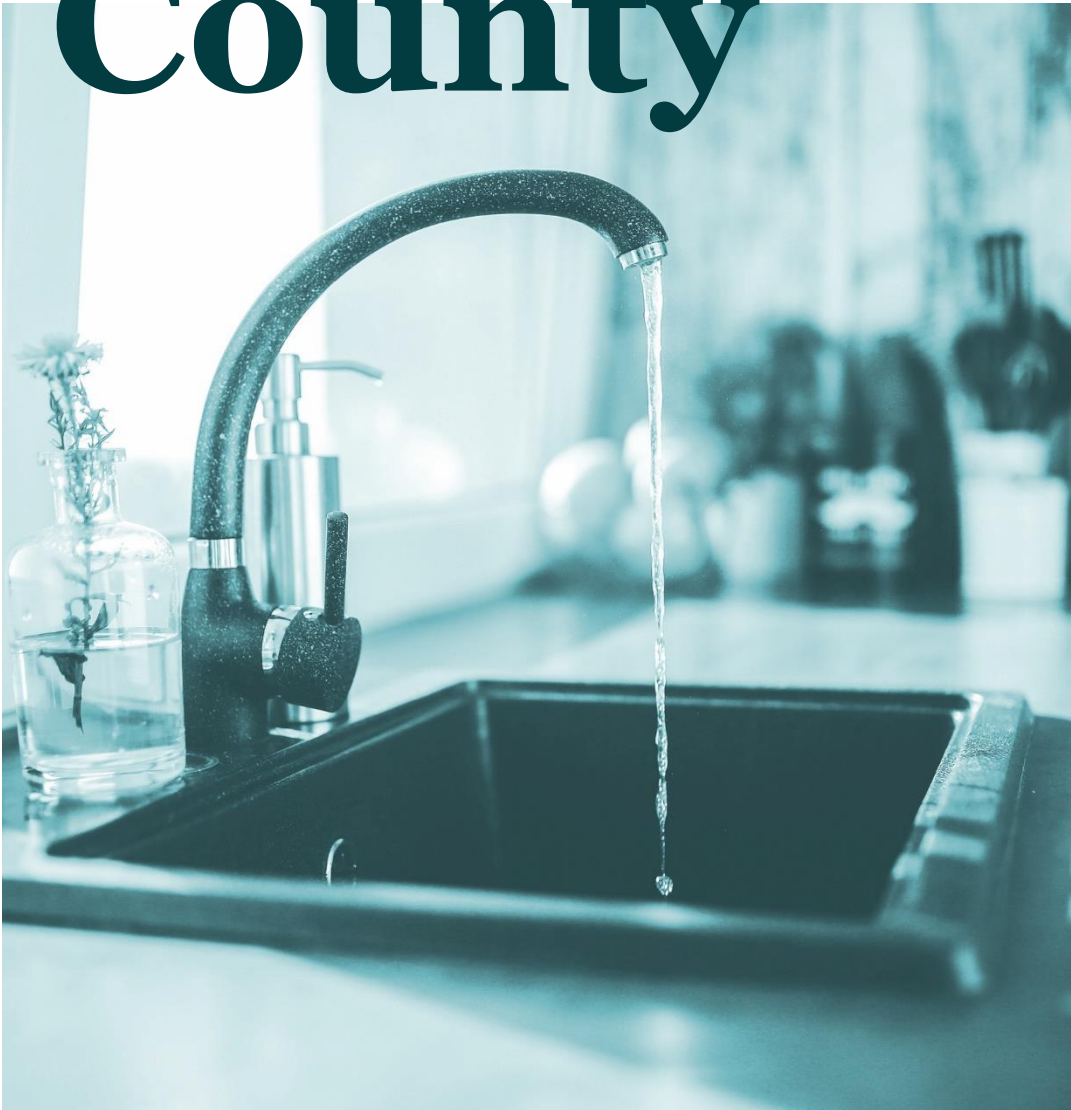


# Martin County



**Raftelis is registered with the U.S. Securities and Exchange Commission (SEC) and the Municipal Securities Rulemaking Board (MSRB) as a Municipal Advisor.**

Registration as a Municipal Advisor is a requirement under the Dodd-Frank Wall Street Reform and Consumer Protection Act. All firms that provide financial forecasts that include assumptions about the size, timing, and terms for possible future debt issues, as well as debt issuance support services for specific proposed bond issues, including bond feasibility studies and coverage forecasts, must be registered with the SEC and MSRB to legally provide financial opinions and advice. Raftelis' registration as a Municipal Advisor means our clients can be confident that Raftelis is fully qualified and capable of providing financial advice related to all aspects of financial planning in compliance with the applicable regulations of the SEC and the MSRB.

# Table of Contents

**01**

**A. Cover Letter / Statement of Interest**

**03**

**B. Firm and Individual Staff Qualifications**

- *Resumes*

**67**

**C. Past Experience with Similar Services / References**

**77**

**D. Approach and Methodology**

**80**

**E. Total Cost**

**81**

**Required Forms**

- F. Signed Addenda*
- G. Bidder's Qualification Statement*
- H. Conflict Affidavit*
- I. Drug Free Workplace Certification*
- J. Public Entity Crimes Statement*



July 21, 2021

Martin County Board of County Commissioners  
Purchasing Division  
2401 S.E. Monterey Road  
Stuart, Florida 34996

**Subject: Proposal for Utility Rate & Financial Consulting (RFP 2021-3343)**

Ladies and Gentlemen:

As a result of increasing demands on all aspects of utility operations, escalating costs to meet existing and new customer service and regulatory requirements, the need to continue to promote the water and wastewater line extension program for the benefit of the County, and satisfying the needs of the various system stakeholders, Martin County (County) is facing increasingly complex management issues. The role of sound financial management and rate administrative practices and effective strategic planning to support decision making in this environment is critical to the County's continued future success.

During the last 28 years, Raftelis (formerly Public Resources Management Group, Inc.) has worked closely with the County to develop and refine its utility financial planning process and has implemented numerous programs to support its strategic planning and rate administrative objectives. While our past efforts to assist the County in developing and implementing its utility business plan have been significant, there is still much to be addressed. Key challenges facing the utility include: i) near-term capital investment needs to address the requirements of the water and wastewater extension program and to maintain ongoing capital re-investment for long-term rate sustainability; ii) recognizing the service dynamics and challenges associated with the system transforming from a “growth” utility to a “mature” utility; and iii) balancing rate affordability with the increased expenditure needs of the system recognizing the effects of inflation, changes in regulations, the need to extend service, address Board of County Commissioner directives, and other factors.

Raftelis is pleased to submit this proposal in response to the County’s Request for Proposal (RFP) 2021-3343 for Utility Rate & Financial Consulting. Our proposal is based upon our understanding of the financial and rate consulting service needs, and we believe that it demonstrates how we can provide the County’s utility financial planning and rate consulting services in a timely, efficient, and professional manner. In reviewing our qualifications, a summary of the advantages that we offer is as follows:

- **Highly qualified** – We have significant experience in utility rate and financial planning, and our approach will be focused to promote the continued long-term financial sustainability of the County’s utility systems. We essentially serve only the public sector and have provided water, sewer, stormwater, and solid waste utility rate and financial services to over 160 Florida local governments, and have completed over 1,700 individual consulting projects on behalf of our clients in the southeastern United States since 1994.
- **Industry Experts** – Members of our staff have co-authored many of the industry guidebooks regarding water, wastewater, and reclaimed water financial and management issues. Members of our project team are contributing authors to the most recent update of the American Water Works Association’s *Manual M1, Principles of Water Rates, Fees, and Charges*, the recently published *Manual M29, Water Utility Capital Financing*, and the Water Environment Federation’s *The Water Reuse Roadmap*.
- **Qualifications and Experience of Proposed Consulting Team** – Our project team offers the County an experienced team combining the talents of certified public accountants, rate and financial analysts, economists, and certified government financial managers. Further, our team's institutional knowledge of the County provides continuity with the County’s current financial planning process while continuing to provide new perspectives in developing solutions to address the County’s financial issues based on our experience with the County, in the region, and nationally. The experience of our proposed team, all located in our Maitland, Florida office, can meet all of the County’s service needs, including utility rates, capital funding plans, utility acquisitions, contract (capacity, service, etc.) negotiations, utility extension programs, and strategic planning services.

We affirm our commitment to assist the County in successfully achieving its critically important utility system goals and meeting project schedules and deadlines in a cost-effective manner that provides value. As Executive Vice President of the firm and the proposed Project Director for the engagement, I will be the signatory to any contract documents executed with the County (Robert J. Ori, 341 North Maitland Avenue, Suite 300, Maitland, Florida 32751, Office: 407.628.2600 or Cell: 321.436. 4121, E: rori@raftelis.com). We thank you for allowing us to submit our proposal for your consideration and look forward to the opportunity to continue to be a trusted advisor to the County.

Sincerely,



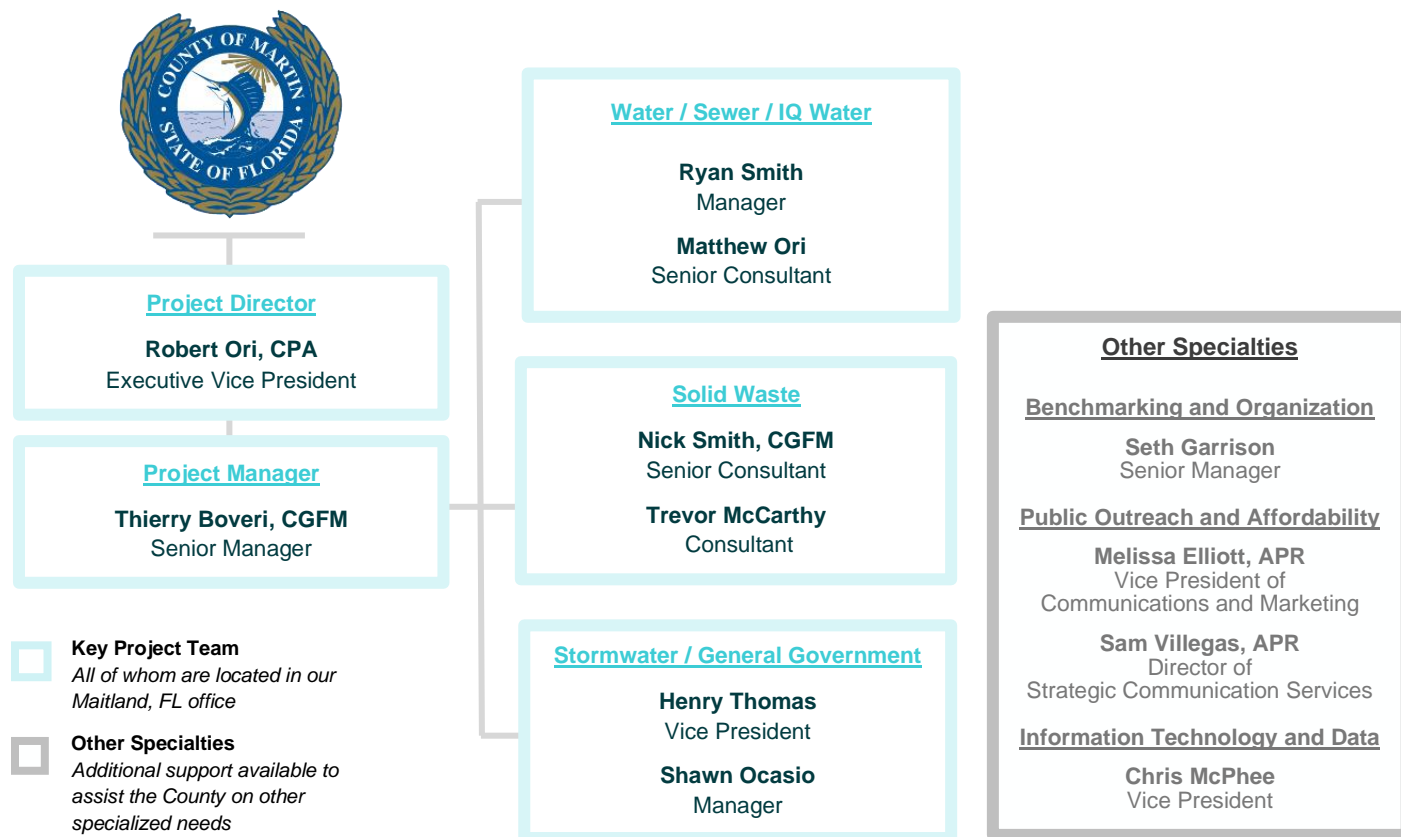
**Robert J. Ori**

*Executive Vice President*

## B. Firm and Individual Staff Qualifications

**Firm Overview:** Raftelis provides utilities and public-sector organizations with insights and expertise to help them operate as high-performing, sustainable entities providing essential services to their citizens. We help our clients solve their financial, organizational, technology, and communication challenges, achieve their objectives, and, ultimately, make their communities better places to live, work, and play.

**Staff Qualifications:** To provide the County with the right resources to get the job done and meet all the issues that the County may face over the next several years—resulting from such factors as growth, aging infrastructure replacement, impacts of increased regulations for providing service, new technology, climate change, impacts of changing labor force (succession planning), and continued inflation and national economic impacts on cost—a project team that has experience in all aspects of utility rates, finance, management, and strategic planning will be required. Our proposed project team includes a mix of senior staff members and experienced project analysts that have worked together for many years. The organizational chart highlights both the key project team members that are located in our Maitland, FL office that will be responsible for the majority of the work effort, as well as other strategic project team members that are available to assist the County on other specialized needs and issues such as public outreach, information technology, organizational structure and optimization, and other management and business needs that may arise. The organization chart also includes the area of responsibility for each selected project team member. At the end of this section, we have included resumes of our key project team members and key specialists that detail their qualifications and their role on the project.



## Key Personnel List Assigned to the County

We offer the County all of the resources of our firm, both in the State of Florida and also nationally. Our goal is to provide the best consultant or professional that can best meet the needs of the County based on the issue or circumstance of the services that may be needed during the contract term of our engagement. The performance of the requested County services will be managed and performed by our team located in the Maitland, FL office, approximately three hours away from the County. All the Raftelis Florida-based project team will be dedicated or available to meet the needs and issues facing the County. A summary of our Florida staff available to the County coupled with the identification of our project team members assigned to the County based on our current understanding of the needs of the County is summarized on the table shown here.

Team Member	Experience	Position
Robert J. Ori, CPA*	43 years	Executive Vice President
Henry Thomas	43 years	Vice President
Steven McDonald, CVA	30 years	Chief Economist/Valuation Services
Dianne Holloway, CPA	25 years	Senior Consultant
Tony Hairston	22 years	Vice President
Murray Hamilton, CPA	19 years	Senior Manager
Thierry Boveri, CGFM*	17 years	Senior Manager
Shawn Ocasio	12 years	Manager
Ryan Smith*	11 years	Manager
Joe Williams	9 years	Manager
Matthew Ori*	9 years	Senior Consultant
Nick Tuma*	8 years	Senior Consultant
Mark Tuma	6 years	Consultant
Trevor McCarthy	4 years	Consultant
Michael Noga	3 years	Consultant
Michelle Galvin	3 years	Associate Consultant
TJ Speight	< 1 year	Associate Consultant
Diana Mercas	< 1 year	Associate Consultant
Sarah Neely	< 1 year	Associate Consultant

\* Denotes personnel proposed to be assigned to the County's project.

## Project Team Resumes

Resumes for both the specific Key Project Team members and the Strategic Project Team (special consultants) selected to provide the proposed utility rate and financial consulting services to the County are included at the end of this section.

## Subcontractor Information

Raftelis does not anticipate the need for assistance from outside subcontractors; to the extent a specific task requires an outside subcontractor, Raftelis will coordinate the selection/use of such contractor prior to the specific project initiation.

## Project Team Experience

The table on the following page illustrates the experience of our project team/Maitland office staff for clients we have served during the last five years for the County's consideration.



# Robert J. Ori CPA

**PROJECT DIRECTOR**  
Executive Vice President

## ROLE

Robert will be responsible for overall project accountability and will be available to provide quality assurance and control, industry perspective, and insights into the project.

## PROFILE

Robert has: 1) performed utility revenue sufficiency and cost-of-service studies for over 175 local governments; 2) prepared financial feasibility and disclosure reports for approximately 95 transactions totaling over \$8.0 billion in proceeds in the traditional bond market, state revolving loans and rural development loans; 3) prepared financial due diligence evaluations for over 35 utility transactions; 4) served as the public service commission staff in the evaluation of franchised utility rate cases and has submitted testimony as an expert witness in support of rates; and 5) developed specialized rates such as low and high pressure reclaimed water rates, raw water rates, conservation rates, wholesale service and emergency service rates, development charges, and miscellaneous customer service rates. Robert has also been involved in the preparation of the capital improvement element for comprehensive land use plans, development and monitoring of municipal budgets, preparation of financial policies regarding liquidity and financial position, developed extension policies and agreements, assisted in development of service and capacity sales agreements and participated in contract negotiations, provided litigation support litigation services, and other related accounting, utility and public management advisory services.

Robert has been a frequently invited speaker addressing rate, accounting, and industry issues and has recently been involved in the American Water Works Association (AWWA) Rates and Charges Committee and the Finance, Accounting and Management Controls Committee. He is a contributing author to the newest addition of AWWA's *Manual of Practice No. 29, Fundamentals of Water Utility Capital Financing, Fourth Edition* and for the most recent published volume of AWWA's *Manual of Practice No. 1, Principles of Water Rates, Fees and Charges, Seventh Edition* and Contributing Author for the Water Environment Federation's 2018 published special publication, *The Water Reuse Roadmap*.



## Specialties

- Cost-of-service & rate studies
- Utility acquisitions
- Bond financing
- Wholesale service
- Developer/service agreements & policies
- Connection/development fees
- Business/strategic plans
- Strategic Planning Services
- Expert witness

## Professional History

- Raftelis: Executive Vice President (2019-present); President, PRMG (1994-2019)

## Education

- Master of Science in Business Administration, Accounting - Rollins College (1985)
- Bachelor of Science in Business Administration in Accounting & Finance - University of Central Florida (1977)

## Certifications

- Certified Public Accountant - Florida, No. 15822

## Professional Memberships

- WEF
- AWWA
- Government & Florida Finance Officers Association
- American & Florida Institute of Certified Public Accountants
- Florida Stormwater Association
- Member of Citizens Advisory Group for Seminole County Educational Impact Fees (2017)
- Member of the Charter Review Committee for the City of Winter Springs, Florida (2001)
- Member of Florida Section AWWA Water Conservation Committee (1992-1997)

## KEY PROJECT EXPERIENCE

### **Millennium Challenge Corporation (Mongolia)**

Robert directed the development of a financial forecast and rate tariff evaluation and plan in support of the Mongolia Second Compact Development for the Millennium Challenge Corporation (MCC) as documented in the “Financial and Institutional Sustainability study related to the Expansion of Bulk Water Supply in Ulaanbaatar, Mongolia” (the “MCC Report”). With respect to this project, Robert participated in on-site meetings with the Water Supply and Sewerage Authority of Ulaanbaatar (USAG - the water and wastewater utility purveyor), the Water Services Regulatory Commission (WSRC - the regulator for the establishment of rates), Housing and Public Utilities Company of Ulaanbaatar City (OSNAAUG - the primary wholesale customer), and other third parties to compile information and gain an understanding of the rate-making process and needs of the service area and developed a detailed financial model that included both a “utility-basis approach” (method generally employed by WSRC) and “cash needs approach” in the evaluation of revenue requirements and amounts to be recognized in the establishment of rates. The financial evaluation/model included: i) a customer and demand forecast, projections of operating expenses which also included incremental expenses associated with the MCC investment; ii) a utility plant (fixed assets) evaluation to estimate asset replacement for cash flow analyses and depreciation expense for tariff development; iii) a capital funding evaluation to identify debt/pay-as-you-go/and capital contributions in the evaluation of financial position; iv) a management dashboard that details the estimated fiscal position of the utility (liquidity, tariff sufficiency, capital contribution margins, debt leverage relationships, and other financial targets; and v) a schedule of proposed rate tariffs considered necessary to fund the revenue requirements of the utility. Robert also assisted in the preparation of the MCC Report.

### **Martin County (FL)**

Robert has served the water, wastewater, and solid waste departments of Martin County (County) since 1994 and has performed a variety of utility services for the County. The initial services were associated with the performance of a rate evaluation to consolidate three separate districts into a single enterprise. In order to address the utility rate needs, Robert directed the development of a detailed cost-of-service analysis, which included the re-structuring of utility rates, development of reclaimed water rates, and the design of system development fees. Robert assisted in the financial valuation and acquisition of 12 privately owned utilities to bring the utilities under public ownership, eliminate small wastewater treatment systems, and to further regionalize system service to promote economies of scale. Robert also developed financial forecasts, rate covenant and additional bonds tests, and assisted in the rating agency presentations for seven separate bond issues totaling \$140,840,000 in bond and state revolving fund loan proceeds. He also directed the development of a detailed solid waste business forecast to model the financial needs of the system and to develop tipping or disposal fees and collection fees, including the amount of fees that should be on the ad valorem tax bill (assessment) for residential service. As part of a managed competition (privatization) initiative of the County, Robert assisted the utility department in preparing a price bill (Robert was responsible for the Finance and Customer Service Component of the bill), which was won by the County and also assisted the department in the preparation and presentation of a change order to the bid price. Other services have included the development of wholesale service assisted with charges and assisted with the negotiation of a water and sewer capacity swap with the City of

Stuart, FL, development of reclaimed water rates and large user agreements, providing assistance for the development of a wastewater extension/septic tank replacement program, development of a price index rate adjustment formula for operating margin maintenance, and providing on-going utility rate and financial services.

### **City of West Palm Beach (FL)**

Robert has performed a variety of utility services for the City of West Palm Beach (City) since 1994. He directed the development of a detailed utility rate study for the City's water, wastewater, and stormwater enterprise funds. Responsibilities included overseeing the development of a detailed billing frequency to identify customer use attributes by class, development of a five-year revenue requirements analysis and capital funding plan, the design of rates for service including a water conservation rate structure, and the design of other rates including raw water rates, wholesale water and wastewater rates for full and emergency service, system development charges, and miscellaneous fees for service. Robert has continuously updated this study on behalf of the City. Robert has also developed financial forecasts, rate covenant and additional bonds tests, financial disclosure reports, and assisted in the rating agency presentations for 10 separate bond issues totaling \$483,145,000 in bond proceeds, including the East Central Regional Treatment Operations Board financing which the City is the administrator for the facility. Other services have included providing assistance in wholesale service agreements, development of capital funding analyses in support of the utility master planning process and water treatment facility options, and other ongoing rate and financial services.

### **Hillsborough County (FL)**

Robert has performed a variety of services to Hillsborough County (County) over the past twenty-five years. The first engagement directed by Robert was an evaluation of the financial position, rates, and business issues and the identification of alternatives to improve financial performance and sustaining rates. This led to the development of the Blue Ribbon Committee by the Board of County Commissioners that developed a strategy/list of recommendations to improve the utility; Robert served as the lead consultant assisting the County staff during the Blue Ribbon Committee deliberations. Robert also directed the preparation of a detailed cost-of-service analysis to modify the rates for service. Attributes included the development of a detailed billing frequency to identify customer use attributes by class, development of a five-year revenue requirements analysis and capital funding plan, the design of innovative rates for service based on an equivalent residential unit basis (flow based by customer, not by meter size) which also included a water conservation rate structure, and the development of a purchased water pass-through adjustment and a price index adjustment clause to allow for operating margin stability. Robert also developed a financial disclosure report including rate covenant and additional bond compliance tests, assisted in the preparation of language revisions to the governing bond resolutions for operating, financing, and accounting issues, and participated in the rating agency presentations for the issuance of utility revenue bonds (including Build America and Economic Recovery Bonds) totaling \$448,179,000 and solid waste revenue bonds totaling \$114,230,000 in bond proceeds. He also directed the development of a detailed solid waste business forecast to evaluate the financial needs of the system and to develop tipping or disposal fees and collection fees, including the amount of fees that should be on the ad valorem tax bill (assessment) for residential service. The financial forecasts for the water and wastewater system and the

solid waste system have been updated annually as part of the County's strategic planning process. Most recently, he developed a street light rate evaluation (assessments) for approximately 740 lighting districts in the County serving over 125,000 parcels, including the development of a revenue sufficiency analysis and multi-year forecast of needs, a cost allocation evaluation to recover costs, managed the development of the property assessment roll to bill the district rates, and assisted in the update of the Street Lighting Ordinance.

### **Lee County (FL)**

Robert directed the preparation of a comprehensive cost-of-service study for the water and wastewater system which included a detailed customer billing frequency analysis, development of net revenue requirements, identification of a capital financing plan and cash flow evaluation, and the design of rates for service. Subsequent to the rate evaluation, Robert was responsible for overseeing the preparation of the financial due diligence, development of a system financial and rate consolidation analysis, and preparation of the bond feasibility disclosure report in support of the issuance of \$134,615,000 in utility revenue bonds which financed a utility acquisition that increased the water customer base by 64% and the wastewater customer base by 37%. Since the acquisition, Robert has been involved in a number of projects for Lee County (County), including: i) the preparation of detailed bond feasibility reports for three transactions totaling \$233,595,000 in bond proceeds; ii) the preparation of an update to the rate study to adopt a series of multi-year rate adjustments which were approved by the Board of County Commissioners as presented; iii) assisted in the valuation and negotiations of the purchase of the Gateway Services District wastewater treatment plant and regional site and the development of a separate bulk wastewater services agreement; iv) development of a detailed financial policy for the utility (maintenance of operating and capital reserves, financial targets, and long-term revenue sufficiency which was adopted by the Board of County Commissioners); and v) performing other miscellaneous services as requested by the County from time to time (e.g., development of a capital planning tool for staff to evaluate changes in CIP planning, evaluation of absorption of other private and publicly-owned utilities in the County, design of reclaimed water rates, etc.). He also directed the development of a detailed solid waste business forecast to evaluate the financial needs of the system and to develop tipping or disposal fees and collection fees, including the amount of fees that should be on the ad valorem tax bill (assessment) for residential service.

