
 GUAM WATERWORKS AUTHORITY	STANDARD OPERATING PROCEDURE	No.	SOP-1000-GM-001
	Preparation and Revision of GWA Policies and Procedures	Effective Date	2023.2.14
		Final Approver	 Miguel C. Bernaldo, P.E. General Manager
		Revision Letter	C

1.0 Purpose

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

2.0 Scope

This SOP covers the preparation and revision of all GWA Policies and Procedures (GWA P&P).

3.0 Policy

All GWA P&P should follow the standard format, procedural and approval requirements established in this SOP.

4.0 Definitions

- 4.1. **Author:** A Management Analyst (MA) assigned to manage the process of creating and updating an SOP. This individual is responsible for researching necessary information, best practices, and procedures. The MA will collaborate with the manager, administrator, and/or supervisor assigned by the Policy Owner to draft the GWA P&P and ensure the document conforms to the *standard format (Attachment 2)*. The Author ensures that the SOP is reviewed, approved, and finalized in accordance with Section 6.0 and documents these actions using the *Checklist (Attachment 3)*.
- 4.2. **Guam Federation of Teacher's Union (GFT) Steward:** Serves as a member of all GWA SOP Subcommittees to participate in the preparation and revision of GWA Policies and Procedures. Participation is limited to one steward per subcommittee. GFT may submit positions on proposed policies in writing to the General Manager or coordinate through authorized steward participating on a subcommittee.
- 4.3. **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.
- 4.4. **Policy Owner:** SOP Committee member who is responsible for the oversight of development, revisions, endorsement, and implementation of the specific GWA P&P applicable to his/her department.
- 4.5. **Procedures:** Written statements that describe rules or instructions for accomplishing a 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, and changes to staffing or work area.
- 4.6. **SOP Committee:** Committee responsible for the oversight of the development, revision, and implementation of all GWA P&P. The Committee members include the Chief Financial Officer, Assistant General Managers for Compliance and Safety, Operations, Engineering, and Administration.

4.7. **SOP Subcommittees:** SOP Subcommittees are responsible for the development and revision of specific GWA P&P relevant to their identified functional areas. There are five SOP subcommittees that cover Administration, O&M Water, O&M 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. The GFT Steward is part of all SOP subcommittees.

5.0 Roles and Responsibilities

5.1.	General Manager	<p>Approves all GWA P&P and all its subsequent changes.</p> <p>Provides feedback to Consolidated Commission on Utilities (CCU) on GWA P&P.</p>
5.2.	<p>Assistant General Manager for (AGM):</p> <ul style="list-style-type: none"> • Administration & Support • Operation • Engineering • Compliance & Safety <p>Chief Financial Officer (CFO)</p>	<p>Endorse the final draft of GWA P&P for GM’s approval as Policy Owners.</p> <p>Serve as members of the SOP Committee with the following functions:</p> <ul style="list-style-type: none"> a) Oversee the development, revision, and implementation of all GWA P&P. b) Meet every 4 weeks (or as needed) to review, revise and endorse new or updated GWA P&P 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 P&P and recommend needed updates or new policies and procedures for GWA programs.
5.3.	Staff Attorney	<p>Reviews, upon request, GWA’s and CCU’s Policies and Procedures to determine whether such are in compliance with applicable Guam and/or Federal laws.</p>
5.4.	<p>Managers, Administrators, and Supervisors</p> <p>GFT Steward</p>	<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 P&P as needed per SOP Committee’s recommendation.</p>
5.5.	Management Analyst	<p>Serve as the primary policy author responsible to conduct research on necessary information and</p>

