

Fillmore and Piru Basins GSA
Check Detail
December 11, 2018

<u>Num</u>	<u>Date</u>	<u>Name</u>	<u>Account</u>	<u>Original Amount</u>
11027	12/11/2018	Insure Cal	10000 · Bank of the Sierra	2,077.67
11028	12/11/2018	Olivarez Madruga Lemeiux O'Neill LLP	10000 · Bank of the Sierra	960.00
11029	12/11/2018	Olivarez Madruga Lemeiux O'Neill LLP	10000 · Bank of the Sierra Voided due to incorrect amount typed on check	0.00
11030	12/11/2018	Olivarez Madruga Lemeiux O'Neill LLP	10000 · Bank of the Sierra	625.00
			TOTAL CHECKS	3,662.67



GROUNDWATER SUSTAINABILITY AGENCY

P O Box 1110, Fillmore, CA 93016

(805) 525-4431

<https://fpbgsa.org>

CHECK REQUEST

Date required: _____ Date Requested: December 20, 2018

Pay to: Olivarez Madruga Lemieux O'Neill, LLP

Address: 4165 E. Thousand Oaks Blvd., Suite #350

City, State, Zip: Westlake Village, CA 91362-3852

Amount \$625.00

Charge to Account(s) legal services for October 2018

Reason for Check/Petty Cash Request: payment of Agency Legal Counsel for Oct 2018

Requested by: Kris Sofley, clerk of the board

Approved by: _____

Board Secretary/Treasurer

Authorized by: _____

Board Chair

(Attach invoices/receipts/documentation for costs verification)



OLIVAREZ MADRUGA LEMIEUX O'NEILL, LLP

Olivarez Madruga Lemieux O'Neill, LLP.
4165 E. Thousand Oaks Blvd. Suite #350
Westlake Village, CA 91362-3852

Tel: (805) 495-4770 Fax: 805.495.2787
www.omlolaw.com

rec'd 11/9/18

Fillmore and Piru Basins GSA
Attn: Kelly Long
P.O. Box 1110
Fillmore, CA 93016

Page: 1
October 31, 2018
Client/Matter No. 76.001
Statement No: 5208

Fillmore and Piru Basins GSA

For Professional Services Thru 10/31/2018

FEE TRANSACTIONS

			Rate	Hours	
10/02/2018	WL	Research regarding directors compensation	185.00	0.20	37.00
10/03/2018	WL	Research regarding directors compensation	185.00	0.80	148.00
10/25/2018	SON	Review agenda and reimbursement policy	200.00	0.50	100.00
10/25/2018	SON	Attend Board meeting	200.00	1.40	280.00
10/29/2018	SON	Edit bylaws and reimbursement policy	200.00	0.30	60.00
Total Fee Charges:				3.20	625.00

Timekeeper Summary

<u>Timekeeper</u>	<u>Title</u>	<u>Hours</u>	<u>Total</u>
Steve O'Neill	Partners	2.20	\$440.00
Wayne Lemieux	Associates	1.00	\$185.00

Total Current Charges

625.00

Previous Balance

\$1,381.50

PAYMENT TRANSACTIONS

10/08/2018	08/31/2018 Payment - Thank you, Check # 11022	-805.00
	Balance Due	\$1,201.50 625

Aging of Past Due Amounts

0-30 Days	31-60 Days	61-90 Days	91-120 Days	Over 120 Days	Total Past Due
\$0.00	\$576.50 pd 10-25-18	\$0.00	\$0.00	\$0.00	\$576.50

**FILLMORE AND PIRU BASINS GROUNDWATER
SUSTAINABILITY AGENCY**
250 CENTRAL AVE
FILLMORE, CA 93015

BANK OF THE SIERRA
527 SESPE AVE.
FILLMORE, CA 93015

11030
90-3702/1211
CHECK ARMOR
ELECTRONIC PROTECTION

12/11/2018

PAY TO THE ORDER OF Olivarez Madruga Lemeiux O'Neill LLP

\$ **625.00

Six Hundred Twenty-Five and 00/100***** DOLLARS

Olivarez Madruga Lemeiux O'Neill LLP
4165 E. Thousand Oaks Blvd, Suite 350
Westlake Village, CA 91362-3852

MEMO

Inv #5208; October 2018 General Counsel

AUTHORIZED SIGNATURE

⑈0 1 1030⑈ ⑆ 1 2 1 1370 27⑆ 280 1395870⑈

FILLMORE AND PIRU BASINS GROUNDWATER SUSTAINABILITY AGENCY 11030

Olivarez Madruga Lemeiux O'Neill LLP 12/11/2018 625.00
Inv #5208; October 2018 General Counsel

Bank of the Sierra Inv #5208; October 2018 General Counsel 625.00

FILLMORE AND PIRU BASINS GROUNDWATER SUSTAINABILITY AGENCY 11030

Olivarez Madruga Lemeiux O'Neill LLP 12/11/2018 625.00
Inv #5208; October 2018 General Counsel

Bank of the Sierra Inv #5208; October 2018 General Counsel 625.00

Photo Safe Deposit®
Details on Back.



GROUNDWATER SUSTAINABILITY AGENCY

P O Box 1110, Fillmore, CA 93016

(805) 525-4431

<https://fpbgsa.org>

CHECK REQUEST

Date required: _____ Date Requested: December 20, 2018

Pay to: Olivarez Madruga Lemieux O'Neill, LLP

Address: 4165 E. Thousand Oaks Blvd., Suite #350

City, State, Zip: Westlake Village, CA 91362-3852

Amount \$ 960.00

Charge to Account(s) legal services for November 2018

Reason for Check/Petty Cash Request: payment of Agency Legal Counsel for Nov 2018

Requested by: Kris Sofley, clerk of the board

Approved by: _____

Board Secretary/Treasurer

Authorized by: _____

Board Chair

(Attach invoices/receipts/documentation for costs verification)



OLIVAREZ MADRUGA LEMIEUX O'NEILL, LLP

Olivarez Madruga Lemieux O'Neill, LLP.
4165 E. Thousand Oaks Blvd. Suite #350
Westlake Village, CA 91362-3852
Tel: (805) 495-4770 Fax: 805.495.2787
www.omlolaw.com

Fillmore and Piru Basins GSA
Attn: Kelly Long
P.O. Box 1110
Fillmore, CA 93016

RECEIVED

DEC 11 2018

United Water
Conservation District
for FPB GSA

Page: 1
November 30, 2018
Client/Matter No. 76.001
Statement No: 5511

Fillmore and Piru Basins GSA

For Professional Services Thru 11/30/2018

FEE TRANSACTIONS

			Rate	Hours	
11/15/2018	SON	Attend board meeting	200.00	3.00	600.00
11/02/2018	SON	Memo to staff regarding Brown Act issue	200.00	0.20	40.00
11/02/2018	SON	Telephone conference with Director McFadden regarding hoc committee issues	200.00	0.10	20.00
11/05/2018	SON	Correspondence regarding proposal review, potential conflicts	200.00	0.50	100.00
11/27/2018	SON	Review Prop 1 agreement; and exhibits, correspondence regarding same	200.00	1.00	200.00
Total Fee Charges:				4.80	960.00

Timekeeper Summary

<u>Timekeeper</u>	<u>Title</u>	<u>Hours</u>	<u>Total</u>
Steve O'Neill	Partners	4.80	\$960.00

Fillmore and Piru Basins GSA

Total Current Charges	960.00
Previous Balance	\$1,201.50

PAYMENT TRANSACTIONS

11/07/2018	09/30/2018 Payment - Thank you, Check # 11024	-576.50
	Balance Due	<u>\$1,585.00</u>