### **Collier County (FL)**

Robert has been involved in directing numerous projects for Collier County (County) since 2001. Robert has directed: i) utility rate studies which involved the evaluation of the financial requirements of the utility, including the development of a sustainability plan (primary objectives being capital re-investment and financial sustainability) and the adoption of a multi-year rate phasing plan that was approved by the Board of County Commissioners; ii) the development of water and wastewater impact fees; iii) the design of wholesale rates; iv) assisting in the development of a reclaimed water policy, ordinance, major and basic user agreements for service, and the design of low and high pressure reclaimed water rates; v) the development of a bond feasibility disclosure reports in support of the issuance of \$233,700,000 in bond proceeds; and vi) the development of an acquisition evaluation to consolidate a privately-owned utility system into the County System. He also directed the development of a detailed solid waste business forecast to evaluate the financial needs of the system and to develop tipping or disposal fees and collection

fees, including the amount of fees that should be on the ad valorem tax bill (assessment) for residential service.

### **Alexandria Renew Enterprises (VA)**

Robert directed the development of a detailed revenue sufficiency analysis and rate evaluation for the Alexandria Renew Enterprises wastewater utility. The evaluation included the development of a 10-year financial forecast of revenue requirements, which recognized a joint capacity partner in the treatment facility, the development of financial targets and performance measures based on best management practices and credit evaluation criteria, implementation of a new rate structure to increased fixed cost recovery and promote revenue stability, and the development of a sustainable capital finance plan. The financial forecast model has been updated annually and serves as the basis for the development of the annual utility budget. Most recently, Robert assisted in the conversion of moving from a quarterly to a monthly based billing process. Other services have included the development of sewer deduct and metering policies, review of customer service and billing agreements, and preparing financial forecasts and rate covenant evaluations associated with securing low interest loans from the Virginia Resources Authority.

### **Fairfax County (VA)**

Robert directed the development of a detailed revenue sufficiency analysis and rate evaluation for the Fairfax County (County) wastewater utility. The evaluation included a 10-year financial forecast of revenue requirements, which recognized the County's participation in several joint wastewater treatment capacity partnerships, the development of financial targets and performance measures based on best management practices and credit evaluation criteria, implementation of a new rate structure to increased fixed cost recovery and promote revenue stability, and the development of a sustainable capital finance plan. The financial forecast model has been updated annually and serves as the basis for the development of the annual utility budget and the ongoing five-year adopted rate schedule. Robert also developed a financial disclosure report including rate covenant and additional bond compliance tests for the Series 2010 Bonds issues totaling \$152,255,000 in bond proceeds. Other services have included: the performance of a financial evaluation associated with the potential acquisition of both a private and public utility system; the development of a wastewater capacity lease and sales agreement, including the price of such capacity, with another public utility in a jointly owned treatment facility as well as the sale of County-owned capacity, assistance in the development of a capital project tracking system; the development of wastewater system development fees; and the design of water system filing criteria for the regulation of water systems by the County.

### **Newton County Water and Sewerage Authority (GA)**

This project directed by Robert included the development of a five-year financial forecast model and revenue sufficiency analysis to evaluate financial performance, revenue sufficiency, and the ability to sustainably fund the capital needs of the water and wastewater utility system. The analysis also included the phase-in of a re-design of rates to eliminate minimum water use allowances in the base charge, increase large customer fixed cost contributions based on implied capacity availability, increase water conservation incentives, and to promote revenue stability and fairness and the development of a purchased

water pass-through consumption charge mechanism. Robert also assisted the Newton County Water and Sewerage Authority (Authority) in the development of wholesale wastewater rates to service a neighboring local government, including the preparation of a comprehensive wholesale rate agreement between the parties. Other services have included: evaluation of the wholesale wastewater effluent disposal charges for land application; review of customer billing and late fee application, development of large user rates for industrial customers, and providing continued financial model updates to monitor rates and financial conditions.

## OTHER REPRESENTATIVE CLIENTS SERVED

- Ascension Parrish (LA)
- Brevard County (FL)
- City of Boca Raton (FL)
- Charlotte County (FL)
- Citrus County (Water and Wastewater Authority) (FL)
- Florida Keys Aqueduct Authority (FL)
- City of Grimes (IA)
- Hernando County (FL)
- Town of Jupiter (FL)
- Town of Jupiter Island (FL)
- Town of Leesburg (VA)
- Manatee County (FL)
- Millennium Challenge Corporation – Timor-Leste
- City of Miami Beach (FL)
- Newton County (GA)
- City of North Port (FL)
- East Central Regional Wastewater Treatment Operations Board (Palm Beach County, Cities of West Palm Beach, Riviera Beach, Lake Worth and Town of Palm Beach) (FL)
- Florida Governmental Utility Authority (FL)
- Oconee County (GA)
- City of Palm Coast (FL)
- Sarasota County (FL)
- Spanish Fort Water System, Inc. (AL)
- Stafford County (VA)
- St. Lucie County (FL)
- City of Sunrise (FL)
- City of Waycross (GA)
- Village of Wellington (FL)
- City of Winchester (VA)
- Town of Wrightsville Beach (NC)

## LITIGATION EXPERIENCE

Presented testimony as an expert witness or provided litigation support services before the following state and federal jurisdictions on utility rate, acquisition, and cost-of-service issues:

- Sarasota County, Public Utilities Commission - Pluris Southgate, Inc. (No Docket) (2017)
- Charlotte County Board of County Commissioners, Waste Management of Florida, Inc. Rate Case, Docket No. WM016-001-SW (2016)
- Lake Osborne Waterworks, Inc. vs. City of Lake Worth, Florida in the Circuit Court of the 15th Judicial Circuit in and for Palm Beach County, Florida - Case No. 502014-CA-008137 (2016)
- Fletcher Allen, et. al. vs. The Water Works Board of the City of Birmingham in the Circuit Court of Jefferson County, Alabama - Civil Action No. CV 2009 908
- Sarasota County, Public Utilities Commission - Aqua Utilities Florida, Inc. (2008) (No Docket)
- City of Treasure Island vs. City of St. Petersburg in the Circuit Court for Pinellas County, Florida Circuit Civil Division - Case No. 08-15359-CI-11
- Hillsborough County, Public Utilities Commission - Windermere Utility Co., Inc. (2006) (No Docket)

- City of Marco Island vs. State of Florida in the Circuit Court of the Twentieth Judicial Circuit in and for Collier County, Florida - Case No. 06-261-CA-TB (2006)
- Sarasota County, Public Utilities Commission - Aqua Utilities Florida, Inc. Limited Rate Filing (2006) (No Docket)
- Sarasota County, Public Utilities Commission - South Gate Utilities, Inc. (2006) (No Docket)
- Citrus County Water and Wastewater Regulatory Authority Docket No. WS 05 01
- Pine Island Community Development District v. State of Florida Validation Hearing Case No. 04-CH3084 Fifth Judicial Circuit in and for Lake County
- Sarasota County, Public Utilities Commission - Siesta Key Utilities, Inc. (2004) (No Docket)
- City of West Palm Beach, et al. v. Department of Community Affairs and Palm Beach County – Case Nos. 04-4336GM, 04-4337GM, and 04-4650GM
- Sarasota County, Public Utilities Commission - AquaSource Utilities, Inc. (2003) (No Docket)
- Circuit Court of the Eighteenth Judicial Circuit in and for Seminole County, State of Florida – Case No. 01-CA-1921-16-9
- Circuit Court of the Sixteenth Judicial Circuit of the State of Florida, in and for Monroe County, Florida General Civil Division - Case No. CA-K-00-1525
- Town of Ft. Myers Beach, Lee County - Twentieth Judicial Circuit Case No. 99 1753-CA-JBR
- American Arbitration Association - Town of Vernon, CT and Vernon W.P.C.A. vs. Town of Ellington and Ellington W.P.C.A. - Case No. 12 199 00150 98
- Circuit Court for Pinellas County, Florida General Civil Division - Case No. 98 000747-CI-011
- Circuit Court of St. Charles County, State of Missouri - Case No. CV196 7425CC (1997)
- Polk County Utilities Commission - Grenelefe Utilities Co., Inc. (1995) (No Docket)
- Twentieth Judicial Circuit Court, Collier County, Florida - Case No. 95 2052 CA-01-TB
- Seventeenth Judicial Circuit, Broward County, Florida - Case No. 93-13263-14
- Charlotte County, Florida - Docket No. 92-106.06-WS (1993)
- Federal Energy Regulatory Commission - Docket No. ER83-369 (1983)
- Louisiana Public Service Commission - Docket No. U-15684 (1983)
- North Carolina Utilities Commission - Docket No. G-21, Sub 235 (1983)

## PUBLICATIONS

- “Preparing for Rate Studies and Bond Financings: Is Your Utility Ready?” Florida Water Resources Journal, 2013
- “Utility Rates and the Political Environment,” AWWA Journal, 2011
- “The Water Reuse Roadmap,” WEF Published Special Publication, 2018
- “Fundamentals of Water Utility Capital Financing,” AWWA Manual of Practice 29, Fourth Edition, 2014
- “Principles of Water Rates, Fees, and Charges,” AWWA Manual of Practice 1, Seventh Edition, 2017

## PRESENTATIONS

- “Capital Financing Plan: What Are My Options?” Florida Government Finance Officers Association (FGFOA) Annual Conference, 2016

- “A Water and Wastewater Utility Perspective on Water Supply and Pricing,” Broward Leaders Water Academy, 2013
- “Preparing for Rate Studies and Bond Financings: Is Your Utility Ready?” Florida Section of the AWWA Conference, 2012
- “Financial Analysis of Utility Systems,” FGFOA Annual Conference, 2010
- “Utilities are Big Business” FGFOA Annual Conference, 2009
- “Managing Wastewater Reuse Implementation as an Emerging Utility” The First Idaho Wastewater Reuse Conference, 2005
- “Developing Meaningful Management Reports,” FGFOA Annual Conference, 2004
- “Contract Operations: The Martin County Experience,” Seventh Annual American Water Works Association Customer Service Workshop, 1998
- “Competition and Customer Service,” AWWA Customer Service Issues Conference, 1997
- “Public-Private Partnering for Utility Infrastructure Financing in Collier County, Florida,” AWWA Annual Conference and Exposition, 1995
- “Innovative Water Conservation Ratemaking,” Florida Water Resources Journal, 1995
- “Utility Acquisitions,” AWWA Water Utility Financing Conference, 1993
- “Establishing Water Conservation Rates,” Florida Water Resources 67th Annual Conference, 1992
- “Water Conservation Rates and Solid Waste Variable Rates,” FGFOA 49th Annual Conference, 1991
- “Innovative Financing Alternatives,” AWWA Water Management Issues Conference, 1990

## **PROFESSIONAL HONORS**

- AWWA Management and Leadership Division 2011 Best Paper Award

# Thierry Boveri CGFM

## PROJECT MANAGER

Senior Manager



## ROLE

Thierry will manage the day-to-day aspects of the project ensuring it is within budget, on schedule, and effectively meets the County's objectives. He will also lead the consulting staff in conducting analyses and preparing deliverables for the project. Thierry will serve as the County's main point of contact for the project.

## PROFILE

Thierry brings a client-focused approach with a strong desire to provide value and client satisfaction. Thierry has performed numerous utility revenue sufficiency and cost-of-service studies for more than 40 local governments throughout the southeastern United States, prepared financial feasibility and disclosure reports totaling over \$1 billion in debt proceeds issued through the traditional bond market, state revolving loans, and rural development loans; and assisted in a variety of economic and miscellaneous fee studies. Thierry has also been involved in the formulation of financial policies regarding liquidity and financial position related to industry best management practices. He has supported contract negotiations and provided other related utility and management advisory services.

Thierry is an active member of AWWA, WEF, GFOA and SWANA through his participation on several committees, periodic conference presentations on subject matters ranging from effective utility management (EUM) to the Circular Economy and as a principal author to WEF's *Manual of Practice No. 27, Financing and Charges for Wastewater Systems* and the WEF Water Reuse Road Map. Most recently, Thierry served on the selection committee for WEF's inaugural national Stormwater and Green Infrastructure Symposium.

## KEY PROJECT EXPERIENCE

### Martin County (FL)

Thierry has performed a variety of services for Martin County (County) since 2005, including annual updates to the water and wastewater financial forecast and periodic updates of the solid waste models. Thierry has assisted the County with the issuance of the Utilities System Improvement Revenue Bonds

### Specialties

- Water & sewer rate study
- Solid waste study
- Bond/state loan feasibility study
- Utility acquisition/valuations  
wholesale service rates
- Impact fee study
- Business/strategic  
plans/negotiations
- Desktop financial asset evaluation/  
reinvestment
- Cost/benefit analysis
- Financial policies/best management  
practices

### Professional History

- Raftelis: Senior Manager (2019-present); Associate, PRMG (2005-2019)

### Education

- Bachelor of Arts in Economics;  
Bachelor of Arts in International  
Business - Rollins College (2005)

### Certifications

- Certified Government Financial  
Manager, No. 15483

### Professional Memberships

- AWWA: Florida Section - Finance &  
Rates Committee
- WEF: Utility Management  
Committee
- Government Finance Officers  
Association
- Solid Waste Association of North  
America: Florida - Finance &  
Planning Committee

Series 2009 issued in the principal amount of approximately \$36.7 million. Thierry served as the project manager for the most recent engagement.

### **City of Cooper City (FL)**

Thierry has assisted the City of Cooper City (City) since 2007, including periodic revenue sufficiency evaluations, financial evaluations in support of the City's Utility Master Plan, development of conservation tiered rates and presentation of rate recommendations to City Commission. Thierry served as the primary analyst and project manager for the most recent engagement.

### **City of Sunrise (FL)**

Thierry has assisted the City of Sunrise (City) since 2007, including periodic revenue sufficiency evaluations, financial evaluations in support of the City's Utility Master Plan and reclaimed water rate evaluations. During 2010, Thierry performed a detailed utility rate evaluation and a subsequent bond feasibility study, the primary purpose to support the capital program identified in the City's utility master plan. The study resulted in the adoption of a 40% rate increase to fund the capital improvement program and issuance of approximately \$118,615,000 of Utility System Revenue Bonds, Series 2010 (which included Federally Taxable Build America Bonds). Thierry serves as a primary point of contact and project manager for the most recent engagements.

### **Lee County (FL)**

Thierry has assisted Lee County (County) with a comprehensive revenue sufficiency and rate study for the water and wastewater system and solid waste system resulting in the adoption of multi-year rate plan, financial policies, issuance of indebtedness and recommendations concerning development and changes to bond covenants, miscellaneous fees, review of service agreements, and other activities. The adopted rate plans included review of trends in historical operating results and detailed customer and tonnage billing statistical analysis, forecast of the net revenue requirements, and identification of a capital financing plan and cash flow evaluation, and the design of rates for service. Subsequent to the rate evaluation, Thierry assisted the County in development of a detailed financial policy as adopted by the Board of County Commissioners to formalize the financial management goals including: maintenance of operating and capital reserves, limitations on the issuance of debt, cash flow for capital reinvestment and long-term revenue sufficiency. Thierry also assisted the County in the development of an abridged financial model (capital planning tool) specifically designed for use by staff to determine effects on financial position and rates over various capital financing scenarios and overall capital funding levels.

### **Hillsborough County (FL)**

Thierry has performed a variety of services for Hillsborough County (County) since 2007, including annual updates to the water, wastewater, and solid waste financial forecast models. Specifically, Thierry began assisting the County through improvements to the water and wastewater financial management dashboard and development of a detailed customer statistical and revenue model used in the County's budget process. Thierry was the principal analyst in the development of a comprehensive solid waste financial forecast model used by staff to identify revenue sufficiency and rate design relative to solid waste fees and to aid in cost benefit decisions related to solid waste disposal options, negotiations, economic

analyses of fixed and marginal costs and other fiscal related analyses. Thierry has assisted the County with the recent issuance of the water and wastewater system Utility Revenue Bonds Series 2016 in the principal amount of approximately \$208 million and the Solid Waste and Resource Recovery Facility Bonds Series 2016 A/B in the combined principal amount of approximately \$114 million. Thierry has also assisted the County with review of contracts and validation of compliance with application of indexing provisions to charges by the County's solid waste franchise haulers.

### **Manatee County (FL)**

Thierry has assisted Manatee County (County) with a comprehensive cost-of-service study for the water and wastewater system which resulted in the adoption of the recommended rate design. Subsequent to the rate evaluation, Thierry assisted the County in the financial due diligence and financial feasibility report supporting the issuance of \$78.1 million in utility revenue bonds for funding improvements to the water, wastewater, solid waste, and stormwater utility system. Thierry is currently assisting the County with a revenue sufficiency and financial forecast study for the water and wastewater utility, which included the formulation of internal policies for financial management targets to promote the overall credit worthiness of the utility in anticipation of potential issuance of additional bonds identified in the near-term.

### **Fairfax County (VA)**

Thierry has been the lead analyst and project manager for Fairfax County (County) since 2012, performing annual updates to the detailed revenue sufficiency analysis, availability fee determination and rate evaluation for the wastewater utility. As part of the annual study updates, Thierry participates in the annual planning conference with utility management to identify critical issues facing the utility. The issues addressed through the annual studies have included, but are not limited to:

- Modeling and analyzing the contractual relationships and the cost of treatment capacity among the County's own WWTP relative to its capacity entitlements with five other local governments/authorities;
- Assisting in establishing quarterly fixed charges through analyses to determine the appropriate level of fixed cost recovery;
- Determining and justifying the current level of "Pay-Go" capital reinvestment from user rate revenues (currently at 3% of gross fixed assets) through desktop evaluation of fixed asset records;
- Assisting in the formulation of the methodology, valuation and structure of the sale of capacity by the County to existing wholesale customers; and
- Analyzing potential causes for differences among reported revenues and billed revenues.

This process of continual evaluation of the County's financial position and evaluation of specific rate study objectives that are ever evolving has been effective in supporting a sustainable financial plan with predictable rate needs.

### **PROJECT LIST**

- Alexandria Renew Enterprises (VA)
- City of Arcadia (FL)
- Brevard County (FL)

- Collier County (FL)
- Crossings at Fleming Island CDD (FL)
- Daphne (AL)
- DeSoto County (FL)
- Dunes CDD (FL)
- Hernando County (FL)
- Town of Jupiter (FL)
- Key Largo Wastewater Treatment District (FL)
- Town of Leesburg (VA)
- Loudoun County (VA)
- City of Miramar (FL)
- Sarasota County, FL
- South Martin Regional Utility (FL)
- City of St. Marys (GA)
- Stafford County (VA)
- City of Sunrise (FL)
- City of Winchester (VA)
- City of Zephyrhills (FL)

# Ryan Smith

## WATER / SEWER / IQ WATER

Manager



### ROLE

Ryan will provide support for the water, sewer, and IQ water components of the project.

### PROFILE

Ryan has focused on specialized utility rate, infrastructure, and business issues facing water, wastewater, reclaimed water, solid waste, and stormwater utilities. Ryan has performed cost-of-service studies, revenue sufficiency studies, impact fee evaluations, wholesale rate evaluation, utility valuations, and capital finance plans for water, wastewater, stormwater, reclaimed water, and solid waste enterprise funds for more than 40 government entities. He has also assisted with the preparation of financial feasibility and disclosure reports and capital finance plans in support of the issuance of over \$985,000,000 of bonds and securing over \$185,000,000 of state revolving loans. He has evaluated compliance of the receipt of electric franchise fees with interlocal agreements; performed utility valuations in support of private to public transactions; and provided related accounting, financial, utility, and public management advisory services such as the preparation of financial analyses in support of the capital improvement planning process as well as the development and monitoring of municipal budgets.

### KEY PROJECT EXPERIENCE

#### **Newton County Water and Sewerage Authority (GA)**

Ryan assisted in the development of a five-year financial forecast model and revenue sufficiency analysis to evaluate financial performance, revenue sufficiency, and the ability to sustainably fund the capital needs of the water and wastewater utility system. The analysis also included the phase-in of a re-design of rates to eliminate minimum water use allowances in the base charge, increase large customer fixed cost contributions based on implied capacity reservations, increase water conservation incentives, and to promote revenue stability through the development of a water supply charge (pass-through) mechanism. Other services have included: review of customer billing and late fee application and providing continued financial model.

#### **Newton County Water Department (GA)**

Ryan managed the development of a five-year revenue sufficiency and capital funding analysis to evaluate the ability to sustainably fund the capital needs of the county's owned and operated water assets. The

#### **Specialties**

- Retail & wholesale cost-of-service & rate evaluations
- Bond feasibility & capital finance plans
- Financial forecast modeling
- Customer billing analysis
- Utility valuations
- Franchise fee evaluations

#### **Professional History**

- Raftelis: Manager (2020-present); Senior Consultant (2019-2019); Consultant, PRMG (2011-2019)

#### **Education**

- Bachelor of Science in Accounting - University of Central Florida (2010)

#### **Professional Memberships**

- Florida Government Finance Officers Association
- Georgia Government Finance Officers Association
- American Water Works Association

evaluation assisted the department in developing a capital funding plan which relied upon both “Pay-As-You-Go” (cash) and debt to fund the near and long term capital requirements of the system while improving the financial position of the department. Ryan has continued to provide annual financial model updates to monitor capital, rates and financial stability.

### **City of West Palm Beach (FL)**

Ryan has performed a variety of utility services for the City of West Palm Beach (City) since 2011. The City of West Palm Beach Water and Wastewater Utility System provides service to over 65,000 customers and is currently an AA rated utility as rated by Standard and Poor’s. Ryan assisted in the development of a detailed utility rate study for the City’s water, wastewater, and stormwater enterprise funds in 2012. Responsibilities included the development of a detailed billing frequency to identify customer use attributes by class, development of a five-year revenue requirements analysis and capital funding plan, and the design of other rates including wholesale water and wastewater rates for full and emergency service, and miscellaneous fees for service. Ryan has worked with the City to continuously update and perform sensitivity support services to the financial forecast to recognize changes in revenues, expenses, cost allocations, capital needs, financial position, and capital financing assumptions to assist the City with its long-range utility planning process.

### **East Central Regional Operations Board (FL)**

The East Central Regional Water Reclamation Facility (ECRWRWF) is a wastewater treatment facility which has a rated capacity of 70 million gallons per day (MGD) and provides wastewater treatment service to the City of West Palm Beach, Palm Beach County, the City of Riviera Beach, the City of Lake Worth, and the Town of Palm Beach. Ryan assisted in the development of a detailed revenue sufficiency analysis and bond feasibility analysis for the issuance of \$87,665,000 in utility revenue bonds by the East Central Regional Operations Board to fund sludge residual processing and other facility improvements. The evaluation included the development of a five-year financial forecast of revenue requirements, which recognized the allocation of costs to the joint capacity partners in the ECRWRWF, the development of financial targets and performance measures based on best management practices and credit evaluation criteria, and the development of a sustainable capital finance plan. Other services have included the development of annual continuing disclosure documents associated with annual financial reporting requirements.

### **City of Daytona Beach (FL)**

Ryan assisted in the development of a detailed revenue sufficiency analysis and rate evaluation for the City of Daytona Beach’s (City) water, wastewater and stormwater utility. The evaluation included the development of a five-year financial forecast of revenue requirements, the development of financial targets and performance measures based on best management practices and rating agency credit evaluation criteria, and the development of a sustainable capital finance plan. Other services have included: the performance of an ongoing financial evaluation of the City’s capital improvement plan, assistance in financial disclosure documents for the State of Florida Revolving Loan Program (SRF), the performance of an analysis or an automated meter replacement/increased metered water revenue analysis, and the development of a wholesale wastewater cost allocation and rate analysis.

## PROJECT LIST

- Fairfax County (VA)
- Florida Keys Aqueduct Authority (FL)
- Hillsborough County (FL)
- Town of Jupiter Island (FL)
- Lee County (FL)
- City of Leesburg (FL)
- Town of Leesburg (VA)
- Martin County (FL)
- North Sumter County Utility Development District (FL)
- City of Oakland Park (FL)
- City of Palm Coast (FL)
- Village of Palm Springs
- City of Pinecrest (FL)
- St. Lucie West Services District (FL)
- City Sunny Isles Beach (FL)
- City of Sunrise (FL)
- City of Tampa (FL)
- City of Titusville (FL)

# Matthew Ori

## WATER / SEWER / IQ WATER

Senior Consultant



### ROLE

Matthew will provide support for the water, sewer, and IQ water components of the project.

### PROFILE

Matthew provides analytical support for utility financial forecasts, water and sewer rate design, and revenue sufficiency analyses for the firm's water, wastewater, stormwater, and solid waste clients. Matthew has provided analytical support to over 20 different utilities. Matthew has also supported due diligence and litigation services, utility acquisitions and assisted in the preparation of several financial feasibility studies, disclosure of the water and wastewater system. reports, and customer statistical analyses.

### KEY PROJECT EXPERIENCE

#### City of West Palm Beach (FL)

Matthew has assisted the City of West Palm Beach (City) in development of the most recent water and wastewater revenue sufficiency study. Matthew updated the City's rate/financial model, including customer statistics, revenues, water and wastewater operating cost, and costs associated with the East Central Regional (ECR) wastewater treatment project, as well as assisting in the development of various financial forecast assumptions. Matthew prepared and analyzed detailed customer billing records in support of bill frequency analysis and customer demand forecast, projection of operating and maintenance expenses and financial sensitivity analyses due to changes in timing and overall level of funding for identified capital improvement projects

#### City of Cooper City (FL)

Matthew has been assisting the City of Cooper City (City) since 2013 in development of their water and wastewater revenue sufficiency studies. Matthew updated the City's rate/financial model, including customer statistics, revenues, water and wastewater operating cost, historical customer billing analysis, as well as assisting in the development of the financial forecast assumptions. Matthew prepared and analyzed detailed customer billing records in support of bill frequency analysis and customer demand forecast, projection of operating and maintenance expenses and financial sensitivity analyses due to changes in timing and overall level of funding for identified capital improvement projects. In addition, Matthew has assisted the city in the development of their stormwater revenue sufficiency and rate development study in conjunction with assistance in identifying customer accounts within the system that meet different class criteria.

