

# DUTCHESS COUNTY



27 High St. 2<sup>nd</sup> Floor  
Poughkeepsie  
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DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY  
THURSDAY, MARCH 24, 2016  
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

**Brian Scoralick**  
Acting Executive Director  
Soil and Water Conservation District

**Eoin Wrafter**  
Commissioner  
D.C. Dept. of Planning & Development

### Staff

**Bridget Barclay**  
Executive Director

**Mary C. Morris**  
Deputy Director

1. Meeting Open – Introductions
2. Public Comment
3. Approval of Minutes
  - February 17, 2016 Board Meeting (R2016.03.A)
4. Chairman’s Report
5. Operations Report
6. Finance Report
  - 2015 System Budget Close-outs (R2016.03.B)
  - Review and Approval of 2015 Financial Statement (R2016.03.C)
  - Review and Approval of 2015 Authority Budget Office Annual Report (R2016.03.D)
  - Approval of Warrant (R2016.03.E)
  - Approval of Bond Resolution – 2016 Water Service Agreement Revenue Bonds (R2016.03.F)
7. System/Capital Projects
  - Bid Award – DFS HV&L Phase 1 General Exhaust (R2016.03.G)
  - Bid Award – DC Airport Subsurface Exploration (2016.03.H)
8. Community Projects
  - SHW Project Status and Schedule Review
  - Meadows at Pawling Water and Sewer
9. Confirm next meeting date - Wednesday, April 20, 2016
10. Adjourn

Meeting will be held at 27 High Street – 2nd Floor Conference Room  
Members please call Lisa (475-3515) ASAP if you cannot attend.

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**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY  
DRAFT MINUTES OF FEBRUARY 17, 2016**

Authority Board Members

**Thomas LeGrand**  
Chairperson

**Vincent DiMaso**  
Vice-Chairperson

**Rudy Vavra**  
Treasurer

**Lawrence R. Knapp**  
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Commissioner  
D.C. Dept. of Planning & Development

Staff

**Bridget Barclay**  
Executive Director

**Mary C. Morris**  
Deputy Director

**Board Members Present**

Tom LeGrand

Vince DiMaso

Rudy Vavra

Larry Knapp

**Staff Present**

Bridget Barclay

Jackie Burger

Jonathan Churins

Peter Fadden

Ed Mills

Mary Morris

Doug Odell

**Ex-Officio Member**

Eoin Wrafter – Commissioner, Dutchess County Planning and Development

**Others Present**

Don Sagliano – Legislative Liaison

Marie Brule – Dutchess County Department of Health

**Meeting Open – Introductions**

Tom LeGrand opened the meeting at 3:35 p.m.

**Public Comment**

There were no members of the public present.

**Chairman’s Report**

Tom said the Chairman’s report would be discussed in Executive Session.

**Approval of Board Meeting Minutes**

Tom requested a motion to approve the minutes of the January 20, 2016 board meeting. The motion was made by Vince, seconded by Rudy; voted on and passed unanimously. (Res. 2016.02.A/01)

### **Operations Report**

Doug noted a short term issue involving ice accumulating on the intake at the Hyde Park Plant. Increasing temperature allowed the ice to melt and alleviated the situation. The operations report was accepted as submitted.

### **Finance Report – Approval of Warrant**

Mary noted an amendment to the warrant was handed out at the meeting. Larry made a motion to accept the warrant as amended. This was seconded by Rudy and passed unanimously. (Res. 2016.02.B/02)

### **2015 System Budgets Transfers**

Rudy made a motion that the Board approves the transfer of funds from the Shore Haven and Schreiber Water System fund balances to their 2015 Operating Budgets. This was seconded by Larry and passed unanimously. (Res. 2016.02.C/03)

### **System and Capital Projects – Award PBS WWTP Project Engineering Contract**

Rudy made a motion to authorize the Executive Director or Deputy Director to execute an agreement with Rennia Engineering Design, PLLC in the amount not-to-exceed \$168,245 for the Pinebrook Sewer System – Treatment Plant Replacement Project Professional Engineering Services. This was seconded by Larry and passed unanimously. (Res. 2016.02.D/04)

### **Shore Haven Project Status**

Bridget noted that only manganese is outside the drinking water standards. We continue to be within the drinking water standards for disinfectant by-products, radionuclides, copper and iron. Staff is working with Savin Engineers on the responses to the latest round of Health Department comments. Final plans have been submitted to the Health Department for approval of the Distribution System improvements.

### **Information Memorandum on Bid Issuance Procedures**

Bridget presented a memo for the Board's information regarding potential new avenues for publicizing the Authority's bid advertisements.

### **Community Projects – Hoffman (Red Hook Acres) Water and Wastewater Status**

Bridget said staff has been working with Kirchoff and the Village of Red Hook to sell water to the Hoffman (Red Hook Acres) project.

### **2016 Walkway Marathon – Proposal to Provide Water**

Bridget said she had discussion with Larry after last year's Walkway Marathon, for which all water had to be carted in. We then had discussions with the Marathon organizers about using water from the Central Dutchess Water Line. She noted that the Marathon has three watering stations along the section of the Dutchess County Rail Trail where the water line is installed. It was determined that we could use taps on the CDWTL at those locations to provide water. It was noted that the taps would be flushed and sampled before the event.

**Executive Session**

Vince made a motion to enter into Executive Session. This was seconded by Larry and passed unanimously. (Res. 2016.02.E/05)

Rudy made a motion to close Executive Session. This was seconded by Vince and passed unanimously. (Res. 2016.02.F/06)

**Authorize Property Appraisal Agreement**

Vince made a motion to authorize the Executive Director or Deputy Director to execute an agreement With R.P. Hubbell and Company for an amount not-to-exceed \$15,000 to conduct appraisals, as the first step in pursuing condemnation proceedings as may be necessary and in the public interest to allow the completion of the Shore Haven Water Distribution Improvement Project. This was seconded by Larry and passed unanimously. (Res. 2016.02.G/07)

**Confirm Next Meeting Date**

Tom confirmed the next meeting date of March 16, 2016 at 3:30pm

**Motion to adjourn**

At 4:50pm Tom asked for a motion to adjourn. Rudy made the motion, seconded by Vince and passed unanimously. (Res. 2016.02.H/08)

Respectfully submitted,



Jackie Burger  
Senior Typist

**Resolutions**

- |                   |   |
|-------------------|---|
| Res. 2016.02.A/01 | Motion to approve minutes from the January 20, 2016 board meeting |
| Res. 2016.02.B/02 | Motion to approve the warrant, as amended                         |
| Res. 2016.02.C/03 | Motion to approve 2015 System Budget Transfers                    |
| Res. 2016.02.D/04 | Motion to Award PBS WWTP Project Engineering Agreement            |
| Res. 2016.02.E/05 | Motion to enter into executive session                            |
| Res. 2016.02.F/06 | Motion to close executive session                                 |
| Res. 2016.12.G/07 | Motion to authorize Property Appraisal Agreement                  |
| Res. 2016.12.H/08 | Motion to adjourn   |

## **Resolution Package – Not for Release**

### **Summary of Possible Motions for March 24, 2016 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 – February 17, 2016 Board Meeting (R2016.03.A)
2. 2015 System Budget Close-outs (R2016.03.B)
3. Review and Approval of 2015 Financial Statement (R2016.03.C)
4. Review and Approval of 2015 Authority Budget Office Annual Report (R2016.03.D)
5. Approval of Warrant (R2016.03.E)
6. Approval of Bond Resolution – 2016 Water Service Agreement Revenue Bonds (R2016.03.F)
7. Bid Award – DFS HV&L Phase 1 General Exhaust (R2016.03.G)
8. Bid Award – DC Airport Subsurface Exploration (R2016.03.H)

**RESOLUTION NO. 2016.03.A**

**Authority Board – DCWWA  
March 24, 2016 meeting**

\_\_\_\_\_ offers the following resolution and moves its adoption:

**Approval of Minutes – February 17, 2016 Board Meeting**

Seconded by \_\_\_\_\_

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

**2015 System Budget Close-outs**

\_\_\_\_\_ offers the following resolution and moves its adoption:

WHEREAS; the Staff Treasurer has reviewed all revenues and expenses for the Authority controlled budgets for fiscal year 2015, and

WHEREAS; and the 2015 budget revenues and expenses as presented, have been recommended by the Staff and reviewed by the Authority Board to close out the 2015 budgets,

THEREFORE BE IT RESOLVED THAT; the attached 2015 budget close outs are approved.

Seconded by \_\_\_\_\_

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

**Review and Approval of 2015 Financial Statement**

\_\_\_\_\_ offers the following resolution and moves its adoption:

WHEREAS; the Authority Auditors have provided their audit report for the financial records of the Dutchess County Water and Wastewater Authority for fiscal year 2015, and

WHEREAS; the report has been presented to the Board at the March 24, 2016 meeting of the Dutchess County Water and Wastewater Authority and has been reviewed by Staff and the Authority Board with no changes recommended,

THEREFORE BE IT RESOLVED THAT; the Authority Board hereby approves the 2015 financial audit and authorizes the release of the 2015 Financial Statement.

Seconded by \_\_\_\_\_

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

**Review and Approval of 2015 Authority Budget Office Annual Report**

\_\_\_\_\_ offers the following resolution and moves its adoption:

WHEREAS; Section 2800 of the New York State Public Authorities Law requires each Authority to annually prepare an Annual Report describing its activities of the prior fiscal year, and submit same to the Public Authority Budget Office, the County Executive, the chief County fiscal officer, and the Chair of the County Legislature by March 31, and

WHEREAS; Staff has prepared and submitted to the Board the required components of the Annual Report for 2015 in accordance with the requirements of the Law, and

WHEREAS; the Authority Board has reviewed the Annual Report components as submitted and finds the information therein to be accurate, correct and complete,

THEREFORE BE IT RESOLVED THAT; the Authority Board hereby approves the report components of the Annual Report as presented and authorizes the Executive Director or Deputy Director to certify the 2015 Annual Report to the NYS Authority Budget Office.