Aging of Past Due Amounts

0-30 Days	31-60 Days	61-90 Days	91-120 Days	Over 120 Days	Total Past Due
\$625.00	\$0.00	\$0.00	\$0.00	\$0.00	\$625.00

**FILLMORE AND PIRU BASINS GROUNDWATER
SUSTAINABILITY AGENCY**
250 CENTRAL AVE
FILLMORE, CA 93015

BANK OF THE SIERRA
527 SESPE AVE.
FILLMORE, CA 93015

11027

90-3702/1211



12/11/2018

PAY TO THE ORDER OF Olivarez Madruga Lemeiux O'Neill LLP

\$ **960.00

Nine Hundred Sixty and 00/100***** DOLLARS

Olivarez Madruga Lemeiux O'Neill LLP
4165 E. Thousand Oaks Blvd, Suite 350
Westlake Village, CA 91362-3852

MEMO

Inv #5511; November 2018 General Counsel

AUTHORIZED SIGNATURE

⑈011027⑈ ⑆121137027⑆ 2801395870⑈

FILLMORE AND PIRU BASINS GROUNDWATER

SUSTAINABILITY AGENCY

11027

Olivarez Madruga Lemeiux O'Neill LLP

12/11/2018

Inv #5511; November 2018 General Counsel

960.00

Bank of the Sierra Inv #5511; November 2018 General Counsel

960.00

FILLMORE AND PIRU BASINS GROUNDWATER

SUSTAINABILITY AGENCY

11027

Olivarez Madruga Lemeiux O'Neill LLP

12/11/2018

Inv #5511; November 2018 General Counsel

960.00

Bank of the Sierra Inv #5511; November 2018 General Counsel

960.00

Photo Safe Deposit®
Details on Back.



GROUNDWATER SUSTAINABILITY AGENCY

P O Box 1110, Fillmore, CA 93016

(805) 525-4431

<https://fpbgsa.org>

CHECK REQUEST

Date required: _____ Date Requested: December 20, 2018

Pay to: insureCAL Insurance Agency

Address: 1065 Colorado Avenue, Suite 5

City, State, Zip: Turlock, CA 95380

Amount \$ 2,077.67

Charge to Account(s) general liability insurance for GSA

Reason for Check/Petty Cash Request: general liability insurance for Board for 2019

Requested by: Kris Sofley, clerk of the board

Approved by: _____

Board Secretary/Treasurer

Authorized by: _____

Board Chair

(Attach invoices/receipts/documentation for costs verification)

insureCAL

INSURANCE AGENCY

FARM/RANCH • BUSINESS • PERSONAL

12/04/2018

insureCAL Insurance Agency
1065 Colorado Ave Ste 5
Turlock, CA 95380
Office: 209.250.0269 - Fax: 209.633.5799
CA# 0K05980 | TX# 1985110 | NV# 3136704
OR# 100281464 | WA# BUS916989 | AZ# 1148551

Professional Liability Insurance Proposal

Thank you for the opportunity to present this proposal. Please let us know if you have any questions or if you would like to see other options available.

- Applicant Name: Fillmore and Piru Basins Groundwater Sustainability Agency Kris Sofley
- Address: 250 Central Ave Fillmore CA 93015
- Policy Type: Professional Liability
- Requested Effective Date: 01/17/2019
- Expiration Date: 01/17/2020
- Presented By: Brandi LoForti

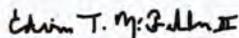
Coverage's:

- \$1,000,000 - Public Officials Management Limit
- \$1,000,000 - Policy Aggregate
- \$50,000 - Non-Monetary Coverage - Defense Only
- \$100,000 - Non-Monetary Coverage - Defense Only Aggregate
- \$25,000 - Crisis Management

- \$5,000 - SIR

Premium = \$2,077.67/year

No coverage is bound until accepted & approved by the insurance carrier. Rates are subject to change upon receipt of completed applications. Signatures on the applications and the Quotation are only good for 30 days. The terms & conditions offered may differ from what has been requested.



Edwin T. McFadden III (Dec 10, 2018)

Signature

Dec 10, 2018

Date



**Professional
Governmental
Underwriters, Inc.**
The Authority.

**CLAIMS MADE PUBLIC OFFICIALS AND
EMPLOYMENT PRACTICES LIABILITY
INSURANCE RENEWAL APPLICATION**

THIS IS AN APPLICATION FOR A CLAIMS MADE POLICY WHICH APPLIES ONLY TO CLAIMS FIRST MADE DURING THE POLICY PERIOD OR ANY EXTENDED REPORTING PERIOD. DEFENSE EXPENSES WILL BE APPLIED AGAINST THE RETENTION AMOUNT.

I. GENERAL INFORMATION

Policy #: POL0952134

1. Legal Name of Entity: Fillmore and Piru Basins Groundwater Sustainability Agency

Street Address: 250 Central Avenue/P O B0x 1110

City: Fillmore State: CA Zip: 93015

County: Ventura Current Population: Fillmore-Piru is approx 17,000

FEIN Number: 82-2317076

Human Resource Contact: (Name): N/A
 (Email): _____
 (Phone Number): _____

2. Within the last twelve (12) months, have any of the following taken place?

- a. Grand Jury investigations into activities of any official or employee. Yes No
 If "yes", provide details: _____
- b. Indictment of any official or employee: Yes No
 If "yes", provide details: _____

3. Provide revenues and expenditures. Provide an explanation for any deficit or large surplus.

FISCAL YEAR	REVENUES	EXPENDITURES	SURPLUS (+)/ DEFICIT (-)	ACCUMULATED SURPLUS/DEFICIT
FY 2018-19	\$575,658	\$326,730	(+) \$248,928	\$642,032 *

*Surplus is due to large expenditures budgeted for future years.

4. Current bond rating (Standard & Poor's or Moody's): _____

II. CLAIMS HISTORY

1. Check here if there have been no claims made against the public entity during the twelve(12) months
2. Does any official or employee have knowledge of acts, errors, and/or omissions that might reasonably give rise to a claim or suit? Yes No

3. a. Check the boxes which generally describe the types of complaints/disputes the public entity has received during the last twelve (12) months.

- | | | |
|--|--------------------------------------|--|
| <input type="checkbox"/> Zoning | <input type="checkbox"/> Termination | <input type="checkbox"/> Discrimination |
| <input type="checkbox"/> Permits Insurance | <input type="checkbox"/> Equal Pay | <input type="checkbox"/> Land Use |
| <input type="checkbox"/> Sex Harassment | <input type="checkbox"/> Suspension | <input type="checkbox"/> License Insurance |
| <input type="checkbox"/> Variances | <input type="checkbox"/> Promotion | <input type="checkbox"/> Demotion |
| <input type="checkbox"/> Hiring | <input type="checkbox"/> Segregation | |

b. Have such complaints/disputes been reported to us? Yes No

III. PUBLIC OFFICIALS INFORMATION.

Check the boxes with services provided or activities performed by the public entity.

- | | | |
|--|--|--|
| <input type="checkbox"/> Police Department | <input type="checkbox"/> License Issuance | <input type="checkbox"/> Gas Utility |
| <input type="checkbox"/> Transit Authority | <input type="checkbox"/> Zoning | <input type="checkbox"/> Tax Assessment Collection |
| <input type="checkbox"/> Port Authority | <input type="checkbox"/> Landfill | <input type="checkbox"/> Building Inspection |
| <input type="checkbox"/> Water/Sewer Utility | <input type="checkbox"/> Airport Authority | <input type="checkbox"/> Hospital/Nursing Home |
| <input type="checkbox"/> Permits Issuance | <input type="checkbox"/> Electric Utility | <input type="checkbox"/> Housing Authority |
| <input type="checkbox"/> Daycare | | |

Any new services provided or activities performed during the last twelve (12) months which were not declared on the application of the expiring policy require completion of applicable portions pages 2-3 of the main Application Form PGU POL APP 0417.