		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 identifies the need to prepare a new or revise an existing GWA P&P needed for GWA programs and, if needed, may direct the MA to work with the assigned manager, administrator, and/or supervisor.
- 6.2. The MA shall ensure that all GWA P&P conform to the *standard format (Attachment 2)* and prepare and regularly update the *Checklist (Attachment 3)*. If directed by the SOP Committee, the MA 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 P&P.
- 6.3. Once the GWA P&P has been drafted with the manager, administrator, and/or supervisor, the MA shall email the draft GWA P&P to the Subcommittee for review. The SOP Subcommittee has 10 consecutive working days, upon receipt of the draft GWA P&P, to review and submit comments/changes to the MA. If there are no comments/changes, a formal response so indicating should be provided, however, if a formal response is not received within the allotted 10 days, the draft GWA P&P will be considered approved in its then current form.
- 6.4. The MA has 5 consecutive working days to revise the draft GWA P&P incorporating the comments/changes received from the SOP Subcommittee, a summary of comments/changes received, and the DocuSign *Subcommittee Approval Sheet (Attachment 4)* is then routed to the Subcommittee.
- 6.5. The SOP Subcommittee has 2 consecutive working days to review the final draft of the GWA P&P and to sign its DocuSign *Subcommittee Approval Sheet*.
- 6.6. Once the GWA P&P has been reviewed and approved by the Subcommittee, the MA shall email the draft to the SOP Committee to determine whether the GWA P&P should be reviewed by the Staff Attorney or not; and whether it should be posted to the GWA website or not. The MA shall properly mark Section 7.0 of the GWA P&P, and include the Staff Attorney in the SOP Committee review, if applicable.
- 6.7. The SOP Committee has 10 consecutive working days upon receipt of the draft GWA P&P to review and submit comments/changes to the MA. If there are no comments, a formal response so indicating should be provided.
- 6.8. At the end of the 10th day, the MA has 5 consecutive working days to prepare and send to the SOP Committee the following, if any:
 - 6.8.1. Revised GWA P&P incorporating the comments/changes received from the SOP Committee; and
 - 6.8.2. Summary of the comments/changes received from the SOP Committee.

- 6.9. The SOP Committee has 5 consecutive working days upon receipt of the revised GWA P&P to review and submit comments to the MA. If there are no comments, a formal response so indicating should be provided.
- 6.10. At the end of the 5th day, the MA has 5 consecutive working days to prepare and send to the SOP Committee the following:
 - 6.10.1. Final GWA P&P incorporating the comments/changes received from the SOP Committee;
 - 6.10.2. Summary of the comments/changes received from the SOP Committee, if any; and
 - 6.10.3. DocuSign *Committee Approval Sheet* (**Attachment 5**).
- 6.11. If there are no comments/changes received from the SOP Committee at the end of 5 days, the MA shall consult with the Policy Owner whether the Draft/Revised SOP will be considered final in its current form. If the Policy Owner agrees then it will be submitted to the GM for review. However, if the Policy Owner does not agree, the Draft/Revised SOP shall be routed to the SOP Committee for another 5 consecutive working days.
- 6.12. The Committee has 2 working days to check if all comments changes are incorporated in the SOP and to sign the DocuSign *Committee Approval Sheet* (**Attachment 5**).
- 6.13. Immediately, upon completion of all signatures on the *Approval Sheets*, the MA shall email to the GM the final GWA P&P, the signed *Approval Sheets (Subcommittee & Committee)*, and the *checklist*.
- 6.14. Upon receipt of the final GWA P&P, the GM has 10 consecutive working days to approve the GWA P&P or to return it to the MA for changes.
- 6.15. If the GM returns the GWA P&P for changes, the MA has 5 consecutive working days to work with the Committee and/or Subcommittee to resolve the GM's comments or changes and email the final GWA P&P to the GM.
- 6.16. If the GM approves the SOP, the MA shall assign a control number to the GWA P&P and route the approved version, through DocuSign, to the GM for signature.
- 6.17. Once approved by the GM, the MA shall:
 - 6.17.1. Post the GWA P&P to the GWA intranet;
 - 6.17.2. Disseminate its intranet link to the employees;
 - 6.17.3. Post a copy of GWA P&P to the GWA website, *if allowed*¹; and
 - 6.17.4. Include the approved GWA P&P in the list and electronic file of all GWA P&P.