### Specialties

- Financial forecast modeling
- Customer billing analysis
- Rate comparison/surveys
- Rate design modeling
- Customer bill impact & affordability analyses
- Management dashboard & financial metrics
- Stormwater modeling

### Professional History

- Raftelis: Senior Consultant (2021-present); Consultant (2019-2020); Senior Rate Analyst, PRMG (2017-2019); Analyst, PRMG (2012-2017)

### Education

- Bachelor of Science in Business Administration, Finance - University of Florida (2012)

**Martin County (FL)**

Matthew has been working with Martin County (County) since 2012 and has assisted in the update and development of the 10-year water and wastewater system financial forecast in support of revenue sufficiency and rate design studies. Matthew was responsible for the compilation and historical trend analysis of customer billing statistics, billing frequency analyses, trends in operating expenses and comparisons of budgeted to actual operating results. Matthew has also assisted in developing the forecast of customer growth, demand, and operating expenditures. The results of the analyses and the financial model updated by Matthew were presented to County staff during interactive work sessions to gain input from the client and present the sensitivity of various changes in assumptions. In addition, Matthew also provided analytical support for cost/benefit analyses for alternative biosolids treatment processes and forecast of non-ad-valorem special assessment revenues, as well as utility rate surveys and comparisons. In addition, Matthew has assisted on the solid waste financial forecast in support of revenue sufficiency study, including review of hauler agreements and analysis of historical tonnage statistics.

**Hillsborough County (FL)**

Matthew has assisted Hillsborough County (County) in the development of a five-year solid waste financial forecast in support of revenue sufficiency and analysis of new franchise hauler agreements within the system. Working directly with staff, Matthew has assisted in the analysis of franchise area billing units, recycling revenues, and the costs associated with landfill operating and closure. In addition to the solid waste forecast, Matthew also assisted the County with rate surveys and comparisons and has assisted in the development of the water and wastewater system financial forecast. In addition, Matthew has assisted the County in the development of a five-year stormwater financial forecast in support of revenue sufficiency and analysis of new rate alternatives within the system, including detailed analysis of several capital plan alternatives.

**Manatee County (FL)**

Matthew was responsible for the development of the stormwater financial forecast analysis, detailed customer statistical analyses, as well as assisting in the rate design analyses to help support of the creation of the Manatee County stormwater program. Matthew assisted in the creation of presentations for the County Commission Meetings, as well as assisting in continued education for the customers. In order to provide additional information concerning the effective rate for the system, Matthew assisted in detailed evaluations of system needs and to support the creation of the stormwater program.

**City of Orlando (FL)**

Matthew was responsible for the development of the stormwater financial forecast analysis, including an institutional background review of comprehensive annual financial reports and outstanding loan agreements. Matthew prepared detailed customer statistical analyses, as well as assisting in the rate design analyses to help support revenue projections. In order to provide additional information concerning the effects of the rate impacts to customers' utility bills, Matthew prepared detailed bill comparisons evaluating individual bills for different rate alternatives.

### **City of Sunrise (FL)**

Matthew has assisted the City of Sunrise (City) in development of the most recent water and wastewater financial forecast as well as rate design for the system. Matthew updated the City's rate/financial model, including customer statistics, revenues, water and wastewater operating cost, historical customer billing analysis, as well as assisting in the development of the financial forecast assumptions. Matthew prepared and analyzed detailed customer billing records in support of bill frequency analysis and customer demand forecast, projection of operating and maintenance expenses and financial sensitivity analyses due to changes in timing and overall level of funding for identified capital improvement projects. Additionally, Matthew assisted in customer impact analysis during the rate design process to help ensure fair and equitable rates were being designed, as well as the rate design process.

### **Town of Leesburg (VA)**

Matthew was responsible for the development of the financial forecast analysis, including an institutional background review of existing contracts, comprehensive annual financial reports, outstanding loan agreements, and the Bond Resolution requirements of the outstanding bonds. Matthew prepared detailed customer statistical analyses, including a historical five-year trend analysis and bill frequency analysis to support rate design analyses and revenue projections. In order to provide additional information concerning the effects of the rate impacts to customers' utility bills, Matthew prepared detailed bill comparisons evaluating individual bills, as well as annualized charges by individual residence for the entire customer base of the utility. The study resulted in the adoption of a multi-year rate plan to support increased capital funding from rates, implement certain rate design objectives, and promote financial sustainability.

## **PROJECT LIST**

- Brevard County (FL) – Water/Sewer revenue sufficiency study, impact fee analysis, and miscellaneous analytical assistance
- City of Clermont (FL) – Miscellaneous analytical assistance
- City of Daytona Beach (FL) – Miscellaneous analytical assistance
- City of Dunnellon (FL) – Impact fee analysis and miscellaneous analytical assistance
- Dunes CDD (FL) – Water/Sewer revenue sufficiency study
- City of Edgewater (FL) – Water/Sewer revenue sufficiency study and stormwater revenue sufficiency study
- Fairfax County (VA) – Water/Sewer revenue sufficiency study
- Flagler County (FL) – Miscellaneous analytical assistance
- Florida Governmental Utility Authority (FL) – Acquisition analysis, impact fee analysis, and bond feasibility
- Hernando County (FL) – Water/Sewer revenue sufficiency study and miscellaneous analytical assistance
- City of Highland Beach (FL) – Miscellaneous analytical assistance
- Lee County (FL) – Miscellaneous analytical assistance
- City of Longwood (FL) – Water/Sewer revenue sufficiency study
- Martin County (FL) – Bond feasibility

- City of Miami Beach (FL) – Stormwater revenue sufficiency study, bond feasibility, and miscellaneous analytical assistance
- Nassau County (FL) – Acquisition analysis
- Newton County (GA) – Water/Sewer revenue sufficiency study
- Newton County Water and Sewage Authority (GA) – Water/Sewer revenue sufficiency study
- City of Ocala (FL) – Stormwater revenue sufficiency study and rate design/rate adequacy
- Panama City Beach (FL) – Impact fee analysis
- Riviera Beach Utility District (FL) – Miscellaneous analytical assistance
- Sarasota County (FL) – Miscellaneous analytical assistance
- City of St. Pete Beach (FL) – Impact fee analysis and miscellaneous analytical assistance
- Stafford County (VA) – Water/Sewer revenue sufficiency study
- Village of Tequesta (FL) – Water/Sewer revenue sufficiency study
- City of Titusville (FL) – Miscellaneous analytical assistance
- Village of Tequesta (FL) – Stormwater revenue sufficiency study and rate design/rate adequacy

## Nick Smith CGFM

### SOLID WASTE

Senior Consultant

#### ROLE

Nick will provide support for the solid waste components of the project.

#### PROFILE

Nick has six years of professional experience in rate and financial consulting services. Nick provides analytical support for projects involving water, wastewater, and solid waste enterprise systems focusing on data analysis and financial forecasts and utility rate studies. These projects have involved tasks including customer statistical analyses, projections of system revenues and expenditures, and developing client-specific financial models.

#### KEY PROJECT EXPERIENCE

##### Lee County (FL)

Nick has assisted on multiple projects for Lee County (County), including updating the financial forecast for the water and wastewater system and the development of a comprehensive revenue sufficiency study for the County's solid waste system. The solid waste study included review and analysis of historical operating results, customer billing and tonnage statistics, waste-to-energy (WTE) facility operations and agreements to identify revenue sufficiency. Nick assisted in the multi-year design of solid waste disposal fees and assessment rates. Additionally, Nick assisted the County with the issuance of the Solid Waste System Refunding Revenue Bonds, Series 2016 in the principal amount of approximately \$66 million.

##### Hillsborough County (FL)

Nick was the primary analyst in the annual revenue sufficiency and rate design studies for Hillsborough County's (County) solid waste system. Nick has assisted the County with review of contracts and validation of compliance with application of indexing provisions to charges by the County's solid waste franchise haulers, rate impact analyses related to solid waste various disposal options, and other fiscal analyses. Additionally, Nick assisted the County with the issuance of the Solid Waste and Resource Recovery Facility Bonds, Series 2016 A&B in the combined principal amount of approximately \$114 million.



#### Specialties

- Financial/computer modeling
- Rate design & customer impact analyses
- Customer billing analysis
- Utility rate surveys

#### Professional History

- Raftelis: Senior Consultant (2021-present); Consultant (2019-2020); Senior Rate Analyst, PRMG (2016-2019); Rate Analyst, PRMG (2014-2016)

#### Education

- Bachelor of Science in Business Administration, Economics - University of Central Florida, University Honors, summa cum laude (2014)

#### Certifications

- Certified Government Financial Manager (CGFM)

#### Professional Memberships

- AWWA: Rates & Charges Committee
- Solid Waste Association of North America
- WEF
- Florida Government Finance Officers Association

**Collier County (FL)**

Nick has performed a range of services for Collier County (County). He was the primary analyst in annual revenue sufficiency and rate design studies, impact fee studies, and miscellaneous fee studies for the County's water and sewer system. The revenue sufficiency studies involved capital funding strategies to optimize the use of existing cash resources, while employing additional borrowing to mitigate customer rate impacts. Additionally, Nick assisted the County with the issuance of the Water and Sewer Revenue Bonds, Series 2019 in the principal amount of approximately \$76 million. Nick also served as the primary analyst for the revenue sufficiency studies performed for the County's solid waste system.

**Hernando County (FL)**

Nick assisted in the development of a detailed 10-year financial forecast to evaluate the sufficiency of revenues to cover the solid waste system's operating, capital, and other expenditure needs. This assignment required an in-depth analysis of Hernando County's (County) historical and budgeted operating expenses and customer statistics to serve as a basis for expenditure and revenue projection. Additionally, an analysis of landfill capacity utilization, cost of closure, and long-term care expenses was prepared to identify the required transfers to the County's closure and capital improvement funds, as required by the Florida Department of Environmental Protection.

**Sarasota County (FL)**

Nick assisted in the development of a 10-year Fire Assessment and Emergency Medical Services (EMS) revenue requirements forecast. Throughout the study he performed projections of assessment and ad-valorem tax revenues, operating expenses, the funding of capital projects and personnel allocation between Fire and EMS. From these analyses he was able to assist in developing projected fire assessment rates and the EMS component of Sarasota County's property tax millage rate.

**Charlotte County (FL)**

Nick assisted in the analysis and rate review of estimated rates being developed by Charlotte County's franchise hauler. The sanitation rate case included review and analysis of the rate filing and the development of a rate evaluation model. The model evaluated the cost of providing collection services and included an analysis of customer billing statistics, operating expenses, and fixed assets.

**City of Plant City (FL)**

Nick was the primary analyst in the revenue sufficiency and rate design study for the City of Plant City's solid waste system. The solid waste study included an analysis of collection customers, tonnage disposal statistics, and various capital scenarios (e.g., conversion to automated collection in order to determine revenue sufficiency. Cost of service rate design by customer class was evaluated in order to ensure fair and equitable rates among the customer classes.

**Miami Shores Village (FL)**

Nick was the primary analyst in the revenue sufficiency and rate design study for Miami Shores Village's solid waste system. The solid waste study included an analysis of collection customers, tonnage disposal

statistics, and capital funding in order to determine revenue sufficiency. Cost of service rate design by customer class was evaluated in order to ensure fair and equitable rates among the customer classes.

### **City of Orlando (FL)**

Nick has assisted the City of Orlando (City) in the development of the five-year wastewater system financial forecast in support of the revenue sufficiency, benefit fee, and rate design study. Nick updated the City's rate/financial model, including customer statistics, revenues, and wastewater operating cost. He prepared and analyzed detailed customer billing records in support of bill frequency analysis and customer demand forecast, projection of operating and maintenance expenses and financial sensitivity analyses due to changes in timing and overall level of funding for identified capital improvement projects of the wastewater system. Nick assisted with various rate design sensitivity analyses including equitable rate design structures for multi-family customers and level of service. Additionally, Nick assisted with the calculation of benefit (impact) fees which involved analysis of city fixed asset records, reserved capacity agreements, and annual flow data.

### **City of Edgewater (FL)**

Nick was the primary analyst in the revenue sufficiency study for the City of Edgewater's solid waste system. The solid waste study included an analysis of customer statistics, operating expenses, and capital funding in order to determine revenue sufficiency and develop the recommended revenue adjustments.

### **Babcock Ranch Community Independent Special District (FL)**

Nick served as the primary analyst for the financial forecast in support of the development of a lease option to purchase agreement for Babcock Ranch Community Independent Special District's (District) start-up solid waste system. The financial forecast included development of projected customer growth, which served as the basis for the acquisition of additional waste collection vehicles and equipment, collection containers, and disposal of waste for strategic planning purposes. With the assistance of District staff and the solid waste system's operational experts, a forecast of operating expenses and other funding requirements was developed resulting in the derivation of preliminary collection rates for the solid waste system.

### **Pinellas County (FL)**

Nick served as the primary analyst for Pinellas County's revenue sufficiency study for the solid waste system. The solid waste study included review and analysis of historical operating results, customer billing and tonnage statistics, waste-to-energy (WTE) facility operations, and contractual agreements and invoices to identify revenue sufficiency. Nick assisted in the multi-year design of solid waste disposal fees, as well as over 20 rate scenarios evaluating the potential effects of contractual revenue changes for the system.

### **City of Apopka (FL)**

Nick has assisted in an analysis of the City of Apopka's (City) recreational municipal impact fees. He performed an analysis of population projections, dwelling unit relationships, and developed corresponding growth projections. He also assisted in discussions with the City regarding the determination of level of

service (LOS) standards and the capital requirements needed to serve new development. Nick assisted in the design of the impact fees for the residential customer classes.

### **City of Umatilla (FL)**

Nick has assisted in an analysis of the City of Umatilla's (City) police, fire protection, and recreational municipal impact fees. He performed an analysis of population projections, dwelling unit relationships, and developed corresponding growth projections. He also assisted in discussions with the City regarding the determination of level of service (LOS) standards and the capital requirements needed to serve new development. Nick assisted in the design of the impact fees for the residential and non-residential customer classes.

### **City of Miramar (FL)**

Nick has assisted in an analysis of the City of Miramar's (City) recreational municipal impact fees. He performed an analysis of population projections, dwelling unit relationships, and developed corresponding growth projections. He also assisted in discussions with the City regarding the determination of level of service (LOS) standards and the capital requirements needed to serve new development. Nick assisted in the design of the impact fees for the residential customer classes.

### **City of Clermont (FL)**

Nick was the primary analyst in the revenue sufficiency study for the City of Clermont's solid waste system. The solid waste study included an analysis of customer statistics, operating expenses, and capital funding in order to determine revenue sufficiency and develop the recommended revenue adjustments.

### **City of Lakeland (FL)**

Nick was the primary analyst in the annual revenue sufficiency studies for the City of Lakeland's water and sewer system. The studies included an analysis of customer statistics, operating expenses, and capital funding in order to determine revenue sufficiency and develop the recommended revenue adjustments.

### **City of Sanibel (FL)**

Nick was the primary analyst in the annual revenue sufficiency studies for the City of Sanibel's water and sewer system. The studies included an analysis of customer statistics, operating expenses, and capital various capital funding scenarios in order to determine revenue sufficiency and develop the recommended revenue adjustments.

### **City of Haines City (FL)**

Nick was the primary analyst in the annual revenue sufficiency studies for the City of Haines City's water and sewer system. The studies included an analysis of customer statistics, operating expenses, and capital funding in order to determine revenue sufficiency and develop the recommended revenue adjustments.

## **PROJECT LIST**

- City of Apopka (FL)

- Babcock Ranch Community Independent Special District (FL)
- Charlotte County (FL)
- City of Clermont (FL)
- Collier County (FL)
- City of Davenport (FL)
- City of Edgewater (FL)
- City of Eustis (FL)
- City of Groveland (FL)
- Hernando County (FL)
- Hillsborough County (FL)
- Immokalee Water and Sewer District
- City of Lakeland (FL)
- Lee County (FL)
- Manatee County (FL)
- City of Melbourne (FL)
- Miami Shores Village (FL)
- City of Miramar (FL)
- City of Orlando (FL)
- City of Panama City (FL)
- City of Panama City Beach (FL)
- Pinellas County (FL)
- City of Plant City (FL)
- Sarasota County (FL)
- City of St. Augustine (FL)
- City of Stuart (FL)
- City of Tampa (FL)
- City of Umatilla (FL)
- Virgin Islands Water and Power Authority (Virgin Islands)
- City of West Palm Beach (FL)

## PUBLICATIONS

- *The Water Reuse Roadmap*, “Chapter 5 – Financial Sustainability,” WEF, 2018
- *Manual of Practice 27: Financing and Charges for Wastewater Systems*, Fourth Edition, “Chapter 10 – System Development Charges,” WEF, 2018

## PRESENTATIONS

- "A Multi-Faceted Approach to Affordability," Florida Section AWWA Fall Conference, 2018
- "Water Rate Affordability," Central Florida Government Finance Officers Association Annual Meeting, 2019

# Trevor McCarthy

## SOLID WASTE Consultant



### ROLE

Trevor will provide support for the solid waste components of the project.

### PROFILE

Trevor has contributed to projects involving water, wastewater, solid waste, and stormwater enterprise systems. These projects have focused on the evaluation of financial position and involved developing revenue and expense projections, analyzing customer data, the development of user rates and fees, and developing client specific financial models.

### KEY PROJECT EXPERIENCE

#### Bay County (FL)

Trevor assisted in the analysis of revenue sufficiency for the County's retail and wholesale water and wastewater enterprise systems. The evaluation comprised of a detailed customer analysis to determine the effects of Hurricane Michael in 2018 to projected revenues.

#### City of Edgewater (FL)

Trevor assisted in the development of a five-year financial forecast to evaluate financial performance and the ability to meet projected funding requirements of the City of Edgewater's water and wastewater, refuse, and stormwater enterprise systems. The analyses included revenue and expense projections and revenue requirements for each system based on historical and projected customer and other utility data.

#### Collier County (FL)

Trevor has assisted in the analysis of revenue sufficiency and rate design for Collier County's Solid and Hazardous Waste Management division. This involved developing detailed projections of revenues and expenses, customer growth, and capital funding requirements to develop a ten-year forecast. Trevor also assisted in the development of a financial dashboard that County staff could use to test the sensitivity of rate requirements based on various capital financing scenarios and financial objectives.

#### Lee County (FL)

Trevor has assisted with multiple projects for Lee County, including financial forecast for the water and wastewater system, revenue sufficiency, and impact fee evaluation. Trevor has also assisted in ongoing updates to a capital planning tool designed for County staff to determine effects on financial position and rates over various capital financing scenarios.

### Specialties

- Financial modeling/forecasting
- Revenue sufficiency studies
- Customer billing analysis
- Utility impact fee analysis

### Professional History

- Raftelis: Consultant (2020-Present); Associate Consultant (2019-2019); Rate Analyst, PRMG (2018-2019)

### Education

- Bachelor of Science in Business Administration, Finance - University of Central Florida (2017)

### Professional Memberships

- AWWA
- Florida Government Finance Officers Association

## **Sarasota County (FL)**

Trevor assisted in the preparation of a financial feasibility study in support of Sarasota County's issuance of Utility System Revenue Refunding Bonds, Series 2019A in the principal amount of approximately \$38.7 million. This included a comprehensive analysis of the County's financial position and creation of a 5-year financial forecast to evaluate the sufficiency of revenues. Trevor continues to support the County in annual revenue sufficiency studies.

## **City of Valdosta (GA)**

Trevor has assisted in projects for the city including updating a detailed financial forecast in order to assess revenue sufficiency, review of the City of Valdosta's adopted utility rates, and analysis of capital projects and financing.

## **PROJECT LIST**

- Bay County (FL) – Water and wastewater rate study (retail and wholesale systems)
- City of Canton (GA) – Water and wastewater rate study
- Collier County (FL) – Solid waste cost-of-service rate study
- City of Davenport (FL) – Water and wastewater rate, miscellaneous fee, and impact fee study
- City of Edgewater (FL) – Water, wastewater, refuse, and stormwater rate study
- Town of Goffstown (NH) – Water and wastewater rate study
- City of Haines City (FL) – Water and wastewater rate, miscellaneous fee, and impact fee study
- City of Inverness (FL) – Water and wastewater rate study
- Key Largo Wastewater Treatment District (FL) – Wastewater rate study
- Lee County (FL) – Water and wastewater rate study, capital planning tool
- Martin County (FL) – Water and wastewater rate study
- Newton County (GA) – Wholesale water rate study
- Newton County Water and Sewerage Authority (GA) – Water and wastewater rate study
- City of Oakland Park (FL) – Water and wastewater rate and miscellaneous fee study
- City of Ocoee (FL) – Water and wastewater rate study and reclaimed water rate design
- Okeechobee Utility Authority (FL) – Water and wastewater rate study
- City of Orlando (FL) – Reclaimed water cost-of-service analysis
- City of Palm Coast (FL) – Parks and recreation services and fire and EMS impact fee studies
- City of Panama City (FL) – Water and wastewater rate study, solid waste rate study
- City of Sanford (FL) – Water and wastewater rate study
- Sarasota County (FL) – Stormwater capital planning tool, bond feasibility, and water and wastewater rate study
- St. Lucie West Services District (FL) – Water and wastewater rate study
- City of Tampa (FL) – Bond feasibility study
- City of Valdosta (GA) – Water and wastewater rate study
- City of Winter Garden (FL) – Water and wastewater rate study, stormwater rate study, and impact fee study

# Henry Thomas

## STORMWATER / GENERAL GOVERNMENT

Vice President



### ROLE

Henry will provide support for the stormwater and general government components of the project.

### PROFILE

Henry has over 40 years of utility industry rate and financial experience focusing on business issues facing water, wastewater, solid waste, natural gas, electric, and stormwater utilities. Henry' experience includes directing financial consulting services for publicly-owned utilities and governmental entities. He has been responsible for preparing utility rate and cost-of-service studies, business plans, bond feasibility studies, designing water conservation rates, connection and development fees, municipal impact fees, developing utility financial policies and assisting with the acquisition of utility properties and other management consulting services. During his career, he has served over one hundred and twenty clients including county and municipal governments and publicly-owned utility districts, authorities, and cooperatives.

### KEY PROJECT EXPERIENCE

#### City of Lakeland (FL)

Henry has served the City of Lakeland (City) since 2009 providing utility rate, financial planning, and management consulting services to the water and wastewater utility systems. On behalf of the City, Henry has directed a comprehensive cost-of-service/rate study and annual revenue sufficiency updates. Major issues addressed for the City include water conservation rates and rate structures that promote revenue stability and evaluating the size and timing of capital projects.

#### Polk County (FL)

Henry has served Polk County since 2013 providing utility rate, financial planning, and management consulting services to the water and wastewater systems. His experience includes directing utility rate and cost-of-service studies including the development of water conservation rate structures and preparing bond feasibility studies.

#### Charlotte County (FL)

Henry has served the Charlotte County Utilities (County) since 1996 providing utility rate, financial planning, and management consulting services to the County's water and wastewater systems. As part of

### Specialties

- Business/strategic plans
- Cost-of-service & rate studies
- Bond financing
- Water conservation rates
- Contract negotiation
- Utility acquisitions
- Development fees
- Municipal impact fees

### Professional History

- Raftelis: Vice President (2019-present); Senior Vice President , PRMG (1994-2019)

### Education

- Bachelor of Science in Business Administration, Economics - University of Florida (1977)

### Professional Memberships

- Florida Government Finance Officers Association
- AWWA

this ongoing engagement Henry has directed comprehensive water and wastewater rate studies, bond feasibility studies, utility valuations, impact fee studies and assisted in the development of water conservation rates and utility expansion policies and the evaluation of wholesale rate issues related to the Peace River/Manasota Water Supply.

### **City of Valdosta (GA)**

Henry has worked for the City of Valdosta (City) since 1998 providing utility rate and financial planning services to the City's water and sewer system. His experience with the City of Valdosta includes preparing a water and sewer master plan capital funding analysis, a comprehensive water and sewer rate study, including implementation of significant water conservation rate structures phased-in over a multi-year period, and several rate sufficiency updates to ensure that the City's water and sewer utility rates are adequate to fund operating and capital needs, and maintain a sound financial position.

### **City of Ocala (FL)**

Henry has served the City of Ocala since 1992 providing utility rate, financial planning, and management consulting services to the water and wastewater systems. Henry has directed comprehensive water and wastewater cost-of-service/rate studies and annual revenue sufficiency updates for the City. He has also been involved in the development of system development charges, water conservation rates and strategies related to providing incentives for growth and economic development.

### **City of Tampa (FL)**

Henry has served the City of Tampa since 2005. He has directed comprehensive, water, wastewater and solid waste rate studies, and annual revenue sufficiency updates, developed capital charges related to new development, participated in City's water and wastewater master planning process to evaluate the financial impact of capital projects and prepared bond feasibility studies associated with the issuance of long-term debt.

### **City of Titusville (FL)**

Henry has served the City of Titusville, Florida since 2000. He has directed comprehensive water and wastewater rate studies and annual revenue sufficiency updates. In addition, he has been involved in providing capital funding plans for State Revolving Loans from the State of Florida, Department of Environmental Protection (FDEP) and assisted in negotiations related to the formation of a joint public/private entity to provide future water supplies for the City.