IV. EMPLOYMENT PRACTICES INFORMATION.

1. Total number of employees: Full time: _____ Part time: 3 Seasonal: _____

2. Have any of the following taken place during the last twelve (12) months?

- | | | | | |
|--|------------------------------|--|------------------------|-------|
| A. Strike, slowdown or other disruption? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> | Provide # of Incidents | _____ |
| B. Layoff or reduction in staff? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> | Provide # of Incidents | _____ |
| C. Employee suspensions? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> | Provide # of Incidents | _____ |
| D. Employee transfers? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> | Provide # of Incidents | _____ |
| E. Non-renewal of employment contracts? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> | Provide # of Incidents | _____ |
| F. Employee terminations/dismissals? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> | Provide # of Incidents | _____ |
| G. Administrative appeals? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> | Provide # of Incidents | _____ |
| H. Formal Grievances? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> | Provide # of Incidents | _____ |

Provide explanation on a separate sheet of paper for any "yes" response to questions 2. A-H.

3. Personnel policies and procedures have been reviewed by legal counsel within the last twelve (12) months? Yes No

4. Have supervisors and/or employees received employment practices training during the last twelve (12) months? Yes No

V. IMPORTANT NOTICES; AUTHORIZED ENTITY REPRESENTATIVE

This application is for Claims-Made coverage. Upon receipt read the policy carefully.

THE UNDERSIGNED AUTHORIZED REPRESENTATIVE, PARTNER, DIRECTOR OR OFFICER AGREES THAT IF THE INFORMATION SUPPLIED ON THIS APPLICATION CHANGES BETWEEN THE DATE THE APPLICATION IS EXECUTED AND THE TIME THE PROPOSED INSURANCE POLICY IS BOUND OR COVERAGE COMMENCES, THE NAMED INSURED WILL IMMEDIATELY NOTIFY THE INSURER IN WRITING OF SUCH CHANGES. THE INSURER RESERVES ITS RIGHTS TO MODIFY OR WITHDRAW ITS PROPOSAL.

THE UNDERSIGNED AUTHORIZED REPRESENTATIVE, REPRESENTS AND WARRANTS ON BEHALF OF THE NAMED INSURED AND ALL PERSONS OR ENTITIES FOR WHOM INSURANCE IS BEING SOUGHT THAT TO THE BEST OF HIS OR HER KNOWLEDGE AND BELIEF AND AFTER DILIGENT INQUIRY, THE STATEMENTS SET FORTH IN THIS APPLICATION AND ANY ATTACHMENTS HERETO ARE TRUE AND ACCURATE. IT IS UNDERSTOOD THAT THE STATEMENTS IN THIS APPLICATION, INCLUDING MATERIALS SUBMITTED TO OR OBTAINED BY THE INSURER, ARE MATERIAL TO THE ACCEPTANCE OF THE RISK, AND RELIED UPON BY THE INSURER.

FRAUD WARNINGS

NOTICE TO ARKANSAS APPLICANTS: Any person who knowingly presents a false or fraudulent claim for payment of a loss or benefit or knowingly presents false information in an application for insurance is guilty of a crime and may be subject to fines and confinement in prison.

NOTICE TO COLORADO APPLICANTS: It is unlawful to knowingly provide false, incomplete, or misleading facts or information to an insurance company for the purpose of defrauding or attempting to defraud the company. Penalties may include imprisonment, fines, denial of insurance and civil damages. Any insurance company or agent of an insurance company who knowingly provides false, incomplete, or misleading facts or information to a policyholder or claimant for the purpose of defrauding or attempting to defraud the policyholder or claimant with regard to a settlement or award payable for insurance proceeds shall be reported to the Colorado Division of Insurance within the Department of Regulatory Agencies.

NOTICE TO DISTRICT OF COLUMBIA APPLICANTS: WARNING: It is a crime to provide false or misleading information to an insurer for the purpose of defrauding the insurer or any other person. Penalties include imprisonment and/or fines. In addition, an insurer may deny insurance benefits if false information materially related to a claim was provided by the applicant.

NOTICE TO FLORIDA APPLICANTS: Any person who knowingly and with intent to injure, defraud, or deceive any insurer files a statement of claim or an application containing any false, incomplete, or misleading information is guilty of a felony of the third degree.

NOTICE TO KANSAS APPLICANTS: A "fraudulent insurance act" means an act committed by any person who, knowingly and with intent to defraud, presents, causes to be presented or prepares with knowledge or belief that it will be presented to or by an insurer, purported insurer, broker or any agent thereof, any written, electronic, electronic impulse, facsimile, magnetic, oral, or telephonic communication or statement as part of, or in support of, an application for the issuance of, or the rating of an insurance policy for personal or commercial insurance, or a claim for payment or other benefit pursuant to an insurance policy for commercial or personal insurance which such person knows to contain materially false information concerning any fact material thereto; or conceals, for the purpose of misleading, information concerning any fact material thereto.

NOTICE TO KENTUCKY APPLICANTS: Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance containing any materially false information or conceals, for the purpose of misleading, information concerning any fact material thereto commits a fraudulent insurance act, which is a crime.

NOTICE TO LOUISIANA APPLICANTS: Any person who knowingly presents a false or fraudulent claim for payment of a loss or benefit or knowingly presents false information in an application for insurance is guilty of a crime and may be subject to fines and confinement in prison.

NOTICE TO MAINE APPLICANTS: It is a crime to knowingly provide false, incomplete or misleading information to an insurance company for the purpose of defrauding the company. Penalties may include imprisonment, fines, or denial of insurance benefits.

NOTICE TO MARYLAND APPLICANTS: Any person who knowingly or willfully presents a false or fraudulent claim for payment of a loss or benefit or who knowingly or willfully presents false information in an application for insurance is guilty of a crime and may be subject to fines and confinement in prison.

NOTICE TO NEW JERSEY APPLICANTS: Any person who includes any false or misleading information on an application for an insurance policy is subject to criminal and civil penalties.

NOTICE TO NEW MEXICO APPLICANTS: ANY PERSON WHO KNOWINGLY PRESENTS A FALSE OR FRAUDULENT CLAIM FOR PAYMENT OF A LOSS OR BENEFIT OR KNOWINGLY PRESENTS FALSE INFORMATION IN AN APPLICATION FOR INSURANCE IS GUILTY OF A CRIME AND MAY BE SUBJECT TO CIVIL FINES AND CRIMINAL PENALTIES.

NOTICE TO OHIO APPLICANTS: Any person who, with intent to defraud or knowing that he is facilitating a fraud against an insurer, submits an application or files a claim containing a false or deceptive statement is guilty of insurance fraud.

NOTICE TO OKLAHOMA APPLICANTS: WARNING: Any person who knowingly, and with intent to injure, defraud or deceive any insurer, makes any claim for the proceeds of an insurance policy containing any false, incomplete or misleading information is guilty of a felony.

NOTICE TO PENNSYLVANIA APPLICANTS: Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance or statement of claim containing any materially false information or conceals for the purpose of misleading, information concerning any fact material thereto commits a fraudulent insurance act, which is a crime and subjects such person to criminal and civil penalties.