Seconded by \_\_\_\_\_

<b><u>Record of Vote:</u></b>	<b><u>Aye</u></b>	<b><u>Nay</u></b>
Thomas LeGrand	___	___
Vincent DiMaso	___	___
Larry Knapp	___	___
Rudy Vavra	___	___

**Approval of Warrant**

\_\_\_\_\_ offers the following resolution and moves its adoption:

**Approval of warrant, as presented**

Seconded by \_\_\_\_\_

<b><u>Record of Vote:</u></b>	<b><u>Aye</u></b>	<b><u>Nay</u></b>
Thomas LeGrand	___	___
Vincent DiMaso	___	___
Larry Knapp	___	___
Rudy Vavra	___	___

**RESOLUTION AUTHORIZING THE ISSUANCE AND SALE OF THE AUTHORITY'S  
SERVICE AGREEMENT REVENUE BONDS, SERIES 2016 AND THE APPROVAL  
AND EXECUTION OF RELATED DOCUMENTS**

\_\_\_\_\_ offers the following resolution and moves its adoption:

WHEREAS; by Title 6-C of Article 5 of the Public Authorities Law of the State of New York (the "Act"), the Dutchess County Water and Wastewater Authority (the "Authority") was created with the authority and power to issue its revenue bonds for the purpose of, among other things, planning, developing, acquiring, constructing and financing the cost of any project (as defined in the Act) owned or operated by or for the benefit of the Authority in accordance with the Act, and

WHEREAS; the Authority desires to issue its Service Agreement Revenue Bonds, Series 2016 (the "Bonds") in two series, the first series of which will be in the aggregate principal amount not to exceed \$3,800,000 to refund \$3,670,000 of the Authority's outstanding Service Agreement Revenue Bonds, Series 2009, the second series of which will be issued in the aggregate principal amount not to exceed \$1,600,000 to (i) redeem, along with available funds, \$1,660,500 of notes issued to pay costs related to the Staatsburg Water System, (ii) undertake capital improvements to the Birch Hill Water System, (iii) fund the Debt Service Reserve Fund, and (iv) pay costs of issuance, and

WHEREAS; the Authority has chosen Roosevelt & Cross, Inc. (the "Underwriter") to act as underwriter of the Bonds, and

WHEREAS; the issuance of the Bonds at private sale is subject to the approval of the New York State Comptroller, and

WHEREAS; it is now desired to authorize the issuance of the Bonds by negotiated sale to the Underwriter and to approve and authorize the execution of related documents,

THEREFORE BE IT RESOLVED by the Dutchess County Water and Wastewater Authority as follows:

Section 1. The Authority hereby finds and determines:

- (a) By virtue of the Act, the Authority has been vested with all powers necessary and convenient to carry out and effectuate the purposes and provisions of the Act and to exercise all powers granted to it under the Act.
- (b) It is desirable and in the public interest for the Authority to issue and sell the Bonds, pursuant to a certain Eighteenth Supplemental Resolution dated as of March 15, 2016 to that certain 1998 Water System General Revenue Bond Resolution, dated as of June 1, 1998 by and between the Authority and The Bank of New York Mellon (the "Trustee"), as Trustee (the "General Revenue Bond Resolution" and together with the Eighteenth

Supplemental Resolution, the "Bond Resolution") and in accordance with the Bond Purchase Agreement between the Authority and the Underwriter (the "BPA").

Section 2. In consequence of the foregoing, the Authority hereby determines to: (i) issue and sell the Bonds to the Underwriter pursuant to the terms and conditions set forth in the Bond Resolution and the BPA; (ii) use the proceeds of the Bonds as previously described; (iii) enter into each agreement hereafter identified in this resolution; (iv) execute an Arbitrage Certificate in connection with the issuance of the Bonds; (v) file the IRS Form 8038-G Information Return in connection with the issuance of the Bonds; (vi) execute a Preliminary and a Final Official Statement (the "Official Statement") relating to the Bonds and authorize the distribution, publication and use thereof by the Underwriter in the offer and sale of the Bonds; (vi) execute a Continuing Disclosure Undertaking in connection with the Official Statement; (vii) execute an Escrow Contract, and (viii) execute such other documents and take such other action as may be necessary to effectuate the purposes of this resolution.

Section 3. The form and substance of the Bonds (in substantially the form presented to this meeting) are hereby approved.

Section 4. The form and substance of the Eighteenth Supplemental Resolution (in substantially the form presented to this meeting) are hereby approved.

Section 5. The form and substance of the BPA (in substantially the form presented to this meeting) are hereby approved.

Section 6. The form and substance of the Official Statement (in substantially the form presented to this meeting) are hereby approved.

Section 7. The Authority is hereby authorized to issue, execute, sell and deliver the Bonds to the Underwriter in the aggregate principal amount and at the rate of interest and upon such terms as shall be approved by the Chairman, Vice Chairman, Treasurer or Executive Director and in substantially the form heretofore approved in this Resolution, provided that:

- (a) The Bonds hereby authorized to be issued, executed and delivered shall be issued, executed and delivered at such time as the Chairman, Vice Chairman, Treasurer or Executive Director of the Authority shall determine and shall not be issued until prior approval of the terms and conditions thereof shall have been obtained from the State Comptroller.
- (b) The Bonds shall be issued solely for the purposes previously described.
- (c) The Bonds and the interest thereon are not and shall never be a debt of the State of New York or any political subdivision thereof other than the Authority, including without limitation Dutchess County, and neither the State of New York nor any political subdivision thereof other than the Authority, including without limitation Dutchess County, shall be liable thereon.

Section 8. (a) The Chairman, Vice Chairman, Treasurer or Executive Director of the Authority are hereby authorized, on behalf of the Authority, to execute and deliver, the Eighteenth Supplemental Resolution and the Bonds, all as described above and the Secretary of the Authority is hereby authorized to affix the seal of the Authority thereto and to attest the same, all in substantially the forms thereof presented to this meeting, with such changes, variations, omissions and insertions as the Chairman, Vice Chairman, Treasurer or Executive Director shall approve. The execution thereof by the Chairman, Vice Chairman, Treasurer or Executive Director shall constitute conclusive evidence of such approval.

(b) The Chairman, Vice Chairman, Treasurer or Executive Director of the Authority are further hereby authorized, on behalf of the Authority, to designate any additional Authorized Representatives of the Authority (as used or defined in and pursuant to the Indenture) to execute, on behalf of the Authority, any Financing Documents (hereinafter defined).

Section 9. The members, officers, employees and agents of the Authority are hereby authorized and directed for and in the name and on behalf of the Authority to do all acts and things required or provided for by the provisions of either the Bonds, the Bond Resolution, the Official Statement, the BPA, the Escrow Agreement or the Continuing Disclosure Agreement (collectively the "Financing Documents"), and to execute and deliver all such additional certificates, instruments and documents, including the Arbitrage Certificate and the Information Return, pay all such fees, charges and expenses and to do all such further acts and things as may be necessary or, in the opinion of the member, officer, employee or agent acting, desirable and proper to effect the purposes of this resolution and to cause compliance by the Authority with all of the terms, covenants and provisions of the Financing Documents.

Section 10. Each of the documents identified in each Section of this resolution is hereby incorporated in this resolution as if set forth at length herein.

Section 11. This resolution shall take effect immediately and the Bonds are hereby ordered to be issued in accordance with this resolution.

Seconded by \_\_\_\_\_

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

**Bid Award - DFS HV&L Phase 1 General Exhaust**

\_\_\_\_\_ offers the following resolution and moves its adoption:

WHEREAS; the Authority received five bids on March 3, 2016 for Contract No. PWC-DFS-2016-01 for the Dalton Farms Wastewater Treatment Plant Exhaust Ventilation Replacement – Phase 1 Project as follows:

- |    |  |              |
|----|--|--------------|
| 1. | DJ Heating & Air Conditioning, Inc., Marlboro, NY                        | \$99,900.00  |
| 2. | Airflow Air Conditioning, Refrigeration & Heating, Inc.,<br>Highland, NY | \$116,635.00 |
| 3. | Eventus Construction Company, Inc., Amawalk, NY                          | \$128,725.00 |
| 4. | S&O Construction Services, Inc., Pleasant Valley, NY                     | \$210,254.00 |
| 5. | Pearl River Plumbing, Heating & Electric, Inc., Pearl River, NY          | \$271,186.00 |

WHEREAS; DJ Heating & Air Conditioning, Inc., Marlboro, NY submitted the lowest responsible bid in the amount of \$99,900.00, and

WHEREAS; the staff has reviewed the DJ Heating & Air Conditioning, Inc. bid and qualification documents for the contract and recommends the award of Contract No. PWC-DFS-2016-01 for the Dalton Farms Wastewater Treatment Plant Exhaust Ventilation Replacement – Phase 1 Project to the lowest responsible bidder, DJ Heating & Air Conditioning, Inc., Marlboro, NY in the amount of \$99,900.00.

WHEREAS; the Board has reviewed the staff's recommendation and finds that the award of Contract No. PWC-DFS-2016-01 to DJ Heating & Air Conditioning, Inc. is in the best interests of the Authority.

THEREFORE BE IT RESOLVED THAT; the bid received on March 3, 2016 from to DJ Heating & Air Conditioning, Inc. for Contract No. PWC-DFS-2016-01 to DJ Heating & Air Conditioning, Inc. in the amount of \$99,900.00 be accepted, and that the Executive Director or Deputy Director is authorized to execute the contract and the notice to proceed upon receipt of executed contract and insurance certificates from the proposed Contractor.