## **PROJECT LIST**

- Apopka (FL)
- Auburn, AL
- Bartow (FL)
- Cape Coral (FL)
- Casselberry (FL)
- Citrus County Utilities (FL)
- Clermont (FL)
- Cocoa Beach (FL)
- Crystal River (FL)
- Dade City (FL)
- Dania Beach (FL)
- Destin Water Users (FL)
- Dundee (FL)
- Edgewater (FL)

- Enterprise, CDD (FL)
- Fort Pierce Utilities Authority (FL)
- Fort Walton Beach (FL)
- Gasparilla Island Water Association (FL)
- Greater Pine Island Water Association (FL)
- Groveland (FL)
- Haines City (FL)
- Hallandale Beach (FL)
- Helena (MT)
- Immokalee Water and Sewer District (FL)
- Inverness (FL)
- Jacksonville Electric Authority (JEA) (FL)
- Lakeland (FL)
- Largo (FL)
- Lee County Electric Cooperative (FL)
- Leesburg (FL)
- Maitland (FL)
- Melbourne (FL)
- Midway Water System (FL)
- Miramar (FL)
- Mount Dora (FL)
- Newberry (SC)
- New Smyrna Beach Utilities Commission (FL)
- North Port (FL)
- Oakland Park (FL)
- Ocoee (FL)
- Okeechobee Utility Authority (FL)
- Oldsmar (FL)
- Orange City (FL)
- Orlando Utilities Commission (FL)
- Oviedo (FL)
- Palatka (FL)
- Palm Bay (FL)
- Palm Coast (FL)
- Panama City (FL)
- Panama City Beach (FL)
- Pembroke Pines (FL)
- Plant City (FL)
- Polk County Utilities (FL)
- Port Orange (FL)
- Regional Utilities of Walton County (FL)
- Sanford (FL)
- South Walton County Utilities (FL)
- Stuart (FL)
- Sunrise (FL)
- Town of Bedford (NH)
- Town of Davie (FL)
- Town of Goffstown (NH)
- Umatilla (FL)
- Vero Beach (FL)
- Virgin Islands Water and Power Authority (Virgin Islands)
- Volusia County Utilities (FL)
- Wabash Valley Power Association (IN)
- Warner Robins (GA)
- West Melbourne (FL)
- Winter Springs (FL)

## LITIGATION EXPERIENCE

Henry has directed regulatory rate cases for the Virgin Islands Water and Power Authority and Charlotte County, Florida and has testified before the Florida Public Service Commission, the Indiana Public Service Commission, the Virgin Islands Public Services Commission, and District Courts in Florida and Michigan.

## PUBLICATIONS

- "Utility Impact Fees: Practices and Challenges" AWWA, 2013
- "Water and Wastewater Impact Fees," South Carolina Section of the AWWA, Management Forum, 2001
- "Innovative Water Rates," North Florida Section of the AWWA, 2011

## PRESENTATIONS

- "Electric Utility Rates in a Competitive Environment," National Rural Electric Cooperative Association (NRECA) Managers Conference, 1995
- "Innovative Electric Rates," NRECA Marketing, Member Services and Communication Conference, 1995
- "Electric Utility Rate Making," NRECA National Directors Conference, 1996
- "Water Rates and Conservation Practices," Florida Water Resources Association Conference, 2007
- "Communicating Water Utility Rate Needs," Florida Rural Water Association's Annual Technical and Training Conference, 2010

## PROFESSIONAL HONORS

- AWWA Management and Leadership Division's 2013 Best Paper Award

# Shawn Ocasio

## STORMWATER / GENERAL GOVERNMENT

Manager



### ROLE

Shawn will provide support for the stormwater and general government components of the project.

### PROFILE

Shawn has 11 years of rate and financial consulting experience and has participated on a variety of projects for water, wastewater, reclaimed water, stormwater, and solid waste management utility enterprise systems throughout Florida, Georgia, Alabama, and Virginia. Another area of focus for Shawn is in the development of general government impact fees for municipal services. He has developed law enforcement, fire rescue, recreational, administrative, and library service impact fees for clients requiring an update and review of existing fees or designing fees for first time implementation.

### KEY PROJECT EXPERIENCE

#### City of Sanford (FL)

Shawn has performed a range of services for the City of Sanford (City) since 2011. He assisted in the development of several detailed rate and revenue sufficiency studies for the City’s water and wastewater and stormwater enterprise funds. Responsibilities included the development of a detailed billing frequency analysis to identify customer use attributes by class, development of a five-year revenue requirements analysis and capital funding plans, evaluation of fiscal performance and compliance with the authorizing bond resolution (senior-lien bonds) and loan agreements (subordinate lien low-interest loans from the State Revolving Fund loan program) and the development of rate adjustment recommendations to recover the identified cost-of-service. The revenue sufficiency study updates have been prepared annually by Shawn to assist the City in evaluating the utility financial performance and fiscal position as it relates to their overall rate plan and financial strategies. Shawn also assisted in City with the preparation of capital financing plans in support of State Revolving Fund (SRF) Loans. Shawn has also developed a long-term (20-year) financial forecast of revenues, expenses, and capital funding requirements for the stormwater system to aid the City in developing a rate plan that balanced short-term needs with long-term sustainability.

#### City of Edgewater (FL)

Shawn has provided financial consulting services to the City of Edgewater (City) since 2015. These services include the performance of annual in-depth revenue sufficiency studies for the City’s water, wastewater, stormwater, and solid waste utility enterprise systems. These projects involved the

#### Specialties

- Computer financial model development
- Revenue sufficiency analyses
- Cost-of-service & rate studies
- Connection/development fees

#### Professional History

- Raftelis: Manager (2021-present); Senior Consultant (2019-2020); Rate Consultant, PRMG (2009-2019)

#### Education

- Bachelor of Science in Business Administration in Accounting & Finance - University of Central Florida (2008)

#### Professional Memberships

- AWWA
- Florida Government Finance Officers Association

development of detailed multi-year financial forecast models for each individual utility system. The models were used in projecting customer account growth and sales, rate and other miscellaneous revenues, operating expenses, operating and other internal transfers, existing debt payments, and capital funding needs. During each study, a funding strategy was then developed with the City staff in order to optimize the utilization of existing resources while also employing additional borrowing to mitigate customer rate impacts. Shawn has also assisted the City in evaluating the financial impacts of various solid waste system operating efficiency alternatives. The City provided several operating alternatives that were prepared by a solid waste operations expert, and Shawn evaluated the projected savings under each scenario. Public presentations to the City Commission were also made to present the results of each annual update and obtain feedback and guidance from City leadership. The recommendations of each study have been approved by the City Commission annually.

### **City of St. Augustine (FL)**

Shawn provided consulting and analytical support in the performance of an in-depth revenue sufficiency review and rate study for the City of St. Augustine's (City) water and wastewater utility system. The study included the development of a detailed 10-year financial forecast model to evaluate the sufficiency of revenues to fully fund the utility's operating, capital and other expenditure needs. This task required an in-depth review of the City's customer billing records to develop a detailed customer sales projection, billing frequency analysis and revenue model as well as a review of historical and budgeted system operating expenditures as the basis for projecting expenditures. Shawn assisted in the development of revised rate structures based on industry allocation methods to i) recognize increased fixed cost recovery through the restructuring of the base facility charge; ii) removal of the minimum flow allowances to promote a more accurate pricing of water used and billed wastewater flow; iii) initiated a reduction to the outside city surcharge to provide more commonality among all customers; and iv) to promote equity among customer classes. The evaluation also included a detailed customer impact evaluation (based on the billing frequency analysis) for presentation to the City Commission. Additionally, the study also included the development of utility impact fee analysis for the Utility.

### **City of Winter Garden (FL)**

Shawn has assisted in an analysis of the City of Winter Garden's (City) police, fire protection, and recreational municipal impact fees. During this project, he performed an analysis of population projections, dwelling unit relationships, and developed corresponding growth projections. He also assisted in discussions with the City regarding the determination of level of service (LOS) standards and the capital requirements needed to serve new development. Shawn then assisted in the design of the impact fees for the residential and non-residential customer classes.

### **City of Ocoee (FL)**

Shawn has performed a variety of consulting services for the City of Ocoee (City). He assisted in the development of detailed rate and revenue sufficiency studies for the City's water and wastewater utility enterprise funds. He has also assisted the City in the financial due diligence and financial feasibility report supporting the issuance of \$21.8 million in utility revenue bonds for funding improvements to the water and wastewater utility system. Responsibilities included the development of a detailed billing frequency

analysis to identify customer use attributes by class, detailed revenue projections, development of a 6-year revenue requirements analysis and capital funding plan, and the development of rate adjustment recommendations. He also assisted in the development of a reclaimed water rate design analysis to help the City with scenario planning for funding its expanding reclaimed water system.

### **City of Oakland Park (FL)**

Shawn performed an impact fee feasibility analysis for the City of Oakland Park's (City) stormwater, solid waste, police, fire/EMS, library, general government and parks and recreation services. This feasibility analysis included a review of capital cost information, level of service criteria, typical/hypothetical fee levels, industry standards and norms and typical application methods for stormwater, solid waste, police, fire/EMS, library, general government and parks and recreation impact fees. This analysis then included a review of the type and extent of the City's anticipated development to develop an estimate of potential revenues to assess the potential benefit to the City of implementing the various impact fees. Based on the results of the feasibility analysis, Shawn then completed a parks and recreation impact fee study for the City.

### **City of Miramar (FL)**

Shawn performed a municipal impact fee study for the City of Miramar (City) that included fees associated with police, fire protection, and recreational services. This study included an analysis of growth and population projections, dwelling units, call data, and Level of Service (LOS) standards, and existing and planned capital facilities. For police and fire protection services the impact fees were designed for residential and non-residential classes of customers. The fees designed in the recreation services analysis were for residential customers only and included the development of a recreation impact fee for facilities and a separate community parks land dedication fee for land for properties not covered by a land donation agreement. Shawn has also assisted in the performance of stormwater revenue sufficiency studies for the City. These studies included developing projections of operating expenses, revenues, capital funding and then evaluation the overall revenue sufficiency of the system and developing rate recommendations for implementation.

### **City of Oviedo (FL)**

Shawn assisted in the performance of a comprehensive rate study for the City of Oviedo's (City) water, wastewater, and reclaimed utility system. This project required the development of a five-year financial forecast model and revenue sufficiency analysis to evaluate the revenue sufficiency of the water and wastewater utility system. A capital funding strategy was also developed with city staff to optimize the utilization of existing cash resources while also employing additional borrowing to mitigate customer rate impacts. The analysis included the design of a multi-year rate plan to phase-in, over several years, the City's two wastewater rates into a single unified rate structure. Additionally, Shawn assisted in performing a utility impact fee analysis for the City which included a review of the systems fixed assets, capital improvement plans, levels of service and the development of proposed fees.

## **PROJECT LIST**

- Alexandria Renew Enterprises (VA)

- City of Apopka (FL)
- City of Canton (GA)
- City of Cape Coral (FL)
- City of Casselberry (FL)
- Charlotte County (FL)
- City of Clermont (FL)
- City of Dade City (FL)
- City of Deerfield Beach (FL)
- Destin Water Users (FL)
- City of Groveland (FL)
- City of Hallandale Beach (FL)
- Immokalee Water and Sewer District (FL)
- Manatee County (FL)
- City of Marathon (FL)
- Midway Water System, Inc. (FL)
- City of Mount Dora (FL)
- City of Ocala (FL)
- Okeechobee Utility Authority (FL)
- City of Panama City Beach (FL)
- City of Port Orange (FL)
- City of St. Cloud (FL)
- City of St. Pete Beach (FL)
- Sarasota County (FL)
- City of Stuart (FL)
- City of Treasure Island (FL)
- City of Umatilla (FL)
- City of Valdosta (GA)
- City of Warner Robins (GA)
- City of Winter Garden (FL)

# Seth Garrison

## BENCHMARKING AND ORGANIZATION

Senior Manager



### ROLE

Seth will be available as needed to provide support for the benchmarking and organization components of this project.

### PROFILE

Seth has over 25 years of experience leading, providing consulting to, and regulating utilities and public agencies of all sizes, both public and private, domestically and internationally. He combines over 15 years of hands-on experience as the former General Manager/Executive Director of a regional utility and as an elected board member of two water and wastewater utilities, with an additional overlapping 15 years of consulting experience advising several of the largest and best-known utilities in the U.S., the U.S. Agency for International Development (USAID), and several foreign governments on management, organizational development, operations and maintenance practices, and strategy. Seth has extensive knowledge of performance management techniques, advanced operations and maintenance practices, and change management frameworks.

Seth has a history of seeking challenging assignments where he can apply his extensive public sector experience and multi-disciplinary education in management, economics, and engineering to complex problems. He began his career as a regulator, leading implementation of the complex and enormously expensive Surface Water Treatment Rule as part of the Safe Drinking Water Act amendment of 1986. He became the General Manager/Executive Director of a failing utility that was teetering on the edge of financial insolvency at the age of 24. He turned the utility into an award-winning organization. Seth has worked internationally, helping the governments of Afghanistan, Jordan, Guam, and Mozambique implement management practices and environmental policy at the national level, while simultaneously assisting various development

### Specialties

- Utility and asset management
- Performance management (measurement, benchmarking, dashboarding, etc.)
- Operational efficiency and effectiveness
- Organizational and operations assessments
- Capital planning and budgeting
- Organizational capacity building
- Utility governance and policy

### Professional History

- Raftelis: Senior Manager (2016-present)
  - Portland Water District: Board of Trustees - Administration & Finance Committee Chair (2014-present)
  - Scarborough Sanitary District: Board of Trustees Member (2013-2016)
- Woodard & Curran, Inc.: Vice President/Utility Management Practice Leader (2012-2016)
- CDM Smith, Inc.: Senior Management Consultant (2004-2012)
- Bath Water District: General Manager / Superintendent (1995-2004)
- State of Maine: Drinking Water Program: Surface Water Treatment Coordinator (1993-1995)

### Education

- Master of Public Policy & Management - University of Maine (2010)
  - Masters Certificate in Performance Management - University of Maine (2009)
  - Masters Certificate in Non-Profit (Public Sector) Management - University of Maine (2008)
- Bachelor of Science in Engineering (Minor Economics) - Rensselaer Polytechnic Institute (1993)

### Certifications

- Certified Lean Six Sigma Master Black Belt
- BAM-I (CTAM) Certification in Infrastructure Asset Management (Indiana University)
- Class IV Water System Operator (lapsed)
- Conflict Resolution Program - Harvard Business School

### Professional Memberships

- AWWA: past Chair of Strategic Management Practices Committee & Member of the Benchmarking Committee
- WEF: Utility Management Committee
- New England Water Environment Association: Utility Management Committee
- New England Water Works Association
- Maine Water Utilities Association: Past Board of Directors Member

agencies with the implementation of more than \$500 million in infrastructure and programmatic spending. In addition, he has assisted well-known utilities in the U.S. like Pittsburgh Water and Sewer Authority, Metro Water Services (Nashville), Boston Water and Sewer Commission, New York City DEP, Denver Water, Philadelphia Water, North Texas Municipal Water District, and PRASA (Puerto Rico) solve complex management and infrastructure strategic challenges.

Seth is the recent past Chair of the AWWA's Strategic Management Practices Committee, is responsible for writing the *M5 Utility Management Manual* – the industry guide for utility management practices. He participates bi-annually on producing AWWA's *Benchmarking Performance Indicators for Water and Wastewater* as a member of the Benchmarking Advisory Committee.

## KEY PROJECT EXPERIENCE

### **Anchorage Water and Wastewater Utility (AK)**

Seth has worked on several projects over the years with Anchorage Water and Wastewater Utility (AWWU). These efforts have included a comprehensive organizational study as well as asset management projects. The organizational and operations assessment included a detailed look at how the utility operates, considering staffing, work processes and potential partial consolidation with other municipal department such as solid waste. This work included interviews with senior staff, as well as managers and supervisors through the organization. Benchmarking and business process work was done to highlight areas for improvement. The project produced a revised organizational design and decision-making process to help meet desired levels of service affordably.

In partnership with CDM Smith, he performed a comprehensive assessment of all the assets at two major AWWU facilities, the Ships Creek Water Treatment Facility and Asplund Wastewater Treatment Facility, to determine asset renewal priorities and implementation strategies for advanced risk-based Asset Management practices. These elements were incorporated into an overall facilities master plan. The project identified maintenance strategies, data collection methods, new approaches, and capital prioritization techniques to ensure sustainability at the lowest lifecycle cost. Implementing risk-based Asset Management practices was especially important for AWWU given the additional challenges of a harsh climate, the relative remoteness of the facilities, and the seismic hazards in the region.

### **Pittsburgh Water and Sewer Authority (PA)**

Threatened with privatization and challenged by Lead and Copper Rule exceedances and high-profile infrastructure failures, Pittsburgh Water and Sewer Authority (PWSA) was labeled a “failing utility” by many. Thanks to strong leadership and the help of Seth and the team from Raftelis, things have turned around. Raftelis provided assistance with both the financial and the organizational aspects of PWSA. Raftelis was instrumental in helping PWSA enact a series of rate adjustments totaling 51% over 3 years to provide the necessary revenue to hire additional staff and begin fixing a decades-long backlog of infrastructure needs. Seth, who worked side-by-side with PWSA leadership, helped address major organizational challenges. Seth and the Raftelis team provided an aggressive Compliance and Organizational Plan that convinced business leaders and community officials that PWSA had a framework for success. They then helped PWSA implement elements of the plan including creation of a

new PWSA Performance Improvement office, aligned PWSA practice with Pennsylvania Public Utility Commission requirements, and fixed a series of onerous legacy rules about hiring, resource sharing and metering that limited performance. PWSA is now on a path to success and is rapidly gaining the confidence of its customers.

### **City of Corona – Department of Water and Power (CA)**

The City of Corona (Corona) is a community of 172,000 that lies on the northeastern edge of the Santa Ana Mountains about 70 miles southeast of Los Angeles. Wedged between affluent areas of Orange County and more rural areas to the west, the city and its Department of Water and Power (DWP) must find the right equilibrium between the levels of service provided and affordability. Traditionally, there has been an uneasy balance between customers wanting leaner service offerings at a lower cost and a similar-sized group of customers wanting more services at a moderate additional cost. A recent rate increase after a seven-year pause was the catalyst to reignite the debate over service levels and costs. In response, the DWP hired Seth (Project Director) and Raftelis to perform a comprehensive independent audit of the services and the associated value customers receive.

The audit reviewed all the major aspects of how the DWP operates from its organization and management through its business processes, relationships with other departments, and operations. Using Raftelis' tested Engage-Assess-Compare-Enhance methodology, the DWP learned how it compares with similar entities using a series of benchmarks, as well as national utility data. Raftelis looked beyond the numbers at business processes and practices to see how DWP aligns with industry best practices. Raftelis layered its analysis with Lean techniques to review the efficiency and effectiveness of practices, and an assessment of technologies such as the city's ERP, departmental Computerized Maintenance Management System (CMMS), and other major platforms. The results of the audit showed the DWP how much value it provides compared to other utilities and where it can provide more value.

Because the DWP provides water, water reclamation, reclaimed water (wastewater), and electricity services, under the larger city government umbrella, there are multiple opportunities for additional resources sharing and efficiency gains. Raftelis identified changes in procurement practices, for example, to better utilize the already lean number of staff in the department. Changes associated with leasing payments between the enterprise funds of the DWP utilities and the city's general fund are also being explored, in addition to a variety of specific workflow changes and the addition of business analysis and project management resources to support DWP strategic efforts.

### **College Station (TX)**

The City of College Station - Water Services Department (Department) provides water and wastewater services to the growing City, home to Texas A&M University. The Department provides approximately 79,000 retail accounts with an average of 11.4 million gallons per day (MGD) of safe and affordable drinking water and treats an average of 7.7 MGD of wastewater. The Department relies on treated drinking water from groundwater wells and treats its wastewater at two treatment plants. It operates and maintains extensive drinking water distribution facilities and pipelines, as well as wastewater conveyance systems that includes pump stations, gravity pipelines, and forcemains. The Department requested that

Seth and Raftelis conduct a benchmarking study to compare its operating characteristics to other similar utilities in eastern Texas and to national survey data in conjunction with a rate study.

Raftelis used data from the AWWA Utility Benchmarking (2019): Performance Management for Water and Wastewater, and peer data from several utility organizations similar to College Station. College Station's benchmarking metrics appeared favorable in most categories suggesting that College Station has achieved greater efficiencies in many areas than most peers and a national sample of utilities. Two metrics warranted further discussion: the capital renewal rate and the wastewater pipe inspection rate.

### **City of Pearland (TX)**

Over the last five-plus years, utility meter-to-cash activities at the City of Pearland have been in a state of perpetual transition. In conjunction with adding several new staff to deal with rapid account growth, all meter-to-cash managers and supervisors are new hires or started their current position within the last eight months. The City also realigned oversight of finance-related functions and staff to report directly to the City Manager. Additionally, the City implemented a new billing system (New World™) and is in the midst of replacing all customer water meters with solid-state meters as part of a multi-year conversion to Advanced Meter Infrastructure (AMI). Each of these changes is individually significant, and the relatively rapid pace of change has led to well-publicized challenges. Perhaps the most significant of these challenges includes a 2018 decision to adopt a meter reading schedule that differed from the billing schedule, producing a growing backlog of unbilled consumption. The ongoing ramifications of this decision caused the public to voice concerns and express confusion about the City's billing practices.

In early 2020, the City Council hired a firm, Olson & Olson, LLP, to conduct a third-party investigation to identify why changes to billing and reading dates were made, leading to the growing backlog of unbilled consumption. The City later authorized the implementation of the "32/30 Plan" to resynchronize meter reads and bills. An outside consultant, who shortly afterward accepted the position of Water Billing and Collections Manager, was hired to help implement the 32/30 Plan and manage the utility billing operations after the departure of the previous two managers within a series of weeks. Several months later, the City hired Seth (Project Manager) and Raftelis to perform an independent Utility Billing Process and System Review to evaluate meter-to-cash processes and operations.

The City has taken several good-faith steps to create effective, accurate, and streamlined meter-to-cash functions. The common thread is that significant culture change was needed across the meter-to-cash operations to manage the complexity of processes and provide customers a high level of service. Raftelis assisted by engaging in a detailed review of meter-to-cash processes. It found no systemic billing errors based on an analysis of consumption and billing data; however, several processes were ripe for improvement. While Customer Service Representatives (CSRs) generally apply the same approaches, the small differences between how they handle inaccurate meter inquiries, for example, erodes trust for some customers. Adjustments to the current division of labor and responsibilities among meter-to-cash staff was warranted to maximize the use of positions and improve customer service. Raftelis recommended a new approach in the meter services area where technicians are proactively initiating work orders to repair metering issues that they are alerted to in the new AMI meter management dashboard(s).

### **Frederick Winchester Service Authority (VA)**

The Frederick-Winchester Service Authority (FWSA or Authority) engaged Seth and Raftelis to conduct a rate study and an organizational structure analysis. The organizational structure analysis focused on governance, including equitable representation of the member entities, as well as identifying opportunities for performance improvement and organizational enhancement. The composition of the FWSA Board of Directors has changed several times since the Authority was created in 1974. It has gone from five original members with equal representation from the City of Winchester (City) and Frederick County (County) to the current nine members (adopted with the 1995 amendments), consisting of five members appointed by the City, three members appointed by the County, and one jointly appointed member. A survey of similar entities in Virginia and Raftelis' experience dealing with other regional utilities across the U.S., reveals that seats on regional utility boards are typically divided equally among member jurisdictions or divided based on capacity, flow, or service population. FWSA deviates from this model since there is no formal rationale for allocating board seats.

Some stakeholders believe that the allocation of board seats creates a bias toward the City. It has also fostered some level of distrust among the parties. For example, some suspect that staff resources assigned to and paid for by FWSA have been used to partially provide other City services. Raftelis found that this does not occur. In addition to a more prescriptive formula for allocating board seats that is memorialized in the organization's charter, Raftelis recommended that operator implement a Computerized Maintenance Management System (CMMS) to track maintenance costs at the asset and process level, so that the costs of BOD removal and processing high-strength waste are known more accurately. Raftelis also recommended better flow monitoring on the joint interceptor line and a formal operations agreement delegating responsibility to the City, County, or FWSA.

### **City of El Dorado (AR)**

El Dorado Water Utilities (EWU) provides water and wastewater services to approximately 10,400 accounts. The drinking-water produced is high-quality and the wastewater consistently meets regulatory standards. However, a good portion of the system's infrastructure is at or nearing the end of its useful life and needs significant investment. EWU has already experienced an extremely high number of water line failures, more than 50 per month, because of these aging assets which require a significant amount of ongoing staff time and resources to correct. EWU engaged Seth and Raftelis to perform a rate study and conduct an operations assessment of the utility. The operations assessment focused on organizational structures, operations and maintenance (O&M) practices, and staffing to determine where there are areas for efficiency improvement, cost savings, and organizational enhancement.

Raftelis found that EWU does not have a long-term Capital Improvement Plan (CIP) and is not following industry best practices for Preventative Maintenance (PM). The two wastewater plants are nearing the end of their useful life and while they are meeting Arkansas Department of Environmental Quality (ADEQ) water quality requirements, they are experiencing failures which could jeopardize future regulatory compliance. The Advanced Meter Infrastructure (AMI) technology is not being fully used, and other efficiencies in the customer billing process should be made, including adjustments to the billing cycles. Raftelis recommended improving water main repair techniques, improving the use of SCADA, and better

utilizing meter reading technologies and data, which could help lessen the rate shock associated with the capital expenditures needed if leveraged appropriately. Creating a full-time engineering and planning group with 2-3 people is also important to properly plan and support the capital projects on the horizon for EWU.

### **Southern California Edison – Catalina Operations (CA)**

Since 1962, Southern California Edison (SCE) has owned and operated the water system on Santa Catalina Island, which serves approximately 2,000 accounts associated with over 4,000 full-time residents and over one million annual visitors. Catalina is situated roughly twenty-nine miles southwest of the port of Long Beach and. The only incorporated city on the island, the City of Avalon, accounts for roughly 4% of Catalina’s land area, 91% of its population, and over 80% of its water use. Approximately 88% of the island is protected by the conservancy, a nonprofit organization whose mission is to preserve the island’s natural resources, provide education and offer recreation. Catalina is completely isolated from mainland water sources and relies upon local groundwater wells which produces approximately 75% of the potable water and using two desalination plants producing the remaining 25% to meet customer water demands. In the event of emergencies or drought, potable water must be shipped to the island via barge.

SCE hired Seth (Project Director) and the team from Raftelis to perform a comprehensive organization and operations assessment of the Catalina operations as part of a multiphase planning effort. The project included a review of major operations practices, encompassing asset management strategies, staffing, organization, and management of the utility. Raftelis found that island staff struggled with many resource and logistics issues associated with the unique conditions on the island. Many assets were in poor condition. Raftelis recommended several changes including enhancing the use of the SAP Computerized Maintenance Management System (CMMS), adopting SCADA, and providing additional equipment and training for operations personnel before considering additional staff. Raftelis also recommended that the Catalina operations have a “champion” to represent their interests to the larger SCE organization; currently there are several SCE groups that have various interests in the operation.

