

DUTCHESS COUNTY



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Poughkeepsie
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www.DCWWA.org

DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
THURSDAY, JANUARY 29, 2015
3:30 P.M.

PROPOSED AGENDA

Authority Board Members

Thomas LeGrand
Chairperson

Vincent DiMaso
Vice-Chairperson

Rudy Vavra
Treasurer

Lawrence R. Knapp
Secretary

Ex officio Members

Ed Hoxsie
District Manager
Soil and Water Conservation District

Eion Wrafter
Acting Commissioner
D.C. Dept. of Planning & Development

Staff

Bridget Barclay
Executive Director

Mary C. Morris
Deputy Director

1. Meeting Open – Introductions
2. Approval of Minutes
 - December 17, 2014 Board Meeting (R2015.01.A)
3. Annual Reorganization
 - Election of Officers (R2015.01.B)
 - Designate Regular Meeting Date (R2015.01.C)
 - Designate Official Newspaper (R2015.01.D)
 - Designate Official Banks/Depositories (R2015.01.E)
 - Committee Appointments: Governance, Audit, Finance, Operations and Personnel Committees (R2015.01.F)
4. Chairman's Report
5. Operations Report – see written report
 - CDWTL Pump Station Roof Maintenance – Restriction of Bidders (R2015.01.G)
6. Finance Report
 - Approval of Warrant (R2015.01.H)
 - Review and Re-Adoption of Procurement Policy (R2015.01.I)
 - Review and Re-Adoption of Disposal of Property Guidelines (R2015.01.J)
 - Review and Re-Adoption of Accounting Procedures and Banking Policy (R2015.01.K)
 - Review and Re-Adoption of Investment Policy (R2015.01.L)
7. System/Capital Project Updates
 - Shore Haven Water System Improvement Project Status and Budget Review
 - Staatsburg Route 9 Pipe Replacement Project Status
8. Public Comment
9. Confirm next meeting date – February 18, 2015
11. Adjourn

Meeting will be held at 27 High Street – 2nd Floor Conference Room
Members please call Jackie (486-3601) ASAP if you cannot attend



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**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
UNAPPROVED MINUTES OF DECEMBER 17, 2014**

Board Members Present

Tom LeGrand
Vince DiMaso
Larry Knapp

Staff Present

Bridget Barclay
Jackie Burger
Peter Fadden
Ed Mills
Mary Morris

Ex-Officio Member

Eoin Wrafter – Acting Commissioner, Dutchess County Planning
and Development

Others Present

Peter Dowley – Staatsburg Watchdog Committee

Meeting Open

Tom LeGrand opened the meeting at 3:27 p.m.

Approval of Board Meeting Minutes

Tom requested a motion to approve the minutes of the November 19, 2014 board meeting. Larry made the motion to approve the minutes of November 19, 2014 as amended. This was seconded by Vince; voted on and passed unanimously. (Res. 2014.12.A/01)

Chairman's Report

Tom said later in meeting the Board would discuss rejecting the bids for the Shore Haven Permanent Treatment Building Construction Project. He expressed concern regarding the costs, and cost estimates to date. He said this topic would be revisited in depth at the January meeting. Tom added that he has asked Bridget to make contact with the Pawling Town Supervisor to make arrangements to have a Shore Haven representative at the January meeting also.

Operations Report

Tom said the Operations report was included in the package and asked if there were any questions. There were no questions.

Finance Report – Approval of Warrant

Tom said the warrant was included in the package. Mary said there was one amendment to the warrant in the amount of \$114. There were no questions. Larry made a motion to approve the warrant as amended. The motion was seconded by Vince; voted on and passed unanimously. (Res. 2014.12.B/02)

Approval of 2015 Authority Salary Policy

Bridget said the 2015 Authority Salary Policy was discussed at the November board meeting and also at the budget workshop.

Larry made a motion that the Board reaffirmed its policy to maintain salary policies and schedules that are consistent with those of the County as reflected in the CSEA Contract, and directed staff to revise the proposed 2015 Salary Policy and Schedules accordingly. Now therefore be it resolved, the Authority Board approves the 2015 Salary Policy and Schedules as presented; and be it further resolved, the Authority Board authorizes the payment to Authority staff of a retroactive increase of 2% for the period of July 1, 2014 through December 31, 2014. The motion was seconded by Vince; voted on and passed unanimously. (Res. 2014.12.C/02)

Approval of 2015 Water and Sewer System Rates and Budgets

Larry made a motion to adopt the 2015 Water and Sewer System rates and budgets made effective on January 1, 2015 or as otherwise stipulated in the Rate Sheets. The motion was seconded by Vince; voted on and passed unanimously. (Res. 2014.12.D/03)

Approval of 2015 Public Authorities Law Budget Report

Mary advised the Board it is a part of the annual Authority Budget Office requirements to submit a budget report. The format of the budget report is not the same format as we would present to the Board for our standard system operations budgets. It is a different consolidation. One specific example is the 2013 year includes capital expenditures we make on projects but does not allow us in the presentation to include the offsetting revenue we have to fund those projects, which is why a negative number is shown in the presentation. The 2014 budget is presented in the same manner as it was shown to the Board at the December 2013 meeting. We then have a standard CPI to roll through the following years.

Larry made a motion that the Board approves the Public Authorities Law 2015 Budget Report and authorizes the Executive Director or Deputy Director to submit and certify said Budget Report to the State Authority Budget Office. The motion was seconded by Vince; voted on and passed unanimously. (Res. 2014.12.E/04)

Approval of 2015-2019 Capital Plan

Bridget said there is one significant change from the original presentation of the 2015-2019 at the November meeting. We identified issues with the HVAC system at Dalton Farms Sewer. Some of the exhaust fans are not functioning and it was determined that they were not properly installed and those upgrades and improvements have been added. There were no other significant changes.

Larry made a motion that Staff has prepared and submitted to the Board for its review a Five Year Capital Plan for the period of 2015 through 2019; and the Board has reviewed and concurs with the Plan as submitted; now therefore be it resolved: the Authority Board hereby adopts the attached 2015-2019 Capital Plan. The motion was seconded by Vince; voted on and passed unanimously. (Res. 2014.12.F/06)

Approval of 2015 Audit and Accounting Services Agreement

Vince made a motion that the Dutchess County Water and Wastewater Authority hereby consents to amending the agreements with Sedore & Company of Poughkeepsie, New York for audit and supplementary accounting services to be extended through the 2015 calendar year for auditing services for the fiscal year 2014 up to \$22,402.00 and accounting services to be billed on a time and materials basis not-to-exceed \$6,848.00. The motion was seconded by Larry; voted on and passed unanimously. (Res. 2014.12.G/07)

Tom asked how this cost compares with the 2014 agreement. Mary said less than \$1,000 increase from last year. Tom asked if Mary was pleased with Sedores' services. Mary said yes.

Approval of 2015 Insurance Agreement

Vince made a motion that the Dutchess County Water and Wastewater Authority hereby consents to the agreement with Rose and Kiernan, Inc. of Fishkill, New York and authorizes the Authority's Executive Director or Deputy Director to execute an agreement for the same in an amount not-to-exceed \$134,679.20. The motion was seconded by Larry; voted on and passed unanimously. (Res. 2014.12.H/08)

Approval of 2015 Systems Engineering Agreements

Vince made a motion to authorize the Executive Director or Deputy Director to execute contracts for engineering services with the noted firms regarding the noted facilities within the parameters of the engineering procurement guidelines:

Birch Hill, Chelsea Cove, Fairways, Rokeby, Schreiber	Morris Associates
Hyde Park Regional Water System, CDWTL, Shore Haven	Savin Engineers
Dalton Farms Water and Sewer	Fuss & O'Neill
Shore Haven Water Field Engineering Services	Silkworth Engineering

The motion was seconded by Larry; voted on and passed unanimously. (Res. 2014.12.I/09)

Tom asked if Silkworth Engineering was local. Bridget said yes. This is a sole proprietor with an office in Poughkeepsie. Over the last couple of years he has been doing field engineering services, construction administration, for the Authority and has done a very good job. Tom asked about his engineering specialty. Ed said he has done some water and wastewater design work. Ed said he is not involved in design work at Shore Haven. He handles the inspections, making sure the pipe has been put in the ground correctly, and he was there for the electrical work also.

Approval of 2015 General Legal Services Agreements

Vince made a motion to authorize the Executive Director or Deputy Director to enter into agreements with the following firms for professional services during 2015:

Legal Counsel – Van De Water and Van De Water, in an amount not-to-exceed \$30,000.

Special Counsel – Drake, Loeb, Heller et al, in an amount not-to-exceed \$30,000.

The motion was seconded by Larry; voted on and passed unanimously.
(Res. 2014.12.J/10)

Approval of 2015 Financial Services Agreement

Vince made a motion to authorize the Executive Director or Deputy Director to enter into agreements with the following firm for professional services during 2015:

Financial Advisor – Environmental Capital Associates, in an amount not-to-exceed \$5,000.

The motion was seconded by Larry; voted on and passed unanimously.
(Res. 2014.12.K/11)

Approval of 2015 General Land Surveying Agreement

Vince made a motion to authorize the Executive Director or Deputy Director to execute the Professional General Surveying Services Agreement for 2015 at a cost not-to-exceed \$35,000 between the Authority and Chazen Engineering, Land Surveying & Landscape Architecture Co., PC. The motion was seconded by Larry; voted on and passed unanimously. (Res. 2014.12.L/12)

Approval of 2015 County Staff Salary Assistance Agreement

Vince made a motion to authorize the Executive Director or Deputy Director to execute an agreement with the County for the amount of \$85,000 to provide partial funding for 2015 staff salaries in order to support staff activities related to regional community water and wastewater planning, preliminary evaluation and development of potential Authority projects, efforts to sell County reserved capacity in the Central Dutchess Water Transmission Line efforts related to water resource protection, and other activities not related to operation and management of Authority-owned systems. The motion was seconded by Larry; voted on and passed unanimously.
(Res. 2014.12.M/13)

Shore Haven Water System – Permanent Treatment Building Construction Contract

Bridget noted that the building and the treatment equipment were originally one project and were then separated because we thought it would save time. Discussion followed.

Vince made a motion that the apparent low bid of \$558,500 for the Shore Haven Water Permanent Treatment Building is significantly above the engineer's estimate of \$431,500 and based upon this review, the Authority Staff recommends that all bids be

rejected and the project be revised and re-bid. Therefore, be it resolved that bids for Contract No. SHW-PWC-2014-B1 Permanent Treatment Building Construction, Shore Haven Water System, be rejected. The motion was seconded by Rudy; voted on and passed unanimously. (Res. 2014.12.N/14)

Valley Dale Sewer System – WWTP Rehabilitation Project Consulting Engineering Services

Bridget said this was a placeholder resolution while we were in the process of making contact with Emil Lienau and resolving his price proposal for VDS-WWTP Rehabilitation Project Engineering Services Value Engineering and Cost Estimate. He has proposed to do the work for the not-to-exceed amount of \$5,500 which is less than our procurement policy requires for Board approval. As a result, no resolution is required. The work will begin in January and will be finished by February 15th.

Dalton Farms Water System – Water Well 4 Access and Berm Project

Vince made a motion to authorize the Executive Director to execute Change Order No. 1 for the contract with Con-Tech Construction Technology, Inc. of Yorktown Heights, New York reducing the total contract amount by \$3,430.40, establishing a final contract value of \$72,572.20, and extending the Contract time for the Dalton Farms Water – Construct Well Access Road Berm around Well A-4 Contract No. DFW-PWC-2014-1. The motion was seconded by Larry; voted on and passed unanimously. (Res. 2014.12.P/16)

Shore Haven Water System – Booster Pump Station Electrical Connection Project

Larry made a motion to authorize the Executive Director to execute Change Order No. 1 for the contract with Veith Enterprises, Inc., of Poughkeepsie, NY extending the Contract Time as noted for the Shore Haven Water System – Booster Pump Station Electrical Connection Project Contract No. SHW-PWC-2014-P1. The motion was seconded by Vince; voted on and passed unanimously. (Res. 2014.12.Q/17)

Staatsburg Route 9 North Pipe Replacement Project Status Report

Peter said all of the physical work is complete on the Staatsburg Route 9 North Pipe Replacement Project with the exception of the final tie in to the Mills Cross Road existing line. We are awaiting Dutchess County Health Department approval on the installed line. The Contractor is currently trying to get the entire line to pass pressure testing and have encountered some issues. Larry asked if the paving was done. Peter said the majority of the paving work was done. Tom noted the leak there is estimated at about 40,000 gallons per day. Peter said that is the rough estimate.

Peter said in the period between last month and this month, beyond where we replaced the line, they have already needed to make a repair and we are still making two or three repairs on the Mill Road section of the line. Tom inquired about the contractor. Peter said there have been some planning issues. Bridget said the Hyde Park Plant Staff stops in periodically and looks at the pipe work. They have said that the quality of the work is very good.

Public Comment

Tom asked for any public comment. Peter Dowley said he was pleased that the project is at the point where the connection could still be made before the weather changes.

Dutchess County Airport Project

Tom asked for an update on the Dutchess County Airport Project. Bridget said she met with the County Attorney before today's meeting. They are proceeding with and funding the project as a County project. It is a much faster process than it would be to create a County Zone of Assessment. The County is proposing to do a bond resolution in January, or February at the latest, for 2.9 million and will ask the Authority to manage the project. The Authority will enter into a contract with the County to oversee the design and the construction and then operate the water line on behalf of the County.

The County will continue a subsequent phase based on FAA funding and dependent on finding a fixed base operator for the airport. They will then address the next phase of distributing water on the airport property. At this point we have roughly \$600,000 in State funding from the CFA and Ron Hicks has indicated that they have a verbal commitment from Central Hudson to provide another \$200,000 in funding from monies they have to promote economic development.

Bridget said the plan at this time is we will now come in off the CDWTL, bore underneath a wetland on an easement on the Global Satellites' property right to the end of Airport Drive, then take the water line out to Route 376 with a very short stretch north on Route 376 to the intersection of Route 376 and Griffith Way, which is then the Airport property.

Confirm Next Meeting Date

Tom confirmed the next meeting date of January 21, 2015.