Seconded by \_\_\_\_\_

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

**Bid Award - DC Airport Subsurface Exploration**

\_\_\_\_\_ offers the following resolution and moves its adoption:

WHEREAS; Bids were received at 11:00 AM on February 25, 2016 at the Authority’s office at 27 High Street, Poughkeepsie, NY for Contract No. PWC-CDWTL-2016-E1 Subsurface Exploration Contract for the Dutchess County Airport Water Service Project in accordance with the Authority’s procurement policy for public works with a contract value greater than \$35,000.00 as follows:

	<u>Bidder</u>	<u>Amount</u>
1.	Aquifer Drilling & Testing, Inc., Waterford, NY	\$125,300.00
2.	Atlantic Testing Laboratories, Clifton Park, NY	\$184,050.00
3.	Aztech Technologies, Inc., Ballston Spa, NY	\$99,165.40

and

WHEREAS; the staff reviewed the apparent low bidder’s proposal and qualification documents and Morris Associates Engineering and Surveying Consultants, PLLC recommendation and based upon this review, the staff recommends that Contract No. PWC-CDWTL-2016-E1 be awarded to the lowest responsible bidder, Aztech Technologies, Inc., Ballston Spa, NY, in the amount of \$99,165.40, and

WHEREAS; the staff has sought and obtained Dutchess County’s concurrence to award of the contract, and

WHEREA; the Authority Board has reviewed the recommendations of the Authority Staff and considered the benefits to the Authority,

THEREFORE BE IT RESOLVED THAT; the contract be awarded to the bidder which is in the best interests of the Authority, Aztech Technologies, Inc., Ballston Spa, NY, in the amount of \$99,165.40, and

BE IT FURTHER RESOLVED THAT; the Executive Director or Deputy Director is authorized to execute a contract with Aztech Technologies, Inc., Ballston Spa, NY, in the amount of \$99,165.40 for the Subsurface Exploration Contract for the Dutchess County Airport Water Service Project Contract No. PWC-CDWTL-2016-E1.

Seconded by \_\_\_\_\_

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

DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY  
WARRANT  
March 24, 2016

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
<b><u>Arbors Water System</u></b>						
ABW16003	Smith Environmental Laboratory	Labs: January 2016	178.75			
ABW16004	Byrnes Message Bureau, Inc.	Answering service: March 2016	65.07			
ABW16005	DC Commissioner of Finance	Postage: February 2016	990.75			
ABW16006	USA BlueBook	Hard hats/gloves/glasses/ear plugs	204.25			
	<b>SUBTOTAL</b>		<b>1,438.82</b>			
<b><u>Benefit Assessment</u></b>						
BEN16001	Drake, Loeb, Heller, etal.	Professional services: T Rex (Jan 2016)	385.00	30,000.00	385.00	1.28%
BEN16002	Drake, Loeb, Heller, etal.	Professional services: T Rex (Jan 2016)	43.75	30,000.00	428.75	1.43%
BEN16003	Drake, Loeb, Heller, etal.	Professional services: T Rex (Jan 2016)	2,143.28	30,000.00	2,572.03	8.57%
	<b>SUBTOTAL</b>		<b>2,572.03</b>			
<b><u>Birch Hill Water System</u></b>						
BHW16010	VRI Environmental Services, Inc.	Operations and Maintenance: February 2016	858.00	10,296.00	1,716.00	16.67%
BHW16011	NYSEG	Electric service: 12/17/15-2/15/16 (1003 1922 494)	1,369.14			
BHW16012	DC Commissioner of Finance	Postage: January 2016	994.02			
BHW16013	USA BlueBook	Amino acid reagent	139.81			

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY  
WARRANT  
March 24, 2016**

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
BHW16014	Frontier Communications	Telephone service: 2/25/16 -3/24/16 (226 5492)	44.68			
BHW16015	Smith Environmental Laboratory	Labs: January 2016	544.75			
BHW16016	VRI Environmental Services, Inc.	Well C4 malfunction and repair analysis: 02/06-02/11/16	315.00			
BHW16017	USA BlueBook	Chart paper	68.94			
BHW16018	Dig Safely New York, Inc.	Location Request Services: February 2016	164.88			
<b>SUBTOTAL</b>			<b>4,499.22</b>			
 <b><u>Chelsea Cove Sewer System</u></b>						
CCS16011	Royal Carting Service Co.	Monthly Refuse Removal: February 2016	76.59			
CCS16012	VRI Environmental Services, Inc.	Operations and Maintenance: February 2016	2,858.58	34,303.00	5,717.16	16.67%
CCS16013	NYSEG	Electric service:1/13/16-2/9/16 (10010243847)	1,511.48			
CCS16014	Frontier Communications	Telephone service: 2/7/16-3/6/16 (226 5492)	42.37			
CCS16015	Porco Energy Corporation	Propane: 1225.60@.8662	1,061.61			
CCS16016	USA BlueBook	Dispenser/pressure gauge	245.81			
CCS16017	Morris Assoc. Engineering Consultants, PLLC.	Professional Services: CCS WWTP Engineering Design (#1)	595.90	137,220.00	595.90	0.43%
CCS16018	Dutchess TEKCON Ind, Inc.	Service Call: Checked boiler/Main Board needs replacement	230.00			
CCS16019	VRI Environmental Services, Inc.	Reduced Flow/EQ Pump #1 needs monitoring: 02/05/16	170.00			
CCS16020	VRI Environmental Services, Inc.	Low flow call for EQ Pump: 01/30/16	230.00			
CCS16021	Amrex	Chemicals: Sodium Thiosulfate	151.57			
CCS16022	Amrex	Chemicals: Hypochlorite	630.00			
<b>SUBTOTAL</b>			<b>7,803.91</b>			

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY  
WARRANT  
March 24, 2016**

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
<b><u>Dalton Farms Sewer System</u></b>						
DFS16008	Amrex	Chemicals: Hypochlorite	249.00			
DFS16018	Royal Carting Service Co.	Monthly Refuse Removal: February 2016	163.35			
DFS16019	VRI Environmental Services, Inc.	Operations and Maintenance: February 2016	3,602.42	43,229.00	7,204.84	16.67%
DFS16020	Verizon	Telephone service:2/7/16-3/6/16 (7243574)	24.19			
DFS16021	NYSEG	Elec:1/13-2/9(10010243581/5041113/5040438/5452078/0959681)	3,793.23			
DFS16022	Frontier Communications	Telephone service:2/7/16-3/6/16 (8452233038)	47.56			
DFS16023	Fuss and O'Neill of New York, P.C.	Professional services: Alaina Estates Connection to DFS #2	6,912.99	14,200.00	9,714.67	68.41%
DFS16024	USA BlueBook	Diffuser unit	103.72			
DFS16025	Bottini Fuel Corporation	Deliveries 1/15-1/17/16	598.53			
DFS16026	Frontier Communications	Telephone service:2/25/16-3/24/16 LD	8.05			
DFS16027	J. T. Lynne Representatives Inc.	Butterfly valve/disc/actuator/adapter	614.00			
DFS16028	Earthcare - All County Division	Sludge removal: 2/10/16	2,000.00			
DFS16029	VRI Environmental Services, Inc.	Commons pump station	255.00			
DFS16030	VRI Environmental Services, Inc.	Compressor	287.50			
DFS16031	Excelsior Blower Systems, Inc.	New blower/install	4,701.20			
<b>SUBTOTAL</b>			<b>23,360.74</b>			
<b><u>Dalton Farms Water System</u></b>						
DFW16004	VRI Environmental Services, Inc.	Operations and Maintenance: February 2016	1,462.75	17,553.00	2,925.50	16.67%
DFW16005	NYSEG	Electric service: 12/12/15-2/9/16 (1001 5040 446/5042 020)	2,732.47			
DFW16006	Frontier Communications	Telephone service: 2/7/16-3/6/16(223 7653)	33.47			

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY  
WARRANT  
March 24, 2016**

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
DFW16007	Amrex	Chemicals: Hypochlorite	162.00			
DFW16009	VRI Environmental Services, Inc.	Well #3	1,105.00			
DFW16010	USA BlueBook	Service box extentions/curb box lid	175.23			
DFW16011	USA BlueBook	Silent check valve	598.77			
<b>SUBTOTAL</b>			<b>6,269.69</b>			
 <b><u>Fairways Sewer</u></b>						
FAS16002	VRI Environmental Services, Inc.	Operations and Maintenance: February 2016	238.25	2,859.00	476.50	16.67%
FAS16003	Central Hudson Gas & Electric	Elec:10/02/15-12/4/15 (58122190018/2145012/2405010/56742480017)	237.91			
<b>SUBTOTAL</b>			<b>476.16</b>			
 <b><u>Fairways Water</u></b>						
FAW16002	Central Hudson Gas & Electric	Electric service:1/4/16-2/3/16 (56742480017)	316.80			
FAW16003	VRI Environmental Services, Inc.	Operations and Maintenance: February 2016	551.67	6,620.00	1,103.34	16.67%
FAW1604	VRI Environmental Services, Inc.	Weld Chain	415.00			
<b>SUBTOTAL</b>			<b>1,283.47</b>			

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY  
WARRANT  
March 24, 2016**

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
<b><u>Greenbush Water</u></b>						
GBW16001	Central Hudson Gas & Electric	Electric service: 12/7/15-2/5/16 (51480448011)	127.27			
GBW16002	Real Property Abstract & Title Services, LLC	Title report: Title policy	349.00			
GBW16003	Real Property Abstract & Title Services, LLC	Title report: Last owner easement searches	1,750.00			
GBW16004	Real Property Abstract & Title Services, LLC	Title report: Recording fees	70.00			
GBW16006	VRI Environmental Services, Inc.	Operations and Maintenance: February 2016	1,583.41			
GBW16007	The Bank Of New York Mellon	Trustee Admin fees: EFC (GBW)	1,000.00			
<b>SUBTOTAL</b>			<b>4,879.68</b>			
<b><u>Greenfields Sewer</u></b>						
GFS16005	Royal Carting Service Co.	Monthly Refuse Removal: February 2016	117.00			
GFS16006	VRI Environmental Services, Inc.	Operations and Maintenance: February 2016	3,655.50	42,568.89	4,716.78	11.08%
GFS16007	Amrex	Chemicals: Hypochlorite	40.50			
GFS16008	Amrex	Chemicals: Hypochlorite	81.00			
GFS16009	USA BlueBook	Assorted parts	278.83			
GFS16010	Commercial Instruments & Alarm	Monitoring1/1/16-3/31/16	162.00			
GFS16011	H.A. Schreck, Inc.	Service: GFS 2/8/16	511.17			
GFS16012	Amity Construction Corp	Manhole repair/cold patch	345.70			
GFS16013	Amity Construction Corp	Manhole repair/cold patch	996.00			
GFS16014	USA BlueBook	Manning portable sampler vacuum	6,064.90			
GFS16015	Morris Assoc Engineering Consultants, PLLC.	Professional Services: GFS backup generator	898.50			
GFS16016	Amrex	Chemicals: Hypochlorite	135.00			

