
 GUAM WATERWORKS AUTHORITY	STANDARD OPERATING PROCEDURE	No.	SOP-1000-GM-001
	Preparation and Revision of GWA Policies and Procedures	Effective Date	15 February 2021
		Final Approver	 Miguel C. Bordallo, P.E. General Manager
		Revision Letter	B

1.0 Purpose

This Standard Operating Procedure (SOP) establishes the standard format, procedures and approval requirements for the preparation and revision of all GWA Policies and Procedures as summarized in **Attachment 1** (Flowchart).

2.0 Scope

This SOP covers the preparation and revision of all Policies and Procedures for GWA.

3.0 Policy

All GWA Policies and Procedures should follow the standard format, procedures and approval requirements established in this SOP.

4.0 Definitions

- 4.1. **Author:** Management Analyst assigned to manage the process of creating and updating an SOP. The individual is responsible for researching necessary information, best practices and procedures, and to collaborate with the manager, administrator and/or supervisor assigned by the Policy Owner to draft GWA Policies and Procedures and ensure that it conforms to the standard format provided in **Attachment 2**. The Author ensures that SOP is reviewed, approved and finalized in accordance with Section 6.0 and documents these actions using the *Checklist* provided in **Attachment 3**.
- 4.2. **Policy:** A statement representing the basic intentions of GWA for a specific objective. A policy represents a foundation upon which GWA operates and is expected to be relatively independent of the changing technologies and methods used to carry the Policy out.
- 4.3. **Policy Owner:** SOP Committee member who is responsible for the oversight of development, revisions, endorsement and implementation of the specific GWA Policies and Procedures applicable to his/her department.
- 4.4. **Procedure:** Written statements that describes rules or instructions for accomplishing policy. Procedures also identify positions and responsibilities for implementation. Unlike policy, procedures are meant to change as needed to adapt to things such as new laws, regulations, emerging technology, tools, equipment, changes to staffing or work area.
- 4.5. **SOP Committee:** Committee responsible for the oversight of development, revision and implementation of all GWA Policies and Procedures. Committee members include the Chief Financial Officer, Assistant General Managers for Compliance and Safety, Operations, Engineering and Administration.
- 4.6. **SOP Subcommittees:** SOP Subcommittees are responsible for the development and revision of specific GWA Policies and Procedures relevant to identified functional areas. There are five SOP subcommittees that cover Administration, O&M Water, O&M

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Wastewater, O&M Construction & Maintenance and Compliance and Safety. The Engineering department Policies and Procedures will be developed in the subcommittee that is most aligned or impacted by the subject matter.

5.0 Roles and Responsibilities

5.1.	General Manager	Approve all GWA Policies and Procedures and provide feedback for Consolidated Commission on Utilities (CCU) policies and procedures.
5.2.	<p>Assistant General Manager (AGM) for:</p> <ul style="list-style-type: none"> • Administration & Support • Operation • Engineering • Compliance & Safety <p>Chief Financial Officer (CFO)</p>	<p>Endorse the final draft GWA Policies and Procedures for GM's approval as Policy Owners.</p> <p>Serve as members of the SOP Committee with the following functions:</p> <ol style="list-style-type: none"> a) Oversee development, revision and implementation of all GWA Policies and Procedures. b) Meet every 4 weeks (or as needed) to review, revise and endorse new or updated GWA Policies and Procedures to the GM and ensure that they are in accordance with applicable GWA Rules, Regulations, Policies and Procedures. c) Meet at least once every fiscal year (in October) to review existing GWA Policies and Procedures and recommend needed updates or new policies and procedures for GWA programs.
5.3.	Legal Counsel	Reviews, upon request, GWA's and CCU's Policies and Procedures whether such are in compliance with applicable Guam and/or Federal laws.
5.4.	Managers, Administrators and Supervisors	<p>Serve as members of the SOP Subcommittees (Administration, O&M Water, O&M Wastewater, O&M Construction & Maintenance and Compliance and Safety).</p> <p>Develop and revise GWA Policies and Procedures needed per SOP Committee's recommendation and endorse new or updated draft GWA Policies and Procedures to the SOP Committee.</p>
5.5.	Management Analyst	Serve as the primary policy author responsible to conduct research on necessary information and best practice procedures, collaborate with the manager, administrator and/or supervisor assigned by the Policy Owner to draft GWA Policies and Procedures and ensure that SOP is reviewed, approved and finalized in accordance with this SOP.