Motion to Adjourn

Tom asked for a motion to adjourn. The Motion was made by Larry; seconded by Vince voted on and passed unanimously. (Res. 2014.12.R/18)

Respectfully submitted,



Jackie Burger
Senior Typist

Resolutions

- Res. 2014.12.A/01 Motion to approve minutes from the November 19, 2014 board meeting as amended
- Res. 2014.12.B/02 Motion to approve the warrant, as amended

Res. 2014.12.C/03	Motion to approve 2015 Salary Policy and Schedules
Res. 2014.12.D/04	Motion to approve 2015 Water System Rates and Budgets
Res. 2014.12.E/05	Motion to approve 2015 Public Authorities Law Budget Report
Res. 2014.12.F/06	Motion to approve 2015-2019 Capital Plan
Res. 2014.12.G/07	Motion to approve 2015 Audit and Accounting Services Agreement
Res. 2014.12.H/08	Motion to approve 2015 Insurance Agreement
Res. 2014.12.I/09	Motion to approve 2015 Systems Engineering Agreements
Res. 2014.12.J/10	Motion to approve 2015 General Legal Services Agreement
Res. 2014.12.K/11	Motion to approve 2015 Financial Services Agreement
Res. 2014.12.L/12	Motion to approve 2015 General Land Surveying Agreement
Res. 2014.12.M/13	Motion to approve 2015 County Staff Salary Assistance Agreement
Res. 2014.12.N/14	Motion to reject bids – SHW Permanent Treatment Building Construction Contract
Res. 2014.12.O/	Resolution not needed for VDS WWTP Rehabilitation Project Consulting Engineering Services as not-to-exceed amount of \$5,500 is less than Procurement Policy requires for Board approval
Res. 2014.12.P/15	Motion to Authorize Change Order #1 – DFW Well 4 Access and Berm Construction Contract
Res. 2014.12.Q/16	Motion to Authorize Change Order #1 – SHW Booster Pump Electrical Connection Project
Res. 2014.12.R/17	Motion to Adjourn

Resolution Package – Not for Release

Summary of Possible Motions for January 28, 2015 DCWWA Meeting:

The following is a list of motions that will be considered by the Board. Drafts of complete motions and explanatory memos are included in your package. Potential motions will be referenced with letters (A, B, C.....). Each will be assigned a permanent number in sequential order in the board minutes after the meeting.

1. Approval of Minutes – December 17, 2014 Board Meeting (R2015.01.A)
2. Election of Officers (R2015.01.B)
3. Designate Regular Meeting Date (2015.01.C)
4. Designate Office Newspaper (R2015.01.D)
5. Designate Official Banks/Depositories (R2015.01.E)
6. Committee Appointments: Governance, Audit, Finance, Operations and Personnel Committees (R2015.01.F)
7. CDWTL Pump Station Roof Maintenance – Restriction of Bidders (R2015.01.G)
8. Approval of Warrant (R2015.01.H)
9. Review and Re-Adoption of Procurement Policy (R2015.01.I)
10. Review and Re-Adoption of Disposal of Property Guidelines (R2015.01.J)
11. Review and Re-Adoption of Accounting Procedures and Banking Policy (R2015.01.K)
12. Review and Re-Adoption of Investment Policy (R2015.01.L)

RESOLUTION NO. 2015.01.A

**Authority Board – DCWWA
January 15, 2015 meeting**

_____ offers the following resolution and moves its adoption:

Approval of Minutes – December 17, 2014 Board Meeting

Seconded by _____

<u>Record of Vote:</u>	<u>Aye</u>	<u>Nay</u>
Thomas LeGrand	_____	_____
Vincent DiMaso	_____	_____
Larry Knapp	_____	_____
Rudy Vavra	_____	_____
Amanda Baxter-Dingee	_____	_____

Election of Officers

_____ offers the following resolution and moves its adoption:

Resolved that the following be nominated for the offices of the Authority for 2015:

Chair Thomas LeGrand
Vice Chair Vincent DiMaso
Treasurer Rudy Vavra
Secretary Larry Knapp

Be it further resolved, that nominations be closed, and that the previous noted persons be elected to the respective offices.

Seconded by _____

<u>Record of Vote</u>	<u>Aye</u>	<u>Nay</u>
Thomas LeGrand	_____	_____
Vincent DiMaso	_____	_____
Larry Knapp	_____	_____
Rudy Vavra	_____	_____
Amanda Baxter-Dingee	_____	_____

Designate Regular Meeting Date

_____ offers the following resolution and moves its adoption:

Be It Resolved that the regular meetings of the Authority shall be at 3:30 pm at 27 High Street on the **third Wednesday of each month.**

Seconded by _____

<u>Record of Vote</u>	<u>Aye</u>	<u>Nay</u>
Thomas LeGrand	___	___
Vincent DiMaso	___	___
Larry Knapp	___	___
Rudy Vavra	___	___
Amanda Baxter-Dingee	___	___

Designate Official Newspaper

_____ offers the following resolution and moves its adoption:

Be It Resolved that the **Poughkeepsie Journal** be designated as the Official Paper for the Authority.

Seconded by _____

<u>Record of Vote</u>	<u>Aye</u>	<u>Nay</u>
Thomas LeGrand	_____	_____
Vincent DiMaso	_____	_____
Larry Knapp	_____	_____
Rudy Vavra	_____	_____
Amanda Baxter-Dingee	_____	_____

Designation of Banks/Depositories

_____ offers the following resolution and moves its adoption:

Resolved; that the Official Banks/Depositories for the Authority be as follows:

- The Bank of New York Mellon
- M&T Bank
- JPMorgan Chase
- TD Bank North

Be it further resolved; that the Executive Director or Deputy Director be authorized to execute all necessary agreements to maintain accounts.

Seconded by _____

<u>Record of Vote</u>	<u>Aye</u>	<u>Nay</u>
Thomas LeGrand	___	___
Vincent DiMaso	___	___
Larry Knapp	___	___
Rudy Vavra	___	___
Amanda Baxter-Dingee	___	___

RESOLUTION NO. 2015.01.F

**Authority Board – DCWWA
January 28, 2015 meeting**

Committee Appointments: Governance, Audit, Finance, and Personnel Committees

_____ offers the following resolution and moves its adoption:

Be It Resolved that the following Board Members be appointed to serve on the committees of the Authority as noted below; effective January 1, 2015:

Governance Committee: _____
Audit Committee: _____
Finance Committee: _____
Operations Committee: _____
Personnel Committee: _____

Seconded by _____

<u>Record of Vote:</u>	<u>Aye</u>	<u>Nay</u>
Thomas LeGrand	___	___
Vincent DiMaso	___	___
Larry Knapp	___	___
Rudy Vavra	___	___
Amanda Baxter-Dingee	___	___

CDWTL Pump Station Roof Maintenance – Restriction of Bidders

_____ offers the following resolution and moves its adoption:

Whereas, the CDWTL Pump Station (Pump Station) existing roof is currently under warranty from Firestone Building Products Co. (Firestone); and

Whereas, the roof is due for roof maintenance in the form of inspection, cleaning and coating; and

Whereas, in order to continue the roof warranty the contractor that performs the work must be an recognized by Firestone as an authorized installed; and

Whereas, the cost of the proposed scope of work is anticipated to be less than \$35,000; and

Whereas, Section 5.1.2 of the Authority Goods and Services Procurement Policy, in accordance with GML Sect. 104-b(2)(g) allows the Authority to, by resolution of the Board, identify specific circumstances for which the solicitation of alternative quotations will not be in the interest of the Authority;

Therefore, be it resolved, that in order to maintain the Pump Station roof warranty that the Board authorizes restriction of bidders who can provide proof that Firestone recognizes that the bidder is currently a Firestone authorized installer.

Seconded by _____

Record of Vote:	Aye	Nay
Thomas LeGrand	___	___
Vincent DiMaso	___	___
Larry Knapp	___	___
Rudy Vavra	___	___
Amanda Baxter-Dingee	___	___

Approval of Warrant

_____ offers the following resolution and moves its adoption:

Approval of warrant, as presented

Seconded by _____

<u>Record of Vote:</u>	<u>Aye</u>	<u>Nay</u>
Thomas LeGrand	_____	_____
Vincent DiMaso	_____	_____
Larry Knapp	_____	_____
Rudy Vavra	_____	_____
Amanda Baxter-Dingee	_____	_____

Review and Re-adoption of Procurement Policy

_____ offers the following resolution and moves its adoption:

Whereas; The Authority has previously approved a Goods and Services Procurement Policy to assure the prudent and economical use of public monies, facilitate the acquisition of goods and services of maximum quality at the lowest possible cost, and to guard against favoritism, improvidence, extravagance, fraud and corruption; and

Whereas; Section 2879 of Public Authorities Law requires all public authorities to annually review and approve a comprehensive policy regarding the guidelines and instructions governing the procurement of goods and services; and

Whereas; the Authority Board has reviewed and concurs with the recommended policy as attached;

Now therefore be it resolved; the Authority Board hereby adopts the attached 2015 Goods and Services Procurement Policy as presented.

Seconded by _____

<u>Record of Vote:</u>	<u>Aye</u>	<u>Nay</u>
Thomas LeGrand	___	___
Vincent DiMaso	___	___
Larry Knapp	___	___
Rudy Vavra	___	___
Amanda Baxter-Dingee	___	___

Review and Re-adoption of Disposal of Property Guidelines

_____ offers the following resolution and moves its adoption:

Whereas; the Authority at times is in the position to dispose of Real and certain Personal property, and

Whereas; the Authority has previously approved property disposal guidelines in order to comply with prudent government practices and the NYS Public Authorities Accountability Act, and

Whereas the NYS Public Authorities Accountability Act recommends that the guidelines be reviewed and readopted annually, and

Whereas; the Authority Board has reviewed those recommended guidelines as attached,

Now therefore be it resolved; the Authority Board hereby adopts the attached Disposal of Property Guidelines.

Seconded by _____

<u>Record of Vote:</u>	<u>Aye</u>	<u>Nay</u>
Thomas LeGrand	_____	_____
Vincent DiMaso	_____	_____
Larry Knapp	_____	_____
Rudy Vavra	_____	_____
Amanda Baxter-Dingee	_____	_____

Review and Re-adoption of Accounting Procedures and Banking Policy

_____ offers the following resolution and moves its adoption:

Whereas; an office Accounting Procedures and Banking Policy meeting the recommendations of the Authority Auditors has been in use by the Authority and recommended by the Staff to the Authority Board for re-adoption with updates and revisions; and

Whereas; the Authority Board has reviewed the office Accounts Payables/Receivables and Banking Policy recommended by the Authority Staff and finds it acceptable;

Now therefore be it resolved; the Authority Board hereby adopts the recommended Accounting Procedures and Banking Policy.

Seconded by _____

<u>Record of Vote:</u>	<u>Aye</u>	<u>Nay</u>
Thomas LeGrand	___	___
Vincent DiMaso	___	___
Larry Knapp	___	___
Rudy Vavra	___	___
Amanda Baxter-Dingee	___	___

Review and Re-adoption of Investment Policy

_____ offers the following resolution and moves its adoption:

Whereas; an Investment Policy meeting the recommendations of the State Comptroller has been in use by the Authority and recommended by the Staff to the Authority Board for re-adoption with updates and revisions; and

Whereas; the Authority Board has reviewed the Investment Policy recommended by the Authority Staff and finds it acceptable;

Now therefore be it resolved; the Authority Board hereby adopts the recommended Investment Policy.

Seconded by _____

<u>Record of Vote:</u>	<u>Aye</u>	<u>Nay</u>
Thomas LeGrand	___	___
Vincent DiMaso	___	___
Larry Knapp	___	___
Rudy Vavra	___	___
Amanda Baxter-Dingee	___	___

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
WARRANT
January 28, 2015**

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
<u>Benefit Assessment</u>						
BEN14020	Drake, Loeb, Heller, etal.	Professional services: T Rex complaint	73.60	45,000.00	28,573.21	63.50%
SUBTOTAL			73.60			
<u>Birch Hill Water System</u>						
BHW14091	Dig Safely New York, Inc.	Location Request Services: November 2014	90.76			
BHW14092	VRI Environmental Services, Inc.	Operations and Maintenance: December 2014	822.62	9,871.00	9,871.00	100.00%
BHW14093	NYSEG	Electric service: 10/17/14-12/12/14 (10031922494)	837.22			
BHW14094	USA BlueBook	Hach sample pack	259.63			
BHW14095	Smith Environmental Laboratory	Labs: November 2014	1,261.25			
BHW14096	Hach Company	Testing chemicals	710.50			
BHW14097	VRI Environmental Services, Inc.	December 2014	360.00			
BHW14098	Grainger	Aux contact block	229.90			
BHW14099	Smith Environmental Laboratory	Labs: December 2014	2,115.75			
BHW14100	DC Commissioner of Finance	Postage: December 2014	261.88			
BHW15002	Frontier Communications	Telephone service: 12/25/14-1/24/15 (2276847)	41.20			
BHW15003	Byrnes Message Bureau, Inc.	Answering service: January 2015	61.82			
SUBTOTAL			7,052.53			

DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
WARRANT
January 28, 2015

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
<u>Chelsea Cove Sewer System</u>						
CCS14143	Earthcare - All County Division	Sludge removal: 12/1, 12/2, 12/3/14	4,580.00			
CCS14144	Royal Carting Service Co.	Monthly Refuse Removal: December 2014	76.59			
CCS14145	Environmental Consultants, LLC	Operations and Maintenance: December 2014 (Tape/hipple)	3,487.19	41,703.00	41,703.00	100.00%
CCS14146	NYSEG	Electric service: 11/7/14 -12/8/14 (10010243847)	2,304.33			
CCS14147	Frontier Communications	Telephone service: 12/7/14-1/6/15 (226 5492)	40.30			
CCS14148	Orrick, Herrington & Sutcliffe, LLP	Professional Services: EFC	3,000.00			
CCS14149	Earthcare - All County Division	Sludge removal:12/8, 12/9, 12/11/14	2,748.00			
CCS14150	Earthcare - All County Division	Sludge removal:12/15/14	916.00			
CCS14151	Porco Energy Corporation	Propane: 9/13@1.3336	1,217.58			
CCS14152	Earthcare - All County Division	Sludge removal:12/30/14	916.00			
CCS14153	West Beekman Water Co., Inc.	Water: 9/25/14-12/23/14	64.33			
	SUBTOTAL		19,350.32			
<u>Dalton Farms Sewer System</u>						
DFS14136	Allied Electronics	Relay	120.61			
DFS14137	Royal Carting Service Co.	Monthly Refuse Removal: December 2014	163.35			
DFS14138	VRI Environmental Services, Inc.	Operations and Maintenance: December 2014	3,598.74	43,184.00	43,184.00	100.00%
DFS14140	NYSEG	Electric service: 11/7/14-12/8/14 (10010243581/504113/5040438)	4,426.02			
DFS14141	Verizon	Telephone service: 12/7/14-1/6/15 (7243574)	24.01			

DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
WARRANT
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<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
DFS14142	Frontier Communications	Telephone service:845 223 3038 (12/7/14-1/6/15)	45.55			
DFS14143	NYSEG	Electric service: 10/14/14-12/13/14 (1001095968/1/10025452078)	930.82			
DFS14144	Earthcare - All County Division	Sludge removal: 12/23/14	916.00			
DFS14145	Not used					
DFS14146	Davies Hardware	Valve/thermostat	31.43			
DFS14147	VRI Environmental Services, Inc.	December 2014	317.50			
DFS14148	McMaster-Carr Supply Co.	Time delay fuse	47.29			
DFS14149	Cryo Weld, Corp.	Fire extinguisher service call	265.00			
DFS15001	Frontier Communications	Telephone service:12/25/14-1/24/15 (14519600000619907/LD)	14.15			
DFS15002	Vector Security	Monitoring service: 2015	4,548.00			
	SUBTOTAL		15,448.47			
	<u>Dalton Farms Water System</u>					
DFW14062	VRI Environmental Services, Inc.	Operations and Maintenance: December 2014	1,456.62	17,479.00	17,479.00	100.00%
DFW14063	VRI Environmental Services, Inc.	December 2014	1,612.86			
DFW14064	NYSEG	Electric service:10/12/14-12/10/14 (10015040446/5042020)	3,788.37			
DFW14065	Frontier Communications	Telephone service: 12/7/14-1/6/15 (223 7653)	31.74			
DFW14066	Surpass Chemical Company, Inc.	Chemical purchase: Hypochlorite	45.25			
	SUBTOTAL		6,934.84			

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<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
<u>Fairways</u>						
FAW14034	VRI Environmental Services, Inc.	Operations and Maintenance: December 2014	514.12	6,169.00	6,169.00	100.00%
FAW14035	Central Hudson Gas & Electric	Electric service: 10/30/14-12/2/14 (56742480017)	386.02			
	SUBTOTAL		900.14			
<u>General</u>						
GEN14243	Van DeWater & Van DeWater, LLP	Prof Serv: Norrits/SHW improvement/SBW Rt 9 pipe replacement	1,004.50	20,000.00	7,307.98	36.54%
GEN14244	NYS Deferred Compensation Plan	Deferred Compensation: Paydate 12/19/14	1,620.00			
GEN14245	Paychex, Inc.	Administrative Services: Pay Period ending 12/12/14	530.30			
GEN14246	DC Commissioner of Finance	Copier/Telephone Service: November 2014	282.83			
GEN14247	Environmental Capital, LLC	Financial advisory services: Fiscal year ending 2014	2,500.00	5,000.00	2,500.00	50.00%
GEN14248	Environmental Capital, LLC	Financial advisory services: Fiscal year ending 2013	2,500.00	5,000.00	5,000.00	100.00%
GEN14249	DC Commissioner of Finance	Printing services	174.00			
GEN14250	Staples Credit Plan	Paper clips/folders	23.84			
GEN14251	Burger, Jacqueline	Reimbursement for Board items	52.25			
GEN14252	NYS & Local Emp. Ret. System	Retirement System Monthly Reporting: December 2014	807.83			
GEN14253	Hudson Land Design Professional Eng, PC	Professional services: DC Airport Evaluation 11/1/14-11/30/14	8,483.75	15,139.00	8,483.75	56.04%
GEN14254	AFLAC	December 2014 Premium	309.48			
GEN14255	DC Commissioner of Finance	Copier/Telephone Service: December 2014	282.83			
GEN14256	Dell Marketing, L.P.	Project server/office pro plus/media	1,545.39			

DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
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<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
GEN14257	Dell Marketing, L.P.	Windows upgrade	364.46			
GEN14258	Mills, Edward J.	Mileage: 1/1/14-12/20/14	12.32			
GEN14259	Paychex, Inc.	Time and Labor Online: Admin Fee (December 2014)	70.00			
GEN15002 *	Employee Benefits Division	Health Insurance Premium: January 2015	16,102.12			
GEN15003	MVP Health Care, Inc.	January 2015 Health insurance	5,762.16			
GEN15004	NYS Deferred Compensation Plan	Deferred Compensation: Paydate 1/2/15	1,620.00			
GEN15005	MVP Health Care, Inc.	January 2015 Health Part time emp	167.40			
GEN15006	MVP Health Care, Inc.	January 2015 Health Retiree/medicare	167.40			
GEN15007	Paychex, Inc.	Administrative Services: Pay Period ending 12/26/14	532.46			
GEN15008	Staples Credit Plan	Paper/Drum	62.38			
GEN15009 *	Employee Benefits Division	Health Insurance Premium: February 2015	14,094.50			
GEN15010	Dell Marketing, L.P.	Extended services 2 year	1,579.82			
GEN15011	National Safety Council	Defensive Driving (4)	48.00			
GEN15012	Nelco	1099 Forms/envelopes	83.00			
GEN15013	NYS Deferred Compensation Plan	Deferred Compensation: Paydate 1/16/15	1,620.00			
GEN15014	Wesco Insurance Company	Annual Employee Disability Policy/Premium	669.60			
	SUBTOTAL		63,072.62			
<u>Hyde Park Regional Water System</u>						
HPW14048	Morris Assoc Engineering Consultants, PLLC.	Professional Services:SBW pipe replacement (1/19/14-12/6/14)	9,765.00	89,250.00	51,436.75	57.63%
HPW14049 ***	Casale Construction Services, Inc.	SBW Water system Rt 9 main replacement (payment #6)	138,585.18	1,426,555.00	1,116,664.40	78.28%

DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
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<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
HPW14050	Chazen Engineer, Land Surveying&Landscaping	Prof Serv: SBW- R19 Pipe replacement (1/22/14-12/26/14)	299.25	104,915.00	91,304.68	87.03%
HPR14376	Central Hudson Gas & Electric	Electric service: 10/30/14 -12/4/14(566207300012)	144.51			
HPR14377	Chickery's Auto Repair	Check sander	233.00			
HPR14378	USA BlueBook	Male connector/Hach sample	414.58			
HPR14379	Verizon Wireless	Modem line: 10/24/14-11/23/14	19.86			
HPR14380 E	Thomas Gleason Inc.	Emergency leak repair: River Rd	4,012.67			
HPR14381	Ulster Uniform Service, Inc.	Uniforms: December 2014	242.50			
HPR14382	Royal Carting Service Co.	Monthly Refuse Removal: December 2014	41.40			
HPR14383	Hudson River Truck Equip. Inc.	Hydraulic fluid/hose	68.35			
HPR14384	Home Depot Credit Services	towels	44.32			
HPR14385	Cablevision	Internet service: 12/16/14-1/15/15	169.70			
HPR14386	Central Hudson Gas & Electric	Electric service: 11/7/14-12/10/14 (56640195006)	386.06			
HPR14387	USA BlueBook	Test strips	42.84			
HPR14388	Northside Supplies, LLC	Ice bite	299.66			
HPR14389	The Vellano Corporation	Pressure regulator	405.70			
HPR14390 E	M&O Sanitation, Inc.	Pumped and cleaned pump station 11/25/14	5,000.00			
HPR14391	Verizon	Telephone service: 12/10/14-1/9/15 (229 9233/229 1117)	141.35			
HPR14392	Verizon Wireless	Cell phone service: 12/13/14-1/12/15	250.83			
HPR14393	Seaway Diving & Salv Co., Inc.	Diving services: 12/22/14	3,626.00			
HPR14394	Ti-Sales	Disc and support for scaletron	72.46			
HPR14395	Leisure Tech Supply	Carboys	35.90			
HPR14396	Chemtrade Chemicals Corporation	Chemicals: Alum sulfate	3,081.02			
HPR14397	H.A. Schreck, Inc.	Service to vertical turbine pump	3,022.50			

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<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
HPR14398	Smith Environmental Laboratory	Lab tests: November 2014	2,383.50			
HPR14399	Central Hudson Gas & Electric	Electric service: 10/15/14-12/17/14 (53503800004)	180.71			
HPR14400	Conway's Lawn & Power Equipmnt	Filter	18.19			
HPR14401	USA BlueBook	Disposable wipers/Steel Hydrant marker	549.68			
HPR14402	Thomas Gleason Inc.	Item 4 (12/16/14)	830.80			
HPR14403	Chickery's Auto Repair	Oil change	46.95			
HPR14404	Chickery's Auto Repair	Oil change/filter	95.94			
HPR14405	Chickery's Auto Repair	Interstate battery	159.95			
HPR14406	Chickery's Auto Repair	Oil change/fire rotation	98.95			
HPR14407	Chickery's Auto Repair	Oil change	62.95			
HPR14408 E	Double Dee Excavating Corp.	December 2014	4,225.00			
HPR14409 E	Thomas Gleason Inc.	Item 4 (12/2/14)	1,029.81			
HPR14411	Grainger	Heater	560.70			
HPR14412	The Vellano Corporation	Repair clamp	505.13			
HPR14413	Sarjo Industries	Boots/anti-seize/blaster	72.14			
HPR14414 *	Central Hudson Gas & Electric	Elec Serv: 11/21/14-12/26/14 (56171635016/3730013/4600017)	11,874.79			
HPR14415	Verizon Wireless	Modem line: 11/24/14-12/23/14	14.41			
HPR14416	Williams Lumber & Home Centers	December 2014	635.96			
HPR14417	Smith Environmental Laboratory	Lab tests: December 2014	1,165.50			
HPR14418	Wex Inc.	Fuel for vehicles: December 2014	1,508.65			
HPR15001	American Water Works Assoc.	Dues: Michael Licitis 3/1/15-2/29/16	85.00			
HPR15002	A-1 Communications, Inc.	Annual Rental Fee: 6 Radio Communications Units	831.60			

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<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
HPR15003	American Water Works Assoc.	Classes:4,5+10/15 (Dan L/Ken U)	370.00			
	SUBTOTAL		197,710.95			
	<u>Rokeby Water System</u>					
RKW14034	Frontier Communications	Telephone service: 12/1/14-12/31/14 (758 9223)	46.00			
RKW14035	VRI Environmental Services, Inc.	Operations and Maintenance: December 2014	616.99	7,403.00	7,403.00	100.00%
RKW15001	Frontier Communications	Telephone service: 1/1/15-1/31/15 (758 9223)	46.08			
	SUBTOTAL		709.07			
	<u>Schreiber</u>					
DSW14027	VRI Environmental Services, Inc.	Operations and Maintenance: December 2014	462.74	5,552.00	5,552.00	100.00%
DSW14028	NYSEG	Electric service: 11/8/14-12/10/14 (10011912549)	72.97			
	SUBTOTAL		635.71			
	<u>Shore Haven Water System</u>					
SHW14076	VRI Environmental Services, Inc.	Operations and Maintenance: December 2014	860.24	10,322.00	10,322.00	100.00%
SHW14077	Surpass Chemical Company, Inc.	Chemicals: Hypochlorite	105.00			

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<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
SHW14078	NYSEG	Electric service: 10/16/14-12/15/14(10032103375)	765.63			
SHW14079	Amrex	Chemicals: Liquid caustic soda/Ammonium Hydroxide	61.00		4,402.43	17.61%
SHW14080	Silkworth Engineering	Inspec/Booster station/Treatment facility #4(11/27/14-12/30/14)	120.00	25,000.00	14,487.50	15.05%
SHW14081 ***	Dolphin Equipment Corporation	Professional services: SHW Booster pump Payment #1	14,487.50	96,250.00		
SHW14082	Weston & Sampson Engineers, Inc.	Professional services: Shorehaven Water Dist Improvement #14	747.15	133,500.00	121,530.67	91.03%
		SUBTOTAL	17,146.52			
<u>Central Dutchess Water Transmission Line</u>						
CDW14245	Central Hudson Gas & Electric	Elec Serv:11/3/14-12/3/14 56852136011/2135013/50624675000)	4,366.14			
CDW14246	Dig Safely New York, Inc.	Location Request Services: November 2014	80.72			
CDW14247	Royal Carting Service Co.	Monthly Refuse Removal: December 2014	36.23			
CDW14248 *	City of Poughkeepsie	Water purchase: November 2014	124,149.67			
CDW14249	Paychex, Inc.	Administrative Services: Payroll Period ending 12/12/14	7.75			
CDW14250	Dutchess TEKCON Ind, Inc.	Reset reznor unit	276.00			
CDW14251	Dutchess TEKCON Ind, Inc.	Replaced amplifier	1,426.00			
CDW14252	Verizon	Telephone service: 12/13/14-1/12/15 (P23047714710917)	340.59			
CDW14253	Time Warner Cable	Internet service: 12/19/14-1/18/15 (8150410150093567)	67.95			
CDW14254	UPS	Delicate instrument shipping	23.33			
CDW14255	UPS	Shipping: IBM/Hach	32.72			
CDW14256	Smith Environmental Laboratory	Labs: November 2014	943.25			
CDW14257	TTI Environmental Incorporated	External inspection & report	2,250.00			

DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
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<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
CDW14258	NYS & Local Emp. Ret. System	Retirement System Monthly Reporting: December 2014	300.61			
CDW14259 *	City of Poughkeepsie	Water purchase: December 2014	124,149.67			
CDW14260	Smith Environmental Laboratory	Labs: December 2014	250.25			
CDW14261	Wex Inc.	Fuel for vehicles: December 2014	139.62			
CDW14262	DC Commissioner of Finance	Postage December 2014	10.85			
CDW15002	MVP Health Care, Inc.	January 2015 Health insurance	1,339.70			
CDW15003	Cablevision	Internet service: 12/23/14-1/11/15	119.90			
CDW15004	Psychex, Inc.	Administrative Services: Payroll Period ending 12/26/14	7.75			
CDW15005	A-1 Communications, Inc.	Annual Rental Fee: 2 Radio Communications Units	277.20			
CDW15006	Arlington Auto & Tire	Tire rotation/oil change	58.95			
CDW15007	Wesco Insurance Company	Annual Employee Disability Policy/Premium	52.80			
SUBTOTAL			260,707.65			

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<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
<u>VALLEY DALE SEWER SYSTEM</u>						
VDS14092	VRI Environmental Services, Inc.	Operations and Maintenance: December 2014	1,370.99	16,451.00	16,451.00	100.00%
VDS14093	Verizon	Telephone service: 12/10/14-1/9/15 (635 8820)	24.01			
VDS14094	Central Hudson Gas & Electric	Electric service: 11/18/14-12/22/14 (56530702002/0700014)	1,117.69			
VDS14095	DCWWA	Water charges: 10/1/14-12/31/14	34.32			
	SUBTOTAL		2,547.01			
<u>VALLEY DALE WATER SYSTEM</u>						
VDW14035	VRI Environmental Services, Inc.	Operations and Maintenance: December 2014	514.12	6,169.00	6,169.00	100.00%
VDW14036	Protective Power Systems & Controls, Inc.	Generator problem	135.00			
VDW14037	Central Hudson Gas & Electric	Electric service: 11/18/14-12/22/14(56530720004)	1,050.89			
VDW14038	Protective Power Systems & Controls, Inc.	Repair generator	275.00			
	SUBTOTAL		1,975.01			
	TOTAL WARRANT		594,164.44			

* Over \$10,000 - Check Requires Two Signatures

** Construction Voucher -Not All Construction Vouchers Require Board Signature

E/P Procurement Policy Emergency Repair Provision

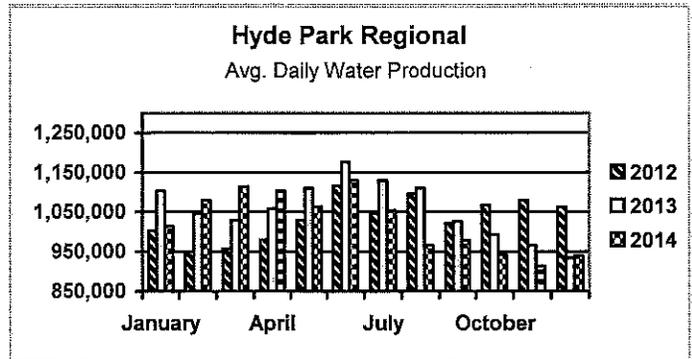
TO: Authority Board
 FROM: Frederic Zanetti
 DATE: January 13, 2015
 RE: December 2014 Operations Committee Report

*Present: K. Bastian, R. Doyle, S. Heupler, S. Osborn, M. Rowe, K. Sabia
 J. Taylor, R. Winchester, F. Zanetti*

**1. Hyde Park Regional
 (Zones A, B, C, D, L)**

Average daily usage: December-940,000
 November- 914,000 October- 943,000
 All testing aspects are in compliance.
 Action Items:

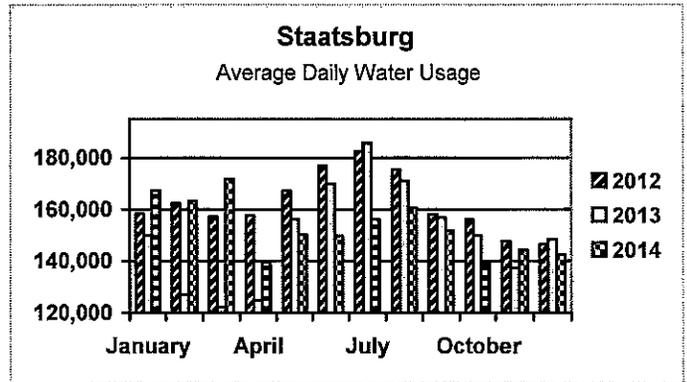
- Main break on Point Place repaired.
- Due to excessive vibration, Raw water pump 102 was removed and disassembled. Parts on order for repair.