### **Sacramento Region Water Utility Collaboration/Consolidation Study (CA)**

Water resources are becoming harder to obtain and more complex to allocate, regulations are more burdensome, and budgets are increasingly tight in many areas of the U.S., particularly in California. In this environment, there simply are not enough resources to meet every need if utilities adhere to the same old ways of doing business. Innovation and improvement are critical. The Sacramento Region Water Utility Collaboration/Consolidation Study led by Seth and Raftelis is providing an opportunity for collaboration to help address many of these issues. Seven participating water agencies in the Sacramento Region are seeking to build successful collaborative efforts to benefit all agencies and their customers. The agencies include Sacramento Suburban Water District, San Juan Water District, Carmichael Water District, Citrus Heights Water District, City of Folsom, Del Paso Manor Water District, and Rio Linda/Elverta Community Water District.

The study identified and nurtured mutually beneficial opportunities that is leading to cost savings for customers, providing economies of scale, beneficial integration of resources, improved services, and more

efficient use of staff, equipment, and capital resources. Sacramento Suburban Water District and San Juan Water District, two of the participating entities, have already identified opportunities to improve collaboration and potentially merge operations into one consolidated district as part of past studies. Seth (Project Manager) and Raftelis are worked closely with the participating agencies to through the following activities:

- Benchmarking and programs comparisons across entities
- Identifying and studying collaboration opportunities
- Building financial models to evaluate different delivery approaches and financial implications, including potential rate impacts
- Reviewing legislation, policies, and standard operating procedures (SOP) facilitate better resource sharing across entities
- Stakeholder engagement and communication

The project has produced a detailed assessment of seven areas where the participating agencies could potentially achieve benefits through additional collaboration. They include paving services, distribution system Preventative Maintenance (PM) activities, Human Resources (HR), on-call/emergency services (after normal business hours), water resources, leak detection and water conservation programs.

### **Montecito Water District (CA)**

The Montecito Water District (District) engaged Seth (Project Director) and Raftelis to perform a market compensation analysis for its full-time positions. Raftelis obtained current and relevant salary structure and selected pay information from published surveys representing peer California utilities, national water-sector utility data, and other employers in the relevant market areas for this analysis. The data is supplemented with additional information to reflect general economic trends related to compensation levels. The objectives of the analysis were to provide the District with information and recommendations to assist in ensuring the District's ability to attract and retain qualified staff and to ensure staff are compensated fairly, in a manner commensurate with their job duties and responsibilities.

Based on industry, national, regional, and peer utility comparisons, Raftelis noted that the cost of living in Santa Barbara County is roughly equal to median levels across California, but the cost of living in Montecito, mainly driven by housing prices, is significantly higher than those in most other areas of Santa Barbara County and California. District salaries appear to be broadly in line with surveyed peers and the 2019 American Water Works Association (AWWA) salary survey, based on the cost of living in Santa Barbara County, which includes both higher and lower cost areas. A couple of positions appear undercompensated as compared to similar positions at other utilities, though there are very limited peer comparisons. Raftelis recommended that the District review its job descriptions and/or compensation for certain positions.

### **Montgomery County Environmental Services (OH)**

Montgomery County Environmental Services (MCES) provides water, wastewater (sewer), and waste disposal services to more than 82,721 accounts and has a staff of 208 full-time employees. While quality and reliability of service will always remain the top priorities of MCES, a sound utility needs an effective meter-to-cash operation to ensure it reliably measures water consumption, generates accurate bills, and

consistently collects revenues from customers. MCES hired Seth (Project Advisor) and Raftelis to review its meter-to-cash operations.

The 36-person Customer Service Department (CSD) manages the meter-to-cash functions for MCES. CSD activities include meter reading; generating and providing water and sewer bills on a quarterly basis; payment processing; and responding to customer service requests. Raftelis reviewed that activities of the department in depth and found that there were several processes that could benefit from streamlining or additional QA/QC. A series of detailed recommendations provided specifics on how MCES and their CSD could improve practices.

### **Fairfax Water (VA)**

Fairfax Water is Virginia's largest water utility and one of the 25 largest water utilities in the country, serving one out of every five Virginians who obtain their water from public utilities. Chartered in 1957 by the Virginia State Corporation Commission as a public, non-profit water utility, Fairfax Water is governed by a 10-member Board of Directors and supported by a staff of more than 400 water professionals. Exceptional service to customers requires careful and organized planning to anticipate the challenges ahead. In order to achieve these objectives, Fairfax Water engaged Raftelis in early 2020 to facilitate a strategic planning update and conduct an organizational structure review to aid in building a strong foundation for future employees and customers. The strategic plan, built on stakeholder input and considerable employee involvement, leverages the success and the structure developed in Fairfax Water's 2020 Strategic Plan. The 2025 update has five goal areas, including Quality Services, Workforce Planning and Development, Infrastructure Integrity, Financial Resilience, and Technology and Innovation, and is supported by an annual implementation planning process. The organizational structure review process included interviews with the Fairfax Water leadership team to determine the strengths and opportunities of the current organizational structure. This context was then used to identify and research the organizational structures and operational practices of several large water providers, both regionally and nationally, and to develop recommendations to improve Fairfax Water's organizational structure and performance.

### **City of Cedar Park (TX)**

The City of Cedar Park engaged Raftelis to conduct a business process review of the Utility Billing Department's (Department) operational business processes and practices, which provides customer service and billing functions for approximately 22,000 accounts. Notwithstanding the Department's strong historical performance, Raftelis identified several opportunities for improvement in the areas of staffing structure, meter data and meter diagnostics utilization, billing data and exceptions management in Incode, billing cycles alignment and practices and policies coordination. The changes are allowing the Department to operate with significantly less staff and with much high performance in terms of billing accuracy than industry norms.

## Melissa Elliott APR

### **PUBLIC OUTREACH AND AFFORDABILITY** Vice President of Communications and Marketing



#### **ROLE**

Melissa will be available as needed to provide support for the public outreach and affordability components of this project.

#### **PROFILE**

Melissa's 25+ year public relations career is focused on helping water and wastewater utilities and municipalities tell their stories. She oversees strategic communication planning, stakeholder engagement and risk communication strategies for Raftelis. She also provides strategic counsel and facilitates public involvement efforts and public meetings. Melissa has extensive experience working with elected officials, stakeholders and the public on issues as diverse as drought, water quality, potable reuse, affordability, rate structure change, impactful construction projects, rate increases, customer assistance programs and demand management. Highly active in the water industry, Melissa is the Immediate Past President of the American Water Works Association, is a former chair of AWWA's Public Affairs Council, and a regular volunteer for The Water Research Foundation. She has an M.S. in technical communication and a B.A. in journalism and is Accredited in Public Relations (APR) from the Public Relations Society of America. Prior to joining Raftelis, Melissa directed the public affairs efforts at Denver Water, which included creating public engagement strategies for massive infrastructure projects, developing a nationally recognized lead service line replacement program, and leading conservation outreach efforts through the innovative "Use Only What You Need" campaign.

#### **KEY PROJECT EXPERIENCE**

##### **American Water Works Association**

American Water Works Association (AWWA) looked to Raftelis to develop a comprehensive risk communication guide for utilities:

Trending in an Instant. Melissa served as principal investigator and key author for this guidance document, which helps utilities enhance their ability to communicate effectively when they find themselves unexpectedly in the traditional and social media spotlight. The guide provides research into the psychology and behavior behind consumer response to media-driven community fears and, more importantly, deliver targeted tools and action steps to help utilities respond effectively before,

#### **Specialties**

- Strategic communication planning
- Stakeholder engagement
- Public involvement
- Community outreach
- Crisis & risk communication
- Reputation management
- Coalition building & campaigns

#### **Professional History**

- Raftelis: Vice President of Communications and Marketing (2021-present); Director of Strategic Communication Services (2018-2020)
- Denver Water: Director of Public Affairs (2012-2018); Manager of Water Conservation (2008-2012)
- Aurora Water: Manager of Public Relations (2000-2008)

#### **Education**

- Graduate, Water & Wastewater Leadership Center - University of North Carolina, Kenan-Flagler Business School (2016)
- Master of Science in Technical Communication (Public Relations) - Colorado State University (2005)
- Bachelor of Arts in Technical Journalism (Public Relations) - Colorado State University (1991)

#### **Professional Memberships**

- AWWA: Immediate Past President; Former Public Affairs Council Chair; Former Strategic Planning Committee Chair
- AWWA/WEF Transformative Issues Symposium on Affordability: Former Chair
- WEF
- NACWA
- Public Relations Society of America: Accredited in Public Relations (APR)

during, and after a high-profile communications issue in their service area. The guide describes proven risk communication techniques, such as how to return to productive conversation when people are communicating in a perceived high-risk environment and offers social media strategies to employ during crisis, such as how to prepare, how to react, and what to do after the crisis ends.

### **Aurora Water (CO)**

The City of Aurora's (City) Prairie Waters system includes 34 miles of 60-inch diameter pipeline, three pump stations, a natural purification area and the Binney Purification Facility. Designed to protect the City against drought the system uses a sustainable water source by recapturing river water. The project met the definition of an indirect potable reuse project; however the project was branded as a drinking water project. Melissa led the communication program for this project with the assistance of an outside contractor, which included branding the project name and water purification facility in a way that would build support from the public without concern for this new water source.

### **Birmingham Water Works Board (AL)**

Birmingham Water Works Board's (BWVB) is redesigning its website and has asked Melissa to help provide strategy and guidance on the look, feel and content of the new site, which is being developed with in-house resources. In addition, during BWVB's cost-of-service study the utility made recommendations for changes needed to recover costs to serve customers in proportion to their use of the water system. Melissa worked hand-in-hand with BWVB staff and rate consultants to implement a communications strategy that built public trust in the cost-of-service study decision-making process through a variety of community outreach tactics.

### **City of Craig (CO)**

A small community in Northwestern Colorado, the City of Craig (City) has experienced an economic downturn and struggled in the past to get support for much needed tax increases. Facing the need to determine how best to fund significant upcoming water and wastewater capital needs, the City sought community outreach and communications assistance. Melissa developed a strategic communications plan that included several community outreach tactics that the City used successfully.

### **Daphne Utilities (AL)**

Raftelis is currently under contract with Daphne Utilities to provide strategic communications services, crisis communications, media training, and to help them build capacity for enhanced communication and community engagement. The primary focus of Melissa's work with Daphne Utilities is on clean water, and that utility's challenges with enhancing their reputation following a major sewage spill that contaminated the Mobile Bay. The utility has made great strides in their operations and Raftelis has assisted with strategic counsel and the development of a strategic communications plan that aims to inform the community of the commitment the utility has to protecting and enhancing the water quality in the bay.

## **Denver Water (CO)**

Denver Water exceeded the action level for lead in 2012, setting off the state's largest ever public health risk notification. Within just two months of that exceedance Melissa led the effort to notify every resident, pediatrician, obstetrician, school, child care facility and special population in the treated water service area-six counties in size. That risk communication plan then evolved into a much larger effort to address the looming public health and reputational threat that was posed when the utility became aware that nearly one in three homes in Denver had a lead service line. Melissa's work on this effort involved a risk communication plan and strategic communication. The result of these efforts was the fortification of Denver Water's position as a national leader during the lead in drinking water controversy, maintaining customer trust and satisfaction with drinking water quality even during the Flint water quality crisis.

Expanding Gross Reservoir will help Denver Water protect its customers from negative impacts of a future drought and shortfalls in Denver Water's overall water storage system. This project will increase Gross Reservoir's capacity to 119,000 total acre feet by adding an additional 77,000-acre feet. With this project, Denver Water will provide more water to customers while improving the environment surrounding the planned expansion. The project is in Boulder County, Colorado and residents living near the reservoir will not benefit from its expansion. Melissa's work on this project included overseeing a strategic communication and public engagement program with assistance from an outside consultant and staff. The program rebranded the Gross Reservoir Expansion Project (formally called the Moffat Collection System Project) and focused efforts on the community living near the reservoir who will be directly impacted by construction. That effort has been followed by a more active outreach program with Denver Water customers who will need to know the value of this project as they see increases on their water bills.

## **City of Eagan Public Works Utilities Department (MN)**

The City of Eagan Public Works Utilities Department was preparing for their future by developing a strategic plan. Melissa prepared and facilitated two workshops with all public works utilities employees, including a strengths, opportunities, aspirations and results (SOAR) analysis and development of the organization's values statement. The work done in the workshops served as the foundation for the utility's strategic plan.

## **Fort Collins-Loveland Water District (CO)**

Fort Collins-Loveland Water District's (FCLWD) rate study recommendations demonstrate the need for significant changes to both their water rates and their system development fees. The utility is investing in increasing their water supply and had not previously done public engagement work and needed a way to explain the rate study to customers while seeking customer acceptance of higher rates and developer acceptance of a new way of charging for tap fees. Melissa developed a strategic communications plan for FCLWD, guided staff through the plan implementation and developed several community outreach strategies for the utility including hosting two successful community open houses to provide context for the proposed changes.

### **City of Golden (CO)**

The City of Golden (City) had not done a rate study for more than 20 years. As the city was preparing to dive into its water, wastewater, and drainage fees, it decided to include a citizens advisory committee to help the City recommend changes to its rate structures. Melissa facilitated the committee's work in addition to leading the development and implementation of a strategic communication plan to ensure that the community was brought along on the City's exploration of the future of its rate structures.

### **Green Bay Water Utility/Central Brown County Water Authority (WI)**

In an effort to improve efficiency and reduce costs, Green Bay Water Utility and Central Brown County Water Authority joined together to develop a shared services approach with assistance from Raftelis. Melissa led the strategic communications program for this regional effort, working with communication professionals from both the utility and the authority to ensure that all parties stayed on message, internal communication was prioritized, and that the effort had a brand that could live beyond the initial first year of work. Branded SPLASH (Sustainable Partnership Linking Area Services and H2O) the successful effort is now a role model for other agencies looking to share services or move into a regional structure.

### **City of Lakewood (OH)**

The City of Lakewood (City) is working through a regulatory response and developing an infrastructure plan to address combined sewer overflows. Melissa developed an extensive community engagement program to demonstrate that the City is advocating on behalf of their citizens in terms of an affordable plan to address regulatory concerns. The engagement efforts implemented by Melissa and City staff included facilitated round table discussions, electronic voting at a large public meeting and a community open house to gather public input. The engagement effort touched hundreds of residents on a topic that is typically difficult to get community traction on.

### **Louisville Water Company (KY)**

Louisville Water Company developed a strategic business plan and wanted to ensure that employees were engaged and inspired by the plan. Melissa developed an internal communications plan to roll out the strategic business plan to employees that included a "first six months" timeline and task list to keep the plan at the forefront of employee communication.

### **Mojave Water Agency (CA)**

Located in the arid California high desert, Mojave Water Agency (MWA) is a water provider to tens of thousands of residents through its wholesale water agencies. MWA is faced with the need to invest in future water supply that will meet the demands of the growing community it serves and doing so will require increased revenue. Melissa facilitated several meetings with MWA's Technical Advisory Committee to help MWA determine the best approach to increasing revenue. In addition, Melissa provided a training session for MWA employees on delivering effective presentations.

### **Mount Pleasant Waterworks (SC)**

Mount Pleasant Waterworks is currently contract with Raftelis for strategic communication services. As the project manager, Melissa provided strategic counsel, the development of an annual strategic

communications plan, a communications review and brand assessment, and a communications plan for capital improvements.

### **Municipal Authority of Westmoreland County (PA)**

Municipal Authority of Westmoreland County (MAWC) is the third largest utility in Pennsylvania but has limited staff resources for communications efforts. Recognizing the need to have strategic counsel available, MAWC contracted with Melissa to provide as-needed communications consulting for issues management and strategic planning purposes.

### **New York Section of American Water Works Association (NY)**

The New York Section of AWWA (NYSAWWA) looked to Raftelis for strategic counsel on how to respond to legislative initiatives to regulate PFAS/PFOA in the state. Melissa wrote testimony and letters for technical experts. In addition, Melissa helped NYSAWWA develop a three-part communications training webinar and a successful communications track for their annual conference.

### **City of Newport (OR)**

The City of Newport has two dams that have recently been found to be structurally deficient if the coastal community were to experience an earthquake. The dams are listed as the state engineer's second and third most needed dam replacements in the state. The community is small and the cost to replace this infrastructure is estimated to be \$75 million. Melissa developed a communications strategy for a campaign to build community awareness about the project to support government relations efforts seeking state and federal funding for a significant portion of the project costs.

### **City of Newport Beach (CA)**

The City of Newport Beach (City) successfully approved a five-year rate increase after implementing a robust strategic communication plan developed by Melissa that included the use of infographics, a community presentation, Proposition 218 notice and community outreach strategies.

### **Northern Water (CO)**

As Northern Water begins transitioning into a new, more broad-based outreach phase for their Northern Integrated Supply Project, the agency sought assistance with developing and implementing communications strategies that support several major efforts. Raftelis' work will include development of messaging and informational material; development and implementation of stakeholder feedback surveys and assistance maintaining online public involvement tools; development and facilitation of project open houses and events; social and traditional media planning and execution including the development of media calendars and content, develop and implement strategies to increase earned and paid media, media tracking, assisting with media pitches, news releases and responses to questions, media prep, and scheduling of interviews.

## PUBLICATIONS

- “Trending in an Instant,” Risk Communication Guide for Utilities, Lead Author, AWWA, 2019
- “Consider the Importance of Risk Communication,” Article, Journal AWWA, 2019
- “Public Affairs - Getting to Know Your Stakeholders in Advance of a Rate Change,” Article, Journal AWWA, 2017

## PRESENTATIONS

- “Communications and Infrastructure Investment,” Jersey Water Works Annual Conference, 2019
- “Getting to Yes, Communication Strategies to Gain Support for Rate Increases,” Association of California Water Agencies Spring Conference, 2019
- “Putting People as Our Focus,” Keynote for WaterNow Alliance Annual Summit, 2019
- “Telling Your Story Through Content Marketing,” Half-day Workshop at Utility Management Conference, 2019
- “Putting the Water Industry’s Focus in the Right Place,” Young Professionals Summit, 2019
- “Communication Strategies to Gain Support for Capital Replacement Funding,” Utility Management Conference, 2019
- “The Shape of Water,” Engaging Local Government Leaders Annual Meeting, 2018
- “Building Support for Rate Structure Change,” WaterNow Alliance Annual Summit, 2018
- “How to Ace Your Rate Study,” Special District Association Annual Conference, 2018
- “Building Support for Rate Structure Change,” WaterNow Alliance Workshop, 2017
- “Communicating About Water Quality: Lead Case study #1: Denver Water,” AWWA Annual Conference and Exposition, 2017
- “Providing a Customer Outreach Program Related to Lead Service Line Replacement,” AWWA Annual Conference and Exposition, 2017
- “The Recipe to Success in Implementing a Water Rates Campaign: Case Studies,” AWWA Annual Conference and Exposition, 2017
- “Factoring Affordability into Rate Structure Change,” Webinar for AWWA Infrastructure Finance Series: Innovative Strategies for Customer Affordability, 2017
- “What Lies Beneath: Challenges in Maintaining Water Infrastructure,” Government Finance Officers Association Annual Conference, 2017
- “Flint and Lead: The Water-Public Health Connection,” Webinar for AWWA and American Public Health Association, 2016

# Sam Villegas APR

## PUBLIC OUTREACH AND AFFORDABILITY

Director of Strategic Communication Services



### ROLE

Sam will be available as needed to provide support for the public outreach and affordability components of this project.

### PROFILE

Sam is an award-winning communications and outreach strategist, with more 25 years of experience conducting strategic communication and public outreach for public works, in the areas of water, energy, solid waste and recycling. Sam began her career helping municipalities and corporations increase their recycling rates. From there she worked on a national campaign for EPA to promote energy efficiency investments to small businesses. After that, Sam turned her focus to water and wastewater, helping utilities and public works agencies build support for rate increases and infrastructure investments. Sam played the lead communications role at water and wastewater utility Loudoun Water and was part of the executive team at American Water, where she cultivated enterprise-wide understanding and support for proactive public outreach and she executed successful education campaigns that raised awareness of issues and programs, changed behaviors and attitudes, and built trust in the organization. As an independent consultant (SaVi PR), Sam continued to advise water and wastewater utilities, as well several municipal solid waste and recycling offices with strategic communication and public engagement.

### KEY PROJECT EXPERIENCE

#### American Water (KY)

Sam led external affairs for nine state subsidiaries of the nation's largest investor-owned water and wastewater utility, American Water. Sam provided executive level proactive and strategic PR counsel to her division's leadership and successfully directed the development and execution of nine fully integrated communications strategies across nine states to explain complex water issues, and to elicit widespread understanding and support for rate increases, as well as positive environmental behaviors. Sam ensured all state strategies were aligned with corporate strategies and all were measurably successful using quantitative methods. Under Sam's guidance and direction, her team of six managers (1) averted a

### Specialties

- Stakeholder engagement/public involvement programs
- Strategic communications planning & execution
- Crisis & risk communications planning, messaging & execution
- Community-based social marketing (behavioural change marketing)
- Outreach program assessment & measurement
- Development & oversight of paid (advertising), earned (stories placed), shared (social) & owned media
- Writing & copyediting
- Public speaking

### Professional History

- Raftelis: Director of Strategic Communication Services (2021-present); Senior Consultant (2019-2020)
- SaVi PR, LLC: Owner
- American Water: Vice President
- Loudoun Water: Manager of Communications
- CEC: Public Affairs Specialist
- Lisboa: Senior Account Manager
- Mitchell Petersen: Account Executive

### Education

- Accredited in Public Relations - The Public Relations Society of America
- Master of Science in Environmental Policy - Johns Hopkins University (1998)
- Bachelor of Science in Biology (Environmental Science) - Pennsylvania State University (1992)

### Professional Memberships

- AWWA
- International Association of Public Participation
- NACWA
- Public Relations Society of America: Board Member
- Social Marketing Association of North America
- Water Environment Federation

condemnation attempt in TN; (2) restored public trust following a crisis in VA; (3) obtained a favorable ruling on a rate increase in WV; and (4) garnered widespread public support for a major infrastructure project in KY.

## **American Water Works Association (CO)**

### **Guide to Risk Communication**

American Water Works Association (AWWA) looked to Raftelis to develop a comprehensive risk communication guide for utilities: *Trending in an Instant*. Sam served as copyeditor for this guidance document, which helps utilities enhance their ability to communicate effectively when they find themselves unexpectedly in the traditional and social media spotlight. The guide provides research into the psychology and behavior behind consumer response to media-driven community fears and, more importantly, deliver targeted tools and action steps to help utilities respond effectively before, during, and after a high-profile communications issue in their service area. The guide describes proven risk communication techniques, such as how to return to productive conversation when people are communicating in a perceived high-risk environment and offers social media strategies to employ during crisis, such as how to prepare, how to react, and what to do after the crisis ends.

## **American Water Works Association (CO)**

### **Communicating about Lead in Drinking Water**

Upon the growing discussion of the health risks from very low levels of lead in drinking water, Sam was hired to assist AWWA in the development of a guidance document for water systems, on how and why they should proactively communicate with customers about lead exposure from drinking water, lead service line replacement, and other issues pertaining to the shared responsibility customers have with their utility, to jointly protect their family's health. For this guide, Sam compiled and developed key messages, sample outreach materials and she provided a framework for conducting outreach on all facets of the issue.

## **Arlington County Water Pollution Control Bureau (VA)**

In recognition of the specific and direct impacts biosolids master planning can have on the community, Sam was retained to develop a comprehensive outreach plan over the course of the master planning process. Two key pieces of the effort were a stakeholder advisor committee, comprising a cross section of interested and impacted stakeholders in the County, which met quarterly over two years, and a strategic communication plan the County staff could execute through each stage of the project through design, build and operations. This program enabled early, frequent and two-way communication with key stakeholders and residents throughout the Planning, Design and Construction phases of the project, with the goal of exchanging ideas and knowledge, as well as garnering recommendations and asking support for the technology selected. The final biosolids master plan was presented to the County Board of Supervisors with support from most stakeholders.

## **Association of State Drinking Water Administrators (VA)**

Sam began supporting the Association of State Drinking Water Administrators (ASDWA) with strategic communication and organizational development services in 2017. Sam transformed member engagement

with revamped communications products such as its “Year in Review” annual report, and she has developed fact sheets, stakeholder emails, and revamped its board packet. Sam copyedited for voice, tone and grammar, all major documents and reports for ASDWA, such as its report to EPA on shortfalls of statewide funding for drinking water programs and its comments on the new Lead and Copper Rule Revisions. From a management standpoint, Sam plans and facilitates staff retreats and work sessions, coaches staff on project management, and she led the ASDWA staff and Board through the development of its first strategic plan. Sam continues to support ASDWA with strategic plan implementation and technical writing.

### **Charlotte Water (NC)**

Raftelis was hired by Charlotte Water to help them promote a new bill design. The goal of the campaign was to ensure no one was surprised. As project manager, Sam led the Raftelis team to create a six-week, measurable promotional campaign with tagline (*a bill as clear as the water we provide*) and graphics, that included paid digital ads, social media, a video, billing inserts, bill and envelope messages, city newsletter articles, website, and staff newsletter article.

### **Connecticut Water (CT)**

Sam conducted a comprehensive audit and evaluation of Connecticut Water’s employee communications program with surveys, one-on-one interviews, and small-group meetings. She also benchmarked its employee communication performance against several companies of similar structure and size.

### **Cleveland (OH)**

Sam developed a comprehensive engagement strategy to turn around public opinion of the City’s plan for sustainably managing its waste. The strategy spelled out specific tactics to achieve the City’s objectives that included a new message platform, a series of community meetings, partnership development, and a social media plan, which was intended to work in tandem with other efforts to reset the public discourse on the topic, educate stakeholders on the waste issues the City is seeking to solve, and meaningfully engage the community in a dialogue about solutions.