6.0 Procedure Description

- 6.1. The SOP Committee or Policy Owner shall identify the need to prepare a new or revise an existing Policy and Procedure needed for GWA programs and if deemed necessary, shall direct the Management Analyst to work with the assigned manager, administrator and/or supervisor.
- 6.2. The Management Analyst shall research necessary information, best practices and procedures, and collaborate with the manager, administrator and/or supervisor assigned by the Policy Owner to draft the GWA Policy and Procedure and ensure that it conforms to the standard format provided in **Attachment 2**. The Management Analyst shall also ensure the *Checklist* is prepared as shown in **Attachment 3**.
- 6.3. Once a GWA Policy and Procedure have been drafted, the Management Analyst shall circulate the electronic draft copies to the SOP Committee for review.
- 6.4. The SOP Committee shall forward the electronic copies of the draft GWA Policy and Procedure to the Subcommittees that have a direct or indirect concern for the materials covered in the Policy and Procedure including the Legal Counsel if deemed necessary.
- 6.5. The SOP Committee has 10 consecutive working days upon receipt of a draft GWA Policy and Procedure to review and submit comments to the Management Analyst (including comments received from the Subcommittees and Legal Counsel) either in writing or electronically. If there are no comments, a formal response so indicating should be provided, however, if a formal response is not received within the allotted 10 days, the draft Policy and Procedure will be considered approved in its then current form.
- 6.6. At the end of the 10th day, the Management Analyst has 5 consecutive working days to prepare the revised GWA Policy and Procedure incorporating the comments and proposed amendments received from the SOP Committee members, if any. The revised GWA Policy and Procedure as well as the summary of the comments and proposed amendments received from the review of the draft GWA Policy and Procedure will be routed electronically to the SOP Committee for their review.
- 6.7. The SOP Committee has 10 consecutive working days upon receipt of the revised GWA Policy and Procedure to review and submit comments to the Management Analyst (including comments received from the Subcommittees and Legal Counsel) either in writing or electronically. If there are no comments, a formal response so indicating should be provided, however, if a formal response is not received within the allotted 10 days, the revised Policy and Procedure will be considered approved in its then current form.
- 6.8. At the end of the 10th day, the Management Analyst has 5 consecutive working days to:
 - 6.8.1. Prepare summary of the comments and proposed amendments received from the review of the revised GWA Policy and Procedure;

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- 6.8.2. Prepare the final draft of GWA Policy and Procedure incorporating the final amendments received from the SOP Committee;
- 6.8.3. Assign the Control Number to the final GWA Policy and Procedure based on the guidelines provided in **Attachment 2** (a. *Control Number*);
- 6.8.4. Prepare the *Approval Sheets* (SOP Committee and Subcommittee) shown in **Attachment 4**;
- 6.8.5. Ensure that the SOP Committee members indicate in the Committee Approval Sheet and Section 7.0 whether the GWA Policy and Procedure should or should not be posted on GWA website due to security reason and route sheets for signature; and
- 6.8.6. Update the *Checklist* as shown in **Attachment 3**.

The final draft of GWA Policy and Procedure, summary of the comments and proposed amendments received from the review of the revised GWA Policy and Procedure, signed Committee Approval Sheets and *Checklist* will be routed electronically to the SOP Committee for review.

The signed *Approval Sheets* shall be included in the final draft of GWA Policy and Procedure to be submitted electronically to the GM for review and approval.