2. Staatsburg Water (Zone C)

Average daily usage: December- 142,500
 November- 144,200 October- 139,100
 All testing aspects are in compliance.
 Action items:

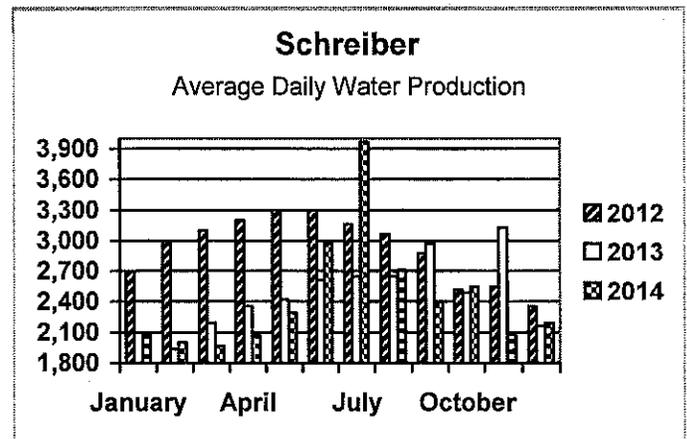
- Routine Operations.



3. Schreiber Water (Zone E)

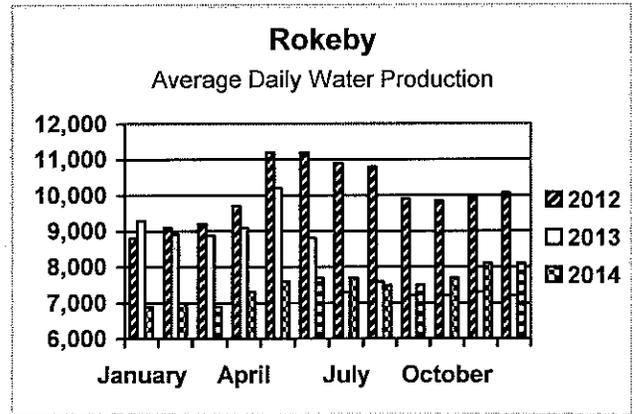
Average daily production: December- 2,194
 November- 2,073 October- 2,548

Action Items:
 -Normal operations.
 -Blending of well sources continues to be successful in reducing iron levels.



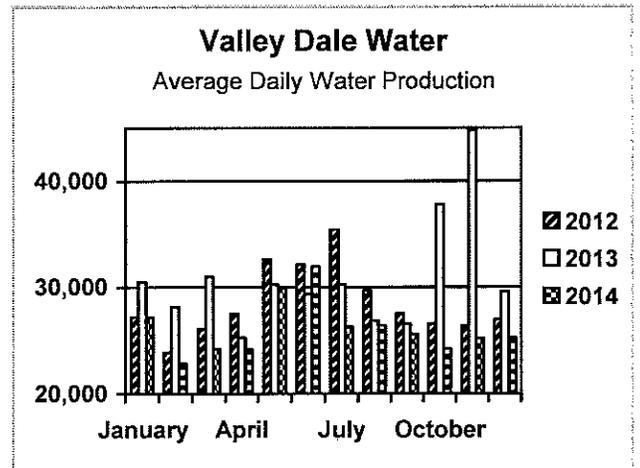
4. Rokeby Water (Zone F)

Average daily production: December- 8,100
 November- 8,100 October- 7,700
 All testing aspects are in compliance.
 Action items:
 - Routine operations.



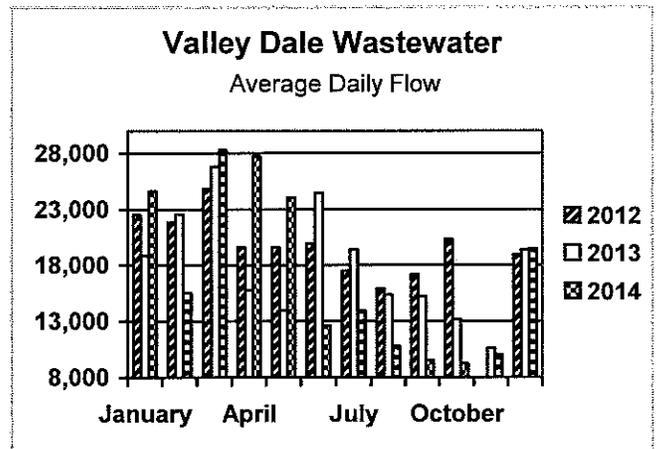
5. Valley Dale Water

Average daily production: December- 25,247
 November- 25,216 October- 24,218
 All testing aspects are in compliance.
 Action Items:
 - Changed all 4 filters.



6. Valley Dale Wastewater (S.D. #2)

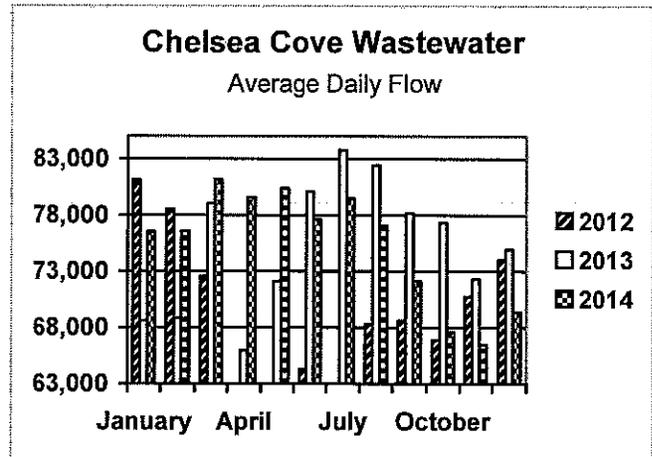
Average daily flow: December- 19,434
 November- 10,033 October- 9,231
 All testing aspects are in compliance.
 Action Items:
 - Routine operations.



7. Chelsea Cove Wastewater (S.D. #1)

Average daily flow: December- 69,406
 November- 66,507 October-67,629
 All testing aspects are in compliance.

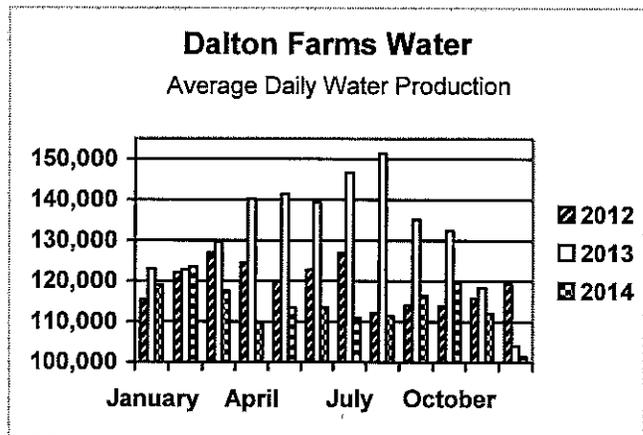
Action Items:
 - Routine operations.



8. Dalton Farms Water (Zone H)

Average Daily Production: December- 101,400
 November- 112,100 October- 119,600
 All testing aspects are in compliance.

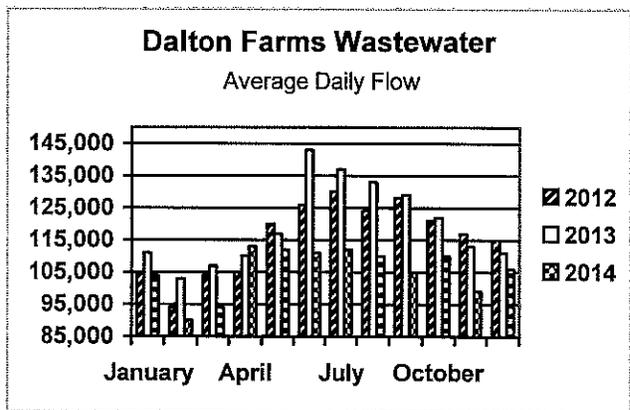
Action Items:
 - Normal operations.
 - Service line leak on Victoria Drive; repaired on Dec. 22.



9. Dalton Farms Wastewater (S.D. #3)

Average Daily Flow: December- 106,000
 November- 99,000 October- 110,000
 All testing aspects are in compliance.

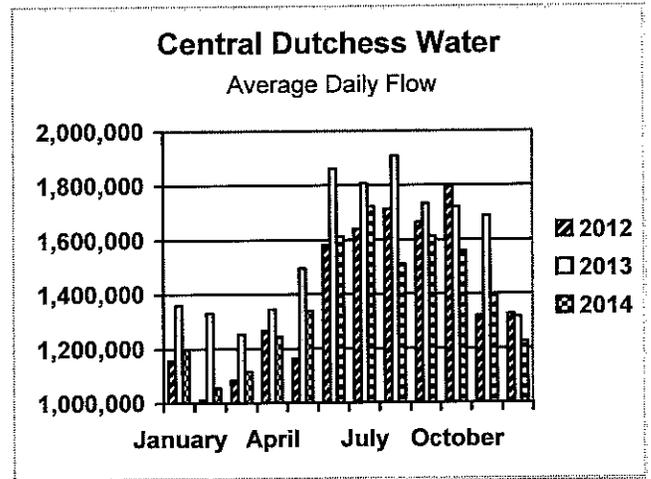
Action Items:
 - Normal operations.
 - Fire extinguishers inspected.



10. Central Dutchess Water Transmission Line

Average Daily Flow: December- 1,224,968
 November- 1,398,333 October-1,557,968
 All testing aspects are in compliance.
 Action Items:

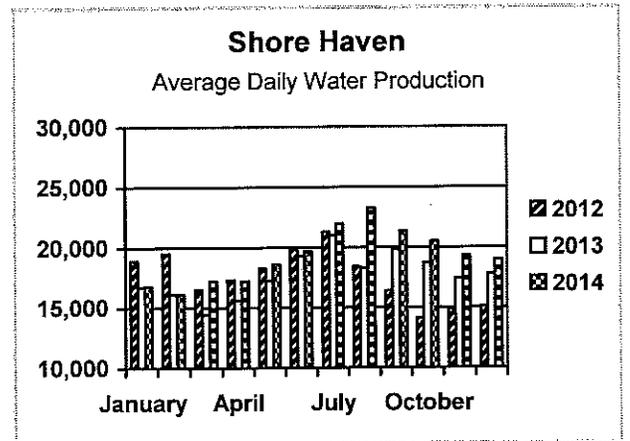
- Normal operations.
- Bulk storage tank inspections performed.



11. Shore Haven Water (Zone J)

Average daily production: December- 19,000
 November- 19,300 October- 20,500

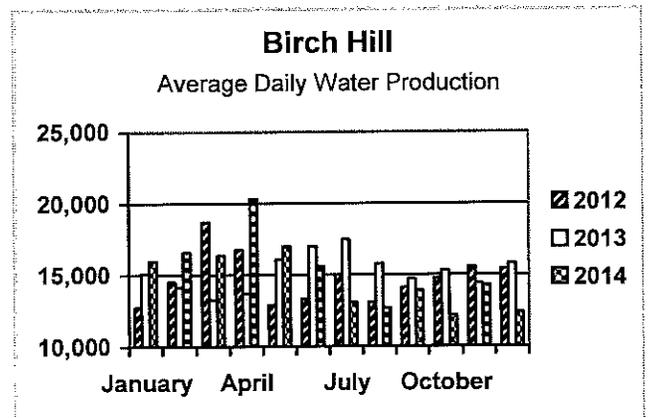
- Action items:
- Completed piping insulation.



12. Birch Hill Water (Zone K)

Average daily production: December- 12,400
 November- 14,300 October- 12,200
 All testing aspects are in compliance.
 Action items:

- Normal operations.



13. Fairways Water (Zone M)

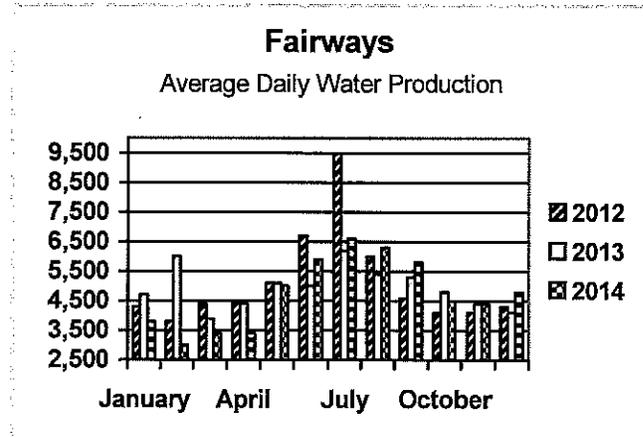
Average daily production: December- 4,800

November- 4,400 October-4,500

All testing aspects are in compliance.

Action items:

- Normal operations.
- System flushing completed Dec. 2.