**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>
GFS16017	Smith Environmental Laboratory	Labs: January 2016	147.25			
GFS16019	Warren Replansky	Legal fees for system transfer	630.00			
GFS16020	Security Plumbing & Heating Supply	Sewage pump	593.42			
<b>SUBTOTAL</b>			<b>14,656.77</b>			
 <b><u>Greenfields Water</u></b>						
GFW16003	VRI Environmental Services, Inc.	Operations and Maintenance: February 2016	1,872.25	21,802.65	3,080.15	14.13%
GFW16004	Commercial Instruments & Alarm	Monitoring: 1/1/16-3/31/16	162.00			
GFW16005	VRI Environmental Services, Inc.	No water report 2/14/16	320.00			
GFW16006	Constellation New Energy inc	Electric service: CNE 1-7FP-2490 CNE1-XKNLSL	1,526.34			
GFW16018	Central Hudson Gas & Electric	Electric service: 1/19/16-2/4/16 (5662-0750-01-0/5662-0740-01-1)	908.17			
<b>SUBTOTAL</b>			<b>4,788.76</b>			
 <b><u>General</u></b>						
GEN16022	NYS & Local Emp. Ret. System	Retirement System Monthly Reporting: January 2016	2,023.21			
GEN16023	NYS & Local Emp. Ret. System	Retirement System Monthly Reporting: February 2016	1,986.86			
GEN16024	NYS Deferred Compensation Plan	Deferred Compensation: Paydate 2/26/16	1,145.00			
GEN16025	MVP Health Care, Inc.	March 2016 Health insurance	5,580.19			
GEN16026	Employee Benefits Division	Health Insurance Premium: March 2016	18,038.01			
GEN16027	Industrial Appraisal Co.	Appraisal fee: Feild work per contract	4,192.00			

**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>
GEN16028	Staples Credit Plan	February 2016	70.35			
GEN16029	Churins, Jonathan D.	Reimbursement:NYWEA Conference	401.40			
GEN16030	M & T Bank	Bank check for National Safety Council (EM+JR+RD)	48.00			
GEN16031	DC Commissioner of Finance	Copier/Telephone Service: January 2016	340.73			
GEN16032	DC Commissioner of Finance	Dental/Optical Premiums: January 2016	2,483.49			
GEN16033	Van DeWater & Van DeWater, LLP	Professional services:CCS/ Shorehaven/HPW+S/ gen	1,866.25			
GEN16034	AccuFund, INC.	Support 2016	6,511.25			
GEN16035	Industrial Appraisal Co.	Property record report 2015	750.00			
GEN16036	Southern Dutchess News	Legal notice: Public hearing Sewer District #10	116.13			
GEN16037	Paychex, Inc.	Time and Labor Management Program: January 2016	70.00			
GEN16038	Poughkeepsie Journal	Legal notice: Public hearings	98.35			
GEN16039	The State Insurance Fund	Workers' Compensation: March 2016	2,119.97			
GEN16040	Churins, Jonathan D.	Reimbursement:Digital check ink	39.85			
GEN16041 *	Rose and Kiernan, Inc.	2016 Policy Premium:Professional Liab	14,952.00			
GEN16049	Paychex, Inc.	Administrative Services: Pay Period ending 02/19/16	672.71			
GEN16050	Paychex, Inc.	Administrative Services: Pay Period ending 03/04/16	672.71			
<b>SUBTOTAL</b>			<b>64,178.46</b>			
 <b><u>Hyde Park Regional Water System</u></b>						
HPW16001	The Bank Of New York Mellon	Trustee Admin fees: 2016 EFC Bonds	2,425.00			
HPR16028	Royal Carting Service Co.	Monthly Refuse Removal: February 2016	41.40			
HPR16029	Ulster Uniform Service, Inc.	Uniforms: February 2016	218.00			
HPR16030	Verizon Wireless	Cell phone service: 2/13/15/-3/12/16	189.54			
HPR16031	Verizon	Telephone service: 2/10/16-3/9/16 (229 9233)	117.32			

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY  
WARRANT  
March 24, 2016**

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
HPR16032	Central Hudson Gas & Electric	Electric service:12/9/15-2/10/16 (5327 2710 00 4/5664 0195 00 6)	407.25			
HPR16033	W.B.Mason	Bulletin/scissors/te	38.16			
HPR16034	Central Hudson Gas & Electric	Electric service:1/5/16-2/3/16 (5662 0730 01 2)	178.14			
HPR16035	Cablevision	Internet service: 2/16/16-3/15/16	209.69			
HPR16036	Verizon	Telephone service: 2/10/16-3/9/16 (229 9233)	24.22			
HPR16037	Dutchess Overhead Doors	Repair overhead door	277.00			
HPR16038	NAPA	Belts	27.49			
HPR16039	NAPA	Belts	54.98			
HPR16040	Vector Security	Monitoring: 10/31/15-12/1/15	36.06			
HPR16041	Chickery's Auto Repair	Ignition coil	300.00			
HPR16042	Red Hawk Fire and Security	Monitoring: 2/1/16-1/31/17	270.00			
HPR16043	Northside Supplies, LLC	Ice Bite	233.07			
HPR16044	Corey, Jr., Donald A	Mileqage to Seminar 3/1/16	22.68			
HPR16045 E	Amity Construction Corp	Fuller Lane Emergency	869.35			
HPR16046	Central Hudson Gas & Electric	Elec:1/25/16 -2/23/16(56171635016/3730013/4600017/004)	10,106.11			
HPR16047	Verizon Wireless	Modem: 1/24/16-2/23/16	14.04			
HPR16048	Chickery's Auto Repair	Service/front + rear brakes	1,436.00			
HPR16049	NAPA	Belt	9.29			
HPR16050	Ti-Sales	Meters	2,178.90			
HPR16051	Chemtrade Chemicals Corporation	Chemicals: Alum Sulfate liquid	2,803.44			
HPR16052	Chemtrade Chemicals Corporation	Chemicals: Alum Sulfate Bulk (2015 late bill)	2,892.09			
HPR16053	USA BlueBook	Asco repair kit	536.20			
HPR16054	Smith Environmental Laboratory	Labs: January 2016	325.50			
HPR16055 E	H.A. Schreck, Inc.	Quincy pump	2,285.88			
HPR16056	Home Depot Credit Services	Miscellaneous Supplies: January 2016	451.87			

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY  
WARRANT  
March 24, 2016**

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
HPR16057	USA BlueBook	Lamp replacement kit	137.65			
HPR16058	Thatcher of New York	Chemicals: Aluminum sulfate 12/16/15	2,892.09			
HPR16059	USA BlueBook	Suction valve/Red indicator solution	145.13			
HPR16060	Wex Inc.	Fuel for vehicles:February 2016	766.42			
HPR16063	Veith Enterprises, Inc.	(3) Square D CASK 11BD Relays	153.54			
HPR16064	The Vellano Corporation	Adapter/comp brass/curb box cover	699.76			
HPR16065	Amrex	Chemicals: Sodium Tripolyphosphate	1,700.00			
HPR16066	Williams Lumber & Home Centers	Miscellaneous equipment and supplies: February 2016	442.02			
HPR16067	Pine Plains Ford Tractor, Inc.	555D hoses	128.98			
<b>SUBTOTAL</b>			<b>36,044.26</b>			
 <b><u>Pinebrook Sewer System</u></b>						
PBS16006	VRI Environmental Services, Inc.	Operations and Maintenance: February 2016	1,534.58	18,415.00	3,069.16	16.67%
PBS16007	FedEx	Covernight delivery: 2/5/16 Larry Knapp	67.49			
PBS16008	VRI Environmental Services, Inc.	EQ pump	297.50			
PBS16009	VRI Environmental Services, Inc.	Oil bath	170.00			
<b>SUBTOTAL</b>			<b>2,069.57</b>			
 <b><u>Pinebrook Water System</u></b>						
PBW16005	VRI Environmental Services, Inc.	Operations and Maintenance: February 2016	1,023.08	12,277.00	2,046.16	16.67%
PBW16006	Central Hudson Gas & Electric	Electric service:1/13/16-2/10/16 (5664 0245 03 3)	478.76			
PBW16007	VRI Environmental Services, Inc.	Blower tripping	106.25			
<b>SUBTOTAL</b>			<b>1,608.09</b>			

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY  
WARRANT  
March 24, 2016**

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
<b><u>Quaker Hills Water</u></b>						
QHW16006	VRI Environmental Services, Inc.	Operations and Maintenance: February 2016	752.25	9,027.00	1,504.50	16.67%
QHW16007	Central Hudson Gas & Electric	Electric service:1/5/16-2/3/16 (5662 0810 01 2)	456.36			
QHW16008	Amrex	Chemicals: Hypochlorite	81.00			
QHW16009	Security Plumbing & Heating Supply	Watts	779.67			
<b>SUBTOTAL</b>			<b>2,069.28</b>			
<b><u>Rokeby Water System</u></b>						
RKW16005	Frontier Communications	Telephone service: 2/1/16-2/29/16 (758 9223)	54.31			
RKW16006	VRI Environmental Services, Inc.	Operations and Maintenance: February 2016	618.50	7,422.00	1,237.00	16.67%
<b>SUBTOTAL</b>			<b>672.81</b>			
<b><u>Schreiber</u></b>						
DSW16002	VRI Environmental Services, Inc.	Operations and Maintenance: February 2016	482.67	5,792.00	965.34	16.67%
DSW16003	NYSEG	Electric service:1/13/16-2/6/16(10011912549)	106.38			
<b>SUBTOTAL</b>			<b>589.05</b>			