- 6.9. Upon receipt of the final draft of GWA Policy and Procedure, the GM has 10 consecutive working days to review, submit comments or approve the document to be forwarded to the Management Analyst.
 - 6.9.1. If there are no comments, a formal response so indicating should be provided, however, if a formal response is not received within the allotted 10 days, the final draft Policy and Procedure will be considered approved.
 - 6.9.2. Upon receipt of the GM's comments or at the end of the 10th day, the Management Analyst and SOP Committee have 5 consecutive working days to address comments and proposed amendments submitted by the GM and/or prepare the final GWA Policies and Procedures to be presented in the SOP Committee meeting to provide approval signatures on file by the Author and Policy owner under Section 7.0 of the SOP.
- 6.10. Once approved by the GM, the Management Analyst shall:
 - 6.10.1. scan the signed GWA Policies and Procedures by the GM;
 - 6.10.2. Post the scanned copy in GWA website, *if allowed*¹;
 - 6.10.3. Post the scanned copy in GWA public folder;

¹ In accordance with Sunshine Reform Act of 1999 and Critical Infrastructure Act of 2002, GWA will not post to its website any SOPs that contain sensitive information which in hands of a third party might jeopardize the security of GWA's system or of the public's health and safety (IT Cybersecurity, Operations and Security Procedures). It will be indicated under Section 7.0 whether an SOP should not be posted to GWA website.

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- 6.10.4. Email the scanned copy to all employees;
- 6.10.5. Include the approved SOP in the list and records of all GWA Policies and Procedures; and
- 6.10.6. File completed *Checklist* together with the *Approval Sheets*.

7.0 Document Approvals

Role	Position	Name of Approver	Approval Signature	Date Approved
Author	Management Analyst	Elgine Alfonso	Approval on File	
Policy Owner	General Manager	Miguel C. Bordallo, P.E.	Approval on File	
Final Approver	General Manager	Miguel C. Bordallo, P.E.	Page 1	

In accordance with existing Guam and Federal laws, the contents of this SOP were reviewed thoroughly by its policy owner and was found to be:

appropriate for publication in GWA website without compromising the security of GWA's system or of the public's health and safety.

not appropriate for publication in GWA website because it might jeopardize the security of GWA's system or of the public's health and safety.

8.0 Records of Revisions

All suggestions for improvement shall be directed to the Policy Owner indicated below. The Policy Owner will consider input received, develop recommendations on how to address the suggestions and obtain authorization to make the recommended changes. Updates, revisions, corrections and waivers to this SOP shall be made in writing and be approved by the GM.