TO: Authority Board
FROM: Bridget Barclay
DATE: January 22, 2015
RE: Shore Haven Water System Improvements Status Report

1) Disinfection By-Products Levels remain below Drinking Water Standards - Based on the fourth quarter sampling results for 2014 (collected 12/3/2014), levels of both Trihalomethanes (THM's) and Haloacetic Acids (HAA5's) continue to be below the Maximum Contaminant Level (MCL) for the required four-quarter rolling average. The fourth quarter THM level was 40.5 ug/l, bringing the four-quarter rolling average to 36.8 ug/l, compared to a MCL of 80 ug/l. The fourth quarter HAA5 level was 22 ug/l, bringing the four-quarter rolling average to 34 ug/l, compared to a MCL of 60 ug/l. Levels of THM's and HAA5's (Disinfection by-products) have both been below the MCL since September 2012.

The Authority activated the chloramination system on February 25, 2013 at Shore Haven as an interim strategy for treating the water and reducing the occurrence of disinfection by-products in it. Since that time, the four-quarter rolling averages for both THM's and HAA5's have continued to remain significantly below the MCL.

2) Radiologicals remain below the MCL in 4th Quarter - Water samples collected on December 3, 2014 indicated combined radium 226 and radium 228 level of 5 pCi/L (pico curies per liter). The quarterly average for radium 226 and radium 228 levels is now 4 pCi/L. The Maximum Contaminant Level (MCL) for combined radium 226 and radium 228 is 5 pCi/L.

3) Lead and Copper Results remain below action levels - Lead and copper samples were collected on December 9 & 10, 2014 from ten houses connected to the Shore Haven Water System. None of the individual sites sampled exceeded the action levels for lead (action level is 15 ug/l) or copper (action level for copper is 1.3 mg/l). The 90th percentile results were 5 ug/l for Lead and 1.16 mg/l for copper.

4) Iron and Manganese Levels - Based on the fourth quarter sampling results for 2014 (collected 12/3/2014), the combined Iron and Manganese level is .576 mg/l and continues to be above the Maximum Contaminant Level (MCL) of .5 mg/l. The fourth quarter Iron level was 0.437 mg/l, compared to a MCL of 0.3 mg/l. The fourth quarter Manganese level was 0.139 mg/l, compared to a MCL of 0.3 mg/l. While Iron and Manganese levels at Shore Haven have fluctuated over the years, they have historically been high, and so are being addressed as part of the overall water treatment strategy for Shore Haven.

5) Permanent Water Treatment Building - At the December 17, 2014 Board meeting, all bids for the Building Project were rejected. The Building Project had gone out to bid in August and two bids were received at the DCWWA office by the September 10, 2014 due date. The building will now be bid as part of the overall Treatment System Improvements project.

6) Booster Pump Station - The booster pumping station is still being manufactured in Texas by Tiger Flow. The unit is expected arrive in Dutchess County within the next few weeks.

7) Permanent Water Treatment System - On December 30, 2014, Authority Staff and Savin Engineers discussed possible approaches for re-scoping the overall Project to better contain costs and still obtain the goal of effective treatment for disinfection by-products and other water quality issues affecting Shore Haven.

Authority Staff met with DCWWA Board Chairman Legrand on January 16, 2015 to discuss proposed design changes to the Shore Haven Water Improvement Projects, such as: a) eliminating the proposed MIEX treatment system and maintaining a chloramination system as the permanent treatment strategy for Disinfection By-Products at Shore Haven, b) reducing and/or eliminating the scope of the proposed NYS Route 292 water main (i.e., Improvement "F").

8) Distribution System Improvements Design - Authority Staff continue to work with Weston & Sampson in the review and revision of design specs, drawings and other project documents for the future distribution system improvements. On December 19th, W&S transmitted updated drawings (at approx. 95% completion) to the Authority for review. On January 6, 2015, Authority staff returned comments back to the Engineer on the drawings. On January 14, Authority staff met with W&S to discuss possible reductions to the original project scope with regard to the proposed water main along NYS Rte. 292.

On January 15, 2015, Weston & Sampson transmitted the technical specifications (at 95% completion) of the Project to Authority Staff for review and comment.

9) Distribution System Flushing - Routine maintenance flushing of the distribution system continues on a monthly basis as weather permits.

Draft January 28, 2015

The following is an outline of the Accounts Receivables, Accounts Payables and Banking office procedures. The procedures have been developed to serve our customers and vendors, and to make the best use of staff resources, safeguard the financial resources, and insure accuracy.

Accounts Receivables Office Procedures

Bills are currently prepared on a system-by-system basis. For the following systems or zones within systems (Birch Hill Water, Chelsea Cove Sewer, Fairways Water, Rokeby Water, Schreiber Water, Staatsburg Water, Valley Dale Sewer, Valley Dale Water, Zone D Water) bills are generated on a quarterly basis, primarily using calendar quarters. Dalton Farms Sewer, Dalton Farms Water, Hyde Park Water, Shore Haven Water and Zone L Water have bills generated on a 4 month cycle. The remaining system, Central Dutchess Water Transmission Line, has two customers which are billed monthly and a fee schedule based on contractual requirements. Billing for the Chelsea Cove Sewer System, and the Valley Dale Sewer System is flat rate. Billing for the Rokeby Water System has a minimum charge for a maximum gallonage. If that maximum gallonage is exceeded, additional charges are incurred on a metered rate. Dalton Farms Sewer billing is a metered rate, in addition to a monthly service charge, as is Dalton Farms Water. The same billing policy is applied in the Fairways Water System, the Hyde Park Regional Water System which includes Staatsburg, Zone D and Zone L Water, the Schreiber Water System, the Shore Haven Water System, and the Valley Dale Water System. However, as the Hyde Park section of the Hyde Park Regional Water System has over 1,200 customers, they are billed in three different cycles. Each cycle is billed for a different four-month period. This creates a more evenly distributed pattern of billing. (See Attachment "A" for billing schedules).

The Authority board approves rates annually. With the exception of the Central Dutchess Water Transmission line which has specific contractual arrangements, rate sheets are created annually for each system upon adoption by the Authority board and are mailed to each customer with their next regularly scheduled bill and are posted on the Authority's web page which is accessed through the "Dutchess County On-Line" website via the link to County government departments or via the web address DCWWA.ORG.

Accounts Receivables record keeping for 2005 and forward is done using the AccuFund System, with all prior records being kept in a Visual dBase database. These prior records were kept as separate .dbf files for each billing period. These records are housed on the DCWWA server. Access is available to the Administrative Assistant, Assistant Financial Clerk, Account Clerk, the Receptionist/Typist, the Computer Network Facilitator, the Staff Treasurer and the Director of Operations. Additional staff accounts may be added with varying access rights tailored to meet the needs of the DCWWA. The server has a regular backup schedule (See Attachment "B").

Payment is due within thirty (30) days of the mail date. Most payments are received through the

regular mail. The Account Clerk opens them and proofs checks for accuracy and completeness. If the check is not complete ("Pay to the Order" is missing/incorrect, signature is missing, etc.), the Account Clerk will give them to the Receptionist/Typist. The Receptionist/Typist will then return the check and payment stub to the customer with a letter indicating why we could not accept payment, and what changes need to occur in order for the payment to be accepted and their account credited accordingly. If the check is complete and accurate, the payment stub is date stamped with the receipt date, the payment amount is indicated, and the check number is noted on the stub. If no payment stub has been sent, one is created. Checks are stamped "For Deposit Only" with the deposit account number recorded on the back of the check. The Account Clerk separates the payments by system. Until such time as the Account Clerk can begin this task, the payments are kept secured in the office of the Account Clerk, Administrative Assistant or Receptionist/Typist.

This same method applies if a payment by check is brought directly to the office. If a customer comes to the office with a cash payment, it may be received by the Receptionist/Typist, Account Clerk, Administrative Assistant, Assistant Financial Clerk, or Staff Treasurer; in that order. The customer is given a receipt for the amount received, with a stub being retained for office use. Cash receipts are signed using the full name of the person making out the receipt. An additional record of the transaction is kept in the Authority receipt book. If the cash is received by the Receptionist/Typist, it is given immediately to the Account Clerk if available, or the Administrative Assistant. The cash is kept secured until it can be taken to the bank for deposit, usually the next business day. If the payment has been received and secured by anyone other than the Account Clerk, an email is sent to the Account Clerk to make them aware of the receipt.

Deposits are prepared on an individual system basis. Check numbers are noted on the stubs. The deposits for each system are prepared using batch numbers. An adding machine tape totaling the stubs is prepared with the batch number recorded. A separate tape is run for the corresponding checks with the same batch number recorded. All totals must be identical. Once the bank deposit is complete, the deposit is then recorded on the computer by the Assistant Financial Clerk.

During October 2009, we moved to a system of Remote Check Deposit. All above procedures pertaining to receipt of payments and deposits continue to be followed. We acquired equipment and software that allow the Account Clerk to scan checks received. The Account Clerk enters information concerning the batch and then scans the checks in accordingly. The computer then indicates the total dollar amount credited to the DCWWA banking account based on the checks scanned. This amount is verified by the Account Clerk as matching the batch amount for the total of the payment stubs and checks for that same batch. A printout for the batches entered for the day is created which includes the check number for all checks scanned and credited. The Account Clerk then signs and dates the form, which is then filed. Although the checks are already considered "voided," they are filed by batch and kept for a period of 120 days in a locked file cabinet in the office of the Account Clerk. After 120 days, the Account Clerk pulls the form created on the scan day or "date of deposit" for the batch. The checks are then shredded and the Account Clerk initials and dates the form indicating that the checks listed on that form have now been destroyed. The Account Clerk checks the file daily in order to manage the file of receipted payment checks.

If cash is received as payment, each account payment is entered on a bank deposit slip with a calculator addition done to verify the total. A record of the batch numbers and totals is also recorded in a separate folder, kept by the Account Clerk for future reference. The bank deposit is made using the Jefferson Plaza branch of M&T Bank.

The policy for deposit of payments is that all payments are to be deposited within five (5) business days from date of receipt.

The payment stubs are used to enter the payments against customer accounts in the AccuFund System. The Account Clerk performs this task, with the backup to that position being the Administrative Assistant and the Assistant Financial Clerk in that order. Date of payment, batch numbers, and check numbers are recorded.

When the entries are completed, a printout of the batch is prepared. This printout reflects the customer name, account number or "Look Up" number, the total received, and the check number. This printout is then rechecked against the stubs to insure proper credit to each of the customers.

Both the bank deposits and AccuFund batches are entered into the Daily Deposit Log in Excel. This provides a control check of the deposits to the batches and ensures each has been entered.

The batch printouts are grouped by billing cycle. A printout of payments received for the billing cycle is generated and is attached to the group of batch printouts. The total on the billing cycle printout should match the total of the batch printouts.

When money is received in the office for purposes other than utility billing Accounts Receivables, such as service permit fees or bid deposits, the same procedures will be followed with the order of staff to receive those payments is as follows: Receptionist/Typist, Account Clerk, Administrative Assistant, Assistant Financial Clerk, Staff Treasurer. There are two additional steps, in that photocopies are made of the checks and distributed to any staff overseeing that area of interest as well as a scan of the check made by the Receptionist/Typist or Account Clerk.

We are in the process of working with our software vendor, AccuFund, to install a program during the 2015 fiscal year which would allow customers the option of paying their bills on line. At the time this occurs, protocol will be developed to cross check and verify all entries.

Accounts Payables Office Procedures

A. Payment Approval Process

Invoices are generally received by mail throughout the month. They are opened by the Receptionist/Typist and date stamped and then given to the Assistant Financial Clerk. Occasionally invoices are received either by fax or delivered in person. These invoices should also be received by or given to the Receptionist/Typist for the purpose of being date stamped. If invoices are received via email, the date the email is received will serve as the date stamp. Vendors are notified periodically that for payment at the end of any given month, invoices must be received by the 5th of that month. If staff determines that it is in the best interest of a project, or if a vendor calls with a valid request or notification for extension, we will accept an invoice past the deadline if the warrant sheet has not yet been established. A completed Authority voucher form must accompany invoices (See Attachment "C"). In addition, any vendor doing business with the Authority must have on file a completed Department of the Treasury Internal Revenue Service Form W-9, as well as Certificates of Insurance as required. Any Public Works service performed must also have Certified Payroll submitted with the invoice.

Vouchers are required to be filled out with name and mailing address of claimant, a brief description of the charges, and signature of claimant. The exception to this protocol involves utility charges, credit card, health insurance and loan invoices where the voucher is created in-house. All vouchers must be accompanied by an invoice with the letterhead or designation of the claimant and any and all corresponding backup. The Assistant Financial Clerk reviews the invoices for mathematical correctness and contract adherence. The Assistant Financial Clerk tracks current Certificates of Insurance required for vendors having contracts with the Authority. Insurance limit requirements stated in the contract must be reflected on the Certificate of Insurance and name the Authority as an "Additional Insured." At this time, the Assistant Financial Clerk notifies through email to any involved staff including the Staff Treasurer, if a vendor requesting payment is not meeting Authority requirements for their Certificates of Insurance. In 2015 we will be creating a database that will track required paperwork and all Staff will be required to reference the database for vendor adherence of Authority insurance requirements. This database will be maintained and overseen by the Assistant Financial Clerk. If an invoice is received without the required accompanying paperwork or the Certificate of Insurance is not up to date, the invoice is returned to the vendor with a cover letter indicating what paperwork must be sent with the invoice in order to process payment. The signature of the Assistant Financial Clerk is placed on the appropriate section of the voucher after all the appropriate backup and math has been checked and is deemed correct and any paperwork required to be on file with the Authority is deemed to be in place. If the invoice is mathematically correct, but there is some question as to the appropriateness of the invoice due to a contract, this is noted on the front of the voucher and the entry in AccuFund System is marked as "on hold". The Assistant Financial Clerk will assign fund allocation information and enter the voucher into AccuFund Accounts Payable. The information concerning the fund allocation and amounts being charged per allocation are noted on the voucher. The invoices for the month are organized by system and voucher number. There is a monthly Operations Committee meeting

and, at this meeting, the system operators are required to review the invoices that pertain to their area of operation. At this time, they are required to sign the voucher, indicating acknowledgment and agreement that the goods were received or expense incurred is valid as claimed. Any packing slips for items delivered directly to the systems are turned in at this time, unless they have been sent previously via email or fax, and accompany the invoice and voucher. If any non-emergency equipment is needed at a system not operated by Authority staff with a cost in excess of \$100, the contract operator is required to check with the Environmental Services Specialist for consent to make the purchase. Please refer to the Authority "Procurement Policy" for other requirements concerning the obtaining of goods or services on behalf of the Authority. Vouchers and invoices outside of system operation expenses are reviewed and signed for by the appropriate office staff person with an additional level of review by management staff, depending upon the area of expense.

After all questions have been addressed and approval signatures are received, a Warrant Sheet is prepared for the regular monthly meeting by the Assistant Financial Clerk. The Warrant Sheet is presented with vouchers grouped by system with a subtotal for each system. The Warrant Sheet and individual vouchers are then reviewed by the Staff Treasurer prior to distribution to Authority board members.