NOTICE TO PUERTO RICO APPLICANTS: Any person who knowingly and with the intention of defrauding presents false information in an insurance application, or presents, helps, or causes the presentation of a fraudulent claim for the payment of a loss or any other benefit, or presents more than one claim for the same damage or loss, shall incur a felony and, upon conviction, shall be sanctioned for each violation by a fine of not less than five thousand dollars (\$5,000) and not more than ten thousand dollars (\$10,000), or a fixed term of imprisonment for three (3) years, or both penalties. Should aggravating circumstances [be] present, the penalty thus established may be increased to a maximum of five (5) years, if extenuating circumstances are present, it may be reduced to a minimum of two (2) years.

NOTICE TO RHODE ISLAND APPLICANTS: Any person who knowingly presents a false or fraudulent claim for payment of a loss or benefit or knowingly presents false information in an application for insurance is guilty of a crime and may be subject to fines and confinement in prison.

NOTICE TO TENNESSEE APPLICANTS: It is a crime to knowingly provide false, incomplete or misleading information to an insurance company for the purpose of defrauding the company. Penalties include imprisonment, fines and denial of insurance benefits.

NOTICE TO VIRGINIA APPLICANTS: It is a crime to knowingly provide false, incomplete or misleading information to an insurance company for the purpose of defrauding the company. Penalties include imprisonment, fines and denial of insurance benefits.

NOTICE TO WASHINGTON APPLICANTS: It is a crime to knowingly provide false, incomplete or misleading information to an insurance company for the purpose of defrauding the company. Penalties include imprisonment, fines and denial of insurance benefits.

NOTICE TO WEST VIRGINIA APPLICANTS: Any person who knowingly presents a false or fraudulent claim for payment of a loss or benefit or knowingly presents false information in an application for insurance is guilty of a crime and may be subject to fines and confinement in prison.

NOTICE TO ALL OTHER STATES: Any person who knowingly and willfully presents false information in an application for insurance may be guilty of insurance fraud and subject to fines and confinement in prison. (In Oregon, the aforementioned actions may constitute a fraudulent insurance act which may be a crime and may subject the person to penalties).

NOTICE TO NEW YORK APPLICANTS: Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance or statement of claim containing any materially false information, or conceals for the purpose of misleading, information concerning any fact material thereto, commits a fraudulent insurance act, which is a crime, and shall also be subject to a civil penalty not to exceed five thousand dollars and the stated value of the claim for each such violation.

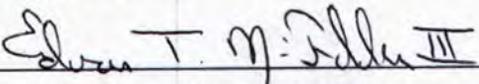
VI. AUTHORIZED REPRESENTATIVE; APPLICANT'S SIGNATURE:

1. Provide the name and title of the individual designated to receive any and all notices from the insurer concerning any policy issued as a result of this application (please type or print).

Name: Edwin T. McFadden, III

Title: Vice Chair, Treasurer

2. Attestation: The authorized signer of this application attests to the best of his/her knowledge that statements set forth herein are true; that no fact, circumstance nor situation indicating the probability of a claim or action now known to any entity, official, or employee has not been declared; and it is agreed by all concerned that omission of such information shall exclude any such claim or action from coverage under the insurance being applied for. It is further acknowledged that the signing of this application does not bind the signer to purchase the insurance. However, it is agreed that this Application shall be the basis of the contract and any policy which might be issued.



Authorized Signatory of Entity

October 25, 2018

Date

Edwin T. McFadden, III, Vice Chair and Treasurer of the Board

805 525 4431

Print Name and Title

Phone Number

VII. AGENCY INFORMATION

Agency Name: Fillmore and Piru Basins Groundwater Sustainability Agency

Contact: Kris Sofley, Clerk of the Board

Address: P O Box 1110

City: Fillmore State: CA Zip: 93016

Phone: 805 525 4431

Fax: _____

Will you make surplus lines filings if necessary?

Yes No

Provide your surplus lines license number: _____

NOTICE:

1. THE INSURANCE POLICY THAT YOU ARE APPLYING TO PURCHASE IS BEING ISSUED BY AN INSURER THAT IS NOT LICENSED BY THE STATE OF CALIFORNIA. THESE COMPANIES ARE CALLED "NONADMITTED" OR "SURPLUS LINE" INSURERS.
2. THE INSURER IS NOT SUBJECT TO THE FINANCIAL SOLVENCY REGULATION AND ENFORCEMENT THAT APPLY TO CALIFORNIA LICENSED INSURERS.
3. THE INSURER DOES NOT PARTICIPATE IN ANY OF THE INSURANCE GUARANTEE FUNDS CREATED BY CALIFORNIA LAW. THEREFORE, THESE FUNDS WILL NOT PAY YOUR CLAIMS OR PROTECT YOUR ASSETS IF THE INSURER BECOMES INSOLVENT AND IS UNABLE TO MAKE PAYMENTS AS PROMISED.
4. THE INSURER SHOULD BE LICENSED EITHER AS A FOREIGN INSURER IN ANOTHER STATE IN THE UNITED STATES OR AS A NON-UNITED STATES (ALIEN) INSURER. YOU SHOULD ASK QUESTIONS OF YOUR INSURANCE AGENT, BROKER, OR "SURPLUS LINE" BROKER OR CONTACT THE CALIFORNIA DEPARTMENT OF INSURANCE AT THE FOLLOWING TOLL-FREE TELEPHONE NUMBER: 1-800-927-4357 OR INTERNET WEBSITE WWW.INSURANCE.CA.GOV. ASK WHETHER OR NOT THE INSURER IS LICENSED AS A FOREIGN OR NON-UNITED STATES (ALIEN) INSURER AND FOR ADDITIONAL INFORMATION ABOUT THE INSURER. YOU MAY ALSO CONTACT THE NAIC'S INTERNET WEB SITE AT WWW.NAIC.ORG.
5. FOREIGN INSURERS SHOULD BE LICENSED BY A STATE IN THE UNITED STATES AND YOU MAY CONTACT THAT STATE'S DEPARTMENT OF INSURANCE TO OBTAIN MORE INFORMATION ABOUT THAT INSURER.
6. FOR NON-UNITED STATES (ALIEN) INSURERS, THE INSURER SHOULD BE LICENSED BY A COUNTRY OUTSIDE OF THE UNITED STATES AND SHOULD BE ON THE NAIC'S INTERNATIONAL INSURERS DEPARTMENT (IID) LISTING OF APPROVED NONADMITTED NON-UNITED STATES INSURERS. ASK YOUR AGENT, BROKER, OR "SURPLUS LINE" BROKER TO OBTAIN MORE INFORMATION ABOUT THAT INSURER.
7. CALIFORNIA MAINTAINS A LIST OF APPROVED SURPLUS LINE INSURERS. ASK YOUR AGENT OR BROKER IF THE INSURER IS ON THAT LIST, OR VIEW THAT LIST AT THE INTERNET WEB SITE OF THE CALIFORNIA DEPARTMENT OF INSURANCE:

WWW.INSURANCE.CA.GOV.

8. IF YOU, AS THE APPLICANT, REQUIRED THAT THE INSURANCE POLICY YOU HAVE PURCHASED BE BOUND IMMEDIATELY, EITHER BECAUSE EXISTING COVERAGE WAS GOING TO LAPSE WITHIN TWO BUSINESS DAYS OR BECAUSE YOU WERE REQUIRED TO HAVE COVERAGE WITHIN TWO BUSINESS DAYS, AND YOU DID NOT RECEIVE THIS DISCLOSURE FORM AND A REQUEST FOR YOUR SIGNATURE UNTIL AFTER COVERAGE BECAME EFFECTIVE, YOU HAVE THE RIGHT TO CANCEL THIS POLICY WITHIN FIVE DAYS OF RECEIVING THIS DISCLOSURE. IF YOU CANCEL COVERAGE, THE PREMIUM WILL BE PRORATED AND ANY BROKER'S FEE CHARGED FOR THIS INSURANCE WILL BE RETURNED TO YOU.