8.1. Policy Owner: General Manager

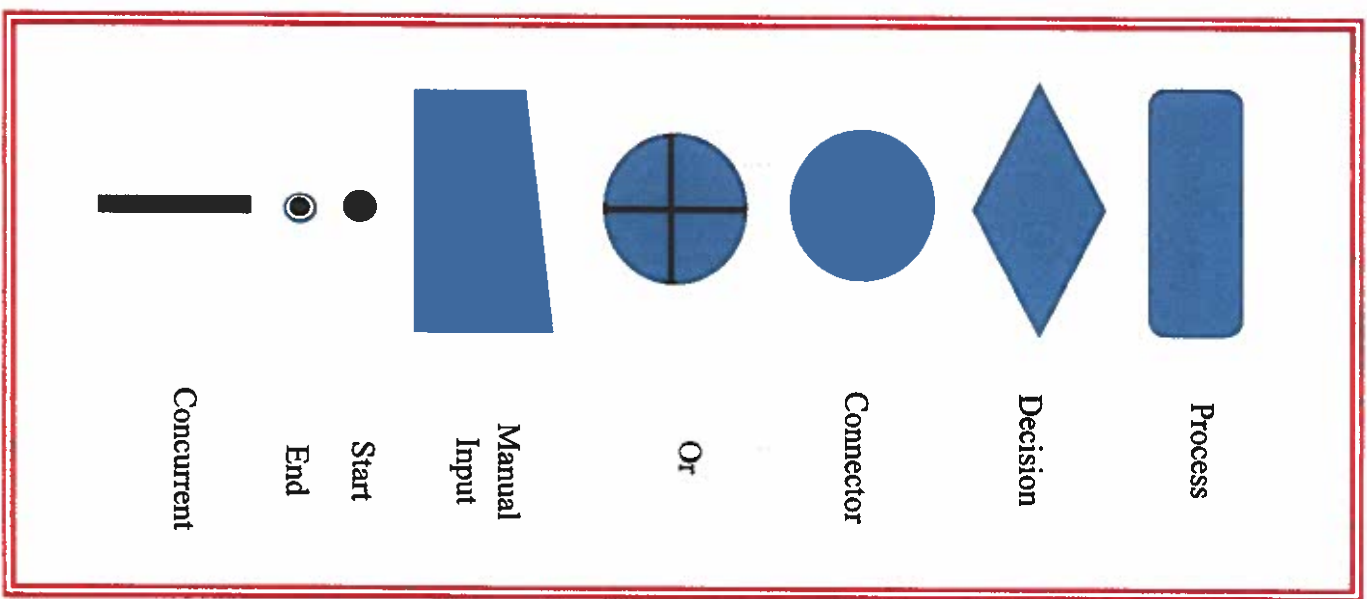
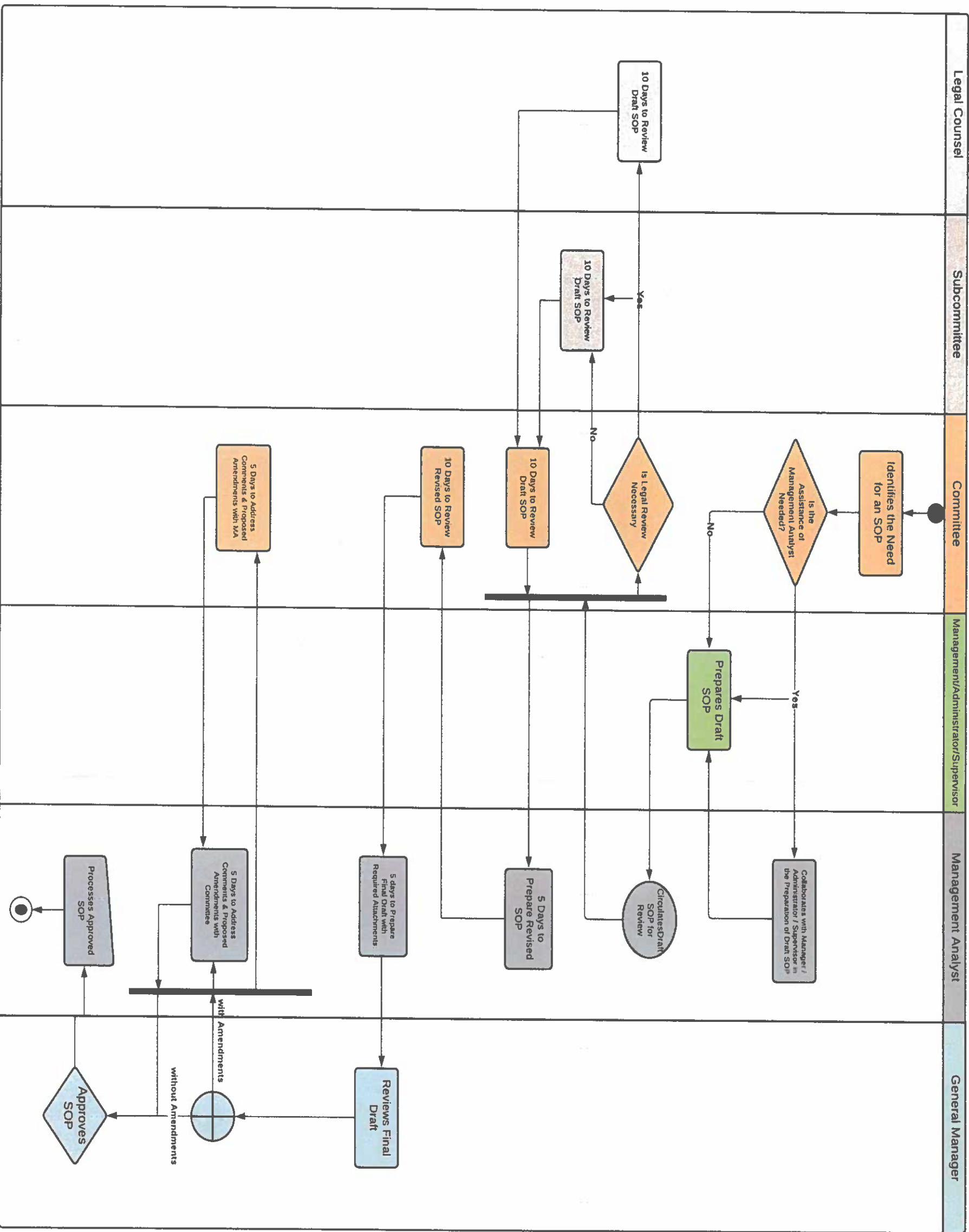
8.2. Authorization: General Manager