Each voucher is required to be approved at the monthly Authority meeting prior to payment being made. Exceptions to this policy are utility invoices, credit card invoices, insurance payments, and those invoices which involve contractually obligated loan payments. These can be paid by the due date, but are included on the Warrant Sheet for board approval. The entire Warrant Sheet is presented for approval at the regular monthly meeting. The only vouchers requiring board member signature are construction vouchers. Any construction voucher tied to a vendor contract, where the total of the contract exceeds \$20,000 will require the signature of the Board Treasurer, in addition to any required staff signatures. In the absence of the Board Treasurer, the voucher may be signed by the Board Chairman.

For accounting purposes, the Authority board has designated that purchases/improvements that meet the qualifications of a capital expense and are in excess of \$5,000 shall be charged to a capital expense line item within the accounting software system.

B. Processing of Payments

At this time, the Staff Treasurer and the Assistant Financial Clerk are authorized to write checks. A three-part laser printed check is used (negotiable check and two check stubs). Checks for payment against vouchers approved at the monthly meeting are written and mailed prior to the end of that month. Checks are kept in a locked file cabinet in the office of the Assistant Financial Clerk, with a set of keys held by the Staff Treasurer and the Assistant Financial Clerk. After checks are written, they are attached to the accompanying voucher with all backup material, and are taken to the Executive Director, Director of Operations, or Board Treasurer for signature. Any check in excess of \$10,000 requires two signatures. Payments made to the vendors include the check and one stub, with the second stub attached to the voucher for the file. The voucher is then considered paid and completed with the additional step of stamping it "Paid" and indicating check number, date, and the initials of the check issuer. It is possible that a voucher or vouchers have been conditionally approved at the meeting, waiting further

explanation or paperwork. This will be held aside in a separate folder with a check written once staff feels that the conditions placed by the board have been met.

BANKING

Funds received for Accounts Receivable, operational activities and bid deposits are currently deposited with M&T Bank and/or JP Morgan Chase. M&T Bank is the primary bank used for Accounts Receivables and Accounts Payables. Currently there are two checking accounts and additional savings accounts for various service or cost areas. At this time, the approved signatures for the checking accounts are the Executive Director, the Director of Operations and the Board Treasurer. Internal bank transfers between the accounts can be made by the Staff Treasurer, or in their absence, the Executive Director.

The Dutchess County Water and Wastewater Authority has a collateral agreement with M&T Bank and JP Morgan Chase that covers any amounts in the accounts on any given banking day above and beyond the normally insured limits.

Attachment "A"

	414	115	215	315	415
Birch Hill	Ending 11/30/14	Ending 2/28/15	Ending 5/31/15	Ending 8/31/15	Ending 11/30/15
	mail	mail	mail	mail	mail
	due	due	due	due	due
	read #	read #	read #	read #	read #
	414	115	215	315	415
Chelsea Cove	Ending 12/31/14	Ending 3/31/15	Ending 6/30/15	Ending 9/30/15	Ending 12/31/15
	mail	mail	mail	mail	mail
	due	due	due	due	due
	read #	read #	read #	read #	read #
	314	115	215	315	
Dalton Farms	Ending 1/31/15	Ending 5/31/15	Ending 9/30/15	Ending 1/31/16	
	mail	mail	mail	mail	
	due	due	due	due	
	read #	read #	read #	read #	
	314	414	115	215	315
Fairways	Ending 10/31/14	Ending 1/31/15	Ending 4/30/15	Ending 7/31/15	Ending 10/31/15
	mail	mail	mail	mail	mail
	due	due	due	due	due
	read #	read #	read #	read #	read #
	314	115	215	315	
Hyde Park A	Ending 11/30/14	Ending 3/31/15	Ending 7/31/15	Ending 11/30/15	
	mail	mail	mail	mail	
	due	due	due	due	
	read #	read #	read #	read #	
	314	115	215	315	
Hyde Park B	Ending 12/31/14	Ending 4/30/15	Ending 8/31/15	Ending 12/31/15	
	mail	mail	mail	mail	
	due	due	due	due	
	read #	read #	read #	read #	
	314	115	215	315	
Hyde Park C	Ending 10/31/14	Ending 2/28/15	Ending 6/30/15	Ending 10/31/15	
	mail	mail	mail	mail	
	due	due	due	due	
	read #	read #	read #	read #	
	314	414	115	215	315
Rokeby	Ending 10/31/14	Ending 1/31/15	Ending 4/30/15	Ending 7/31/15	Ending 10/31/15
	mail	mail	mail	mail	mail
	due	due	due	due	due
	read #	read #	read #	read #	read #

Attachment "A"

	414	115	215	315	415
Schreiber	Ending 11/30/14	Ending 2/28/15	Ending 5/31/15	Ending 8/31/15	Ending 11/30/15
	mail	mail	mail	mail	mail
	due	due	due	due	due
	read #	read #	read #	read #	read #
	314	115	215	315	
Shore Haven	Ending 10/31/14	Ending 2/28/15	Ending 6/30/15	Ending 10/31/15	
	mail	mail	mail	mail	
	due	due	due	due	
	read #	read #	read #	read #	
	314	414	115	215	315
Staatsburg	Ending 10/31/14	Ending 1/31/15	Ending 4/30/15	Ending 7/31/15	Ending 10/31/15
	mail	mail	mail	mail	mail
	due	due	due	due	due
	read #	read #	read #	read #	read #
	414	115	215	315	415
Valley Dale	Ending 12/31/14	Ending 3/31/15	Ending 6/30/15	Ending 9/30/15	Ending 12/31/15
	mail	mail	mail	mail	mail
	due	due	due	due	due
	read #	read #	read #	read #	read #
	414	115	215	315	415
Zone D	Ending 12/31/14	Ending 3/31/15	Ending 6/30/15	Ending 9/30/15	Ending 12/31/15
	mail	mail	mail	mail	mail
	due	due	due	due	due
	read #	read #	read #	read #	read #
	314	115	215	315	
Zone L	Ending 11/30/14	Ending 3/31/15	Ending 7/31/15	Ending 11/30/15	
	mail	mail	mail	mail	
	due	due	due	due	
	read #	read #	read #	read #	

Attachment B

To: File
From: Jonathan Churins
Date: Tuesday, January 09, 2015
Re: DCWWA Backup Procedure

Schedule: Daily backups are made on business days. During this process all tapes are monitored for alerts, missed files and device deterioration. A minimum of twelve DLT tapes are employed. A consumer grade drive is utilized to keep an additional data backup.

Media Storage: Weekly a tape is sent offsite. The remaining tapes are stored onsite.

Software: The Veritas Backup Exec software package is fully capable of making live copies of SQL databases (AccuFund Accounting Software) and all file server documents.

Server Raid Design: The current DCWWA file server has six hard drives. Two are configured in a RAID 0 arrangement. This separates the operating system from file server functions. The remaining drives are setup in a RAID 5 configuration. A spare drive is available in standby mode should another drive fail.

Server Uninterruptible Power Supply (UPS): At this time the server has two independent power modules. Module one is connected to an uninterruptible power supply and module two is connected to an isolated power feed with its own circuit breaker. The server can switch power supplies as needed.

This process is maintained in partnership with Dutchess County Planning and the county Office of Computer Information Systems. This ensures coverage during DCWWA staff vacation and sick days.

<<< END>>>

DUTCHESS COUNTY WATER & WASTEWATER AUTHORITY

27 High Street
 Poughkeepsie, NY 12601
 (845) 486-3601

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VOUCHER

Voucher No.	
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Claimant's

Name

Address

Dates	Vendor Invoice #	Quantity - Description of Matcrial / Services	Unit Price	Amount
Attachment "C"				
Total				-

CLAIMANT'S CERTIFICATION

I, _____ certify that the above account in the amount of \$ _____ is true and correct; that the items, services and disbursements charged were rendered to or for the Authority on the dates stated; that no part has been paid or satisfied; that taxes, from which the Authority is exempt; are not included, and that the amount claimed is actually due.

DATE	SIGNATURE	TITLE
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OPERATOR / ENGINEER / ADMINISTRATIVE APPROVAL
 The above services or materials were rendered on the dates stated.

ASSISTANT FINANCIAL CLERK APPROVAL
 The documentation has been reviewed and is found to conform With the Authority's Accounts Payable Policy.

 DATE OPERATOR / ENGINEER / ADMINISTRATOR
PAYMENT APPROVAL
 This claim is approved and ordered paid from the appropriations indicated above.

 DATE ASSISTANT FINANCIAL CLERK
FINANCIAL APPROVAL
 The documentation has been reviewed and is found to conform with the Authority's Accounts Payable Policy. This claim is approved and ordered paid from the appropriations indicated above.

 DATE BOARD TREASURER
 This claim is approved and ordered paid from the appropriations indicated above.

 DATE STAFF TREASURER

 DATE EXECUTIVE / DEPUTY DIRECTOR

PO	<i>For Office Use Only</i>	Fund-Allocation	Amount	Journal Entry
Cert				
Pay				
E/P/Quote				
CTS				

Dutchess County Water & Wastewater Authority
Investment Policy

Draft January 28, 2015

I. SCOPE

This policy applies to the investment of funds.

1. Pooling of Funds: Except for cash in certain restricted and special funds, the Dutchess County Water and Wastewater Authority (DCWWA) will consolidate cash balances from all funds to maximize investment earnings. Investment income will be allocated to the various funds based on their respective participation and in accordance with generally accepted accounting principles.

II. OBJECTIVES

The primary objectives, in priority order, of investment activities shall be safety, liquidity, and yield:

1. Safety: Safety of principal is the foremost objective of the investment program. The objective will be to mitigate credit and interest rate risk.

a. Credit Risk: The DCWWA will minimize credit risk, the risk of loss due to the failure of the security issuer or backer, by limiting investments to the safest types of securities and pre-qualifying the financial institutions, broker/dealers, intermediaries, and advisers with which the DCWWA will do business.

b. Interest Rate Risk: The DCWWA will minimize the risk that the market value of securities in the portfolio will fall due to changes in general interest rates, by structuring the investment portfolio so that securities mature to meet cash requirements for ongoing operations, thereby avoiding the need to sell securities on the open market prior to maturity and investing operating funds primarily in shorter-term securities, money market accounts, or similar investment pools.

2. Liquidity: The investment portfolio shall remain sufficiently liquid to meet all operating requirements that may be reasonably anticipated. This is accomplished by structuring the portfolio so that securities mature concurrent with cash needs to meet anticipated demands (static liquidity). Furthermore, since all possible cash demands cannot be anticipated, the portfolio should consist largely of securities with active secondary or resale markets (dynamic liquidity). A portion of the portfolio also may be placed in money market accounts or local government investment pools that offer same-day liquidity for short-term funds.

3. Yield: The investment portfolio shall be designed with the objective of attaining a market rate of return throughout budgetary and economic cycles, taking into account the investment risk constraints and liquidity needs. **Return on investment is of secondary importance compared to the safety and liquidity objectives described above.** The core of investments is limited to relatively low risk securities in anticipation of earning a fair return relative to the risk being assumed. Securities shall not be sold prior to maturity with the following exceptions:

- A security with declining credit may be sold early to minimize loss of principal.
- A security swap would improve the quality, yield, or target duration in the portfolio.
- Liquidity needs of the portfolio require that the security be sold.

III. DELEGATION OF AUTHORITY

The DCWWA board's responsibility for administration of the investment program is delegated to the Staff Treasurer or other officer designated, who shall act in accordance with established written procedures and internal controls for the operation of the investment program consistent with this policy and as further described within this document. Such procedures shall include an adequate internal control structure to provide a satisfactory level of accountability based on records incorporating description and amounts of investments, transaction dates, and other relevant information and regulate the activities of subordinate employees.

IV. PRUDENCE

All participants in the investment process shall seek to act responsibly as custodians of the public trust and shall avoid any transaction that might impair public confidence in the DCWWA to govern effectively.

Investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the safety of the principal as well as the probable income to be derived.

Officers and employees involved in the investment process shall refrain from personal business activity that could conflict with the proper execution and management of the investment program, or that could impair their ability to make impartial decisions. Employees and investment officials shall disclose any material interests in financial institutions with which they conduct business. They shall further disclose any personal financial/investment positions that could be related to the performance of the investment portfolio. Employees and officers shall refrain from undertaking materially significant personal investment transactions with the same individual with which business is conducted on behalf of the DCWWA.

V. DIVERSIFICATION

It is the policy of the DCWWA to diversify its deposits and investments by financial institution, by investment instrument, and by maturity scheduling.

VI. INTERNAL CONTROLS

It is the policy of the DCWWA for all moneys collected by any officer or employee of the government to transfer those funds to the designated bank within 5 business days of receipt, or within the time period specified in law, whichever is shorter.

The Staff Treasurer is responsible for establishing and maintaining an internal control structure to provide reasonable, but not absolute, assurance that deposits and investments are safeguarded against loss from unauthorized use or disposition, that transactions are executed in accordance with management's authorization and recorded properly, and are managed in compliance with applicable laws and regulations.

VII. DESIGNATION OF DEPOSITARIES

The banks and trust companies authorized for the deposit of monies up to the following maximum amounts are:

<u>Depository Name</u>	<u>Maximum Amount</u>
M&T Bank	\$10,000,000
JP Morgan Chase	\$10,000,000
TD Bank North	\$10,000,000
The Bank of New York Mellon	\$20,000,000 (as trustee)

VIII. COLLATERALIZING OF DEPOSITS

1. In accordance with the provisions of General Municipal Law 10, all deposits of DCWWA, including certificates of deposits, shall be secured with securities from the categories designated in Appendix A to the policy.

IX. SAFEKEEPING AND COLLATERALIZATION

Eligible securities used for collateralizing deposits shall be held by the bank or trust company subject to security and custodial agreements.

The security agreement shall provide that eligible securities are being pledged to secure local government deposits together with agreed upon interest, if any, and any costs or expenses arising out of the collection of such deposits upon default. It shall also provide the conditions under which the securities may be sold, presented for payment, substituted or released and the events that will enable the local government to exercise its rights against the pledged securities. In the event that the securities are not registered or inscribed in the name of the local government, such securities shall be delivered in a form suitable for transfer or with an assignment to the custodial bank.

The custodial agreement shall provide that securities held by the bank or trust company, or agent of and custodian for, the local government, will be kept separate and apart from the general assets of the custodial bank or trust company and will not, in any circumstances, be commingled with or become part of the backing for any other deposit or other liabilities. The agreement should also describe that the custodian shall confirm the receipt, substitution or release of the securities. The agreement shall provide for the frequency of revaluation of eligible securities and for the substitution of securities when a change in the rating of a security may cause ineligibility. Such agreement shall include all provisions necessary to provide the local government a perfected interest in the securities.