Date: Dec 10, 2018

Insured: *Edwin T. McFadden III*
Edwin T. McFadden III (Dec 10, 2018)

D-1 (Effective January 1, 2017)

**FILLMORE AND PIRU BASINS GROUNDWATER
SUSTAINABILITY AGENCY**
250 CENTRAL AVE
FILLMORE, CA 93015

BANK OF THE SIERRA
527 SESPE AVE.
FILLMORE, CA 93015

11028
90-3702/1211
CHECK ARMOR
FRASSI-PROTECTION

12/11/2018

PAY TO THE
ORDER OF Insure Cal

\$ **2,077.67

Two Thousand Seventy-Seven and 67/100***** DOLLARS

Insure Cal
1065 Colorado Ave. Ste. 5
Turlock, CA 95380

MEMO

General Liability Insurance 1/17/19 - 1/17/20

AUTHORIZED SIGNATURE

⑈0 1 10 28⑈ ⑆ 1 2 1 13 70 2 7⑆ 280 1 3958 70⑈

FILLMORE AND PIRU BASINS GROUNDWATER

SUSTAINABILITY AGENCY

11028

Insure Cal

12/11/2018

General Liability Insurance 1/17/19 - 1/17/20

2,077.67

Bank of the Sierra

General Liability Insurance 1/17/19 - 1/17/20

2,077.67

FILLMORE AND PIRU BASINS GROUNDWATER

SUSTAINABILITY AGENCY

11028

Insure Cal

12/11/2018

General Liability Insurance 1/17/19 - 1/17/20

2,077.67

Bank of the Sierra

General Liability Insurance 1/17/19 - 1/17/20

2,077.67

Photo Safe Deposit®
Details on Back.

Fillmore and Piru Basins GSA
Profit and Loss Budget Performance
November 2018

	<u>Jul - Nov 18</u>	<u>Annual Budget</u>	<u>% of Budget</u>
Income			
40001 · Groundwater Extraction Charge	905.51	473,850.00	0.19%
41000 · Grant Revenue			
41001 · State Grants	0.00	101,808.00	0.0%
Total 41000 · Grant Revenue	0.00	101,808.00	0.0%
47000 · Other Revenue			
47001 · Late Fees	2,105.13		
Total 47000 · Other Revenue	2,105.13		
47012 · Returned Check Charges	5.00		
Total Income	3,015.64	575,658.00	0.52%
Gross Profit	3,015.64	575,658.00	0.52%
Expense			
52200 · Professional Services			
52230 · Prof Svcs - Grant Solicitation	0.00	0.00	0.0%
52240 · Prof Svcs - IT Consulting	0.00	500.00	0.0%
52250 · Prof Svcs - Groundwtr/GSP Prep			
52251 · Prof Svcs - UWCD GW Services	8,309.18		
52250 · Prof Svcs - Groundwtr/GSP Prep - Other	0.00	160,609.00	
Total 52250 · Prof Svcs - Groundwtr/GSP Prep	8,309.18	160,609.00	5.17%
52270 · Prof Svcs - Accounting	3,454.51	34,000.00	10.16%
52275 · Prof Svcs - Admin/Clerk of Bd	1,519.32	30,000.00	5.06%
52280 · Prof Svcs - Executive Director	11,196.25	30,000.00	37.32%
52290 · Prof Svcs - Other	0.00	0.00	0.0%
Total 52200 · Professional Services	24,479.26	255,109.00	9.6%
52500 · Legal Fees			
52501 · Legal Counsel	1,992.00	67,600.00	2.95%
Total 52500 · Legal Fees	1,992.00	67,600.00	2.95%
53000 · Office Expenses			
53010 · Public Information	216.00	17,521.00	1.23%
53020 · Office Supplies	90.15	10,000.00	0.9%
53026 · Postage & Mailing	143.99	4,000.00	3.6%
53040 · Membership Dues	0.00		
53110 · Travel & Training	2,395.51		
Total 53000 · Office Expenses	2,845.65	31,521.00	9.03%
53500 · Insurance			
53510 · Liability Insurance	0.00	2,500.00	0.0%
Total 53500 · Insurance	0.00	2,500.00	0.0%
70000 · Interest & Debt Service			
70120 · Interest Expense	0.00	0.00	0.0%
Total 70000 · Interest & Debt Service	0.00	0.00	0.0%
70130 · Bank Service Charges	5.00		
80000 · AR Write-Offs - Bad Debt Exp.	5,113.09		
Total Expense	34,435.00	356,730.00	9.65%
Net Income	-31,419.36	218,928.00	-14.35%

Fillmore and Piru Basins GSA

Balance Sheet

As of November 30, 2018

Nov 30, 2018

ASSETS

Current Assets

Checking/Savings

10000 · Bank of the Sierra 262,383.28

Total Checking/Savings 262,383.28

Accounts Receivable

11000 · Accounts Receivable 99,301.12

Total Accounts Receivable 99,301.12

Total Current Assets 361,684.40

TOTAL ASSETS 361,684.40

LIABILITIES & EQUITY

Equity

32000 · Retained Earnings 393,103.76

Net Income -31,419.36

Total Equity 361,684.40

TOTAL LIABILITIES & EQUITY 361,684.40



Item No. **9A Motion**

DATE: **December 14, 2018 (Meeting of December 20, 2018)**

TO: **Board of Directors**

SUBJECT: **Update on Agency's Past Due Receivables and Collection Strategy**

SUMMARY

At its September 27, 2018 meeting, the Board voted unanimously to waive all late fees and penalties for all customers for the first two billing cycles of groundwater extraction fees, up to a December 1, 2018 deadline. At its October 25, 2018 meeting, the Board approved an informational letter notifying all customers of the one-time waiver of late fees and penalties. Staff mailed that letter to all customers, and several customers responded. As of December 1, 73 customers had still not paid. Staff seeks direction from the Board on next steps toward educating customers and collecting groundwater fees.

RECOMMENDED ACTION

Board will provide direction to staff on next steps toward collecting late groundwater extraction fees and penalties.

BACKGROUND

At its September 27, 2018 Board of Directors meeting, the Board voted unanimously to waive all late fees and penalty assessments for all customers who have paid or will pay their invoices late (beyond the 30-day period specified in the Agency's payment policy) but before the December 1, 2018 deadline. In an effort to communicate the Board's decision and the fact that this is a one-time waiver of late fees and penalties, the Agency mailed a letter conveying to groundwater pumpers the Board's decision to waive late fees and penalties, if payments are received by the December 1, 2018 deadline. After the September 27 meeting, 71 accounts paid their invoices and received the waiver. At the date of this report, 73 accounts still had not paid their groundwater extraction fees, for a total of \$90,595. Staff has prepared and mailed updated statements to the pumpers who had not paid by December 1, 2018 that include late fees and penalties.

Staff seeks direction from the Board on next steps toward educating customers and collecting the groundwater fees and penalties.

FISCAL IMPACT

The revenue from these past due receivables is needed for the Agency's upcoming efforts to prepare groundwater sustainability plans for the Fillmore basin and the Piru basin. Due to the planning grant's requirement that the Agency meet its line items match prior to releasing grant funds, the loss of revenue may also adversely affect the Agency's ability to comply with the terms of the grant agreement.



Item No. **9B Motion**

DATE: **December 17, 2018 (Meeting of December 20, 2018)**

TO: **Board of Directors**

SUBJECT: **Stakeholder Engagement Strategy**

SUMMARY

The Sustainable Groundwater Management Act requires that groundwater sustainability agencies conduct significant stakeholder outreach and engagement efforts, as an integral part of their development of groundwater sustainability plans. The Agency has been fortunate to have the active involvement of its stakeholders. As the Agency enters a new phase of planning, the Agency’s staff and the groundwater sustainability planning consultant seek direction from the Board regarding the stakeholder engagement process.