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 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.

7.0 Document Approvals

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

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

- appropriate for publication on the GWA website without compromising the security of GWA's system or the public's health and safety.
- not appropriate for publication on the GWA website because it might jeopardize the security of GWA's system or 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 the 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 approved by the GM.

8.1. Policy Owner: General Manager

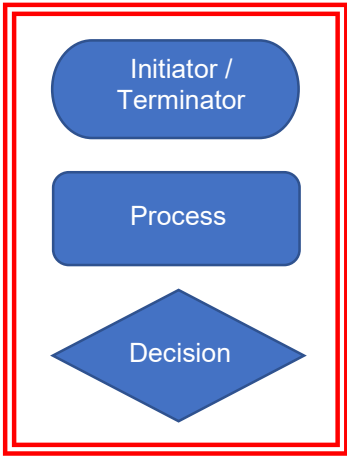
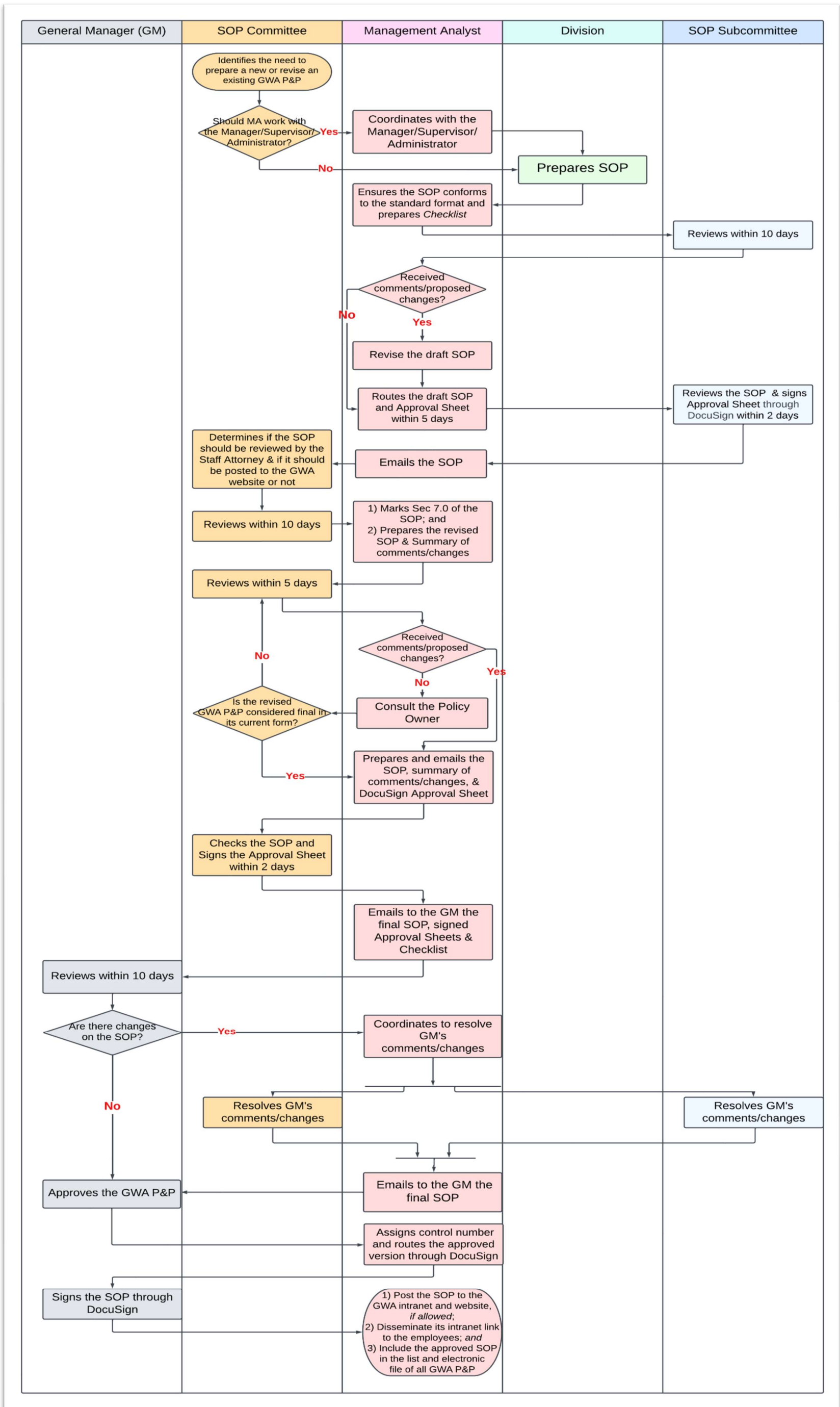
8.2. Authorization: General Manager