X. PERMITTED INVESTMENTS

As authorized by General Municipal Law 11, the DCWWA authorizes the Staff Treasurer or their designee to invest moneys not required for immediate expenditure for terms not to exceed its projected cash flow needs in the following types of investments:

- Special time deposit accounts collateralized as set forth in Section IX or fully insured by the Federal Deposit Insurance Corporation;
- Money Market Accounts, collateralized as set forth in Section IX or fully insured by the Federal Deposit Insurance Corporation;
- Money Market Mutual Funds; limited to funds that invest in US Government Securities and Securities guaranteed by the United States Government only;
- Operating Accounts (Checking Accounts and Interest Bearing Checking Accounts, fully insured by the Federal Deposit Insurance Corporation;
- Certificates of deposit collateralized as set forth in Section IX or fully insured by the Federal Deposit Insurance Corporation;
- Repurchase Agreements as set forth in Section XIII;
- Obligations of the United States of America;
- Obligations guaranteed by agencies of the United States of America where the payment of principal and interest are guaranteed by the United States of America;
- Obligations of the State of New York

All investment obligations shall be payable or redeemable at the option of the DCWWA within such times as the proceeds will be needed to meet expenditures for purposes for which the moneys were provided and, in the case of obligations purchased with the proceeds of bonds or notes, shall be payable or redeemable at the option of the DCWWA, within two years of the date of purchase.

XI. AUTHORIZED FINANCIAL INSTITUTIONS AND DEALERS

The DCWWA shall maintain a list of financial institutions and dealers approved for investment purposes and establish appropriate limits to the amount of investments that can be made with each financial institution or dealer. All financial institutions with which the local government conducts business must be credit worthy. Banks shall provide their most recent Consolidated Report of Condition (Call Report) at the request of the DCWWA. Security dealers not affiliated with a bank shall be required to be classified as reporting dealers affiliated with the New York Federal Reserve Bank, as primary dealers. The Staff Treasurer is responsible for evaluating the financial position and maintaining a listing of proposed depositaries, trading partners and custodians. Such listing shall be evaluated at least annually.

XII. PURCHASE OF INVESTMENTS

The Executive Director or Deputy Director is authorized to contract for the purchase of investments:

1. Directly from an authorized trading partner.
2. By participation in a cooperative investment program with another authorized governmental entity pursuant to Article 5G of the General Municipal Law where such program meets all the requirements set forth in the Office of the State Comptroller Opinion No. 88-46, and the specific program has been authorized by the governing board.

All purchased obligations, unless registered or inscribed in the name of the local government, shall be purchased through, delivered to and held in the custody of a bank or trust company. Such obligations shall be purchased, sold or presented for redemption or payment by such bank or trust company only in accordance with prior written authorization from the officer authorized to make the investment. All such transactions shall be confirmed in writing to the DCWWA by the bank or trust company. Any obligation held in the custody of a bank or trust company shall be held pursuant to a written custodial agreement as described in General Municipal Law 10.

The custodial agreement shall provide that securities held by the bank or trust company, as agent of and custodian for, the local government, will be kept separate and apart from the general assets of the custodial bank or trust company and will not, in any circumstances, be commingled with or become part of the backing for any other deposit or other liabilities. The agreement shall describe how the custodian shall confirm the receipt and release of the securities. Such agreement shall include all provisions necessary to provide the local government a perfected interest in the securities.

XIII. REPURCHASE AGREEMENTS

Repurchase agreements are authorized subject to the following restrictions:

- All repurchase agreements must be entered into subject to a Master Repurchase Agreement.
- Trading partners are limited to banks or trust companies authorized to do business in New York State and primary reporting dealers.
- Obligations shall be limited to obligations of the United States of America and obligations of agencies of the United States of America where principal and interest are guaranteed by the United States of America.
- No substitution of securities will be allowed.
- The custodian shall be a party other than the trading partner.

Appendix A

Schedule of Eligible Securities

(i) Obligations issued, or fully insured or guaranteed as to the payment of principal and interest, by the United States of America.

(ii) Obligations issued or fully insured or guaranteed by the State of New York, obligations issued by a municipal corporation, school district or district corporation of such State or obligations of any public benefit corporation, which under a specific State statute may be accepted as security for deposit of public moneys.

(iii) Zero coupon obligations of the United States government marketed as "Treasury strips".

DISPOSAL OF PROPERTY GUIDELINES
Dutchess County Water and Wastewater Authority

Proposed for Re-adoption January 28, 2015

The Dutchess County Water and Wastewater Authority (the "Authority"), a New York public benefit corporation, in compliance with the New York State Public Authorities Law, has established these Guidelines for the Disposal of Property (the "Guidelines"). These Guidelines shall apply to the Disposal of Real Property and certain Personal Property throughout the year following their adoption and until such time as the Authority adopts new or revised Guidelines. The Authority's Board of Directors shall review and approve of these Guidelines, with any necessary modifications and revisions, on a no less than an annual basis.

1. Definitions

As used in these Guidelines, the following definitions shall apply:

"Contracting Officer" shall mean the officer or employee of the Authority whom shall be appointed by resolution of the Authority's Board of Directors to be responsible for the disposition of Property pursuant to these Guidelines.

"Dispose" or "Disposition" shall mean the transfer of title or any other beneficial interest in Personal or Real Property in accordance with applicable sections of the New York State Public Authorities Law.

"Property" means Personal Property in excess of five thousand dollars (\$5,000) in value, Real Property, and any inchoate or other interest in such Property, to the extent that such interest may be conveyed to another person for any purpose, excluding an interest securing a loan or other financial obligation of another party.

"Personal Property" means any Property that is moveable, not attached to land, and tangible. Any asset other than real estate that is corporeal.

"Real Property" means lands, structures, franchise, rights and interests in land, waters, lands under water, riparian rights and air rights and any and all things and rights included within said term and includes not only fees simple absolute, but also any and all lesser interests including, but not limited to, easements, rights-of-way, uses, leases, licenses and all other incorporeal hereditaments and every estate, interest or right, legal or equitable, including terms for years and liens thereon by way of judgments, mortgages or otherwise.

2. Designation of Contracting Officer

The Authority hereby designates its *Staff Treasurer* as the Authority's Contracting Officer, in compliance with the provisions of New York State Public Authorities Law. The Contracting Officer shall hold this position until the members of the Authority's Board of Directors designate a new Contracting Officer or until such time as the members adopt new Disposal of Property Guidelines.

The Contracting Officer shall be responsible for the administration and implementation of these Guidelines. The Contracting Officer shall: (a) cause a copy of the most recently reviewed and approved Guidelines, and the name of the current Contracting Officer, to be filed with the New York State Comptroller on or before March 31st of each year; (b) cause a copy of the most recently reviewed and approved Guidelines to be posted on the Authority's website at the same time said Guidelines have been filed with the New York State Comptroller; and (c) cause a copy of the most recently reviewed and approved Guidelines to be maintained continuously on the Authority's website until such time as the Guidelines for the following year have been posted to the website.

3. Application of Guidelines

The procedures outlined in these Guidelines shall apply to the Authority's Disposal from time to time of all PERSONAL PROPERTY having a fair market value at the time of Disposal of more than five thousand dollars (\$5,000) and ALL interests in REAL PROPERTY. As used in these Guidelines, "Property" shall include Personal and Real Property. Personal and Real Property are distinguished from each other as appropriate in some Sections of these Guidelines.

All Property of the Authority to be Disposed of shall require prior to its respective Disposal, a resolution duly adopted by the Authority's Board of Directors declaring said Property as, "Surplus", and authorizing the Disposal of same.

However, before any Property under these Guidelines shall be declared as "Surplus" and subsequently disposed of, the Contracting Officer shall determine with certainty whether said Property was acquired with a direct appropriation from either the County of Dutchess, or any municipality located therein, and whether the Authority is obligated to repay said appropriation. Pursuant to Section 1125 of Title 6-C of the New York State Public Authorities Law (Authority's enabling legislation), the Dutchess County Legislature may determine if said appropriation is subject to repayment by the Authority to the County of Dutchess or the appropriate municipality, and in such event, may also determine the manner and time or times for such repayment. However, such repayment shall be subject first to the rights of any bondholders that may have an interest in the Property covered by the appropriation.

All Property of the Authority to be Disposed of shall require that a Bill of Sale, Acknowledgment, and/or comparable instrument specific and deemed appropriate to the transaction by applicable industry regulation, practice or standard, be generated and duly executed between the Authority and the purchaser and/or recipient of said Property. Such document shall include, but not be limited to: (a) the full market value of the Property being sold or transferred on the date that the Property was declared "surplus" by the Authority's Board of Directors; (b) if applicable, the purchase price of the Property being sold; (c) a description of the Property being transferred and/or sold by the Authority that is of sufficient detail so that a reasonable person may be able to readily discern the Property being sold or transferred by the Authority from any other Property that may be of a similar nature, and that the description shall also include any unique identifying numbers that may be assigned or affixed to the Property being sold or transferred by the Authority; (d) any other information, provisions, etc. that may required by applicable law, regulation or industry practice.

4. Purpose

The Authority has adopted these Guidelines to comply with the provisions of New York State Public Authorities Law and to realize a favorable return on the Disposal of Authority Property.

5. Fair Market Value

Before disposing of Property, the Contracting Officer shall take reasonable measures to determine the fair market value of the Property to be Disposed. Fair market value of Property that is unique in nature and therefore not subject to fair market value pricing shall be determined through an appraisal by a qualified professional. Prior to its Disposal, the fair market value of all REAL PROPERTY shall be established by an appraisal conducted by a qualified professional whom is a duly-licensed Real estate appraiser in New York State and included in the record of the transaction. No disposition of any other property, which because of its unique nature or the unique circumstances of the proposed transaction is not readily valued by reference to an active market for similar property, shall be made without a similar appraisal. No asset owned, leased or otherwise in the control of the Authority may be sold, leased or otherwise alienated for less than its fair market value except if the transferee is a public entity and the terms of the transfer require that use and ownership remain with a public entity; or the purpose of the transfer is within the purpose of the Authority. In the event a below fair market value transfer is proposed, the Authority shall submit such proposal to the governor, subject to approval. In addition, the Contracting Officer shall provide to the Authority Board and public a full description of the asset, an appraisal of fair market value, a description of the purpose of the transfer and the benefit to the public under the transfer, a statement of value to be received compared to fair market value, the names of any private parties participating in the transfer and the names of other private parties who have made an offer for the asset, the value offered and the purpose for which the asset was sought to be used. Before approving the disposal of any property for less than fair market value, the Authority Board shall consider the information described above and make written determination there is no reasonable alternative to the proposed below-market transfer that would achieve the same purpose.

6. Advertised Bid

All Disposals of Authority Property shall be made after public advertisement for bids for the purchase of Authority Property, excepting any such Disposals otherwise exempted by the provisions set forth in Section 9 of these Guidelines. The Contracting Officer shall order the advertising for bids in such a manner and in such publications or venues (electronic or otherwise) as the Contracting Officer deems reasonably necessary to permit full and fair competition for the Property consistent with the fair market value and nature of the Property. All advertisements for soliciting bids on Authority Property shall state the method, place and deadline for the submission of bids, and request any other information the Contracting Officer deems necessary to evaluate bids being solicited. All advertisements and announcements soliciting bids shall state the place and time at which the content of all bids received for the Property advertised shall be publicly disclosed. The content of all bids received shall be publicly disclosed as announced in the solicitation for bids.

Bidders shall be required to disclose in their respective bids to purchase Property being Disposed of by the Authority if they are, or were ever in the two years precedent to the Disposal of said Property, an Authority employee or staff member; a regular or ex-officio

member of the Authority's Board of Directors; a contractor or paid consultant to the Authority.

Members of the Authority's Board of Directors, the Authority's Executive Director and all other Authority staff and/or employees shall be precluded from bidding on and/or purchasing any Property that the Authority Disposes of that is subject to these Guidelines hereto, during their respective tenure on said Board, or tenure as an Authority staff member or employee, and continue to be so precluded for a period thereafter of one year.

Pursuant to Section 1137 of Title 6-C of the New York State Public Authorities Law (Authority's enabling legislation), it shall be a misdemeanor for any member of the governing body or any officer, agent, servant or employee of the Authority to be in any way or manner interested, directly or indirectly, in the furnishing or work, materials, supplies or labor, or in any contract therefore which the Authority is empowered by its enabling legislation to make.

7. Award of Property Subject to Bid

Award of the Property for which bids have been solicited shall be made within a timeframe reasonable for the evaluation of the bids received. The Contracting Officer shall evaluate the bids and advise the Authority's Board of Directors as to what bid is the most advantageous to the Authority based upon: (a) conformance with the invitation for bids; (b) the terms, including but not limited to the price offered; and (c) any other factors that warrant consideration. The Authority's Board of Directors by resolution shall then award the Property to the bidder recommended by the Contracting Officer provided that the requirements of all applicable Sections of these Guidelines have been adhered to. Notwithstanding the foregoing, the Authority's Board of Directors may reject as inadequate all bids received in response to a particular solicitation for bids if they deem that it is in the best interest of the Authority to reject all bids.

8. Notification of Successful Bid

The Authority shall notify the successful bidder in writing of the Authority's acceptance of the bid. This notice shall contain a description of the Property, the amount of the successful bid and any other material terms of the bid. The bidder shall be required to make payment to the Authority in a form and on terms acceptable to the Authority before taking possession of the Property.

The Authority shall gather the following information regarding any successful bidder: name, address, phone number and disclosure of past relationship to the Authority pursuant to Section 6 of these Guidelines. The Authority shall provide to the successful bidder a deed, bill of sale, lease or other proper and acceptable instrument to transfer interest and ownership in the Property to the successful bidder.

9. Disposal of Property by Negotiation

The Authority may Dispose of Property through negotiation or by public auction without regard to the above described advertising and bid procedures if the Contracting Officer determines that any of the following conditions exist:

(a) introduction into the market of the Personal Property to be Disposed of would adversely affect the local market for that kind of Property, and a fair market price and other satisfactory terms for the sale of the Personal Property can be obtained through negotiation;

(b) prices for the Property that were obtained by advertised bid were not reasonable or the bid process did not generate open competition;

(c) Disposal of the Property to the state or any political subdivision thereof at fair market value can be arranged through negotiation;

(d) the Property is being Disposed of for less than fair market value, the terms of the Disposal have been reached through public auction or negotiation, and meet the qualifications as described in Section 5 above, and the Authority's Board of Directors have approved the particular transaction by resolution; or

(e) the fair market value of the Property that is being Disposed of does not exceed fifteen thousand dollars (\$15,000).

10. Documentation of Disposal by Negotiation

The Contracting Officer shall cause to be prepared an explanation of the circumstances of the Disposal when Property is Disposed of through the negotiation process described in Section 9, and any of the following are true: (a) Personal Property Disposed of has an estimated fair market value in excess of fifteen thousand dollars (\$15,000); (b) Real Property sold has an appraised value in excess of one hundred thousand dollars (\$100,000); (c) Real Property leased has been leased for a period of five years or less and the estimated annual fair market rent is in excess of one hundred thousand dollars (\$100,000) for any such year; (d) Real Property leased has been leased for a period of more than five years and the total estimated fair market rent over the term of the lease is more than one hundred thousand dollars (\$100,000); (e) the Personal or Real Property has been Disposed of by exchange; or (f) any part of the consideration for the Property Disposed of consists of Real Property.

