice-Chair of the Committee.
- G. The Board shall appoint an Executive Secretary and Assistant Executive Secretary from the staff. These positions are normally held by the Executive Assistant to the General Manager/CEO and Director of Financial Services and Accounting, respectively.

VIII. Methods of Operation

- A. Board Meetings: The Board shall regularly meet on the third Thursday of each month to consider its business. Notice of the meeting and its agenda shall be made available to the media as provided by law. Other meetings, including special sessions, emergency sessions or workshop sessions may be held as needed and must follow notification provisions as described by law.

- B. Agendas: Before actions by the Board are requested or recommended, the Board should be provided with documentation to assist members in reaching decisions consistent with established goals and policies. To request additional information, Board members shall contact the General Manager/CEO. The Agenda for regular monthly meetings shall be as follows:
1. Call to order and ascertain the presence of a quorum
 2. Approval of the minutes for the previous month's meetings
 3. Any additions or deletions and acceptance of the (revised) agenda
 4. Presentations of awards and recognition of outstanding achievement
 5. Acceptance of the financial statement for the previous month
 6. Award of Bids
 7. Other items requiring action by the Board
 8. Informational items
 9. General Manager/CEO's report – This portion of the meeting is set aside for the General Manager/CEO's reports on any item of information which he wishes to present to the Board.
 10. Board Chair remarks
 11. Board members' remarks
 12. Closed Session, if required
 13. Notice of next regular or special meeting
 14. Adjournment
- C. Quorum: The Greenville Utilities Commission may only conduct business in a regular, emergency or special meeting attended by a quorum of the Board. A quorum shall consist of five (5) Board members, who are either physically present or able to participate by telephone or video-conference or other electronic means.
- D. Conduct of Meetings: Meetings shall be conducted in accordance with the Board's Bylaws and otherwise by the most recent edition of Robert's Rules of Order.
- E. Voting: The Chair of the Board shall determine the vote of any motion by asking each member to respond by voice vote or if necessary, a show of hands may be required.

1. Each member of the Board, except the Chair, shall have one vote on any recommendation, motion, proposal, or any other action item coming before the Board.
 2. Each member, other than the Chair, must vote unless excused by the remaining members. A member who wishes to be excused from voting shall so inform the Chair who shall take a deciding vote of the remaining members present. No member shall be excused from voting except on matters involving his/her own financial interest or official conduct. In other cases, a failure to vote by a member who is physically present or has withdrawn without being excused by a majority vote of the remaining members present, shall be recorded as an affirmative vote.
- F. Closed Sessions: Closed Sessions may be called upon a motion made and adopted at an open session for any of those permitted purposes described in Section 143-318 of the General Statutes of N.C., commonly known as the "Open Meetings Law", as amended from time to time. The motion shall state the purpose of the Closed Session and must be approved by the vote of a majority of those members present.
- G. Board Members' Compensation and Reimbursement: Members of the Greenville Utilities Commission shall receive compensation for performance of official utility business at the rate of \$200 per month. The Chair shall receive \$350.00 per month. The City Council may, at its own discretion, increase these caps from time to time as is appropriate to reflect inflation. The City Manager shall receive no compensation as a member of the Greenville Utilities Commission.
- H. Public Hearings: The Greenville Utilities Commission believes that from time to time additional public opinion is necessary. This opinion is generally sought through the use of a public hearing. When such hearings are scheduled, the Greenville Utilities Commission will ensure that the date, time, and location are properly advertised well in advance of the hearing date. The Commission will receive comments and information at public hearings but not take any formal action during the public hearing. The Commission will take under advisement comments offered at the public hearing and normally consider these comments for future action.
- I. Public Expression: Upon motion of any Commissioner, and approval by a majority of the Board, any ratepayer may be allowed to address the Board within the time restrictions (and upon such other conditions) as may be set by the Chair.
- IX. Change in Bylaws: These Bylaws may be amended from time to time. The procedure for amendment is by giving notice of the proposed amendments at a regularly scheduled Board meeting. The amendments will be considered at the next regularly scheduled Board meeting and must be approved by the vote of a majority of the members.

Adopted May 14, 1996
Revised June 11, 1996
Revised November 18, 1997

Revised June 9, 1998
Revised October 11, 1999
Revised July 18, 2000
Revised October 16, 2007
Revised November 18, 2008
Revised September 15, 2011
Revised August 21, 2014
Revised March 19, 2015
Revised November 16, 2017

Motion To Go Into Closed Session

I move that we go into closed session to:

[Specify one of more of the following permitted reasons for closed sessions]

- ☐ prevent the disclosure of privileged information
 - ☐ under _____ of the North Carolina General Statutes or regulations.
 - ☐ under _____ of the regulations or laws of United States.

[N.C.G.S. § 143-318.11(a)(1)]
- ☐ prevent the premature disclosure of an honorary award or scholarship.
[N.C.G.S. § 143-318.11(a)(2)]
- ☐ consult with our attorney
 - ☐ to protect the attorney-client privilege.
 - ☐ to consider and give instructions concerning a potential or actual claim, administrative procedure, or judicial action.
 - ☐ to consider and give instructions concerning a judicial action titled _____
v. _____.

[N.C.G.S. § 143-318.11(a)(3)]
- ☐ discuss matters relating to the location or expansion of business in the area served by this body.
[N.C.G.S. § 143-318.11(a)(4)]
- ☐ establish or instruct the staff or agent concerning the negotiation of the price and terms of a contract concerning the acquisition of real property.
[N.C.G.S. § 143-318.11(a)(5)]
- ☐ establish or instruct the staff or agent concerning the negotiations of the amount of compensation or other terms of an employment contract.
[N.C.G.S. § 143-318.11(a)(5)]
- ☐ consider the qualifications, competence, performance, condition of appointment of a public officer or employee or prospective public officer or employee.
[N.C.G.S. § 143-318.11(a)(6)]
- ☐ hear or investigate a complaint, charge, or grievance by or against a public officer or employee.
[N.C.G.S. § 143-318.11(a)(6)]
- ☐ plan, conduct, or hear reports concerning investigations of alleged criminal conduct.
[N.C.G.S. § 143-318.11(a)(7)]

MEMORANDUM

To: Members of the Board of Commissioners

From: _____, Commissioner/Board Member

Concerning: Statement of Reasons for Abstention from Board Action pursuant to N.C. Gen. Stat. § 138A-36(b)

Date: _____

Matter before the Board: _____

Briefly summarize reasons for abstention below:

(Signature of Board Member)