RECOMMENDED ACTION

Board will receive a presentation from staff on the planned stakeholder engagement effort, and provide direction to staff.

BACKGROUND

The Sustainable Groundwater Management Act (SGMA) requires that groundwater sustainability agencies conduct significant stakeholder outreach and engagement efforts, as an integral part of their development of groundwater sustainability plans. The Agency has been fortunate to have the active involvement of two pumpers associations, an environmental stakeholders group, the City of Fillmore, the County of Ventura, and the United Water Conservation District. Agency Board members have also been actively engaged in outreach to stakeholders. The Agency has recently selected a groundwater sustainability planning consultant, Daniel B. Stephens & Associates (DBS&A), and staff is working to finalize an agreement for Board consideration in the very near future. One item that Agency staff and DBS&A are working to develop is the Agency’s Stakeholder Engagement Plan. Prior to finalizing the scope of work regarding planned stakeholder engagement, Agency staff and DBS&A seek input from the Board regarding the stakeholder engagement process.

FISCAL IMPACT

A higher level of effort toward stakeholder engagement than provided in the cost proposal from Daniel B. Stephens & Associates would result in an increased cost to the Agency.



Fillmore and Piru Basins *Groundwater Sustainability Agency*

Fillmore and Piru Basins Groundwater Sustainability Agency

REQUEST FOR PROPOSALS
For
PROFESSIONAL AUDITING SERVICES

Anthony Emmert, Executive Director
FPB GSA
c/o UWCD
106 N 8th Street
Santa Paula, CA 93060

FPB GSA
REQUEST FOR PROPOSALS
PROFESSIONAL AUDITING SERVICES

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FPB GSA
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**FPB GSA
REQUEST FOR PROPOSALS
PROFESSIONAL AUDITING SERVICES**

I. INTRODUCTION

A. General Information

Fillmore and Piru Basins Groundwater Sustainability Agency (FPB GSA) (Agency) is requesting proposals from qualified certified public accountant firms to audit its financial statements for the fiscal year ending June 30, 2018, with the option of auditing its financial statements for each of the two (2) subsequent fiscal years, in addition to performing other financial audits and reviews as specified below. These audits are to be performed in accordance with auditing standards generally accepted in the United States of America, the standards set forth for financial audits contained in the current *Government Auditing Standards* issued by the Comptroller General of the United States, and the U.S. Office of Management and Budget (OMB) Circular A-133 *Audits of State and Local Governments and Non-Profit Organizations*.

There is no expressed or implied obligation for FPB GSA to reimburse responding firms for any expenses incurred in preparing proposals in response to this request. Materials submitted by respondents are subject to public inspection under the California Public Records Act (Government Code Sec. 6250 et seq.), unless exempt.

To be considered, three (3) copies of a proposal must be received by Anthony Emmert, Executive Director, at UWCD, 106 N 8th Street, Santa Paula, CA 93060, by **5:00 P.M. on February 01, 2019**. The FPB GSA reserves the right to reject any or all proposals submitted.

During the evaluation process, FPB GSA reserves the right, where it may serve the Agency's best interest, to request additional information or clarification from proposers, or to allow corrections of errors or omissions. At the discretion of FPB GSA, firms submitting proposals may be requested to make oral presentations as part of the evaluation process.

The FPB GSA reserves the right to retain all proposals submitted and to use any idea(s) in a proposal regardless of whether that proposal is selected. Submission of a proposal indicates acceptance by the firm of the conditions contained in the request for proposals, unless clearly and specifically noted in the proposal submitted and confirmed in the contract between FPB GSA and the firm selected.

It is anticipated the selection of a firm will be completed by March 21, 2019. Following the notification of the selected firm, a recommendation and proposed contract will be prepared for review and approval by the District Board at its **March 21, 2019** meeting. The FPB GSA reserves the right to reject any or all proposals, to waive any non-material irregularities or information in any proposal, and to accept or reject any items or combination of items.

B. Term of Engagement

It is the intent of FPB GSA to contract for the services presented herein for a term of three (3) years. FPB GSA reserves the right to extend the term of this contract for two (2) additional one-year terms subject to the satisfactory negotiation of terms, including a price acceptable to both FPB GSA and the selected firm. The proposal package shall present all inclusive audit fees for each year of the contract term.

II. NATURE OF SERVICES REQUIRED**A. Scope of the Work to be Performed**

FPB GSA desires a Comprehensive Annual Financial Report (CAFR) for FPB GSA to be prepared by the independent auditor for the fiscal year ended June 30, 2018 and each of the subsequent years of the audit firm's contract with FPB GSA. FPB GSA will be planning to submit the CAFR to the Government Finance Officers Association (GFOA) for review in their Certificate of Achievement for Excellence in Financial Reporting program.

The selected independent auditor will be required to perform the following tasks:

The audit firm will perform an audit of all funds of FPB GSA. The audit will be conducted in accordance with auditing standards generally accepted in the United States of America and Government Auditing Standards, issued by the Comptroller of the United States. The FPB GSA's annual financial reports will be prepared and word processed by the audit firm. The audit firm will render their auditors' report on the basic financial statements which will include both Government-Wide Financial Statements and Fund Financial Statements, if applicable. The audit firm will also apply limited audit procedures to Management's Discussion and Analysis (MD&A) and required supplementary information pertaining to the General Fund of FPB GSA.

If required, the audit firm will perform a single audit on the expenditures of federal grants in accordance with OMB Circular A-133 and render the appropriate audit reports on Internal Control over Financial Reporting based upon the audit of FPB GSA's financial statements in accordance with *Government Auditing Standards* and the appropriate reports on compliance with Requirements Applicable to each Major Program, Internal Control over Compliance and on the Schedule of Expenditures of Federal Awards in Accordance with OMB Circular A-133. The single audit report will include appropriate schedule of expenditures of federal awards, footnotes, findings and questioned costs, including reportable conditions and material weaknesses, and follow up on prior audit findings where required.

The audit firm shall issue a separate "management letter" that includes recommendations for improvements in internal control, accounting procedures and other significant observations that are considered to be non-reportable conditions. Management letters shall be addressed to the FPB GSA Executive Director.

The audit firm shall, at FPB GSA's request, prepare the Annual State Controller's Reports for Fillmore and Piru Basins Groundwater Sustainability Agency.

B. Auditing Standards to be followed

To meet the requirements of this Request for Proposals, the audit shall be performed in accordance with:

1. Generally Accepted Auditing Standards as set forth by the American Institute of Certified Public Accountants;
2. The most recent standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States;
3. The provisions of the Single Audit Act as most recently amended; and
4. The provisions of U. S. Office of Management and Budget (OMB) Circular A-133, *Audits of State and Local Governments and Non-Profit Organizations*.

C. Working Paper Retention

All working papers and reports must be retained at the auditor's expense for a minimum of seven (7) years, unless the firm is notified in writing by FPB GSA of the need to extend the retention period. The auditor will be required to make working papers available to United Water or any government agencies included in the audit of federal grants. In addition, the firm shall respond to the reasonable inquiries of successor auditors and allow successor auditors to review working papers relating to matters of continuing accounting significance.

D. Irregularities and Illegal Acts

Auditors shall be required to make an immediate, written report of all irregularities and illegal acts or indications of illegal acts of which they become aware to the following parties: Board Secretary/Treasurer, FPB GSA Legal Counsel, and the Executive Director.