**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>
<b><u>Shore Haven Water System</u></b>						
SHW16007	VRI Environmental Services, Inc.	Operations and Maintenance: February 2016	860.92	10,331.00	1,721.84	16.67%
SHW16008	NYSEG	Electric service: 12/18/15-2/16/16 (1003 2103 375)	927.10			
SHW16010	Davies Hardware	Feb-16	17.98			
<b>SUBTOTAL</b>			<b>1,806.00</b>			
<b><u>Central Dutchess Water Transmission Line</u></b>						
CDW16020	Central Hudson Gas & Electric	Electric service: 1/5/16-2/2/16 (56852135013)	1,177.59			
CDW16021	Central Hudson Gas & Electric	Electric service: 1/12/16-2/2/16 (56852136013)	1,417.22			
CDW16022	Royal Carting Service Co.	Monthly Refuse Removal: February 2016	36.23			
CDW16023	NYS & Local Emp. Ret. System	Retirement System Monthly Reporting: January 2016	349.89			
CDW16024	NYS & Local Emp. Ret. System	Retirement System Monthly Reporting: February 2016	322.63			
CDW16025	NYS Deferred Compensation Plan	Deferred Compensation: Paydate 2/26/16	500.00			
CDW16026	MVP Health Care, Inc.	March 2016 Health insurance	1,594.34			
CDW16027	Time Warner Cable	Internet service: 2/19/16-3/18/16(8150410150093567)	103.97			
CDW16028	Cablevision	Internet service: 2/23/16-3/22/16	141.50			
CDW16029	Verizon	Telephone service:2/10/16-3/9/16 (4710917)	225.04			
CDW16030	Central Hudson Gas & Electric	Electric service: 12/3/15-2/3/16(50624675000)	81.86			
CDW16031	DC Commissioner of Finance	Postage:January 2016	14.96			

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY  
WARRANT  
March 24, 2016**

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
CDW16032	Protective Power Systems & Controls, Inc.	Major service	800.00			
CDW16033 *	City of Poughkeepsie	Water: January 2016	129,806.18			
CDW16034	DC Commissioner of Finance	Dental/Optical Premiums: January 2016	130.71			
CDW16035	Accent Control Systems	Electrode	168.54			
CDW16036	Smith Environmental Laboratory	Labs: January 2016	234.50			
CDW16037	DC Commissioner of Finance	Postage: February 2016	15.91			
CDW16038	Wex Inc.	Fuel for vehicles:February 2016	86.52			
CDW16040	Dig Safely New York, Inc.	Location Request Services: February 2016	98.40			
CDW16041	Davies Hardware	Feb-16	15.35			
CDW16047	Paychex, Inc.	Administrative Services: Pay Period ending 02/19/16	8.77			
CDW16050	Paychex, Inc.	Administrative Services: Pay Period ending 03/04/16	8.77			

**SUBTOTAL** **137,338.88**

**VALLEY DALE SEWER SYSTEM**

VDS16007	VRI Environmental Services, Inc.	Operations and Maintenance: February 2016	1,370.75	16,449.00	2,741.50	16.67%
VDS16008	Lawrence J Paggi, PE, PC	Prof Serv: VDS WWTP Rehabilitation (February 2016)	1,245.80	141,500.00	117,056.78	82.73%
VDS16009	Central Hudson Gas & Electric	Electric service:1/20/16-2/23/16(56530702002/0700014/004)	1,316.83			
VDS16010	Amrex	Chemicals: Hypochlorite	160.00			
VDS16011	Security Plumbing & Heating Supply	Coupling/nipple/sump pump	166.93			

**SUBTOTAL** **4,260.31**

**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>
<b><u>VALLEY DALE WATER</u></b>						
VDW16004	VRI Environmental Services, Inc.	Operations and Maintenance: February 2016	518.25	6,219.00	1,036.50	16.67%
VDW16005	Central Hudson Gas & Electric	Electric service:1/20/16 -2/23/16(56530720004)	900.54			
VDW16006	Amrex	Chemicals: Hypochlorite	54.00			
VDW16007	USA BlueBook	Series A plus with Degas head	557.47			
<b>SUBTOTAL</b>			<b>2,030.26</b>			
<b><u>VIOLET AVE WATER</u></b>						
None this warrant						
<b>SUBTOTAL</b>			<b>0.00</b>			
<b>TOTAL WARRANT</b>			<b>324,696.22</b>			

\* 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: March 8, 2016  
 RE: February 2016 Systems Operation Report

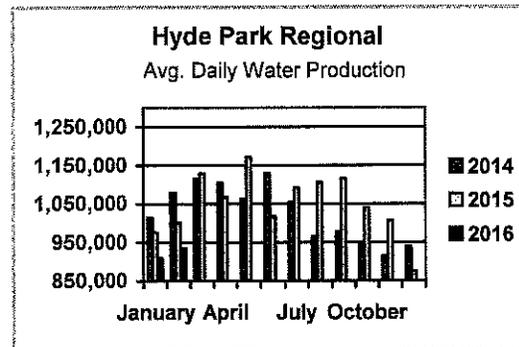
*Present: F. Dongo, R. Doyle, S. Heupler, J. McLaughlin, D. Odell, S. Osborne, P. Scofield,*

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

Average daily usage: February- 935,000  
 January- 909,000 December- 876,000  
 All testing aspects are in compliance.

**Action Items:**

- Service line replaced at 3 Fuller Lane.
- Curb box repaired at 15 Hillman Drive.

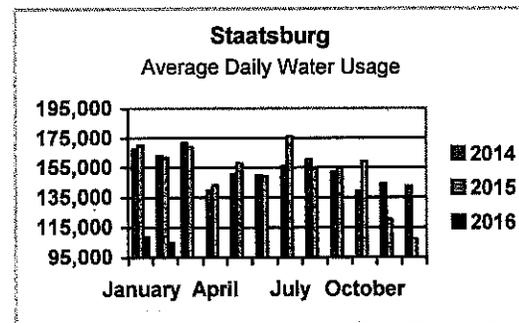


**2. Staatsburg Water(Zone C)**

Average daily usage: February- 104,900  
 January- 109,200 December- 107,300  
 All testing aspects are in compliance.

**Action items:**

- Routine Operations.
- 10 Mulford Avenue service line leak – customer side.

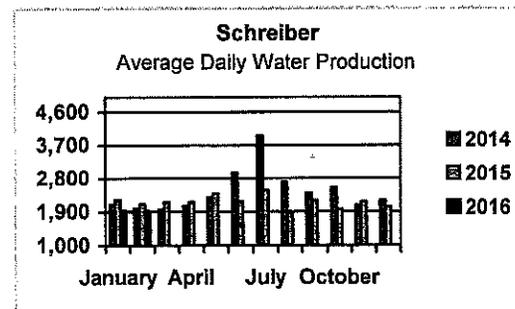


**3. Schreiber Water (Zone E)**

Average daily production: February- 1,931  
 January- 1,935 December- 2,032

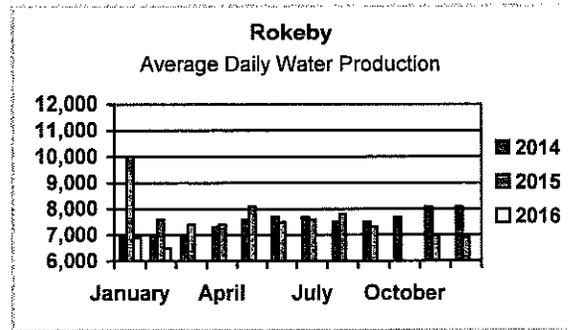
**Action Items:**

- Normal operations.
- Blending of well sources continues to be successful in reducing iron levels.
- Monthly system flushing suspended during winter months



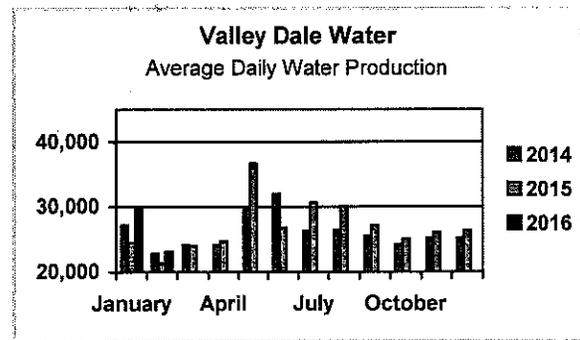
#### 4. Rokeby Water (Zone F)

Average daily production: February- 6,500  
 January- 6,900    December- 6,900  
 All testing aspects are in compliance.  
 Action items:  
 - Routine operations.



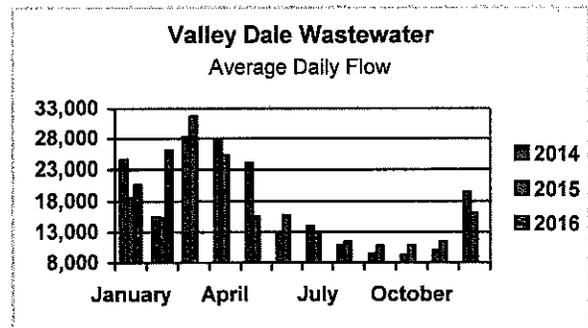
#### 5. Valley Dale Water

Average daily production: February- 23,122  
 January- 29,954    December- 26,372  
 All testing aspects are in compliance.  
 Action Items:  
 - Routine operations.  
 - Changed 1 micron filters.  
 - Well #7 offline.



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

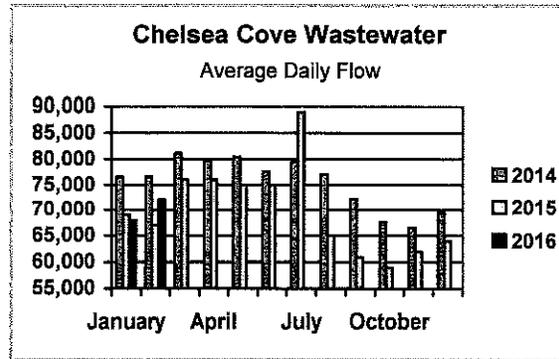
Average daily flow: February- 26,078  
 January- 20,653    December- 16,039  
 All testing aspects are in compliance.  
 Action Items:  
 - EQ tank overflow 2/25, DEC notified.  
 - Routine operations.