### **Corpus Christi (TX)**

The Raftelis team assisted the City of Corpus Christi (population 326,000) with the development of a stormwater utility fee to fund the City’s stormwater management, operations, maintenance, and MS4 compliance. Ms. Villegas provided support and strategic guidance to the City on public involvement and communications. Ms. Villegas, with support from a local PR firm, conducted stakeholder research and developed a communications plan, and designed and helped facilitate a series of stakeholder advisory group meetings so affected stakeholders could have a voice into the stormwater fee development. The pandemic put a pause on the work, just as a fee was nearly finalized and Raftelis’ work with the City is on hold until 2021.

### **Daphne Utilities (AL)**

Sam developed a crisis communication plan, crisis communication training and media spokesperson training for Daphne Utilities, a water, wastewater and gas utility in Alabama. For the crisis training, Sam

walked the staff through a series of table-top exercises to test and apply the plan. For the media training, Sam provided both off and on-camera guidance, where participants learned how to hook, bridge, and flag. She then filmed them so they could apply what they learned in mock, on-camera interviews, and then she facilitated a team coaching session while watching the videos. Sam also developed and delivered a three-year strategic communications plan to guide DU's communication and outreach activities through 2022.

### **Fairfax County (VA) (Sub to CDM)**

Sam is currently under contract to develop and execute a strategic communication and engagement plan to help the County inform and engage internal and external stakeholders on the Tysons West Pump Station and Conveyance System. The work includes development of messages and materials, engagement strategies, facilitation of meetings and general counsel to the team on the public outreach.

### **Fort Worth (TX)**

Sam designed and executed comprehensive public involvement plan to engage businesses and citizens in the development of the City's comprehensive solid waste management plan. She designed and executed intercept interviews, online surveys, focus group and workshop moderator guides, and provided general counsel to leadership team on best practices for engagement and soliciting input. As a result, the City had a solid waste management plan that had the buy-in and input from its community stakeholders.

### **Howard County (MD)**

Sam conducted a comprehensive analysis of the division of recycling's communications and outreach program. The assessment included conducting a Strengths, Weaknesses, Opportunities, and Threats (SWOT) analysis with the internal team; a County wide digital survey, three focus groups and benchmarks with three similar communities. The Howard County Recycling Division's (Division) current communications plan and all its educational materials as well as outreach efforts were reviewed and assessed for effectiveness in meeting the Division's goals and all was captured in a detailed report, with specific recommendations for improvement.

### **Loudoun Water (VA)**

Sam served for 10 years as the organization's first official spokesperson and lead strategic public relations counsel. She planned and executed comprehensive and integrated communications strategy across multiple platforms to explain complex water issues and elicit positive environmental behaviors; she established the utility's first social media platforms and educated staff on their value and use; she established the utility's first media policy and employed proactive media strategies to garner story placements in local papers, and DC's broadcast media; she initiated and oversaw the successful and comprehensive re-branding of the organization from Loudoun County Sanitation Authority to Loudoun Water; she initiated and oversaw two major upgrades to the utility's internet and intranet sites automating several services and improving engagement opportunities with the public; she initiated and oversaw the design and production of a 3,500 square-foot education center; she developed and oversaw the utility's official outreach efforts on all capital projects; and she served as spokesperson to customers, elected officials, the media, community partners, school groups and others on topics of infrastructure investment, conservation, safe disposal of waste, rates, and watershed protection. Sam was an active participant and

leader in the Washington DC-area on water and wastewater outreach efforts and campaigns. Sam designed and executed several summer education campaigns to reduce water use, such as a “Brown is the New Green,” photo contest that challenged customers to let their lawns go brown and a long-term outreach campaign called “Water You Thinking” which focused on Loudoun residents’ overwatering of their lawns. The photo contest garnered Washington DC broadcast TV coverage, local print coverage, and reduced the maximum daily demand by about 15 percent. Sam also developed and executed a communication plan for two major rate increases. Strategies relied on the development of relationships with key community stakeholders, such as HOA leadership, environmental groups, and elected officials to build trust and credibility for the utility’s work. Following the announcement of the utility’s largest increase in its history, the editorial board of the local paper wrote an Op-Ed urging all customers to trust the utility and support the rate increase, and at the public hearing, several customers spoke in favor of it, a first in the organization’s 50-year history.

### **Maryland American Water (MD)**

To address long-term water supply issues, Maryland American Water was planning to build a lined, earthen embankment with a capacity of 90 million gallons of raw water on a 40-acre historic site, which would provide a 100-day water supply in case of drought or emergency. Sam developed and executed a comprehensive stakeholder engagement strategy to build public understanding and support for the project. The plan applied a mix of strategies that included media outreach, the establishment of a stakeholder advisory committee to advise the company throughout the planning and design of the project; and storytelling through a variety of means, including direct mail, social media and e-mail. Because of these efforts, Maryland American Water was able to construct the impoundment with the support of local Town and County elected officials, the development and business communities, the department of parks and recreation who partnered with the team to plan a trail system through the site, and the family whose ancestors owned the property. Historic structures were preserved throughout construction and Maryland American earned the community’s trust for developing the project with their concerns at heart.

### **Metropolitan Washington Council of Governments (DC)**

More than 15 different water and wastewater agencies serve the residents and businesses of the metropolitan Washington, DC region. With constant movement of customers across jurisdictional boundaries for work and play, it is hard for any single utility to reach them well; having a shared media market does not always help. Sam has been working with the group to elevate their communications coordination efforts to ensure these agencies coordinate their messaging to consumers and are as consistent as possible, focusing on the topics of greatest need and least public awareness. For this project Sam oversaw deployment of the first regional digital survey on water and wastewater awareness and behaviors, as well as a series of In-Depth Interviews with utility leaders. Using this data, she developed a strategic communications plan, coordinated messaging on key focus areas, and a seasonal content calendar to ensure consistency among - and credibility for - the region’s water and wastewater sector. Sam’s work with COG continues, as she is counseling the Anacostia Watershed Messaging Partnership with a comprehensive 3-year strategic outreach and messaging plan in support of raising awareness of and changing behaviors to protect the Anacostia River and its watershed.

### **Montgomery County (MD)**

Sam provided support to the execution of a comprehensive outreach program to increase recycling of yard trimmings and to increase proper disposal of household hazardous waste throughout the county. The program employed direct mail, public service advertising, point-of-purchase displays, and earned media.

### **Mount Holly (NC)**

Raftelis assisted the City of Mt. Holly (pop. 14,000) with developing a five-year financial forecast and rate study for the water and sewer utilities. The study involved projecting revenue requirements over a 10-year period and the rates necessary to ensure the City is self-sufficient and rate structure alternatives. When the City Council approved the recommended rate increases and the rate structure changes Ms. Villegas provided the City with talking points, FAQs, an article for the City's newsletter, an infographic that explained the rate components, and a list of recommended community outreach activities City staff could also perform. Ms. Villegas worked with the Raftelis data experts to also develop a rate calculator for the City's website.

### **National Association of Clean Water Agencies (DC)**

Raftelis was hired by the National Association of Clean Water Agencies (NACWA) to develop, as part of their 50<sup>th</sup> anniversary, an inspirational and aspirational story about how clean water has transformed communities over the last 50 years. Deliverables include a printed book and website, plus more than 20 case studies nationwide from NACWA members. Sam worked with the members to develop 22 case studies, she conducted research for the book and website, she is the book's primary author and Sam provided assistance in the management of the deliverables.

### **Prince William County (VA)**

Sam conducted a comprehensive analysis of the division of solid wastes' communications and outreach program. The assessment included conducting a literature search; developing and conducting email surveys of the commercial sector and multi-family sector; and intercept interviews of residents. The Division's current communications plan and all its educational materials were reviewed and assessed for effectiveness in meeting the Division's goals and all was captured in a detailed report, with specific recommendations for improvement.

### **Spring Valley (DC)**

Under contract to the Army Corps of Engineers, Sam conducted public engagement for the Corps' cleanup of a formerly used defense site by recruiting for, and facilitating, a Restoration Advisory Board, composed of a cross section of community members.

### **Suffolk (VA)**

Under contract to Army Corps of Engineers, Sam conducted public engagement for the Corps' cleanup of a formerly used defense site by recruiting for, and facilitating, a Restoration Advisory Board, composed of a cross section of community members.

### **Virginia American Water (VA)**

Sam provided public outreach and strategic communication to support a comprehensive program to replace the city's aging water distribution system. At a replacement rate of approximately three to four miles of pipeline per year, it will take Virginia American Water 100 years to replace the entire system. For the residents of this historic town, that is a lot of disruption for a long time. Sam built understanding and support for this long-term endeavor, among residents, elected officials, businesses, commuters, and other city agencies. Through a series of face-to-face meetings, key partnerships, grassroots marketing and a mix of digital strategies, Virginia American has obtained the cooperation from town agencies, its businesses and its citizens. In addition, Sam developed and executed the communication plan for a complicated rate increase that affected all four communities differently and added a new sewer rate structure to Dale City customer bills. Sam developed the strategy, wrote talking points, handled media calls, developed and responded to social media posts and provided guidance to all customer service representatives.

### **Water Environment Federation (VA)**

WEF hired Raftelis to develop a communication toolkit to help wastewater agencies communicate confidently about biosolids. Sam led the design and copywriting team that researched biosolids media coverage and interviewed agencies with successful outreach programs; then wrote a comprehensive guide and training module that walks readers through the steps needed to develop and execute a successful biosolids communication effort. The toolkit includes guidance for making the business case for proactive outreach, it covers best practices for handling a "hit piece," for managing pushback from the community, using social media and much more, including downloadable imagery, infographics, social media posts and templates. The team also supported WEF with training on the use of the toolkit.

### **Water Research Foundation (CO)**

For this study, Sam developed and validated a series of messages to inform those that maintain building water systems about Opportunistic Pathogens in Premise Plumbing (OPPPs), with a focus on *Legionella*, and to offer proven steps they can take to protect themselves (and their tenants) from waterborne disease. More specifically, Sam was tasked with (1) identifying the target audiences, routes of communication, and messages based on a series of interviews, workgroups, and material review of existing guidelines; (2) hosting a workshop to elicit experts' review and feedback on messaging materials; (3) refine the messages and routes of communication developed in the workshop. The final document was published by the Water Research Foundation and furnished to member water utilities.

### **U.S. Department of Energy (DC)**

Sam was hired to support DOE's Office of Energy Efficiency and Renewable Energy (EERE). In this role, Sam ghost wrote blog posts on energy efficiency in manufacturing, she copyedited progress alerts, stakeholder emails, news releases, blog posts and web updates; she wrote talking points and prepared staff for media interviews; she oversaw all emailed requests from the media for information and interviews; she rewrote the content for the Technology to Market website and created a new navigational structure and content; she supported the development of a key message platform for Technology to Market group; and she trained managers in public speaking and developing their elevator pitches.

## U.S. Environmental Protection Agency (DC)

Sam led a team that designed and launched a national education campaign to promote the benefits of energy efficiency, with a focus on the nation's 23 million small businesses. Sam wrote case studies, helped build the program's award-winning website, created public service advertising using celebrities Greg Germann and Peter MacNichol, and brokered partnerships with large trade organizations to help build support for the program.

## PUBLICATIONS

- “Public Outreach Part II: More Cost Savings Than Cost Center,” Waste Advantage, 2015
- “Public Outreach Part I: More Science Than Art,” Waste Advantage, 2015
- “Eleven Myths About Social Media Every Water Utility Manager Should Know,” AWWA Journal, 2013
- “Take the PR Pledge, Ragan Communications,” The PR Daily, 2013
- “What Howard Stern Can Teach Us About PR,” The PR Daily, 2012
- “Re-examining A Utility’s Brand Image,” AWWA Journal, 2007
- “A Brand-New Day - Things That Shocked Me While Rebranding,” PRSA Tactics, 2007
- “Hydrant Use: Balancing Access and Protection,” AWWA Opflow, 2006
- “Changing Behavior with Social Marketing Techniques,” PRSA On the Environment Horizon, 2000

## PRESENTATIONS

- “Trending in an Instant – Principles of Risk Communication,” ACE Virtual Summit, AWWA, online, September, 2020
- “It’s Scary Out There – How to Use Social Science in Communication to Decrease Fear and Build Trust,” CAPIO Webinar, March, 2020
- “Be a Trusted Source: How to Handle Communication Challenges During COVID-19,” AWWA Webinar, March 2020
- “Trending in an Instant – Principles of Risk Communication,” Utility Management Conference, WEF, Anaheim, February, 2020
- “Get Your (Communications) Assessment in Gear,” Catalyst Conference, June, 2019
- “So, Your Market’s Been Disrupted, Now What?” Keynote Speech, Virginia Recycling Association Conference, May, 2019
- “Communications Guidance for Legionella in Building Water Systems,” San Francisco Public Utilities Commission Workshop, November, 2018
- “Communications on the Other Side of the Meter,” AWWA ACE, Philadelphia, 2017
- “Media Myths and Magic,” AWWA ACE, 2016
- “Public Outreach, It’s More Science Than Art,” WasteCon, 2015
- “Communicating About Lead Service Lines,” AWWA ACE, 2014
- “Eleven Myths About Social Media,” North Texas Water Symposium, 2013
- “The Power of Proactive Communications,” VAAWWA/VAWEA JAM, 2013
- “Building a Sustainable Brand: How to Identify, Attract and Engage Stakeholders in Your Mission,” Smart and Sustainable Pre-Conference Workshop, 2013

- “The Importance of PR To A Water Utility,” WLI Conference, 2012
- “Advocacy Communications,” PLANET Annual Conference, 2011
- “Managing Demand for the Blue in a Green is Godly World,” NAGC Conference, 2009
- “Web 2.0 Technology,” VA AWWA/VWEA JAM, 2009
- “Communicating Your Value Through Branding,” VAAWWA/VWEA JAM, 2007

# Chris McPhee

## INFORMATION TECHNOLOGY AND DATA

Vice President



### ROLE

Chris will be available as needed to provide support for the information technology and data components of this project.

### PROFILE

Chris has 12 years of experience in the fields of application development and data analysis in support of water, wastewater, stormwater, and solid waste projects. As a data analyst and application developer, he has experience including financial modeling, impervious area digitization and quantification, stormwater utility financial analysis, relational database development, Oracle and SQL Server programming, and desktop/web/mobile application development. His qualifications include specialized training in ESRI ArcGIS analysis and tool development, Microsoft .Net programming in the C# and VB.Net languages, web application programming in the ASP.Net framework, and mobile application development for the iOS (iPhone) and Windows Phone platforms. He is well versed in the entire lifecycle of stormwater utility development including feasibility studies, implementation, customer service, data maintenance, and process improvement. He is also familiar with water, wastewater, and solid waste financial modeling including cost-of-service studies, rate structure design, affordability and impact analyses, and billing system best management practices.

### KEY PROJECT EXPERIENCE

#### **Pittsburgh Water and Sewer Authority (PA)**

Chris serves as Software Project Manager assisting with the design and implementation of the Headwaters Performance management dashboard for PWSA. He developed the prototype application and gathered requirements from PWSA staff and Raftelis management consulting team members. He directed software developers in the development of the database and design of the cloud-based dashboard. He directed consulting staff in the collection of key performance indicator data that would be visualized by the dashboard. He served as the project's main point of contact and was responsible for ensuring the success of the project. He now directs the ongoing maintenance of the dashboard on behalf of PWSA.

Chris also serves as Software Project Manager assisting with the implementation of the Stormwater Billing information System for PWSA. He works alongside PWSA administrative staff to gather requirements

### Specialties

- Application development
- Database architecture & design
- Geographic information systems
- Data & systems integration
- Stormwater finance & utility implementation
- Business process development & improvement

### Professional History

- Raftelis: Vice President (2021-present); Director of Data Services/Senior Manager (2019-2020); Director of Data Services (2014-2018); Senior Consultant (2013); Consultant (2012)
- AMEC Earth & Environmental, Inc.: Application Developer (2008-2011)

### Education

- Master of Forestry in Forest Resource Management - Duke University (2008)
- Master of Science in Geoscience - University of Arizona (2006)
- Bachelor of Arts in Environmental Studies - Yale University (2004)

### Certifications

- GIS Certificate: NC (2008)

and develop a roadmap for the creation of the stormwater billing solution. He collaborates with stormwater subject matter experts to integrate details on program specific functions that will be needed by PWSA staff. He guides developers in the creation of the software and directs testers on ensuring total quality of the end result.

### **City of Dallas (TX)**

Chris serves as Software Project Manager for the development and maintenance of the City's Stormwater Information Management System. He led the development of the system in 2016, completing the software development lifecycle in collaboration with City staff. He developed interfaces with the SAP ERP system to facilitate the communication of stormwater bills to the utility billing process already in place. He continues to direct software maintenance and data updates in accordance with City needs since the 2016 implementation.

Chris served as data analyst in support of the storm drain management program fund stability analysis. He was responsible for collecting and reviewing storm drain management billing data from GIS and billing system (SAP) sources. He compiled these data and ran them through a series of tests in accordance with data best management practices. He also compared the current billing methodology against the recommended billing methodology to assist with producing account-level impact analyses.

In addition to data analysis, Chris assisted in conducting a study on the information tools used in support of the Trinity stormwater program. He interviewed dozens of employees regarding the systems that they use on a daily basis as well as the limitations of those systems. He assembled a report on the needs of staff including priorities and suggestions for improvement. After this study he assisted with fixes to the stormwater information tools in greatest need of updates.

### **City of Baltimore (MD)**

Chris serves as Application Developer, Database Developer, and Data Management Practice Lead for the new stormwater utility implementation for the City of Baltimore (City). He directs quality control efforts on the City's GIS parcel and impervious area layers used as the basis for billing. He is responsible for developing the City's Stormwater Account Information System (SAIS) to store and maintain stormwater billing information that will be consumed by the City's legacy water/wastewater billing system. He designs and modifies the SQL Server 2012 database tier underlying the SAIS application and designs and programs the SAIS application in Visual Studio 2010 in the C# and WPF languages. Chris processes GIS and tabular data to populate the SAIS database and creates map figures for use by customer service representatives. He creates application lifecycle documentation including functional requirements, technical documentation, and training documentation. Chris also facilitates process documentation interviews and creates process flow diagrams detailing optimal workflows for City staff.

In addition to his work on the City's stormwater utility, Chris has performed data analysis on the water/wastewater financial data in support of the City's internal audit. He translated the City's mainframe COBOL/VSAM system into a database warehouse to facilitate rapid data analysis and performed analysis as directed by City staff.

## Northeast Ohio Regional Sewer District (OH)

Chris serves as Software Project Manager for the development and maintenance of the District's Stormwater Fee Toolset. He led the development of the system in 2016, completing the software development lifecycle in collaboration with District staff. He developed interfaces with the Oracle Customer Care and Billing system to facilitate the communication of stormwater bills to the utility billing process already in place. He continues to direct software maintenance and data updates in accordance with District needs since the 2016 implementation.

Chris served as a Database Developer assisting with architecture and maintenance of the Northeast Ohio Regional Sewer District (District) stormwater billing database. In this role, he develops and revises data in support of policy and financial decision-making. He alters the District's Oracle 10g database to meet workflow, application, and data integrity needs through modifications to tables, views, indexes, and stored procedures. He develops external routines used for quality control and maintenance. He generates database documentation in the form of schema metadata, entity relationship diagrams, and a workflow narrative. He also performs GIS analysis to assist with tying units of service to accounts.

## PROJECT LIST

- American Metropolitan Water Agencies (DC) – Utility Survey Information Software
- City of Atwater (CA) - Billing data management for financial model
- City of Baltimore (MD) – Stormwater Utility Implementation
- City of Birmingham (AL) - Billing data management for financial model
- City of Boston (MA) – Stormwater Utility Feasibility
- Capital Region (PA) – Stormwater Utility Implementation
- City of Chandler (AZ) - Billing data management for financial model
- City of Charlotte and Mecklenburg County (NC) – Stormwater Utility Organizational Review
- City of Chester (SC) - Billing data management for financial model
- City of Dallas (TX) – Stormwater Utility Implementation
- DC Water (DC) – Utility Information System Review
- City of Detroit (MI) - Billing data management for financial model
- City of El Paso (TX) – Utility Financial Modeling
- City of Elizabeth City (NC) – Stormwater utility data management
- Florida Keys Aqueduct Authority - Billing data management (Cogsdale)
- Florida Rural Water Association (FL) – Utility Financial Planning Software
- City of Flint (MI) – Utility Information System Review
- Grand Strand Water and Sewer Authority (SC) – Information Technology Organizational Review
- Granville-Person Cooperative Stormwater Services (NC) – Stormwater Utility Feasibility
- City of Gulfport (FL) - Billing data management for financial model (Incode)
- City of Hartsville (SC) - Billing data management for financial model
- County of Indian River (FL) - Billing data management for financial model
- Village of Islamorada (FL) – Billing Data Reconciliation Software
- City of Jackson (MS) – Utility Information System Review
- Town of Kernersville (NC) – Stormwater Utility Feasibility

- Lexington-Fayette Urban County Government (KY) – Stormwater Utility Implementation
- City of Manor (TX) - Billing data management for financial model (Incode)
- City of Marathon (FL) – Billing Data Reconciliation Software
- County of Montgomery (OH) – Solid Waste Utility Information System
- City of Mooresville (NC) – Stormwater Utility Feasibility
- City of Morristown (TN) – Solid Waste Information System
- City of Nashville (TN) - Billing data management for financial model
- New Jersey Waterworks (NJ) – Utility Survey Information Software
- Sewerage and Water Board of New Orleans (LA) – Stormwater Utility Feasibility
- City of New York City (NY) – Utility Information System Review
- Northeast Ohio Regional Sewer District (OH) – Stormwater Utility Implementation
- City of Newport (RI) - Geospatial data management for stormwater feasibility
- City of Newport News (VA) - Billing data management for financial model (SAP)
- City of Patterson (NJ) - Billing data management for financial model
- City of Philadelphia (PA) – Utility Information System Review
- Pittsburgh Water and Sewer Authority (PA) – Stormwater Utility Implementation
- City of Portland (OR) - Billing data management for financial model
- Village of Rantoul – Stormwater Utility Billing Information System
- City of Richmond (VA) – Customer Assistance Program Software
- City of Round Rock (TX) - Billing data management for financial model
- City of Saginaw (MI) - Billing data management for financial model (BS&A)
- City of Salt Lake (UT) - Billing data management for financial model
- County of San Diego (CA) – Stormwater Utility Feasibility
- City of Santa Cruz (CA) - Billing data management for desalinization model
- City of Santa Rosa (NM) - Billing data management for financial model (Incode)
- City of Sheridan (WY) - Billing data management for financial model (Inhance)
- City of St. Louis (MO) - Billing data management for financial model
- City of Stillwater (OK) - Billing data management for financial model
- City of Tacoma (WA) – Utility Demand Forecasting
- City of Thornton (CO) – Bill Calculator Website
- Wake County (NC) – On Site Wastewater Permitting Software
- City of Wichita (KS) - Billing data management for financial model (Ventyx Advantage)
- City of Winston-Salem (NC) - Billing data management for financial model
- City of West Palm Beach (FL) - Billing data management for financial model

## PRESENTATIONS

- “Wrangling Your Users: ArcObjects UI/UX Design Fundamentals,” Esri DevSummit, 2011
- “Impact Analysis and Targeted Outreach for Water Utilities with Spatial Data,” Esri User Conference, 2014
- “Long-Term Water Demand Forecasting for Sustainable Supply Planning,” AWWA/WEF Utility Management Conference, 2016
- "How Fast Can We Restart Stormwater Fee Billing for 330,000 Account? SWiFTly!" AWWA/WEF Utility Management Conference, 2018

## C. Past Experience with Similar Services/References



### Hillsborough County, FL

**Water, Wastewater, Solid Waste Rates and Fees, Bond Feasibility, Acquisitions, Franchise Utility Regulation, and Other Related Services**

**Term of Service:** Since 1995, current contract term is from 2017 to 2022

**Reference:**

Koni M. Cassini, CPA,  
Division Director, Public Utilities Dept.  
925 E. Twiggs Street  
Tampa, FL 33602  
P: 813.209.3001  
E: [cassinik@hillsboroughcounty.org](mailto:cassinik@hillsboroughcounty.org)

Hillsborough County's (County) Utility System provides water service to approximately 192,000 accounts (262,000 Equivalent Residential Connections [ERCs]) and wastewater service to approximately 172,000 accounts (268,000 ERCs). We have continuously served the County since 1995 on a variety of utility, solid waste, stormwater and other public issues. During the past 26 years, Raftelis (formerly PRMG) has been involved in assisting the County in establishing utility system financial policies and goals, enhancing utility system revenues through innovative rate and fee structure changes, implementing changes to the administration and application of capacity fees, establishment of capacity reservation fees, reclaimed water capital charges and other related fees, and developing methods to prioritize capital projects and expenditures. Other services provided to the County have included, but not limited to, the following:

- Preparation of water, wastewater, and reclaimed water rate study and performing annual updates to the financial forecast in compliance with bond covenants and strategic management initiatives.
- Prepared water and wastewater impact fee and Accrued Guaranteed Revenue Fee study.
- Preparation of solid waste collection and disposal rate study and performing annual updates to the financial forecast each year to support strategic management initiatives.
- Preparation of bond feasibility disclosure reports and related services in support of \$532,730,000 of Utility, \$58,040,000 of Wastewater Impact Fee Assessment Unit (IFAU), and \$114,230 of Solid Waste Revenue and Refunding Bond financings (6 individual financings).
- Assisting Bond Counsel in drafting amendments to the Bond Resolution, assisting its Financial Advisor in the structuring of debt service payments for cash flow and rate purposes, determining capacity expansion factors for capacity fee utilization, and prepared rate covenant calculations supporting secondary disclosure requirements.
- Preparation of stormwater management program rate study.
- Development of policies and procedures to implement individual Affordability / Hardship Assistance Programs for utility, solid waste, and stormwater programs.
- Served as expert in support of Franchised Utility Regulation by the County (County is the public service commission).
- Prepared financial evaluations and analyses in support of the County's franchise utility acquisition program to regionalize service to with City of Tampa to improve service capabilities of both utilities.
- Prepared a street lighting rate evaluation for over 125,000 residential parcels encompassing 779 street lighting districts and assisted in non-ad valorem tax roll preparation.