Effective Date	Revision Letter	Document Author	Description of Change
	B	Elgine Alfonso	Amended Policy/Procedure

9.0 References

1. Various GWA SOPs prepared in 2013.
2. GPA SOP-015 – Establishing New Authority Policy and Procedures.
3. GPA SOP-003 – Changing Existing Policies and Procedures.
4. Notes provided by AGM for Administration & Support.
5. SOP-1000-GM-001-Preparation and Revision of GWA Policies and Procedures (Revision Letter A).

Attachment 1: SOP-1000-GM-001 Flowchart




Preparation and Revision of GWA Policies and Procedures

Attachment 2: Standard Format of GWA Policies and Procedures

Below is the format that must be used to prepare all GWA Policies and Procedures.

1. **Master Header:** The first page shall contain the following format information:

 <p>GUAM WATERWORKS AUTHORITY</p>	STANDARD OPERATING PROCEDURE	No.	SOP-1000-GM-
	Preparation and Revision of GWA Policies and Procedures	Effective Date	
		Final Approver	
		_____ Miguel C. Bordallo, P.E. General Manager	
		Revision Letter	A

- a. **Control Number:** The number is assigned in numeric order only after the title has been established and ready to be approved by the GM.

The prefixes are prepared based on the type of document (SOP), organizational domain number (ODN) and acronym established by GWA, and assigned number as shown below:

Standard Operating Procedure (SOP No.1000-GM-001)

No.	Bus. Unit	Division	ODN	Acronym
0	CCU	Consolidated Commission on Utilities	0000	CCU
1	GM	Communications	1000	COM
2	GM	General Manager	1000	GM
3	GM	Internal Audit	1000	IA
4	GM	Asset Management	1000	AM
5	AGM-A&S	Customer Service	1200	CS
6	AGM-A&S	Human Resource	1200	HR
7	AGM-A&S	Information Technology	1200	IT
8	AGM-A&S	Procurement	1200	PRO
9	AGM-A&S	Warehouse	1200	WHS
10	AGM-C&S	Compliance	1300	COMP
11	AGM-C&S	Compliance-Court Order	1300	CO
12	AGM-C&S	Compliance-Cross Connection Control	1300	CCC
13	AGM-C&S	Compliance-Source Control	1300	SC
14	AGM-C&S	Compliance-Laboratory	1300	LAB
15	AGM-C&S	Safety	1300	SAF
16	AGM-E	Engineering	1400	ENG
17	AGM-E	Engineering-Planning & Permit	1400	P&P
18	AGM-E	Engineering-Capital Improvement Projects	1400	CIP
19	AGM-O	O& M-Water Production	1500	WP

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No.	Bus. Unit	Division	ODN	Acronym
20	AGM-O	O& M-Water Distribution	1500	WD
21	AGM-O	O& M-Wastewater Collection	1500	WWC
22	AGM-O	O& M-Wastewater Treatment	1500	WWT
23	AGM-O	O& M-Construction & Maintenance	1500	C&M
24	CFO	Finance	2000	FIN
25	Legal	Legal	3000	LEG

- b. **Title:** The title is selected to act as a “theme key” to the subject matter relative to the policy domain in which it is to reside.
- c. **Effective Date:** The effective date is the date the GM signed the document.
- d. **Final Approver:** all AP&P/SOP must be approved by the GM to be effectuated.
- e. **Revision Letter:** If the SOP replaces a previous version of the same SOP, the order it was revised is entered in alphabetical order. If this is a new SOP, it starts with a letter “A.”
- f. **Header:** The header beginning the second page shall contain the following format and information:

Preparation and Revision of GWA Policies and Procedures

- g. **Footer:** The bottom of each page shall contain the following format and information:


Page # of #

2. **Body:** The body of all GWA Policies and Procedures must contain the following statements and must be presented in the order listed below:
 - a. **Purpose:** A brief statement that explains the objectives and reasons for writing the Policy/Procedures. This section should be written concisely but comprehensive enough to ensure the reader has a clear understanding of why the policy/procedure is needed.
 - b. **Scope:** A statement that defines the individuals that influence, support or use the Policies/Procedures. Individuals may be defined by groups of users by a functional or geographical area.
 - c. **Policy:** The policy statement should clearly state the objective, goal, culture, mission or strategy of GWA as it relates to or is impacted by the Policies/Procedures being prepared.