III. DESCRIPTION OF THE AGENCY

A. Background Information

Fillmore and Piru Basins Groundwater Sustainability Agency is a joint powers authority comprised of the following three local public agencies: United Water Conservation District (UWCD), County of Ventura (District), and City of Fillmore (City), hereinafter jointly called Agencies. The boundaries of these agencies and the newly formed Fillmore and Piru Basins Groundwater Sustainability Agency are shown on the map uploaded below. UWCD is authorized under the California Water Code to conduct water resource investigations, acquire water rights, build facilities to store and recharge water, construct wells and pipelines for water deliveries, commence actions involving water rights and water use, and prevent interference with or diminution of stream/river flows and their associated natural subterranean supply of water (California Water Code, section 74500 et al.). The County of Ventura exercises water management and land use authority on land overlying the entire county including Fillmore and Piru Basins. The City of Fillmore is a local municipality that exercises water supply, water management, and land use authority within the city's boundaries.

The FPB GSA's current activities consist of the development of groundwater sustainability plans (GSPs) for the Fillmore and Piru groundwater basins, as required by the California Groundwater Sustainability Management Act of 2014 (SGMA). In order to fund the development of the GSPs, in 2018, the FPB GSA initiated a groundwater pumping charge to all well owners and operators within its service area. The pumping charge generates revenue of approximately \$475,000 per year. The FPB GSA has also recently received a groundwater sustainability planning grant from the California Department of Water Resources. FPB GSA's CY 2018 Adopted Budget (for the period of January through June 2018) and its FY 2018-19 Adopted Budget can be found on its website: www.fpbgsa.org.

FPB GSA's fiscal year begins on July 1 and ends on June 30.

B. Magnitude of Finance Operations

FPB GSA has contracted with United Water Conservation District for financial and accounting services. UWCD's Finance Department is headed by Erin Gorospe, Senior Accountant and consists of 6 employees. The principal functions performed are accounting, accounts payable, accounts receivable, groundwater reporting, cash management, budgeting, and financial reporting.

C. Computer Systems

UWCD utilizes computerized systems run on a Local Area Network (LAN). The accounting functions are computerized using QuickBooks software on a Windows platform. The applications operating on this system are general ledger, accounts payable, accounts receivable, cash collection/management, and project accounting.

E. Availability of Prior Reports and Work Papers

As FPB GSA was formed in June of 2017 and did not begin assessing fees or accumulating funds until January 2018, there are no prior audit reports or related work papers for review by the successful Proposer.

IV. TIME REQUIREMENTS

A. Proposal Calendar

The following is a list of key dates up to, and including, the date proposals are to be submitted:

<u>Date</u>	<u>Activity</u>
December 21, 2018	Request for proposal issued
February 1, 2019	Due date for proposals (due by 5:00 p.m.)
March 11-15, 2019	Oral Interviews (conducted at FPB GSA's discretion)
March 18-20, 2019	Selection of audit firm anticipated
March 21, 2019	Contract awarded by Board

B. Date Audit May Commence

Audit planning, documentation of systems of internal control and compliance and transaction testing should be completed during interim stage. It is expected FPB GSA will close its books and be ready for the final audit by mid-September. FPB GSA is ready to commence its audit for FY 2017-18.

C. Date Reports Are Due

The auditor shall provide all drafts and recommendations for improvements to the Board Secretary/Treasurer within a reasonable time period after the last day of field work. The auditor should be available for any meetings that may be necessary to discuss the draft audit reports. Once all issues of discussion are resolved, the completed annual financial reports, Single Audit report and other reports shall be delivered to the Board Secretary/Treasurer. It is anticipated that this process will be completed and the final products to be delivered by mid-November of each year.

V. ASSISTANCE TO BE PROVIDED TO THE AUDITOR AND REPORT PREPARATION

A. Finance Department Assistance

UWCD's Finance staff will be available during the audit to assist the firm by providing information, documentation, and explanations. While Finance staff is willing to assist the firm in the collection of information and documentation, due to workload and staffing limitations, it is expected and anticipated that the firm will collect a substantial part of the documentation needed from the files provided by the Finance staff.

B. Work Area, Telephone, and Office Equipment

FPB GSA will provide the auditor with reasonable work space, desks and chairs. The auditor will also be provided with access to a telephone, a computer with access to the general ledger system, access to paper documentation files and photocopying machines.

C. Report Preparation

Report preparation, editing, printing, tabbing, and binding shall be the responsibility of the auditor. *Comprehensive Annual Financial Report (10 copies)*

VI. PROPOSAL REQUIREMENTS

A. General Requirements

1. Inquiries concerning the Request for Proposals and the subject of the Request for Proposals must be made to:

Anthony Emmert – Executive Director
tonye@unitedwater.org or (805) 525-4431

CONTACT WITH PERSONNEL OF FPB GSA or UWCD OTHER THAN THE ABOVE REGARDING THIS REQUEST FOR PROPOSALS MAY BE GROUNDS FOR ELIMINATION FROM THE SELECTION PROCESS.

2. Submission of Proposal. Three (3) copies of the Proposal shall be received by FPB GSA **by 5:00 p.m. on February 1, 2019** for a proposal to be considered. The Proposal should address the items listed in sections C and D below.

The Proposal should be addressed as follows:

**Fillmore and Piru Basins Groundwater Sustainability Agency
Anthony Emmert, Executive Director
c/o UWCD
106 N 8th Street
Santa Paula, CA 93060**

B. Format for Technical Proposal

1. Title Page showing the request for proposals subject; the firm's name; the name, address and telephone number of the contact person; and the date of the proposal.
2. Table of Contents identifying the materials submitted by section and page number. Cross-referencing to section and page number in the RFP would be helpful.
3. Signed Transmittal Letter briefly stating the Proposer's understanding of the work to be done; the commitment to perform the work within the time period; and the name(s) of the person(s) authorized to represent the Proposer, title, address, and telephone number.
4. Detailed Proposal following the order set forth in Section C below.

C. Contents of Technical Proposal

The purpose of the Technical Proposal is to demonstrate the qualifications, competence and capacity of the firm seeking to undertake an independent audit of the District in conformity with the requirements of this request for proposals. As such, the substance of proposals will carry more weight than the form or manner of presentation. The Technical Proposal should

demonstrate the qualifications of the firm and of the particular staff to be assigned to this engagement. It should also specify an audit approach that will meet the request for proposals requirements.

The Technical Proposal should address all points outlined in the request for proposals (excluding any cost information which should only be included in the Sealed Dollar Cost Bid). The proposal should be prepared simply and economically, providing a straightforward, concise description of the proposer's capabilities to satisfy the requirements of this request for proposals. While additional data may be presented, the following subjects must be included. They represent the criteria against which the proposal will be evaluated.

1. *License to Practice in California*

An affirmative statement should be included verifying the firm and all assigned key professional staff are properly licensed to practice in California.

2. *Independence*

The firm should provide an affirmative statement that it is independent of United Water as defined by auditing standards generally accepted in the United States of America and the General Accounting Office's *Government Auditing Standards*.

3. *Firm Qualifications and Experience*

To qualify the firm must have extensive experience in audits of local governments as well as experience with preparation of Comprehensive Annual Financial Statements in GASB 34 format. The Proposer should state the size of the firm, the size of the firm's governmental audit staff, the location of the office from which the work on this engagement is to be performed, and the number and nature of the professional staff to be employed in this engagement on a full-time basis and the number and nature of the staff to be so employed on a part-time basis. Staff consistency is an important consideration.

The Proposer must provide a list of all current government clients.

The Proposer is also required to submit a copy of a report on its most recent external quality control review (peer review), with a statement whether that quality control review included a review of specific government engagements.