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

Average daily flow: February- 72,000  
January- 69,000    December- 64,000

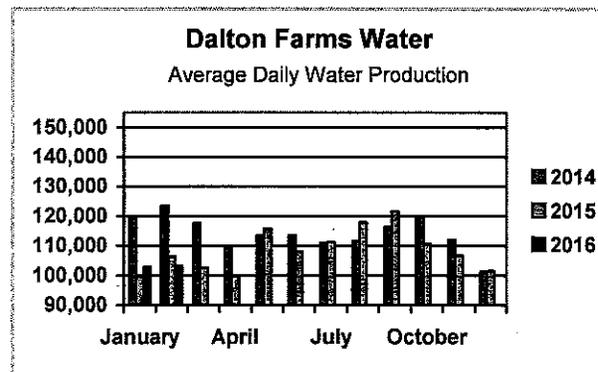
Action Items:  
- Routine operations.



**8. Dalton Farms Water (Zone H)**

Average Daily Production: February- 103,300  
January- 102,800    December- 101,600  
All testing aspects are in compliance.

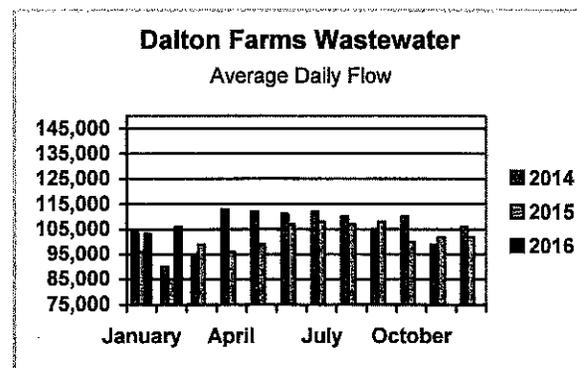
Action Items:  
- Normal operations.  
- Well 3A discharge line repaired.



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

Average Daily Flow: February- 106,000  
January- 103,200    December- 102,000  
All testing aspects are in compliance

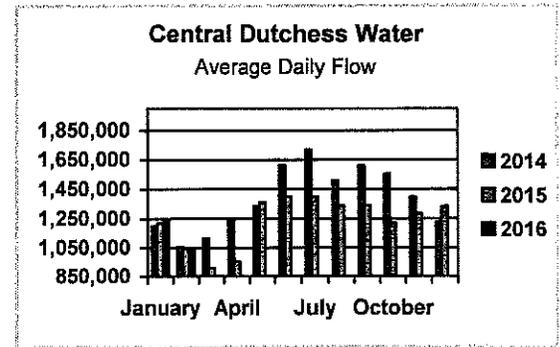
Action Items:  
- Normal operations.  
- Process sampling continues.



## 10. Central Dutchess Water Transmission Line

Average Daily Flow: February- 1,044,552  
 January- 1,247,613 December- 1,333,000  
 All testing aspects are in compliance.  
 Action Items:

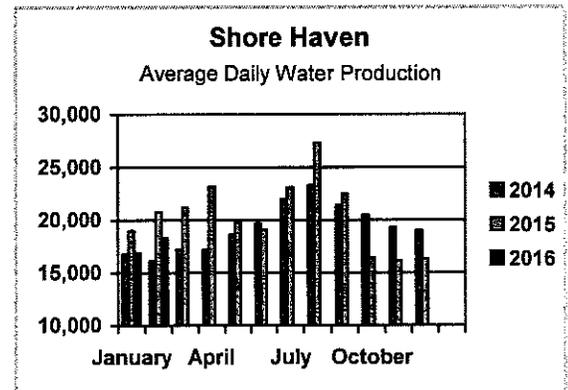
- Normal operations.



## 11. Shore Haven Water (Zone J)

Average daily production: February- 18,300  
 January- 16,900 December- 16,300  
 All testing aspects are in compliance.  
 Action items:

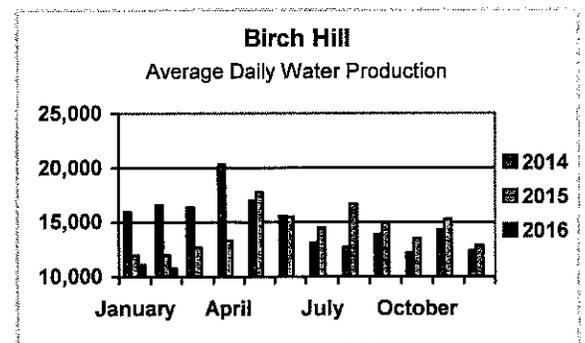
- Routine operations.
- Pipe loop leak repaired.



## 12. Birch Hill Water (Zone K)

Average daily production: February- 10,800  
 January- 11,100 December- 12,900  
 All testing aspects are in compliance.  
 Action items:

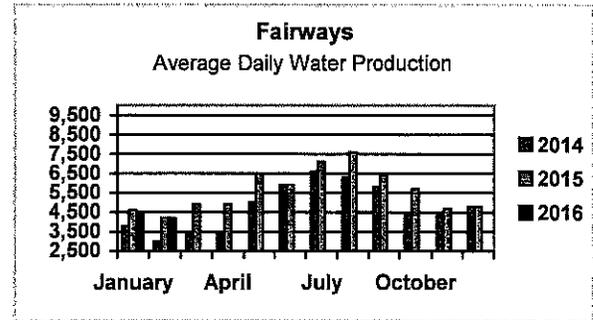
- Copper testing results have noted an increase in Copper corrosion in some homes. Analyses being conducted to determine cause.
- Well C4 failed. Pump pulled and replaced.



### 13. Fairways Water (Zone M)

Average daily production: February- 4,200  
 January- 4,400 December- 4,800  
 All testing aspects are in compliance.

Action items:-Normal operations.



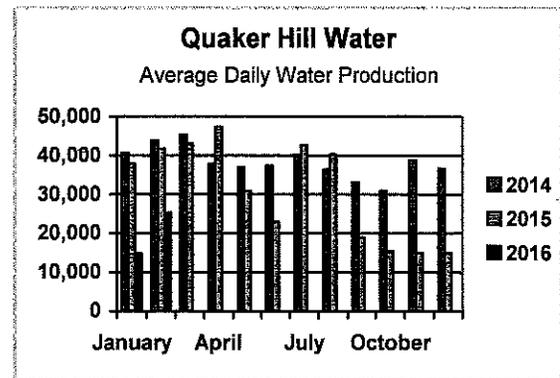
### 14. Quaker Hill Water (Zone U)

\*Transferred from the Town of Hyde Park on September 15, 2015.

Average daily production: February- 25,359  
 January- 14,826 December- 15,000  
 All testing aspects are in compliance.

Action items:

- Normal operations.
- Installed new chlorine pump.



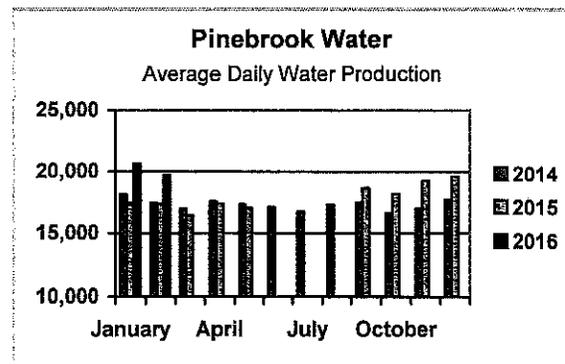
### 15. Pinebrook Water (Zone R)

\*Transferred from the Town of Hyde Park on September 15, 2015.

Average daily production: February- 19,740  
 January- 20,660 December- 19,620  
 All testing aspects are in compliance.

Action items:

Softener treatment testing scheduled.  
 Well flushing piping being installed.



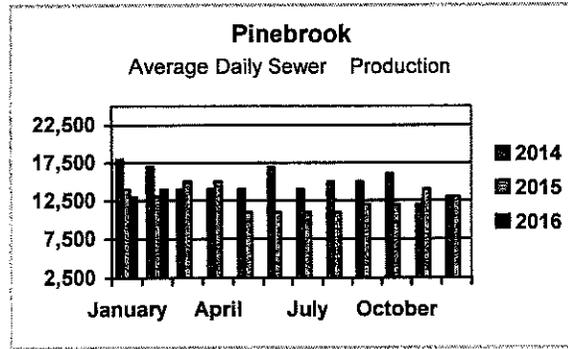
**16. Pinebrook Wastewater (S.D. #7)**

\*Transferred from the Town of Hyde Park on September 15, 2015.

Average daily production: February- 14,000  
 January- 13,000 December- 13,000

All testing aspects are in compliance except for CBOD.

Action items: - RBC repaired;  
 Repaired RBC being readied for service.



**17. Fairways Wastewater (S.D. #6 )**

\*Transferred from the Fairways HOA on September 1, 2015.

No issues. (Wastewater flow is not metered.)

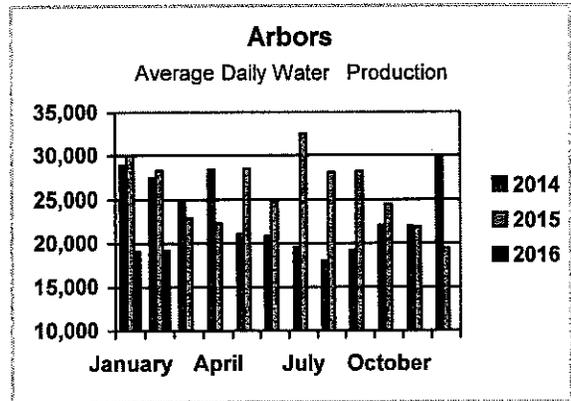
**18. Arbors Water (Zone O)**

\*Transferred from the Town of Hyde Park on September 15, 2015.

Average daily production: February- 19,200  
 January- 19,100 December- 19,419

All testing aspects are in compliance.

Action items: - Normal operations.



### 19. Greenfields Wastewater (S.D. #8)

\*Transferred from the Town of Hyde Park on January 11, 2016.