Attachment 2: Standard Format of GWA Policies and Procedures Cont.


- d. **Definitions:** A brief description of the terms use in the Policies/Procedures that may be technical or unfamiliar to the reader. Words in this section should add to the readers understanding of the basic policy/procedure. Frequently used acronyms, abbreviations, complex and technical words are examples of words that should be defined.
- e. **Roles & Responsibilities:** Identify the individual or individuals responsible for the compliance and performing actions to carry out the intent of the Policies/Procedures. This section must also include a brief description of their main responsibilities in a table format.
- f. **Procedure Description:** Defines and outlines the rules, regulations, methods, activities and individuals responsible accomplishing the objectives defined in the Purpose and Policy statement sections. The author should explain the business process or logical steps required that are easy to understand and follow.
- g. **Document Approvals:** The section wherein the Author and Policy Owner are identified and their approval signatures are documented.
- h. **Records of Revisions:** Describes the changes, revisions or updates to the policy/procedure. The revision history serves as a reference to the user to understand who, why and when the policy/procedure changed.
- i. **References:** List information that supports the specific policy/procedure. These documents may be internal or external to the GWA, such as references to other GWA policies/procedures and Guam or federal laws.

Attachment 3: SOP-1000-GM-001 Checklist


 GUAM WATERWORKS AUTHORITY		STANDARD OPERATING PROCEDURE	
		Checklist of Compliance to SOP-1000-GM-001	
		<i>SOP Title</i>	
Date Started:		Initial Release <input type="checkbox"/>	Revision <input type="checkbox"/>
Policy Owner:		Division:	
Manager/Administrator/Supervisor			
Control No.		Date SOP Approved:	

Check if Completed	Item No.	SOP-1000-GM-001 Checklist
	1.	Policy and Procedures (SOP) is identified for creation or revision.
	2.	SOP Committee/Policy Owner directs the Manager/Administrator/Supervisor to prepare the Draft SOP .
	3.	Draft SOP is prepared by MA/Manager/Administrator/Supervisor.
	4.	MA ensures Draft SOP conforms to the standard format based on Attachment 1 and circulates it to the Committee for review. Prepare <i>Checklist</i> shown in Attachment 3.
	5.	SOP Committee reviews Draft SOP and submits comments to the MA (including comments received from the Subcommittee(s) and Legal Counsel) within 10 working days or until (due date) _____.
	6.	MA has 5 working days or until (due date) _____ to prepare the Revised Draft & Summary of Comments and route it electronically to the Committee for review.
	7.	SOP Committee reviews Revised Draft and submits comments to the MA (including comments received from the Subcommittee(s) and Legal Counsel) within 10 working days or until (due date) _____.
	8.	MA has 5 working days or until (due date) _____ to prepare the Final Draft and required attachments based on section 6.8 and submit the electronic copy to the GM for review and approval.
	9.	GM has 10 working days or until (due date) _____ to review the Final Draft and approve or submit comments/amendments to the MA.
	10.	<i>GM submits comments/amendments</i> , MA and SOP Committee have 5 working days to address comments and prepare revised Final Draft for GM's review and approval.
	11.	<i>If the GM does not respond within the allotted due date</i> then the Final Draft placed on agenda for action at the next SOP committee meeting.
	12.	<i>Once approved by the GM</i> , the MA shall immediately process Approved SOP based on section 6.11.
	13.	<i>After GM approves the SOP</i> , MA prepares the Final SOP to be presented in the Committee meeting and provide approval signatures on file by the Author and Policy owner under Section 7.0 of the SOP.