Effective Date	Revision Letter	Document Author	Description of Change
Page 1	C	Elgine Alfonso	Amended Policy/Procedure

9.0 References

- 9.1. Various GWA SOPs prepared in 2013.
- 9.2. GPA SOP-015 – Establishing New Authority Policy and Procedures.
- 9.3. GPA SOP-003 – Changing Existing Policies and Procedures.
- 9.4. Notes provided by AGM for Administration & Support.
- 9.5. SOP-1000-GM-001 - Preparation and Revision of GWA Policies and Procedures (A&B).
- 9.6. Notes received from the October 2022 SOP Committee Meeting and discussions with the Subcommittee members as of January 23, 2023.
- 9.7. Collective Bargaining Agreement Between the Consolidated Commissions on Utilities for Guam Waterworks Authority and Guam Federation of Teachers Union AFT Local 1581 AFL-CIO, September 2020.



Attachment 1: SOP-1000-GM-001 Flowchart



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:

 GUAM WATERWORKS AUTHORITY	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 is 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
20	AGM-O	O& M-Water Distribution	1500	WD

No.	Bus. Unit	Division	ODN	Acronym
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 GWA P&P must be approved by the GM to be in effect.
- 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 the 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 uses 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 used in the Policies/Procedures that may be technical or unfamiliar to the reader. Words in this section should add to the reader's 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 for 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 for 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


		STANDARD OPERATING PROCEDURE Checklist of Compliance to SOP-1000-GM-001(C)	
		<i>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.	Task
	1.	SOP Committee/Policy Owner identifies the need to prepare or revise a GWA Policy and Procedures (SOP).
	2.	MA ensures Draft SOP conforms to the standard format based on Attachment 1.
	3.	MA Prepares Checklist
	4.	<i>(Only if directed by the SOP Committee/Policy Owner)</i> MA researches necessary information, best practices, and procedures, and collaborates with the manager, administrator, and/or supervisor.
	5.	MA shall email the draft GWA P&P to the Subcommittee for review.
	6.	The SOP Subcommittee reviews the GWA P&P within 10 consecutive working days upon its receipt or until _____.
	7.	MA shall revise the draft GWA P&P incorporating the comments/changes received from the SOP Subcommittee, prepares the summary of comments/changes received, and the DocuSign Subcommittee Approval Sheet, and route it to the Subcommittee within 5 consecutive working days or until _____.
	8.	SOP Subcommittee reviews the GWA P&P and signs the Subcommittee Approval Sheet within 2 consecutive working days or until _____.
	9.	MA shall email the draft GWA P&P to the SOP Committee for review.
	10.	SOP Committee determines whether the GWA P&P should be reviewed by the Staff Attorney or not; and whether it should be posted to the GWA website or not.
	11.	<i>(Only if deemed necessary)</i> MA emails the GWA P&P to the Staff Attorney.
	12.	SOP Committee reviews the GWA P&P within 10 consecutive working days upon receipt of the draft GWA P&P and submits comments/changes to the MA or until _____.
	13.	MA marks Section 7.0 of the GWA P&P
	14.	<i>(Only if deemed necessary)</i> MA prepares and sends to the SOP Committee the following within 5 consecutive working days: <ul style="list-style-type: none"> • Revised GWA P&P incorporating the comments/changes received from the SOP Committee; and • Summary of the comments/changes received from the SOP Committee.
	15.	SOP Committee reviews the GWA P&P within 5 consecutive working days upon its receipt and submits comments to the MA or until _____.
	16.	MA prepares and sends to the SOP Committee the following within 5 consecutive working days: <ul style="list-style-type: none"> • Final GWA P&P incorporating the comments/changes received from the SOP Committee; • Summary of the comments/changes received from the SOP Committee, if any; and • DocuSign Committee Approval Sheet