## Collier County, FL

**Water, Wastewater, Solid Waste Rates & Fees, Bond Feasibility, Irrigation Quality (IQ) policy, and Other Related Services**

**Term of Service:** Since 2001, current contract term is 2021 to 2026

### Reference:

Joseph Bellone  
 Director, Financial Operations  
 3339 Tamiami Trail East, Suite 302  
 Naples, FL 34112  
 P: 239.252.2351  
 E: joseph.bellone@colliercountyfl.gov

The Collier County (County) Water-Sewer District serves approximately 76,000 accounts (106,000 Equivalent Residential Connections [ERCs]) and wastewater service to approximately 77,000 accounts (106,000 ERCs). Since 2001, Raftelis (formerly PRMG) has assisted the County in a multitude of utility and other rate and financial services, including the following:

- Prepared several water, wastewater, and irrigation quality water rate studies during our tenure with the County, the most recent study being completed in during 2021. This study included the development of a six-year revenue sufficiency and financial forecast of the utility System and included: i) the development of a detailed customer forecast including a customer billing frequency to identify water use patterns and to accurately reflect the potential effects on revenues associated with various rate structures; ii) a projection of operating expenses by cost center recognizing changes in operations due to growth, inflation, implementation of the capital improvement plan (CIP), changes in allocated General Fund transfers, and other factors; iii) the development of a capital financing plan (consisting of over \$597 million in capital needs); iv) the allocation of costs and the re-design of rates; v) development of Wholesale Water Rates; and vi) preparation of a report and presentation of rate phasing plan to the Board of County Commissioners (BOCC).
- Preparation of bond feasibility disclosure reports and related services in support of \$362,600,000 of Utility Revenue Bond financings (4 individual financings).
- Prepared several water and wastewater impact fee studies (most recent in 2020), which were presented to and accepted by the Development Services Committee (comprising builders, developers, etc.). The fees recognized the requirements of the Florida Impact Fee Act and were reviewed by the County's legal counsel for consistency with case law. Also developed Allowance for Funds Prudently Invested (AFPI) fees to recover the carrying cost for "holding" capacity until it is reserved by development (now suspended by the County).
- Prepared Solid Waste collection and disposal financial and cost allocation / rate model including the preparation of several revenue sufficiency and rate evaluation updates.
- Assisted County in updating the Annual Update and Inventory Report ("AUIR") regarding solid waste levels of service and a review of landfill capacity.
- Assisted County in developing policies (delineated attributes for providing services-guiding principles, definitions, identification of customers' class/services, capacity entitlement provisions for major users, etc.), ordinances to codify policies and term and conditions for service, updates to major and basic user agreements and rates for service, all in support of the management of the County's IQ Water utility service program.
- Prepared pricing / rate recovery methodology for County's Parks and Recreation Program.



## Sarasota County, FL

### Water, Wastewater, Solid Waste Rates and Fees, Bond Feasibility, Acquisitions, Franchise Utility Regulation, and Other Related Services

**Term of Service:** Since 2003, current contract term is through 2025

#### Reference:

Joseph Jones, Division Manager,  
Business Operations  
1001 Sarasota Center Boulevard  
Sarasota, FL 34240  
P: 941.861.0589  
E: [jojones@scgov.net](mailto:jojones@scgov.net)

Sarasota County's (County) Utility System provides retail water service to approximately 94,000 accounts (122,000 Equivalent Residential Connections [ERCs]) and retail wastewater service to approximately 88,000 accounts (117,000 ERCs). The County also provides wholesale water service to a County franchised private utility. Since 2003, Raftelis (formerly PRMG) has assisted the County in a variety of other utility rate/financial projects, including the following:

- Initially prepared a water and wastewater rate study in 2003, with the financial forecast and business model being subsequently updated periodically to monitor results, changes in market conditions, increases in cost from wholesale water and wastewater providers and changes in water and wastewater plant/service capacity, and modifications to the capital improvement plan, including additions of utility plant and service area from the County's acquisition program. The most recent study was completed in 2021 in support of the funding the utility capital needs, including the expansion and upgrade of the Bee Ridge Wastewater Treatment Plant to advanced wastewater treatment. The water and wastewater rate study and updates have included development of and update to a rate and financial model, development of a six-year financial forecast and cost recovery plan, modifications to the County's utility rate structure, review of water and wastewater impact fees, capacity reservation charges and miscellaneous service charges.
- Preparation of bond feasibility disclosure reports and related services in support of \$419,615,000 of Utility Revenue and Refunding Bond financings (8 individual financings).
- Provided utility acquisition services, including the determination of the reasonableness of the purchase price of the acquired utilities, review of purchase and sale and other transaction documents, assisted in the F.S., Chapter 125.3101 public interest hearing before the BOCC, and assisted in contract negotiations on behalf of the County.
- Prepared financial plan, including ongoing services, for the Phillippi Creek Septic-to-Sewer Program involving over 15,400 parcels. We developed a funding plan recognizing the use of infrastructure surtax funds, impact fees, rates (net operating margins), capital surcharges and non-ad valorem assessments as the source of funds to finance the program and developed policies associated with the program implementation.
- Prepared Impact Fee analysis for water and wastewater system completed in 2020 and assisted in change in fee recovery methodology revisions on behalf of the County.
- Prepared Solid Waste collection and disposal financial and cost allocation / rate model including the preparation of several revenue sufficiency and rate evaluation updates.
- Provided other services, including the development of a Fleet Management Rate Model; served as Utilities Department Finance Director on interim basis; most recently in 2021 assisted in application for loan pursuant to the Water Infrastructure Finance and Innovation Act (WIFIA) in support of utility capital financing plan; and other services.



## Charlotte County, FL

**Water & Wastewater Rate and Financial Services, Acquisitions, Bond Feasibility**  
 18500 Murdock Circle  
 Port Charlotte, FL 33948

**Term of Service:** Since 1995, current contract term is through 2022

### Reference:

Gordon Burger,  
 Director of Budget & Administrative Services  
 18500 Murdock Circle  
 Port Charlotte, FL 33948  
 P: 941.764.4992  
 E: gordon.burger@charlottecountyfl.gov

Charlotte County's (County) Utility System provides water service to approximately 62,000 accounts (74,000 Equivalent Residential Connections [ERCs]) and wastewater service to approximately 39,000 accounts (48,000 ERCs). The County's utility is one of the largest utilities in Florida in terms of service area. The Utility System also receives its potable water supply from the Peace River / Manasota Water Supply Authority (Peace River) and has its own wastewater treatment facilities to meet the demands of the County. Activities performed by Raftelis (formally PRMG) since 1996 have included the following:

- Preparation of a number of comprehensive water and wastewater rate studies for the County since 1996. The studies included developing a detailed projection of utility customers and service area needs, including billing determinants for revenue development and rate design purposes, and detailed financial projections of the revenue requirements of the system. The financial projections were prepared to evaluate capital improvement funding alternatives and to analyze debt structure alternatives associated with the issuance of senior lien parity bonds for capital needs. In addition to the financial planning component of the studies, the County's water and wastewater rates were redesigned to include incentives for water conservation. In addition to the comprehensive rate studies, Raftelis also prepares an annual financial forecast update in conjunction with the County's budget process to assess the adequacy of water and wastewater rates to fund the annual expenditure needs and reserves, and to evaluate the estimated fiscal position of the utility. The results of the rate studies and annual financial plans are consistently presented at public workshops and have been consistently approved by the BOCC.
- Assisting the County with development of System Connection Charges or impact fees, including charges for accrued guaranteed revenues to recover the carrying cost of reserve capacity for new users.
- Periodically prepared an evaluation of the County's miscellaneous and customer utility service charges to ensure full cost recovery.
- Preparation of bond feasibility disclosure reports and related services in support of \$160,820,000 of Utility Revenue Bond financings (3 individual financings).
- Assisted in acquisition of utilities to promote regionalization, including financial due diligence on the operations of the utility system, and assisting in the determination of a reasonable acquisition of the systems. We have also assisted the County in negotiation meetings with the owners of the utilities, assisted in the review of the Purchase and Sale Agreement, and participated in the public hearing process required by F.S., Chapter 125.3401, public interest hearing before the BOCC.



## Alexandria Renew Enterprises (City of Alexandria), VA

**Rate Sufficiency and Rate Design Analysis,  
Wastewater Financial Services, Billing  
Transition Advisory Services**

**Term of Service:** Since 2007, current  
contract term through 2022

### **Reference:**

Karen Pallansch, P.E., DEE  
General Manager  
1500 Eisenhower Avenue  
Alexandria, VA 22314  
Ph: 703.549.3381  
E: karen.pallansch@alexrenew.com

Alexandria Renew Enterprises (AlexRenew), a wastewater authority, provides wastewater conveyance, treatment, and disposal services to over 320,000 people in the City of Alexandria, Virginia (City), and to Fairfax County, Virginia on a wholesale basis from an advanced 54.0 MGD wastewater treatment facility. Since 2007, Raftelis (formerly PRMG) has assisted AlexRenew in a variety of other utility rate/financial projects, including the following:

- We prepared a sufficiency of rates and cost recovery analysis in 2007 due primarily to the required capital needs to meet level of treatment (LOT) parameters associated with the Chesapeake Bay Estuary restoration program. Since 2007, the financial forecast and business model being subsequently updated annually to monitor results, changes in market conditions, modifications to the capital improvement plan due to increasing regulations and other issues, and to assist in the annual utility budget process. The analysis encompassed a ten year forecast period that recognized: i) a detailed wastewater flow projection by service area with a customer growth and billed flow profile for the retail customers of the City; ii) allocation of operating and capital costs to Fairfax County consistent with the contract parameters contained in the interlocal agreement between the parties; iii) detailed capital improvement funding plan, and iv) the redesign of rates based on a detailed allocation of costs to functional cost components (base, extra-capacity, volume, customer, etc.), and the redesign of rates, which included: a) implementation of a "Bay Protection" (fixed cost) base charge to improve revenue stability and promote equity by customer class; b) adjustment of the "maximum billing threshold" for billing of flow charges for the residential class (based on a winter quarter average use); and c) conversion of rate structures from a quarterly to a monthly basis of billing.
- In order to address combined sewer overflow (CSO) issues and bring the CSO outfall into compliance with Virginia law, the Federal Clean Water Act, and the Presumption Approach described in the EPA CSO Control Policy, AlexRenew is responsible for the construction of wet weather facilities to reduce discharges into the Potomac River (flow capacity tunnels at a cost of \$464 million). We are assisting AlexRenew in the development of a rate implementation plan to fund this capital addition and have assisted in the financing of the project, including in application for loan pursuant to the Water Infrastructure Finance and Innovation Act (WIFIA).
- We are currently serving as the program representative and assisting AlexRenew with its review of customer billing issues and options and procuring a new utility billing system.



## Fairfax County, VA

**Rate Sufficiency and Rate Design Analysis, Bond Feasibility Disclosure, Valuation, Sale of Capacity Rights, Other Related Services**

**Term of Service:** Since 2005, current contract term is through 2022

### Reference:

Shahram Mohsenin, P.E., Director  
Wastewater Planning & Monitoring Division  
Dept. of Public Works & Environmental Services,  
Wastewater Mgmt. Program  
12000 Government Center Parkway  
Fairfax, VA 22035  
P: 703.324.5030  
E: shahram.mohsenin@fairfaxcounty.gov

A wastewater-only utility, Fairfax County (County) currently serves a population of approximately 940,000 residents and has constructed or contracted wastewater capacity of 157.2 million gallons per day. Since 2005, Raftelis (formerly PRMG), has providing ongoing utility rate, financial, and business consulting services to support the County's Wastewater Management Program (WMP) on a variety of wastewater utility projects, including the following:

- We prepared a sufficiency of rates and cost recovery analysis in 2007 due primarily to the required capital needs to meet level of treatment (LOT) parameters associated with the Chesapeake Bay Estuary restoration program. Since 2007, the financial forecast and business model being subsequently updated annually to monitor results, changes in market conditions, evaluate the adequacy of the existing and proposed rates to maintain WMP's financial position, and providing ongoing financial and business analyses to support utility operations and the annual utility budget process. The analyses include a ten-year financial forecast with the most recent primary focus being capital re-investment due to assets reaching useful service lives to improvements resulting from the need to meet the regulatory issues facing the region. The rate study also included the redesign of rates based on a detailed allocation of costs to functional cost components (base, extra-capacity, volume, customer, etc.) and the redesign of rates which included the implementation of a base charge based on meter size (fixed cost) to improve revenue stability and promote equity by customer class. The most recent study was completed in 2021.
- The development of service availability fees (Impact Fees) to be recovered from new development, including the functionalization and identification of capital costs to be recognized in the fee, development of the level of service per equivalent residential connection (ERC), and the evaluation of the methodology used to apply the availability fees. The most recent fee evaluation was completed in 2020.
- We have assisted the WMP in the sale of a portion of the contracted (Upper Occoquan Service Authority) and owned (Noman Cole Wastewater Reclamation Facility) including the determination of the cost of capacity (and certain conveyance facilities) based on the facility for which capacity is being transferred and drafted the initial Purchased Capacity (and Lease) Agreement for consideration by the parties. To date, the County has had three separate capacity sale transactions which have included our involvement.
- Preparation of bond feasibility disclosure reports and related services in support of \$152,255,000 of Utility Revenue Bond financings (1 individual financing).



## City of West Palm Beach, FL

**Acquisition, Water, Wastewater, Stormwater Rate Sufficiency and Rate Design Analysis, Bond Feasibility, Secondary Disclosure, Other Related Services**

**Term of Service:** Since 1995, current contract term is through 2025

### Reference:

Donna Levensgood, CPPO, FCCN  
Fiscal Services Supervisor  
Public Utilities Department  
401 Clematis Street, 4th Floor  
West Palm Beach, FL 33401  
P: 561.494.1050  
E: dlevengood@wpb.org

The City of West Palm Beach's (City) Utility System provides retail water service to approximately 32,000 accounts (85,000 Equivalent Residential Connections [ERCs]) in both the City and two other municipalities and retail wastewater service to approximately 27,900 accounts (63,000 ERCs) only in the City. The City currently owns and operates a 47.0 million gallon per day (MGD) water treatment plant with all of the wastewater treatment requirements being provided by its 20.5 MGD capacity entitlement in the 70.0 MGD East Central Regional Wastewater Treatment Facility. The City's stormwater utility currently provides stormwater management service to over 27,500 accounts (99,400 equivalent stormwater units [ESUs]). Since 1995, Raftelis (formerly PRMG) has assisted the City on a variety of utility and stormwater projects, including the following:

- We have prepared several comprehensive water, wastewater and stormwater utility rate studies for the City which encompassed essentially all the rates of the City. Specifically, the studies have included: i) a detailed projection of customers by class and water and wastewater usage needs, including the development of a billing frequency to identify water use relationships by customer class; ii) development of a detailed revenue requirements analysis and a financial forecast of system operations, including the preparation of a capital financing plan and flow of funds and liquidity evaluation; iii) an evaluation of the forecasted financial position of the water and wastewater system and stormwater system (separate enterprise funds) recognizing performance benchmarks; and iv) the design of rates (recognizing the water rate contractual terms with the Town of Palm Beach) for the full recovery of costs. The most recent water and wastewater study is scheduled to be completed in 2021. Currently, we are developing a detailed billing analysis for the stormwater system to determine if the basis for fee application (i.e., equivalent stormwater units (ESUs) and allocation of costs (due to services provided in Special 298 Districts and by homeowner associations) should be adjusted; this study is scheduled to be completed in 2021.
- Assisting the City with development of water and wastewater System Capacity Charges or impact fees. The most recent study was completed in 2019.
- Preparation of bond feasibility disclosure reports and related services in support of \$533,453,000 of Utility and Stormwater Revenue and Refunding Bond financings (10 individual financings).
- Providing assistance annually to the City in support of the secondary market disclosure requirements associated with the issuance of Bonds per Securities and Exchange Commission (SEC) Rule 15c2-12(b)(5)(i).



## Lee County, FL

**Water, Wastewater, Solid Waste Rate Sufficiency and Rate Design, Acquisitions, Bond Feasibility Report, Other Related Services**

**Term of Service:** Since 2005, current contract term is through 2023

### Reference:

Pamela S. Keyes, P.E.  
 Utilities Director  
 1500 Monroe Street  
 Fort Myers, FL 33902  
 P: 239.533.8544  
 E: pkeyes@leegov.com

Lee County's (County) Utility System provides retail water service to approximately 81,000 accounts (133,000 Equivalent Residential Connections (ERCs)) and retail wastewater service to approximately 59,000 accounts (106,000 ERCs). The Utility also provides wholesale water and wastewater service to local governments and private utilities. The County's Solid Waste System disposes of over 800,000 tons of waste annually and serves over 253,000 residential units and commercial establishments. Since 2005, Raftelis (formerly PRMG) has assisted the County in a multitude of utility and other rate and financial services, including the following:

- Prepared several water and wastewater rate studies during our tenure with the County, the most recent study being completed in during 2021. This study included the development of a six-year revenue sufficiency and financial forecast of the utility System and included i) the development of a detailed customer forecast including a customer billing frequency to identify water use patterns and to accurately reflect the potential effects on revenues associated with various rate structures; ii) a projection of operating expenses by cost center recognizing changes in operations due to growth, inflation, implementation of the capital improvement plan (CIP), and other factors; iii) the development of a capital financing plan (consisting of over \$459 million in capital needs); iv) the allocation of costs and the re-design of rates; and v) preparation of a report and presentation of rate phasing plan to the Board of County Commissioners (BOCC).
- Prepared Solid Waste collection and disposal financial and cost allocation / rate model including the preparation of several revenue sufficiency and rate evaluation updates.
- Assisting the County with development of Impact fees to recover the carrying cost of reserve capacity for new users.
- Preparation of bond feasibility disclosure reports and related services in support of \$395,670,000 of Utility and \$66,160,000 of Solid Waste Revenue and Refunding Bond financings (6 individual financings).
- Assisted in acquisition of utilities to promote regionalization, including financial due diligence on the operations of the utility system, and assisting in the determination of a reasonable acquisition of the systems.
- Performed a preliminary desktop life cycle cost evaluation in support of the Captiva Island Wastewater Alternative Study with our efforts focused on developing a financial forecast to examine fiscal impacts of alternative wastewater treatment options to certain residents and businesses on Captiva Island that currently utilize On-site Treatment and Disposal Systems ("OSTDS").



## Pinellas County, FL

**Solid Waste Financial Model and Rate Study,  
WTE Renewable Energy Certificate  
Assistance, Utility Rate Sustainability/Rate  
Structure, Utility Business Case**

**Term of Service:** Since 2018, Raftelis has served Pinellas County in a variety of roles

### Reference:

George Gonzalez  
Director, Customer Services Division  
400 S. Ft. Harrison Ave.  
Clearwater, FL 33756  
Ph: 727.464.3714  
E: ggonzalez@pinellascounty.org

Deb Bush  
Solid Waste Division Manager  
3095 114th Ave. N.  
St. Petersburg, FL 33716  
Ph: 727.464.7803  
E: dbush@pinellascounty.org

The County's Utility System provides retail water and wastewater service to approximately 134,000 accounts. The County's Solid Waste System disposes of over 1,000,000 tons of waste annually serving 24 municipalities and unincorporated portions of the County with a population of 975,000 people. Since 2014, Raftelis has assisted the County with a number of utility and solid waste financial services, including the following:

- **Utility business and sustainability analysis:** The County engaged Raftelis in January 2014 to conduct a comprehensive utility business and rate sustainability analysis to provide a comprehensive road map for the County utility over the next decade in terms of customer service, technology, rate structure, and sustainability. The rate sustainability tasks include development of a comprehensive 10-year financial forecast and evaluation of existing rate structures for equity, revenue sufficiency, and long-term sustainability.
- **Widespread Service Disruption Policy Assessment:** Raftelis was engaged by Pinellas County Utilities (PCU) to review and improve its customer service policies related to widespread service disruptions and shutoffs.
- **Customer-Facing Policy Review:** Raftelis assisted in updating the County's utility customer service policy working with a cross-functional core team of subject matter experts from across the customer-facing areas of the utility, with specialties including customer service, development review, wastewater treatment, engineering, maintenance, technical services, water conservation compliance, and billing and collections.
- **Solid Waste Long-range Financial Plan and Rate Studies:**
  - Developed long-range financial planning model to assess impacts from changes in contractual terms with the County's WTE contractor, electric sales customer, and landfill operator;
  - Performed annual solid waste financial projection updates since 2018; and
  - Presented to the Board of County Commissioners and the County's Technical Management Committee (TMC) concerning solid waste fee recommendations.



**Brevard County, FL**  
**Water and Wastewater Rate, Bond**  
**Feasibility, Acquisitions, and Other Related**  
**Services**

**Term of Service:** Since 2008, current contract term is through 2022

**Reference:**  
Edward Fontanin, P.E.  
Utility Services Director  
2725 Judge Fran Jamieson Way  
Viera, FL 32940  
P: 321.633.2091  
E: edward.fontanin@brevardfl.gov

Brevard County's (County) Utility System provides retail water service to approximately 3,000 accounts (3,400 Equivalent Residential Connections [ERCs]) and retail wastewater service to approximately 59,000 accounts (74,000 ERCs) (the County is essentially a wastewater-only provider). The County also manages the Barefoot Bay Water and Sewer District (Barefoot Bay System) which provides water and wastewater service to 5,100 accounts (5,200 ERCs). Since 2008, Raftelis (formerly PRMG) has assisted the County in several utility rate and financial services projects, including the following:

- Initially prepared a water and wastewater rate evaluation for the County System in 2013 which encompassed a six-year revenue sufficiency and financial forecast of the utility System. Services included: i) the development of a detailed customer forecast including a customer billing frequency to identify water use patterns and to accurately reflect the potential effects on revenues associated with various rate structures; ii) a projection of operating expenses by cost center recognizing changes in operations due to growth, inflation, implementation of the capital improvement plan (CIP), and other factors; iii) the development of a capital financing plan (consisting of over \$113 million in capital needs primarily for asset replacement); iv) the allocation of costs and the re-design of rates, including the implementation of a price index adjustment; and v) preparation of a report and presentation of rate phasing plan to the Board of County Commissioners (BOCC).
- Currently, Raftelis is updating the utility rate study with completion planned during 2021. This study represents an update to the 2013 study but also is focusing on the "Save our Indian River Lagoon" initiatives (includes converting wastewater plants to advanced waste treatment) and a significant capital program totaling \$324.7 million over the next five years.
- Prepared water and wastewater revenue requirements and rates evaluation for the Barefoot Bay System coincident with evaluations prepared or being prepared for the County System.
- Preparation of bond feasibility disclosure reports and related services in support of \$25,475,000 of Utility Revenue Bond financings (1 individual financing) and the initiation of bonding for the capital plan identified in the 2021 rate study to be initiated in a series of issues / low interest loans beginning in 2022.
- Assisted in acquisition of utilities to promote regionalization, including financial due diligence on the operations of the utility system, and assisting in the determination of a reasonable acquisition of the systems.

# D. Approach and Methodology

In the development of our rate evaluations, the procedures and techniques employed by Raftelis utilizes a comprehensive business planning approach to address utility rate and financial issues. We believe that the County's utility rate and financial planning process should be consistent with management and policy goals and objectives, financial information systems, and accounting practices and the utility planning process and should address the components shown below in Figure 1.

The business planning process links the County's overall utility program policy and business goals with utility program costs, resources, and pricing methods.

Raftelis' approach to addressing the County's utility rate and financial planning issues will be facilitated by the use of the utility rate and financial planning model that has been prepared with the

County which specifically accommodates the County's budgetary process and business requirements. Our comprehensive business approach and planning tools have allowed our project team to work closely with the County for over 25 years – there is no learning curve, and we bring a wealth of institutional knowledge to the County which makes for a stronger, more cohesive utility business solutions team. We believe in the common team concept and will continue to utilize interactive work review sessions to work with the solutions team to develop strategies that result in balanced and sustainable rate and financial plans and other business analyses that support the County's business objectives (e.g., implementation of septic-to-sewer program).