Attachment 4: Committee Approval Sheet

 GUAM WATERWORKS AUTHORITY	STANDARD OPERATING PROCEDURE COMMITTEE APPROVAL SHEET	SOP-1000-GM-001
	Preparation and Revision of GWA Policies and Procedures	
The attached SOP underwent the prescribed process for the review and adoption of GWA's Policies and Procedures. SOP Committee members summary recommendations are as follows:		
Policy Owner AGM for Operations		
Name	Signature & Date	Concur with no change Concur with changes (comments) Do not concur (add comments) Defer comments to other reviewers Post to GWA Website?
Comments:		
AGM for Administration & Support		
Name	Signature & Date	Concur with no change Concur with changes (comments) Do not concur (add comments) Defer comments to other reviewers Post to GWA Website?
Comments:		
AGM for Compliance & Safety		
Name	Signature & Date	Concur with no change Concur with changes (comments) Do not concur (add comments) Defer comments to other reviewers Post to GWA Website?
Comments:		
Page 1		

Attachment 4: Committee Approval Sheet Cont.

 GUAM WATERWORKS AUTHORITY	STANDARD OPERATING PROCEDURE COMMITTEE APPROVAL SHEET	SOP-1000-GM-001				
Preparation and Revision of GWA Policies and Procedures						
The attached SOP underwent the prescribed process for the review and adoption of GWA's Policies and Procedures. SOP Committee members summary recommendations are as follows:						
Chief Financial Officer						
Name	Signature & Date	Concur with no change	Concur with changes (comments)	Do not concur (add comments)	Defer comments to other reviewers	Post to GWA Website?
Comments:						
AGM for Engineering						
Name	Signature & Date	Concur with no change	Concur with changes (comments)	Do not concur (add comments)	Defer comments to other reviewers	Post to GWA Website?
Comments:						
I have reviewed the SOP and find that it is in compliance with existing GWA Rules, Regulations, Policies and Procedures and applicable Guam or Federal laws.						
				Reviewed by (Name) Legal Counsel (If Applicable)	Date	
This operational SOP is approved for implementation effective as of the signature date below and shall be revisited within five years of said date or as needed.						
				Recommended by (Name of Policy Owner) (Position)	Date	
Page 2						

Attachment 4: Committee Approval Sheet Cont.

 GUAM WATERWORKS AUTHORITY	STANDARD OPERATING PROCEDURE SUBCOMMITTEE APPROVAL SHEET	SOP-1000-GM-001								
Preparation and Revision of GWA Policies and Procedures										
The attached SOP underwent the prescribed process for the review and adoption of GWA's Policies and Procedures. Sub-committee members summary recommendations are as follows.										
Policy Owner										
Name	Signature & Date	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Concur with no change</td> <td style="width: 15%; text-align: center;">Concur with changes (comments)</td> <td style="width: 15%; text-align: center;">Do not concur (add comments)</td> <td style="width: 15%; text-align: center;">Defer comments to other reviewers</td> </tr> <tr> <td style="height: 20px;"></td> <td></td> <td></td> <td></td> </tr> </table>	Concur with no change	Concur with changes (comments)	Do not concur (add comments)	Defer comments to other reviewers				
Concur with no change	Concur with changes (comments)	Do not concur (add comments)	Defer comments to other reviewers							
Comments:										
_____ _____										
Manager/Administrator Supervisor										
Name	Signature & Date	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; text-align: center;">Concur with no change</td> <td style="width: 15%; text-align: center;">Concur with changes (comments)</td> <td style="width: 15%; text-align: center;">Do not concur (add comments)</td> <td style="width: 15%; text-align: center;">Defer comments to other reviewers</td> </tr> <tr> <td style="height: 20px;"></td> <td></td> <td></td> <td></td> </tr> </table>	Concur with no change	Concur with changes (comments)	Do not concur (add comments)	Defer comments to other reviewers				
Concur with no change	Concur with changes (comments)	Do not concur (add comments)	Defer comments to other reviewers							
Comments:										
_____ _____										
I have reviewed the SOP and find that it conforms to the standard format provided in Attachment 1 of SOP-1000-GM-001 (Preparation and Revision of GWA Policies and Procedures).										
		_____ Reviewed by (Name) Management Analyst								
		_____ Date								
This operational SOP is submitted for Committee review and approval and shall be revisited within five years of said date or as needed.										
		_____ Recommended by (Name of Policy Owner) (Position)								
		_____ Date								
Page 1										