Attachment 3: SOP-1000-GM-001 Checklist (Cont.)

	17.	<i>(If no comments/changes are received from the SOP Committee)</i> MA consults with the Policy Owner whether the Draft/Revised SOP will be considered final in its current form and be submitted to the GM for review or the Draft/Revised SOP shall be routed to the SOP Committee for another 5 consecutive working days.
	18.	MA emails to the GM the final GWA P&P signed Approval Sheets (Subcommittee & Subcommittee), and checklist, Immediately, upon completion of all signatures on the Approval Sheets.
	19.	GM reviews the GWA P&P within 10 consecutive working days or until _____.
	20.	<i>(If the GM has changes on the GWA P&P)</i> MA works with the Committee and/or Subcommittee to resolve the GM's comments or changes and email the final GWA P&P to the GM within 5 consecutive working days or until _____.
	21.	If the GM approves the SOP, the MA: <ul style="list-style-type: none">• Post the GWA P&P to the GWA intranet;• Disseminate its intranet link to the employees;• Post a copy of GWA P&P to the GWA website, if allowed; and• Include the approved GWA P&P in the list and electronic file of all GWA P&P.

Attachment 4: Subcommittee Approval Sheet

 <p>GUAM WATERWORKS AUTHORITY</p>	<p>STANDARD OPERATING PROCEDURE SUBCOMMITTEE APPROVAL SHEET</p>	<p>SOP-1000-GM-001(C)</p>
	<p>Preparation and Revision of GWA Policies and Procedures</p>	

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:

Manager Administrator/Supervisor					
Name	Signature & Date	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)

_____ Date
 Reviewed by
 (Name)
 Management Analyst

This operational SOP is submitted for Committee review and approval and shall be revisited within five years of said date or as needed.

_____ Date
 Recommended by
 Thomas A. Cruz,
 Assistant General Manager for
 Operation

Attachment 5: Committee Approval Sheet

	STANDARD OPERATING PROCEDURE COMMITTEE APPROVAL SHEET	SOP-1000-GM-001 (C)
	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:

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
Christopher M. Budasi					
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
Paul Kemp					
Comments:					

Chief Financial Officer					
Name	Signature & Date	Concur with no change	Concur with changes (comments)	Do not concur (add comments)	Defer comments to other reviewers
Taling M. Taitano, CPA, CGFM, CGMA					
Comments:					

Attachment 5: Committee Approval Sheet Cont.

	STANDARD OPERATING PROCEDURE COMMITTEE APPROVAL SHEET	SOP-1000-GM-001 (C)
	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:

Acting Chief Engineer		Concur with no change	Concur with changes (comments)	Do not concur (add comments)	Defer comments to other reviewers
Name	Signature & Date				
Comments:					

Staff Attorney		Concur with no change	Concur with changes (comments)	Do not concur (add comments)	Defer comments to other reviewers
Name	Signature & Date				
Comments:					

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
 Thomas A. Cruz, P.E.
 Assistant General Manager
 for Operation

 Date