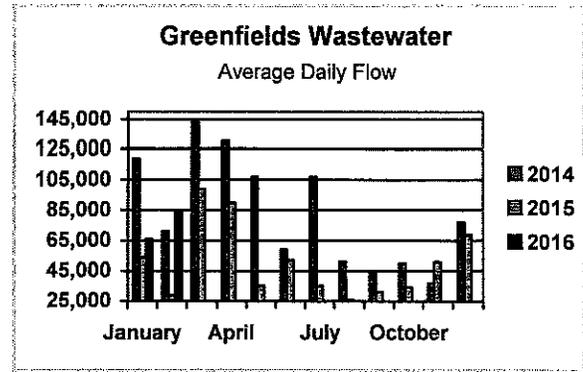
Average Daily Flow: February- 83,586

January- 65,871    December- 69,000

All testing aspects are in compliance.

**Action Items:**

- Overflow at Influent Channel on 2/25, DEC notified.
- Normal operations.



### 20. Greenfields Water (Zone S & T)

\*Transferred system operation from the Town of Hyde Park on January 11, 2016.

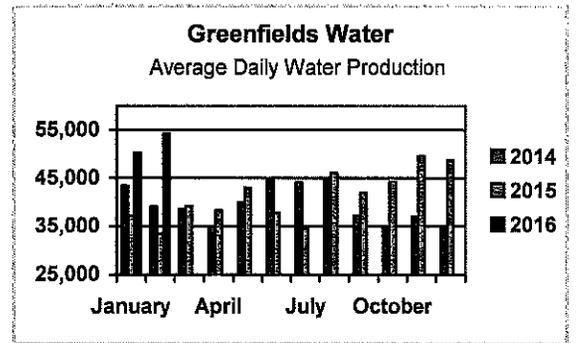
Average Daily Production: February- 54,271

January- 50,248    December- 48,700

All testing aspects are in compliance with the exception of Manganese.

**Action Items:**

- Well water quality data being gathered to optimize treatment process.
- Well flushing piping being installed.



### 21. Greenbush Water/Violet Ave. (Zone Q)

22. \*Transferred from the Town of Hyde Park on February 19, 2016.

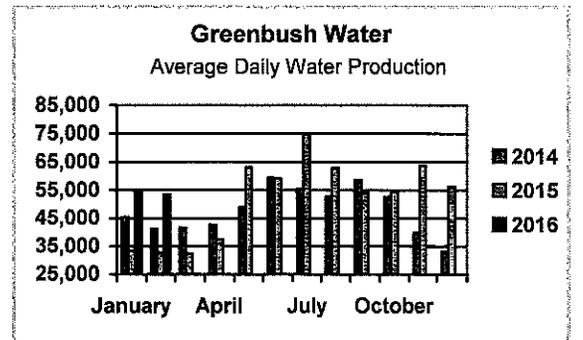
Average daily production: February- 53,500

January- 54,300    December- 56,500

All testing aspects are in compliance.

**Action items:**

- Routine operations.





TO: Authority Board  
FROM: Bridget Barclay  
DATE: March 11, 2016  
RE: Shore Haven Water System Improvements Status Report

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**1) Disinfection By-Products Levels remain below the MCL in 4th Quarter** - Based on the fourth quarter sampling results for 2015 (collected 12/3/2015), 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 19.5 ug/l, bringing the four-quarter rolling average to 21.3 ug/l, compared to a MCL of 80 ug/l. The fourth quarter HAA5 level was 29 ug/l, bringing the four-quarter rolling average to 23.8 ug/l, compared to a MCL of 60 ug/l.

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 4<sup>th</sup> Quarter** - Water samples collected on December 3, 2015 indicated a combined radium 226 and radium 228 level of 4.34 pCi/L (pico curies per liter). The quarterly average for radium 226 and radium 228 levels is now 3.42 pCi/L. The Maximum Contaminant Level (MCL) for combined radium 226 and radium 228 is 5 pCi/L.

**3) Lead and Copper Results** - Lead and copper samples were collected June 3-9, 2015 from eight 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 90<sup>th</sup> percentile results were 7 ug/l for Lead and 0.903 mg/l for copper. *The sampling schedule for lead and copper has been adjusted by the Dutchess County Dept. of Health for the Shore Haven Water System. Lead and copper will now only be measured once a year. Samples will be taken again in June 2016.*

**4) Iron and Manganese results for 4<sup>th</sup> Quarter** - Based on the fourth quarter sampling results for 2015 (collected 12/3/2015), the combined Iron and Manganese level is 0.490 mg/l and is below the Maximum Contaminant Level (MCL) of 0.5 mg/l. The fourth quarter Manganese level was 0.134 mg/l, compared to a MCL of 0.3 mg/l. The fourth quarter Iron level was 0.356 mg/l and is slightly above the MCL of 0.3 mg/l.

**5) Permanent Water Treatment System Design** - On March 7, 2016, Savin Engineers resubmitted their revised drawings and specs, along with their responses to the January 19<sup>th</sup> DOH comments, to the Dutchess County and NYS Departments of Health for regulatory review and approval.

**6) Distribution System Improvements Design** - On February 5, 2016, W&S resubmitted their revised drawings and specs, along with their responses to the earlier DOH comments, to the Dutchess County and NYS Departments of Health for final regulatory review and approval. The DC DOH issued additional comments on the plans on February 22. NYS DOH provided further comments on February 24<sup>th</sup>. W&S has addressed the comments and on March 3, 2016 transmitted the revised plans and specs to NYS DOH who will perform the final review and approval on behalf of both DC DOH and NYS DOH.

A Request for Proposals for the purpose of hiring a firm to provide Construction Administration services for the Distribution System Improvements project was issued last month to 13 engineering firms located in New York. Proposals are due at the DCWWA offices on March 30, 2016.

Since April 2015, Authority Staff have been actively pursuing construction and/or permanent easements from property owners along the proposed route of the distribution system improvements. So far, 19 of the 26 affected property owners have granted the requested easements. On Saturday, March 5<sup>th</sup>, staff met with five residents in the Crescent Drive area to discuss the need for easements, and to answer property owner questions. Staff will continue to reach out to the remaining seven property owners on the easement requests. If ongoing efforts are unsuccessful, condemnation proceedings may be commenced to obtain project-critical easements. In anticipation of that, McGrath and Company, Inc. of Fishkill, NY has been contracted to assist with the property appraisal process.

**7) Chloramination Loop** - During the week of February 15, 2016, the chloramination loop experienced an overpressure event causing one of the loop's pipe fittings to break and leak. Since the plastic pipe loop is aboveground in a protected shelter, the system operator was able to access and fix the leak. No excavation was required. DCWWA staff diagnosed a possible origin for the overpressure as a malfunctioning flow control valve located on the return piping from the loop. Mineral encrustation was found on a control component of the valve and may have caused the valve to malfunction. There was no interruption in water service to the Shore Haven customers.

DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY

to

THE BANK OF NEW YORK MELLON

as Trustee

EIGHTEENTH SUPPLEMENTAL RESOLUTION

Dated as of March 24, 2016

Authorizing

DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY

\$\_\_\_\_\_ WATER SERVICE AGREEMENT REVENUE BONDS, SERIES 2016

AND

\$\_\_\_\_\_ WATER SERVICE AGREEMENT REVENUE REFUNDING BONDS,  
SERIES 2016

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EIGHTEENTH SUPPLEMENTAL RESOLUTION

THIS EIGHTEENTH SUPPLEMENTAL RESOLUTION dated as of March 24, 2016 by and between the Dutchess County Water and Wastewater Authority, a public benefit corporation of the State of New York (the "Authority"), and The Bank of New York Mellon, a banking corporation organized and duly existing under the laws of New York, having its principal office and place of business at 101 Barclay Street, Floor 7-W, New York, New York 10286 (the "Trustee"), under and supplemental to that certain 1998 General Revenue Bond Resolution dated as of June 1, 1998 by and between the Authority and the Trustee (the "General Resolution").

WITNESSETH:

WHEREAS, the Authority is a body corporate and politic, constituting a public benefit corporation of the State of New York, created under the Act; and

WHEREAS, the Authority and the Trustee have entered into the General Resolution, to which this Eighteenth Supplemental Resolution is supplemental; and

WHEREAS, the Authority has resolved to issue its (i) Water Service Agreement Revenue Bonds, Series 2016 in the aggregate principal amount of \$\_\_\_\_\_ (the "Series 2016 Bonds") and (ii) Water Service Agreement Revenue Refunding Bonds, Series 2016 (the "Refunding Bonds") (collectively with the Series 2016 Bonds, the "2016 Bonds"); and

WHEREAS, the execution and delivery of the 2016 Bonds and of this Eighteenth Supplemental Resolution have been duly authorized and all things necessary to make the 2016 Bonds, when executed by the Authority and authenticated by the Trustee, valid and binding legal obligations of the Authority and to make this Eighteenth Supplemental Resolution a valid and binding agreement have been done;

NOW, THEREFORE, THIS EIGHTEENTH SUPPLEMENTAL RESOLUTION WITNESSETH, that the Authority and the Trustee for good and valuable consideration, receipt and sufficiency of which they each hereby acknowledge, do hereby agree as follows:

## ARTICLE I

### DEFINITIONS

Terms not defined herein shall have the meanings ascribed to them in the Indenture. The following terms shall have the meanings provided below when used in this Eighteenth Supplemental Resolution.

“Authorized Denominations” means, with respect to the 2016 Bonds, a minimum denomination of \$5,000 and integral multiples thereof.

“Bond Purchase Agreement” means that certain Bond Purchase Agreement dated March \_\_, 2016 by and between the Authority and Roosevelt & Cross, Inc., with respect to the sale by the Authority of the 2016 Bonds to such underwriter.

“Bond Register System Conversion Date” shall mean the date for conversion of the ownership of 2016 Bonds to the Bond Register System specified in accordance with Section 2.05 hereof.

“Closing Date” means that date on which the 2016 Bonds are first authenticated and delivered pursuant hereto.

“Interest Payment Date” shall have the meaning set forth in Section 2.02(c) hereof.