The utility rate and financial model developed with the County formalizes the business planning and rate development process and models the issues currently being faced by the County. Our analyses are based on best management practices that are specifically tailored to the County's reporting and budgetary systems which provides a "road map" towards the objective of maintaining a strong fiscal position coupled with long-term sustainable rates. The model helps communicate the issues and simplifies the understanding of dynamic financial relationships among customer demand, the cost of operations, the

**Figure 1**  
**Utility Business Plan**

**Capital Improvement Plan**

- System Growth & Expansion
- Renewals & Replacements (Capital Reinvestment)
- General Plant & Equipment
- Utility Extension Program
- Changes in Regulations

**Capital Funding / Cost Recovery Plan**

- Capital Finance Plan
- Timing of Rate Adjustments
- Revenue Enhancements
- Extension Programs/Agreements
- Grants/Customer/County Contributions



**Financial Plan**

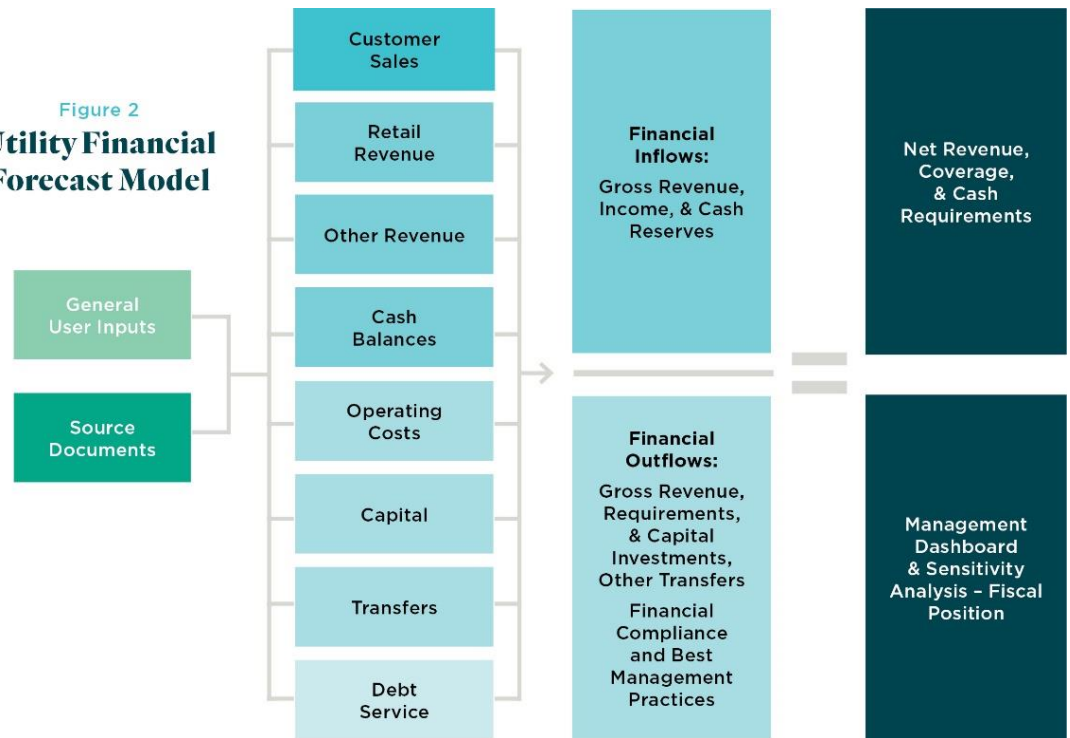
- Utility Revenues
- Utility Expenditures
- Cash Reserve Funds (Operating/Capital)
- Fiscal Position
- Covenant and Policy Compliance

**Rate Design**

- Cost of Service
- Rate Design/Cost Recovery
- Customer Impact/Affordability
- Rate Competitiveness

effects associated with implementing capital expenditure and corresponding funding programs, availability, and hierarchy of the use of impact fees for capital expenditure and debt service funding, recognition of management and policy decisions, and how these key variables affect the overall revenue requirements and funding needs to be financed from system

**Figure 2  
Utility Financial  
Forecast Model**



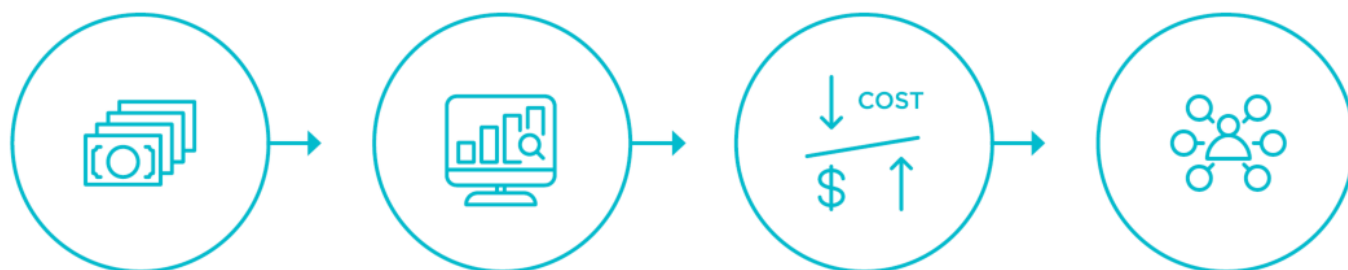
rates. As Figure 2 shows, the various rate and financial model components are supported by a general user input section and a management dashboard highlighting the forecast results and estimated fiscal position.

To evaluate the results of the utility financial plan with the County’s business solutions team, the management dashboard has been consistently used to identify and track key policy and management objectives related to financial performance and the adequacy of utility rates. Our interactive model has components that are driven by the dashboard so immediate financial impact analyses can be identified to aid in financial planning and alternative scenario development. Based on the rate and financial model inputs supported by the County, the management dashboard is used to create and review a summary of forecast results on a real-time basis. This allows the Raftelis and County team members to conduct interactive work sessions and develop the parameters of the utility rate and financial plan on a collaborative basis, which is efficient and allows the County to identify assumptions and results. This is also critical as it relates to the presentation of the financial forecast to the credit rating agencies by County staff since they have a full understanding of the analytical process.

The development of the financial model is critical in the determination of the revenue requirements to be recovered from System Gross Revenues (with user charges contributing to 93% of the total Gross Revenues) and the evaluation of the ability of the cash inflows to meet the long-term expenditure and funding requirements of the County’s utility system. Once the revenue requirements are identified, then a financial and rate implementation plan can be prepared consistent with the needs of the County – this provides consistency in the utility business program development and supports the ability to present the results and findings to the Board of County Commissioners (BOCC). Figure 3, on the following page, illustrates our approach in the development of the utility business plan and the design of rates to meet the plan objectives.

Figure 3

Scope of Services Strategy: Tailored Process to Meet the Goals and Objectives of the County



**Phase 1**  
**Project Initiation and**  
**Assessment of Current**  
**Financial State**

- Perform document review of system
- Evaluate existing financial position
- Prepare information request
- Attend meeting to identify issues, objectives, and management goals
- Identify/update financial benchmarks and performance measures
- Identify milestones dates and responsibilities

**Phase 2**  
**Develop**  
**Financial Plan**

- Compile customer statistics and prepare bill frequency
- Perform historical revenue reconciliation evaluation
- Prepare customer / flow forecast and revenue projections
- Identify test year operating costs and project costs
- Identify capital re-investment strategies, capital program and develop financing plan
- Evaluate extension programs/non-ad valorem assessments
- Evaluate capacity utilization and facility expansions
- Identify pledged capacity fees
- Evaluate existing and proposed debt requirements
- Perform rate covenant and fiscal policy compliance
- Develop management dashboard and identify fiscal position

**Phase 3**  
**Cost of Service**  
**and Rate Design**

- Allocation of costs to primary utility functions
- Classify costs by cause and general benefit
- Development of by-class allocation factors
- Perform cost-of-service analysis
- Design rates for service recognizing historical rate form, customer impacts, industry norms, cost recovery practices, and County objectives
- Develop customer impact evaluation and perform rate recovery test
- Develop rate comparison (county-specific and with other utilities)
- Finalize rate design

**Phase 4**  
**Communicating**  
**the Results**

- Develop rate resolution and applicability provisions
- Develop customer outreach / public information program
- Attend meetings with affected customers and develop board of County Commissioner presentations
- Present findings to stakeholders and adopt rates/business plan
- Continuously reevaluate results to maintain utility on “financial path”

As can be seen above our approach involves having a detailed working knowledge of the County and is based on the “single-team” approach which, in our opinion, promotes buy-in by the County and supports the long-term effectiveness of the utility rate and business plan which is ever changing. This has been our approach in serving the County over the past 25 years on a variety of projects such as revenue sufficiency and rate evaluations, utility acquisitions, service area consolidations, and bond feasibility disclosure studies and which we propose to continue in the future.

# E. Total Cost

## Hourly Fee Schedule of Labor Billing

**Rates:** Hourly rates used for the consulting services provided by Raftelis shall be determined by multiplying individual hourly rates of each class of employee by the number of hours spent performing the service.

A schedule of Raftelis' initial standard hourly billing rates by job classification to be in effect for the duration of the project is as follows:

Project Team Member / Job Classification	Direct Hourly Rate [1]
Chief Executive Officer / Executive Vice President	\$250
Vice President / Principal Consultant	\$240
Senior Manager/Director of Data Services	\$230
Manager	\$220
Senior Consultant	\$210
Consultant	\$200
Senior Associate	\$180
Associate	\$150
Senior Rate Analyst	\$125
Rate Analyst	\$100
Analyst	\$80
Assistant Analyst	\$65
Creative Services	\$125
Clerical and Administration	\$70

[1] Direct labor hourly rates effective twelve months after the date of execution of an agreement between the County and Raftelis; rates may be adjusted by not more than the net percentage change in the Consumer Price index – Urban Consumers per annum (rounded to the nearest dollar) or as mutually agreed between parties for invoices rendered after each anniversary date of each year thereafter. Any change in direct hourly rates must be approved by the County prior to implementation.

**Standard Cost Rates:** Nominal fee rates apply when additional expenses are incurred during performance of work. A schedule of Raftelis' standard expense rates is as follows:

Expense Description	Standard Cost Rates
Mileage Allowance – Personal Car Use Only	IRS Standard Mileage Rate
Reproduction (black and white) (in-house)	\$0.05 per page
Reproduction (color) (in-house)	\$0.25 per page
Reproduction (contracted)	Actual Cost
Computer Time	\$0.00 per hour
Telephone Charges	Actual Cost
Delivery Charges	Actual Cost
Lodging / Other Travel Costs	Actual Cost
Meals [2]	Not to Exceed per Raftelis Employee per County Reimbursement Policy
Subconsultant Services	Actual Cost
Other Costs for Services Rendered	Actual Cost

[2] Standard cost rates will be based on the County reimbursement policy or Florida Statute Section 112.061, as appropriate, during the billing period referenced on the invoices for services.

Raftelis typically bills for our services on an hourly, not-to-exceed contract maximum basis as opposed to a lump sum amount. Thus, it has been our practice that, to the extent that the actual services performed by Raftelis are less than each work authorization amount, then the County would not be billed for the outstanding balance, absent any request for additional services that the County may need.

# Required Forms



**SWORN STATEMENT UNDER SECTION 287.133 (3) (a), FLORIDA STATUTES,  
ON PUBLIC ENTITY CRIMES**

THIS FORM MUST BE SIGNED IN THE PRESENCE OF A NOTARY PUBLIC OR OTHER OFFICIAL AUTHORIZED TO ADMINISTER OATHS.

1. This sworn statement is submitted for Raftelis Financial Consultants, Inc.
2. This sworn statement is submitted by Robert J. Ori  
Whose business address is: 341 N. Maitland Ave., Suite 300, Maitland, FL 32751  
and (if applicable) its Federal Employer Identification Number (FEIN) is 20-1054069.  
(If entity has no FEIN, include the Social Security Number of the individual signing this sworn statement: \_\_\_\_\_)
3. My name is Robert J. Ori and my relationship to the entity named above is Executive Vice President
4. I understand that a “public entity crime” as defined in Section 287.133(1)(g), Florida Statutes, means a violation of any state or federal law by a person with respect to and directly related to the transaction of business with any public entity or with an agency or political subdivision of any other state or of the United States, including, but not limited to, any bid or contract for goods or services to be provided to any public entity or an agency or political subdivision of any other state or of the United States and involving antitrust, fraud, theft, bribery, collusion, racketeering, conspiracy, or material misrepresentation.
5. I understand that “convicted” or “conviction” as defined in Section 287.133 (1) (b), Florida Statutes, means a finding of guilt or a conviction of a public entity crime, with or without adjudication of guilt, in any federal or state trial court of record, relating to charges brought by indictment or information after July 1, 1989, as a result of a jury verdict, non-jury trial, or entry of a plea of guilty or nolocontendere.
6. I understand that an “affiliate” as defined in Section 287.133(1) (a), Florida Statutes, means: (1) A predecessor or successor of a person convicted of a public entity crime; or (2) An entity under the control of any natural person who is active in the management of the entity and who has been convicted of a public entity crime. The term “affiliate” includes those officers, directors, executives, partners, shareholders, employees, members, and agents who are active in the management of an affiliate. The ownership by one person of shares constituting a controlling interest in another person, or a pooling of equipment or income among persons when not for fair market value under an arm’s length agreement, shall be a prima facie case that one person controls another person. A person who knowingly enters into a joint venture with a person who has been convicted of a public entity crime in Florida during the preceding 36 months shall be considered an affiliate.
7. I understand that a “person” as defined in Section 287.133(1) (e), Florida Statutes, means any natural person or entity organized under the laws of any state or of the United States with the legal power to enter into a binding contract and which bids or applies to bid on contracts for the

provision of goods or services let by a public entity, or which otherwise transacts or applies to transact business with a public entity. The term "person" includes those officers, directors, executives, partners, shareholders, employees, members, and agents who are active in management of an entity.

8. Based on information and belief, that statement which I have marked below is true in relation to the entity submitting this sworn statement. [Please indicate which statement applies.]

X Neither the entity submitting this sworn statement, nor one or more of the officers, directors, executives, partners, shareholders, employees, members, or agents who are active in the management of the entity, nor any affiliate of the entity, has been charged with and convicted of public entity crime subsequent to July 1, 1989.

\_\_\_\_\_ There has been a proceeding concerning the conviction before a hearing officer of the State of Florida, Division of Administrative Hearings. The final order entered by the hearing officer did not place the person or affiliate on the convicted vendor list. [Please attach a copy of the Final Order.]

\_\_\_\_\_ The person or affiliate was placed on the convicted vendor list. There has been a subsequent proceeding before a hearing officer of the State of Florida, Division of Administrative Hearings. The final order entered by the hearing officer determined that it was in the public interest to remove the person or affiliate from the convicted vendor list. [Please attach a copy of the Final Order.]

\_\_\_\_\_ The person or affiliate has not been placed on the convicted vendor list. [Please describe a n y action taken by or pending with the Department of General Services.]

Date: July 14, 2021

Signature: Robert J. Ori

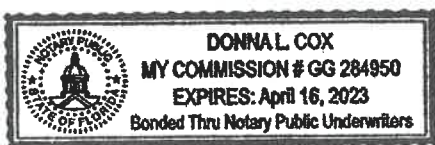
STATE OF FLORIDA

COUNTY OF MARTIN

The foregoing instrument was acknowledged before me by means of  physical presence or \_\_\_\_\_ online notarization this 14<sup>TH</sup> day of JULY, 2021, by ROBERT J. ORI, as EXECUTIVE VICE PRESIDENT of RAFTELS FINAN. CONS. a NORTH CAROLINA Florida corporation, on behalf of the corporation. He/She is personally known to me or has produced a driver's license issued within the past 5 years as identification.

NOTARY PUBLIC SEAL

Notary Public, State of Florida



Donna L. Cox  
(Printed, Typed or Stamped Name of Notary Public)

CONFLICT AFFIDAVIT

STATE OF FLORIDA

COUNTY OF ORANGE

I, the undersigned, being first duly sworn, do hereby state under oath and under penalty of perjury that the following facts are true:

- 1. I am over the age of 18 and am a resident of the State of Florida.
2. I am the Executive Vice President (title) of Raftelis Financial Consultants, Inc. (Entity name) and I certify that I have the authority to make the representations set forth within this Affidavit
3. Raftelis Financial Consultants, Inc. (Entity name) intends to do business with Martin County in response to RFB RFP RFQ #: 2021-3343, whereby business will be awarded under a system of sealed, competitive bidding to the lowest or best bidder.
4. I have reviewed Section 112.313(3) and (7), Florida Statutes; and pursuant to the provisions therein, Raftelis Financial Consultants, Inc. (Entity name) doing business with Martin County: does not impact any public officer or employee of Martin County; or does impact a public officer or employee of Martin County; and
5. In compliance with Section 112.313(12), Florida Statutes, the impacted public officer or employee of Martin County, prior to the submission of this bid, has filed a statement with the Supervisor of Elections of Martin County, disclosing their interest, or the interest of their spouse or child, and the nature of the intended business, as set forth in Florida Commission on Ethics Form 3A, http://www.ethics.state.fl.us/Documents/Forms/Form3A.pdf?cp=202058.

Executed this 14th day of July, 2021.

By Robert J Ori (Signature)

By Robert J. Ori, Executive Vice President (Name and Title)

STATE OF FLORIDA
COUNTY OF ORANGE

The foregoing instrument was acknowledged before me by means of physical presence or online notarization this 14th day of July, 2021, by Robert J. Ori as Executive Vice President of Raftelis Finan. Cons. a Florida corporation, on behalf of the corporation. He/She is personally known to me or has produced a driver's license issued within the past 5 years as identification.

NOTARY PUBLIC SEAL

Notary Public, State of Florida



Donna L. Cox (Printed, Typed or Stamped Name of Notary Public)



## DRUG FREE WORKPLACE CERTIFICATION

The undersigned Bidder/Contractor, in accordance with Florida Statute 287.087 hereby certifies that

Raftelis Financial Consultants, Inc. does:  
(Name of Business)

1. Publish a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the workplace and specifying the actions that will be taken against employees for violation of such prohibition.
2. Inform employees about the dangers of drug abuse in the workplace, the business' policy of maintaining a drug-free workplace, any available drug counseling, rehabilitation, and employee assistance programs, and the penalties that may be imposed upon employees for drug abuse violations.
3. Give each employee engaged in providing the commodities or contractual services that are under this bid a copy of the statement specified in subsection (1).
4. In the statement specified in subsection (1), notify the employees that, as a condition of working on the commodities, or contractual services that are under bid, the employee will abide by the terms of the statement, and will notify the employer of any conviction of, or plea of guilty, or *nolo contendere* to any violation of Chapter 1893, or of any controlled substance law of the United States, or any State, for a violation occurring in the workplace no later than five (5) days after such conviction.
5. Impose a sanction on, or require the satisfactory participation in a drug abuse assistance, or rehabilitation program, if such is available in the employee's community, by any employee who is so convicted.
6. Make a good faith effort to continue to maintain a drug-free workplace through implementation of this section.

As the person authorized to sign the statement, I certify that this firm complies fully with the above requirements.

Robert J. Qui  
Bidder/Contractor Signature

July 14, 2021  
Date



## **ADDENDUM #1**

### **REQUEST FOR PROPOSALS RFP2021-3343**

#### **UTILITY RATE & FINANCIAL CONSULTING**

**BID DUE DATE: JULY 21, 2021 @ 2:30 PM**

The following information shall become part of this bid and shall be binding as if originally contained therein.

#### **QUESTIONS**

1. Are we able to use font sizes smaller than 12pt for headers, footers, charts, graphics, and other elements apart from the main body text of the proposal as long as the text is legible?

**RESPONSE: Yes.**

2. Would the cover and table of contents count toward the page limit?

**RESPONSE: No.**

3. In the RFP document (page 6, item 13), we must furnish evidence of ability to transact business in the State of Florida (i.e., Florida Certificate of Status and Maitland business license). We could shrink these 2 documents to print on one (1) page. Would this count towards the page limit? In which section of the proposal should these documents be placed?

**RESPONSE: Yes, you may shrink the documents to fit onto one page (as long as the information is legible). No, these documents would not count towards the overall page limit.**

4. b. Firm and individual staff qualifications (3-page limit): Where should staff resumes be included? Would a page limit be imposed on resumes?

**RESPONSE: Resumes may be included in the "Firm and Individual Staff Qualifications" section. No page limit will be imposed on resumes.**

5. c. Past experience with similar services/references (1 page per project). Is there a limit on number of projects?

**RESPONSE: No, there is not a limit on number of projects.**

6. e. Total cost (rates/fees) (1-page limit) Should fee be "not to exceed" (based on hourly billing rates) or "lump sum"?

**RESPONSE: Fee should be "not to exceed" based on hourly billing rates.**

RECEIPT OF ADDENDUM #1 IS HEREBY ACKNOWLEDGED

Raftelis Financial Consultants, Inc.

Firm Name

*Robert J. Ovi*

Signature



## BIDDER'S QUALIFICATION STATEMENT

1. State the true, exact, correct and complete name of the partnership, corporation or trade name under which you do business. (If corporation, state the name of the president and secretary. If a partnership, state the name of all partners. If a trade name, state the name of the individuals who do business under the trade name).

Raftelis Financial Consultants, Inc. (Legal Name of Bidder)

- a) The business is a S-Corporation (Insert form of business entity)
- b) The address of the principal place of business is 227 West Trade Street, Suite 1400, Charlotte, NC 28202
- c) The names of the corporate officers, or partners, or individuals doing business under a trade name are as follows:

N/A

2. Name, title and email address of person that will sign the contract:  
Name: Robert J. Ori  
Title: Executive Vice President  
Email Address: rori@raftelis.com
3. Federal Employer ID #20-1054069
4. DUNS #809874100
5. State the number of years your business organization has been doing business under this name. 16 years (founded in 1993, name changed in 2004)
6. Have you ever failed to complete a contract awarded to you? If so, state where, when and why?  
No
7. Does your firm have any officer, owner, employee or agent who is also an officer, employee or advisory board member of Martin County? Yes  No  If yes, you may not submit a bid (see instructions to bidders).
8. Is your company a certified Disadvantaged Business, Minority Business Enterprise (MBE), Woman-Owned Business Enterprise (WBE) or Veteran Owned Business? No If yes, attach Certificate.
9. Are you a small business as defined by the SBA? Yes  No  If yes, number of employees N/A and provide certificate.

10. Has your organization been assessed any penalties for non-compliance violations of the Federal or State Labor laws and/or regulations within the last five (5) years?  
 Yes  No   
 If yes, explain:
11. Does your organization have any outstanding judgments, demands or liens resulting from violating the State Labor laws, the Business and Professions Regulation statutes, Civil or Criminal decisions?  
 Yes  No   
 If yes, explain:
12. Have there been any suits, liens or surety claims against you or your organization over the past five (5) years for non-payment of sums due subcontractors or suppliers for work completed?  
 Yes  No   
 If yes, explain:
13. Has your organization been cited for violations of OSHA standards and requirements within the past 5 years?  
 Yes  No   
 If yes, explain:
14. Are the Bidder, its principals or affiliates presently debarred, suspended, proposed for disbarment, declared ineligible or voluntarily excluded from participation in this transaction by any municipal, County, State, or Federal department or agency? Yes  No   
 If yes, explain:
15. List three (3) references, public entities, corporations or individuals, for which you have provided similar goods/services including contact name and telephone number or e-mail address.

Project Name: Hillsborough County, FL – Bond Feasibility Disclosure Report Water and Wastewater System – Fiscal Year 2019  
 Location: Tampa, FL  
 Description of Work: Preparation of a comprehensive Bond Feasibility Financial Disclosure Report and associated services in support of the issuance of \$174.935 million in Utility Revenue and Refunding Bonds, Series 2021.  
 Date of Contract: 6/5/19 (purchase order date)  
 Contract Award Amount: \$86,100  
 Contact Person: Koni Cassini, CPA, Division Director, Public Utilities Department, Hillsborough County  
 Telephone Number: 813-209-3001  
 E-mail Address: [cassinik@hillsboroughcounty.org](mailto:cassinik@hillsboroughcounty.org)

Project Name: Collier County, FL – 2021 Water, Wastewater, and Irrigation Quality Water Rate and Fee Study  
 Location: Naples, FL  
 Description of Work: Preparation of a financial forecast and rate implementation plan, including a detailed revenue sufficiency and cost recovery analysis for the individual water, wastewater,

and irrigation systems, and the design of rates for service (including retail, wholesale, and miscellaneous service charges).

Date of Contract: 9/11/20 (purchase order date)

Contract Award Amount: \$119,750

Contact Person: Joseph Bellone, Director, Financial Operations, Collier County

Telephone Number: 239-252-2351

E-mail Address: [joseph.bellone@colliercountyfl.gov](mailto:joseph.bellone@colliercountyfl.gov)

Project Name: Sarasota County, FL – 2020 Revenue Sufficiency and Retail and Wholesale Cost of Service and Rate Design Analysis

Location: Sarasota, FL

Description of Work: Preparation of a financial forecast and rate implementation plan, including a detailed revenue sufficiency and cost recovery analysis for the individual water and wastewater systems, and the design of rates for service (including retail rates, water quality charges (wastewater), and price index codification).

Date of Contract: 12/5/19 (purchase order date)

Contract Award Amount: \$61,600

Contact Person: Joseph A. Jones, Finance Manager, Sarasota County Public Utilities

Telephone Number: 941-861-0589

E-mail Address: [jojones@scgov.net](mailto:jojones@scgov.net)

**I certify that the above information is true and correct.**

Robert J. Ori

Name of Authorized Representative (Print)

Executive Vice President

Title

20-1054069

Federal Tax I.D. Number

407.628.2600

Phone Number

rori@raftelis.com

E-mail address



Authorized Signature



CITY OF MAITLAND  
 FINANCE DEPARTMENT  
 1776 INDEPENDENCE LANE  
 MAITLAND, FL 32751

RAFTELIS FINANCIAL CONSULTANTS INC  
 MATT JACKSON  
 227 WEST TRADE ST #1400  
 CHARLOTTE, NC 28202

This is your Local Business Tax Receipt, formerly known as an Occupational License. Please detach the receipt below and post in a conspicuous place. If you have any questions about your receipt please contact 407-539-6253.

If this is a new business tax receipt, you must now proceed to obtain a tax receipt from Orange County also. You may call the County at 407-836-5650 or visit their website at [www.octaxcol.com](http://www.octaxcol.com) for more information.



CUT HERE

CITY OF MAITLAND, 1776 INDEPENDENCE LANE, MAITLAND, FL 32751

LOCAL BUSINESS TAX RECEIPT # 13791

EFFECTIVE: 10/01/20

EXPIRATION: 09/30/21

LOCATION: 341 N MAITLAND AVE #300

RAFTELIS

RAFTELIS FINANCIAL CONSULTANTS INC

CATEGORY: BUSINESS

TYPE: SERVICES; BUSINESS CONSULTING

The person, firm, or corporation named above is hereby granted this receipt for fees paid to the City of Maitland for the business described above for the period indicated. Granting of this receipt does not entitle the holder to operate or maintain a business in violation of law or ordinance. The City of Maitland does not guarantee the qualifications of the holder of this receipt.

POST IN A CONSPICUOUS PLACE

NOT VALID UNLESS SIGNED BY CITY OFFICIAL

# *State of Florida*

## *Department of State*

I certify from the records of this office that RAFTELIS FINANCIAL CONSULTANTS, INC. is a North Carolina corporation authorized to transact business in the State of Florida, qualified on February 10, 2005.

The document number of this corporation is F05000000923.

I further certify that said corporation has paid all fees due this office through December 31, 2021, that its most recent annual report/uniform business report was filed on February 2, 2021, and that its status is active.

I further certify that said corporation has not filed a Certificate of Withdrawal.

*Given under my hand and the  
Great Seal of the State of Florida  
at Tallahassee, the Capital, this  
the First day of July, 2021*



*Ronald R. De*  
Secretary of State

Tracking Number: 9092185549CU

To authenticate this certificate, visit the following site, enter this number, and then follow the instructions displayed.

<https://services.sunbiz.org/Filings/CertificateOfStatus/CertificateAuthentication>