The Proposer shall also provide information on the results of any Federal or State desk reviews or field reviews of its audits during the past three (3) years. Additionally, the Proposer shall provide information on the circumstances and status of any disciplinary action taken or pending against the firm during the past three (3) years with State regulatory bodies or professional organizations.

4. Partner, Supervisory and Staff Qualifications and Experience

Identify the principal supervisory and management staff, including engagement partners, managers, other supervisors and specialists who would be assigned to this engagement. Include resumes, indicating whether each such person is registered or licensed to practice as a certified public accountant in California. Provide information on the government auditing experience of each person, including information on relevant continuing professional education for the past (3) three years and membership in professional organizations relevant to the performance of this audit.

Provide as much information as possible regarding the number, qualifications, experience and training, including relevant continuing professional education, of the specific staff to be assigned to this engagement. Indicate how the quality of staff over the term of the agreement will be assured.

Engagement partners, managers, other supervisory staff and specialists may be changed if those personnel leave the firm, are promoted or are assigned to another office. These personnel may also be changed for other reasons with the express prior written permission of FPB GSA. However, in either case, FPB GSA retains the right to approve or reject replacements.

Other audit personnel may be changed at the discretion of the Proposer provided that replacements have substantially the same or better qualifications or experience.

5. Similar Engagements with Other Government Entities

For the firm's office that will be assigned responsibility for the audit, list the most significant engagements (maximum - 5) performed in the last three (3) years that are similar to the engagement described in this request for proposals. These engagements should be ranked on the basis of total staff hours. Indicate the scope of work, date, engagement partners, total hours, and the name and telephone number of the principal client contact. Also please indicate whether the audit was part of a Comprehensive Annual Financial Report prepared in conformance with all GASB requirements. Information should be provided regarding clients that the firm serves that have received the CSMFO and GFOA awards.

Please provide a list of not less than five client references for whom services similar to those outlined in the RFP are currently being provided. For each reference listed provide the name of the organization, dates for which the service(s) are being provided, type of service(s) being provided and the name, address and telephone number of the responsible person within the reference's organization. FPB GSA reserves the right to contact any or all of the listed references regarding the audit services performed by the Proposer.

6. Specific Audit Approach

The proposal should set forth a work plan, including an explanation of the audit methodology to be followed, to perform the services required in Section II of this request for proposals. In developing the work plan, reference should be made to such sources of information as FPB GSA's budget and related materials, financial reports and other administrative documents as appropriate.

Proposers will be required to provide the following information on their audit approach:

- a. Proposed segmentation for the engagement;
- b. Level of staff and number of hours to be assigned to each proposed segment of the engagement;
- c. Sample size and the extent to which statistical sampling is to be used in this engagement;
- d. Type and extent of analytical procedures to be used in this engagement;
- e. Approach to be taken to gain and document an understanding of the District's internal control structure;
- f. Approach to be taken in determining laws and regulations that will be subject to audit test work; and
- g. Approach to be taken in drawing audit samples for purposes of tests of compliance.

7. Identification Anticipated Potential Audit Problems

The proposal should identify and describe any anticipated potential audit problems, the firm's approach to resolving these problems and any special assistance that will be requested from FPB GSA.

NO DOLLAR AMOUNTS SHOULD BE INCLUDED IN THE TECHNICAL PROPOSAL.

D. Contents of Cost Proposal

1. Total All-Inclusive Maximum Price

The cost proposal should contain all pricing information relative to performing the audit engagement as described in this request for proposals. The total all-inclusive maximum price to be bid is to contain all direct and indirect costs including all out-of-pocket expenses.

FPB GSA will not be responsible for expenses incurred in preparing and submitting the technical proposal or the sealed dollar cost bid. Such costs should not be included in the proposal.

The cost proposal should be submitted in the format provided in Attachment A, "AUDIT WORK COST PROPOSAL FORM" and Attachment B, "ESTIMATE OF COST".

2. *Manner of Payment*

Progress payment will be made on the basis of hours of work completed during the course of the engagement and out-of-pocket expenses incurred in accordance with the firm's proposal. Interim billings shall cover a period of not less than a calendar month.

VII. EVALUATION PROCEDURES

A. *Review of Proposals*

FPB GSA's Executive Director and UWCD Finance staff will evaluate submitted proposals.

B. *Evaluation Criteria*

Proposals will be evaluated using three (3) sets of criteria. Firms meeting the mandatory criteria will have their proposals evaluated and scored for both technical qualifications and price. The following represent the principal selection criteria, which will be considered during the evaluation process.

1. Mandatory Elements

- a. The audit firm is independent and licensed to practice in California.
- b. The firm has no conflict of interest with regard to any of the work performed by the firm for FPB GSA.
- c. The firm adheres to the instructions in this request for proposals on preparing and submitting the proposal.
- d. The firm submits a copy of its last external quality control review report and the firm has a record of quality audit work.
- e. The firm's past experience and performance on comparable government engagements.
- f. The quality of the firm's professional personnel to be assigned to the engagement and the quality of the firm's management support personnel to be available for technical consultation.
- g. Adequacy of proposed staffing plan for various segments of the engagement.
- h. Thoroughness of approach to conducting the audit of the District and demonstration of the understanding of the objectives and scope of the audit.
- i. Commitment to timeliness in the conduct of the audit.
- j. Maximum fees to conduct the audit.

Attachment A

AUDIT WORK COST PROPOSAL FORM

Service	2017/18	2018/19	2019/20
FPB GSA Audit and Related Reports	\$	\$	\$
Single Audit and Related Reports	\$	\$	\$
FPB GSA State Controller's Report	\$	\$	\$
Total for Fiscal Year (not-to exceed)	\$	\$	\$

Attachment B

ESTIMATE OF COST

Name of Firm: _____

Address: _____

Contact Name: _____

Contact Phone #: _____

Fax #: _____

Contact Email: _____

1. Auditor's Standard Billing Rates

Auditors Standard Hourly Billing Rates					
POSITION	2017/18	2018/19	2019/20	2020/21	2021/22
Partner	\$			\$	\$
Manager	\$			\$	\$
Senior Accountant	\$			\$	\$
Staff Accountant	\$			\$	\$
Clerical	\$			\$	\$

Company	Address Line 1	City	State	Zip
Bartlett, Pringle & Wolf, LLP	1123 Chapala Street	Santa Barbara	CA	93101
Glenn Burdette	1150 Palm Street	San Luis Obispo	CA	93401
KPGM	550 S. Hope St Ste 1500	Los Angeles	CA	90071
Moss, Levy & Hartz	5800 Hannum Ave. Suite E	Culver City	CA	90230
Nasif Hicks Harrison & Co	104 Anapanu St. Suite B	Santa Barbara	CA	
Poindexter & Company, CPA	P.O. Box 4488	Ventura	CA	93007
Vasquez & Co. LLP	801 S. Grand Ave., Suite 400	Los Angeles	CA	90017

Calendar for Year 2019 (United States)

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Holidays and Observances:

Jan 1 New Year's Day	May 5 Cinco de Mayo	Oct 31 Halloween
Jan 21 Martin Luther King Jr. Day	May 12 Mother's Day	Nov 11 Veterans Day
Feb 14 Valentine's Day	May 27 Memorial Day	Nov 28 Thanksgiving Day
Feb 18 Presidents' Day (Most regions)	Jun 16 Father's Day	Nov 29 Black Friday
Mar 17 St. Patrick's Day	Jul 4 Independence Day	Dec 24 Christmas Eve
Apr 15 Tax Day	Sep 2 Labor Day	Dec 25 Christmas Day
Apr 21 Easter Sunday	Oct 14 Columbus Day (Most regions)	Dec 31 New Year's Eve