Not less than 90 days in advance of the Disposal, the Contracting Officer shall cause any and all explanatory statements required under this Section to be transmitted to the recipients of the yearly report of Dispositions set forth under Section 11 of these Guidelines.

11. Annual Property Report

Each year the Contracting Officer shall publish a report listing all Property Disposed of by the Authority during the previous calendar year. The report shall contain a full description of each item of Property Disposed of, the price received by the Authority, and the name of the individual(s) or entity that purchased the Property.

The Contracting Officer shall cause a copy of the report to be delivered to the New York State Comptroller, New York State Director of the Budget, New York State Commissioner of General Services, and the New York State Legislature c/o the Speaker of the House and the Senate Majority Leader by the thirty-first of March of the year that immediately follows the period of time covered by the report.

The Contracting Officer shall cause the report to be published on the Authority's website at the same time said report is delivered to the New York State Comptroller and others as set forth in the paragraph above.

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DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
GOODS AND SERVICES PROCUREMENT POLICY
Draft January 28, 2015

1.0 - Purpose and Scope of Policy Statement

This policy statement is intended to further the objective of ensuring the prudent and economical use of public monies, facilitating the acquisition of goods and services of maximum quality at the lowest possible cost and to guard against favoritism, improvidence, extravagance, fraud and corruption.

This policy addresses the legal and procedural requirements for competitive bidding; defines those instances of procurements of goods and services that are not subject to competitive bidding by law and establishes the alternative procedures to be followed in such instances.

2.0 - Annual Review and Adoption by the Authority Board

This policy statement shall be annually reviewed and adopted by a resolution of the Authority Board. Included in such annual adoption resolution, the Authority Board identifies the following Authority employees as responsible for authorizing procurements not requiring Board approval, as provided by this Policy:

- Executive Director
- Deputy Director
- Fiscal Officer or designee
- Director of Operations or designee

Further, the Board also designates, by virtue of such resolution, the following Authority employees as responsible for the opening of all competitive bids received by the Authority:

- Executive Director
- Deputy Director or designee
- Fiscal Officer or designee
- Director of Operations or designee
- Project Manager or designee

3.0 – General

3.1 Documentation

For all procurements it is important that adequate documentation be provided to demonstrate that all policy requirements were followed. In instances where the specified number of verbal or written price quotes has not been obtained, documentation must be provided of a good faith effort to obtain the required number of quotes. For all

procurements not subject to competitive bidding requirements, documentation and justification must be provided for any contract awarded to other than the lowest dollar proposer.

3.2 - Equal Opportunity Employment (EOE) and Minority/Women-Owned Business Enterprise (MWBE) Opportunity Requirements

Pursuant to Section 1138 of the Authority's Enabling Statute, the Authority, in awarding contracts for design, construction, services or materials shall ensure that all employees and applicants for employment are afforded equal opportunity without discrimination. Further, for the purposes of Article 15-A of the Executive Law, the Authority shall be deemed a state agency. Accordingly, the Authority must comply with the requirements of:

- Executive Law Section 312 regarding equal opportunity for minority groups and women in bid proposals and contracts:
 - For labor, services (including but not limited to legal, financial and other professional services,) supplies, equipment, materials or any combination of same where the proposed contract exceeds \$25,000, and
 - For acquisition, construction, demolition, replacement, major repair or renovation of real property where the proposed contract exceeds \$100,000.
- Executive Law Section 313 regarding minority and women owned business opportunity in bid proposals and contracts for acquisition, construction, demolition, replacement, major repair or renovation of real property where the proposed contract exceeds \$100,000.

3.3 - Procurements funded by Outside Programs or Agencies

For any procurement funded with dollars provided for that purpose to the Authority by Dutchess County or any other outside party or funding program, additional requirements may apply to that procurement. In the event of inconsistencies or conflicts in the requirements, the more stringent requirements shall govern the procurement process.

3.4 – Emergency Circumstances

In accordance with General Municipal Law Sect. 103(4), in the event of an Emergency, the procurement requirements may be waived, and purchases of supplies, material or equipment and/or contracts for public works or professional services may be authorized by the Executive Director, Deputy Director, Director of Operations or Fiscal Officer.

General Municipal Law Sect. 103(4) defines "Emergency" as arising out of an accident or other unforeseen occurrence or condition whereby circumstances affecting public buildings, public property or the life, health, safety or property of the inhabitants of a political subdivision or district therein, require immediate action. In the event such an Emergency requires the purchase of goods or material of less than or equal to \$20,000, or a contract for public works or professional services of less than or equal to \$35,000,

notification of the Emergency and the resultant procurements shall be made to the Authority Board at its next meeting. Such notification shall provide sufficient documentation to substantiate the existence of an Emergency.

In the event such an Emergency requires the purchase of goods or material of greater than \$20,000, or a contract for public works or professional services of greater than \$35,000, notification of the Emergency shall be made to the Authority Board Chairman as soon as is reasonably possible, and to the full Authority Board at its next meeting. Such notification shall provide sufficient documentation to substantiate the existence of an Emergency. At such meeting a resolution will be presented for the Board's consideration to confirm the existence of an emergency and to ratify the action of the appropriate officer in authorizing the procurement.

3.5 - Purchases through Dutchess County or NYS Office of General Services

In accordance with GML Sect. 103(3) the Authority may make purchases of goods, or may contract for services, other than services subject to article eight or nine of the labor law (e.g., those subject to prevailing wage requirements), when available, through Dutchess County without solicitation of price quotes or competitive bidding. In accordance with GML Sect. 104, the Authority may make purchases of goods (except for printed materials), or contract for some services, through the NYS Office of General Services (OGS) provided that such purchase exceed five hundred dollars, without solicitation of price quotes or competitive bidding. However, in the event that the Authority has solicited and received bids for goods or services, no purchase of goods or contract for services can be made through the County or NYS OGS unless such purchase may be made or the contract for such services may be entered into upon the same terms, conditions and specifications at a lower price through the County or NYS OGS.

3.6 - Sole Source Procurements

In cases where a reasonably exhaustive and documented search discloses that a good or service is available from only one vendor; where there is common knowledge of the existence of a monopolistic situation for a particular good or service being sought; or in cases where sales/distribution territories are assigned by or recognized by the manufacturer of a good or service being sought, that good or service may be purchased from a single identified vendor without competitive bidding or solicitation of quotations. Determination of sole source status shall be at the discretion of the Executive Director or Deputy Director, or their respective designees.

4.0 - Purchase of Goods and Materials

4.1 – General Provisions

The following provisions apply to all purchases of goods and materials regardless of cost.

4.1.1 - Standardization of Equipment, Materials or Supplies

In accordance with GML Sect. 103(5), the Authority Board may, upon the adoption of a resolution by a vote of at least three-fifths of all the members, determine that, for reasons of efficiency or economy, there is need for standardization, and may award a purchase contract for a particular type or kind of equipment, material or supplies, including for proprietary equipment, materials or supplies, to the lowest responsible bidder. Such a resolution shall contain a full explanation of the reasons for its adoption.

4.1.2 – Purchase of Surplus and Second-hand Supplies, Material or Equipment

In accordance with GML Sect. 103(6), surplus and second-hand supplies, material or equipment may be purchased without competitive bidding from the federal government, the state of New York or from any other political subdivision, district or public benefit corporation.

4.1.3 – Purchase of Recycled Products

In accordance with GML Sect. 104-a, when purchasing products the Authority may, wherever recycled products meet contract specifications and the price of such products is reasonably competitive, purchase such products.

4.2 – Purchases of Goods and Materials Less Than or Equal to \$20,000

4.2.1 – Procurement Requirements

Except as may be otherwise allowed by Sections 3.4, 3.5, 3.6, 4.1, or 4.2.2 of this Policy, all purchases of good and materials of less than or equal to \$20,000 must be procured in accordance with the following requirements:

- Purchases of \$500 or less – No price quotes or purchase orders are required.
- Purchases of \$501 to \$1,000 – No price quotes required. Purchase shall be authorized by a Purchase Order.
- Purchases or \$1,001 to \$5,000 – Verbal quotes from three responsible and responsive vendors (if available) are required. Purchase shall be authorized by a Purchase Order.
- Purchases of \$5,001 to \$20,000 –Written price quotes from three responsible and responsive vendors (if available) are required. Purchase shall be authorized by a Purchase Order.

4.2.2 - Special exceptions per GML Sect.104-b(2)(g)

The Authority Board may, in its sole discretion, identify specific circumstances when, or types of procurements for which, the solicitation of alternative proposals or quotations will not be in the best interest of the Authority. Such exceptions shall be established by resolution of the Authority Board.

4.3 – Purchases of Goods and Materials Greater Than \$20,000

Except as may be otherwise allowed by Sections 3.4, 3.5, 3.6 or 4.1 of this Policy, all purchases of goods and materials greater than \$20,000 must be procured pursuant to a competitive bidding process, with the purchase contract award authorized by a resolution of the Authority Board. Competitive bidding processes must be carried out in compliance with all provisions of General Municipal Law Section 103.

5.0 - Purchase of Public Works Services

5.1 - Public Works Services Less Than or Equal to \$35,000

5.1.1 – Procurement Requirements

Except as may be otherwise allowed by Sections 3.4, 3.5, 3.6 or 5.1.2 of this Policy, all public works services of less than or equal to \$35,000 must be procured in accordance with the following requirements:

- Procurements of \$1,000 or less – No price quotes are required, and services shall be authorized with a Public Works Service Order.
- Procurements from \$1,001 to \$5,000 - Verbal quotes from three responsible and responsive vendors (if available) are required and services shall be authorized by a Public Works Service Order.
- Procurements from \$5,001 to \$35,000 – A written scope of work is to be prepared and written quotes from three responsible and responsive vendors (if available) are required;
 - From \$5,001 to \$10,000 services shall be authorized by a contract approved by an Authority staff person empowered to do so by Section 2.0 of this Policy.
 - From \$10,001 to \$35,000 services shall be authorized by a contract approved by resolution of the Authority Board.

5.1.2 - Special exceptions per GML Sect.104-b(2)(g)

The Authority Board may, in its sole discretion, identify specific circumstances when, or types of procurements for which, the solicitation of alternative proposals or quotations will not be in the best interest of the Authority. Such exceptions shall be established by resolution of the Authority Board.

5.1.2.1 – Special Exception for Work to be Performed by Contract Operator

By adoption of the resolution establishing this Procurement Policy, the Authority Board hereby establishes the following special exception for work to be performed by Contract Operator:

From time to time it may be necessary to perform work at an operating water or sewer system in a manner that does not interfere with ongoing operations and/or that calls for a special familiarity with the system. In such instances,

the Executive Director, Deputy Director or Director of Operations may authorize such work to be performed by the independent operator under contract to the Authority to operate said system, without the solicitation of alternative proposals or quotations otherwise required by this policy.

- For any scope of work to be performed pursuant to such an agreement and where total fees are anticipated to be \$2,500 or less no additional documentation is required.
- For services in excess of \$2,500 but less than or equal to \$35,000 the Executive Director, Deputy Director or Director of Operations shall execute a project specific “Work Order” specifying scope of work, maximum duration and lump sum or estimated not-to-exceed costs.

5.2 – Public Works Services Greater than \$35,000

- Except as may be otherwise allowed by Section 3.4, 3.5 or 3.6 of this Policy, all contracts for services greater than \$35,000 must be procured pursuant to a competitive bidding process, with the contract award authorized by a resolution of the Authority Board. Competitive bidding processes must be carried out in compliance with all provisions of General Municipal Law Section 103.
- Wicks Law Requirements – In accordance with GML Sect. 101, for all building projects in excess of \$500,000, the Authority will prepare separate specifications for the following divisions of work: plumbing; HVAC; and electrical. These divisions will be bid separately, and contracts awarded to the respective low bidders for each division. For bidding projects not in excess of \$500,000, the Authority will require all bidders to submit, in a separate sealed envelope, names of all subcontractors to be utilized to perform these divisions of work and the agreed upon amounts to be paid to each. Subsequent to bid award, no changes to the subcontractors used, or amount paid, will be allowed without the Authority’s approval.

6.0 - Professional Services

6.1 – General Provisions

6.1.1 - Qualification Based Selection

Where it is deemed to be in the best interest of the Authority to do so, Professional Services may be procured through a qualification based selection process wherein firms will be pre-qualified to provide selected services based on their experience, past performance, ability to undertake the work, financial capability, and their reliability. A good faith effort shall be made to qualify a minimum of three responsible and responsive firms (if available.) Price proposals will be considered only from pre-qualified firms.

6.1.2 – Multi-Year Agreements

Where a professional services contract provides an option for renewal, all provisions for the same may be fully exhausted before the particular service shall be subject to a subsequent request for proposals. Annual contracts subject to renewal must be reviewed and approved by the Authority Board. Professional service agreements shall not be for a total term, including all renewals, of longer than five years.

6.2 – Professional Services Less Than or Equal to \$35,000

6.2.1 – Professional Services of Less Than or Equal to \$10,000

No price quotes are required. Services shall be authorized by a Professional Services Letter Agreement approved by an Authority staff person empowered to do so by Section 2.0 of this Policy.

6.2.1 – Professional Services of \$10,001 to \$35,000

Except as may be otherwise allowed by Sections 3.4, 3.5, 3.6 or 6.1 of this Policy, a written scope of services is to be prepared and written quotes from three responsible and responsive firms (if available) are required. Services shall be authorized by a Professional Services Letter Agreement approved by resolution of the Authority Board.

6.2.2 - Services provided pursuant to Annual Professional Services Agreements

The Authority annually contracts for general legal, engineering, surveying and financial advisory services, and for general engineering services specific to each water and sewer system owned by the Authority.

- For any scope of work to be performed pursuant to such an agreement and where total fees are anticipated to be \$2,500 or less no additional documentation is required.
- For services in excess of \$2,500 but less than or equal to \$35,000 the Executive Director, Deputy Director or Director of Operations shall execute a project specific “Task Order” specifying scope of work and lump sum or estimated not to exceed costs.

6.3 – Professional Services Greater than \$35,000

6.3.1 – Procurement Requirements

Except as may be otherwise allowed by Sections 3.4, 3.5, 3.6, 6.1 or 6.3.2 of this Policy, all contracts for services greater than \$35,000 must be procured pursuant to a formal Request for Proposals (RFP) process, with the contract award authorized by a resolution of the Authority Board.

6.3.2 - Special exceptions per GML Sect. 104-b(2)(g)

The Authority Board may, in its sole discretion, identify specific circumstances when, or types of procurements for which, the solicitation of alternative proposals or quotations will not be in the best interest of the Authority. Such exceptions shall be established by resolution of the Authority Board.