“Maturity” means the date on which the principal of such 2016 Bonds becomes due and payable as therein or herein provided, whether at the final maturity date for the 2016 Bonds or pursuant to maturity for the 2016 Bonds as set forth in Section 2.02 hereof, or declaration of acceleration, call for redemption or otherwise.

“Paying Agent” means the paying agent or paying agents appointed by the Authority under this Eighteenth Supplemental Resolution, and shall initially mean the Trustee.

“Record Date” means the fifteenth day of the calendar month, whether or not a Business Day, immediately preceding the Interest Payment Date.

“Refunding Bonds” means the 2016 Bonds authenticated and delivered under this Eighteenth Supplemental Resolution, in substantially the form attached hereto as Exhibit B.

“Series 2016 Bonds” means the 2016 Bonds authenticated and delivered under this Eighteenth Supplemental Resolution, in substantially the form attached hereto as Exhibit A.

“Staatsburg Notes” means the Authority’s \$1,660,500 Service Agreement Revenue Note, Series 2015 (Staatsburg Water System).

“2009 Bonds” means the Authority’s Service Agreement Revenue Bonds, Series 2009 dated July 30, 2009.

The words “hereof,” “herein,” “hereto,” “hereby” and “hereunder” (except in the form of 2016 Bonds) refer to the entire Resolution.

## ARTICLE II

### THE 2016 BONDS

#### Section 2.01. Purpose, Amount, Date, Terms and Issuance of the 2016 Bonds.

(a) The 2016 Bonds are hereby authorized to be issued under the General Resolution and this Eighteenth Supplemental Resolution. The purpose of the Series 2016 Bonds will be to provide the Authority with funds to (i) redeem \$\_\_\_\_\_ of the Staatsburg Notes, (ii) undertake capital improvements to the Birch Hill Water System, (iii) fund the Debt Service Reserve Fund, and (iv) pay costs of issuance. The Series 2016 Bonds shall be issued in the aggregate principal amount of \$\_\_\_\_\_, and shall contain substantially the terms recited in the form of the Series 2016 Bonds attached hereto as Exhibit A. The Series 2016 Bonds shall be dated \_\_\_\_\_, 2016.

(b) The Refunding Bonds are hereby authorized to be issued under the General Resolution and this Eighteenth Supplemental Resolution. The purpose of the Refunding Bonds will be to provide the Authority with funds to (i) redeem \$3,670,000 of the 2009 Bonds, and (ii) pay costs of issuance. The Refunding Bonds shall be issued in the aggregate principal amount of \$\_\_\_\_\_, and shall contain substantially the terms recited in the form of the Refunding Bonds attached hereto as Exhibit B. The Refunding Bonds shall be dated \_\_\_\_\_, 2016.

(c) The Authority shall cause a copy of the text of the opinion of Bond Counsel delivered in connection with the original issuance of the 2016 Bonds to be delivered to the Trustee.

(d) Pursuant to recommendations promulgated by the Committee on Uniform Security Identification Procedures, "CUSIP" numbers may be printed or typed on the 2016 Bonds. The 2016 Bonds may bear such endorsement or legend satisfactory to the Trustee as may be required to conform to usage or law with respect thereto.

(e) The Authority shall issue the 2016 Bonds upon the execution of this Eighteenth Supplemental Resolution. Each of the 2016 Bonds shall be issued in fully registered form, without coupons, in the name of Cede & Co., as nominee for the Depository Trust Company of New York, which shall act as Depository for the 2016 Bonds. The 2016 Bonds shall be available to investors in book-entry form only until the Bond Register System Conversion Date. The Trustee shall authenticate and deliver the 2016 Bonds upon receipt of written direction from the Authority to do so.

(f) The 2016 Bonds shall be in denominations and bear interest at the rate as provided in Section 2.02 hereof and shall have the provisions with respect to redemption as provided in Section 2.03 hereof.

#### Section 2.02. Designation, Maturity, Denomination and Interest Rate of the 2016 Bonds.

(a) The Series 2016 Bonds, as initially issued: (i) shall each be designated “Dutchess County Water and Wastewater Authority Service Agreement Revenue Bond, Series 2016”; (ii) shall be issued in fully registered form without coupons in Authorized Denominations; and (iii) shall be issued as otherwise provided in Section 2.02(c) and (d) hereof;

(b) The Refunding Bonds, as initially issued: (i) shall each be designated “Dutchess County Water and Wastewater Authority Service Agreement Revenue Refunding Bond, Series 2016”; (ii) shall be issued in fully registered form without coupons in Authorized Denominations; and (iii) shall be issued as otherwise provided in Section 2.02(c) and (e) hereof;

(c) Interest on the Bonds will be payable each April 1 and October 1 commencing October 1, 2016 (an “Interest Payment Date”). The Bonds shall be dated and will bear interest from and including the Closing Date.

(d) The Series 2016 Bonds shall mature on October 1 in the years and in the aggregate principal amounts and shall bear interest, determined on the basis of a year of 360 days consisting of 12 months of 30 days each, at the rates per annum set forth below:

<b><u>Series 2016 Bonds</u></b>		
<b><u>Year</u></b>	<b><u>Aggregate Principal Amount</u></b>	<b><u>Interest Rate</u></b>
2017		
2018		
2019		
2020		
2021		
2022		
2023		
2024		
2025		
2026		
2027		
2028		
2029		
2030		
2031		
2032		
2033		
2034		
2035		
2036		
2037		
2038		
2039		

(e) The Refunding Bonds shall mature on October 1 in the years and in the aggregate principal amounts and shall bear interest, determined on the basis of a year of 360 days consisting of 12 months of 30 days each, at the rates per annum as set forth below:

<b><u>Refunding Bonds</u></b>		
<b><u>Year</u></b>	<b><u>Aggregate Principal Amount</u></b>	<b><u>Interest Rate</u></b>
2020		
2021		
2022		
2023		
2024		
2025		
2026		
2027		
2028		
2029		

Section 2.03. Redemption of the 2016 Bonds.

(a) The Series 2016 Bonds maturing on and after October 1, 2026 will be subject to optional redemption prior to maturity at the option of the Authority as a whole or in part on any date on or after October 1, 2025 at par, together with the interest accrued thereon to the date fixed for redemption. The Refunding Bonds are not subject to optional redemption.

(b) The 2016 Bonds are subject to special mandatory redemption prior to maturity at the direction of the Authority upon the occurrence of one or more of the following events, as a whole at any time, but not, in part, at a redemption price equal to 100% of the principal amount thereof, together with accrued interest to the date of redemption:

(1) The Water System shall have been damaged or destroyed to the extent that, in the opinion of an Independent Engineer submitted to the Authority and the Trustee at the request of the Authority and the Trustee at the request of the Authority, either (i) the Water System cannot be reasonably restored or repaired within a period of six months to the condition thereof immediately preceding such damage or destruction or (ii) the Authority would thereby be prevented from carrying on the normal operations of the Water System, as it existed immediately prior to such damage or destruction, for a period of six months or more; or

(2) Title to, or the use or possession of, all or substantially all of the Water System shall have been condemned or taken under the exercise of the power of eminent domain by any governmental authority, or a Person acting under governmental authority, for any public use or purpose to such an extent that, in the opinion of an Independent Engineer submitted to the Authority and the Trustee at the request of the Authority, either (i) the Water System cannot be reasonably restored or replaced within a period of six months to a condition of comparable usefulness to that existing immediately prior to such condemnation or taking or (ii) the Authority would thereby be prevented from carrying on the normal operations of the Water System as it existed immediately prior to such condemnation or taking for a period of six months or more; or

(3) As a result of changes in the constitutions or law of the United States of America or the State of New York or of legislative or administrative action of the United States of America or the State of New York or any political subdivision of either thereof or a final decree, judgment or order of a court or an order, rule, regulation, determination, action or refusal to take action, or refusal to issue or make any order, material permit, rule regulation or determination, by a governmental authority or Authority, after contest thereof by the Authority in good faith the Service Agreement, or any material part thereof, shall have become void or unenforceable or impossible of performance in accordance with the intent and purpose of the parties.

If the 2016 Bonds are to be redeemed as a result of the occurrence of any of the above events, the Authority shall deliver to the Trustee not less than forty-five (45) days prior to the redemption date (i) a certificate of an Authorized Representative of the Authority stating the reason for such redemption and (ii) written notice of the intended redemption and the date thereof.

(c) In the event any of the 2016 Bonds are to be redeemed, the Trustee shall cause notice to be given to the Holders of the 2016 Bonds to be redeemed as specified in Section 7.02 of the Resolution. If less than all of the 2016 Bonds of any one maturity shall be called for redemption, the particular 2016 Bonds and Authorized Denominations thereof to be redeemed shall be selected by the Trustee by lot. In the event of redemption of less than all of the 2016 Bonds, the maturity or maturities to be redeemed shall be selected by the Authority.

Section 2.04. Disposition of Proceeds of 2016 Bonds. (a) Upon receipt of the proceeds from the sale of the Series 2016 Bonds, the Trustee shall deposit (i) \$\_\_\_\_\_ into the Bond Redemption and Accumulated Surplus Fund to redeem the outstanding Staatsburg Notes, (ii) \$\_\_\_\_\_ into the Construction Fund for the Birch Hill Water system project, (iii) \$\_\_\_\_\_ into the Debt Service Reserve Fund, and (iv) \$\_\_\_\_\_ into the Costs of Issuance Fund.

(b) Upon receipt of the proceeds for the sale of the Refunding Bonds, the Trustee shall deposit (i) \$\_\_\_\_\_ into the Bond Redemption and Accumulated

Surplus Fund to redeem a portion of the outstanding 2009 Bonds, and (ii) \$ \_\_\_\_\_ into the Costs of Issuance Fund.

Section 2.05. Bond Register System Conversion. Effective (i) upon the resignation of any institution acting as Depository hereunder, provided that the Authority is unable to identify a successor Depository prior to the effective date of such resignation, or (ii) upon a date specified by the Authority in a determination made by the Authority that continuation of any institution in the role of Depository is not in the best interests of the Beneficial Owners or the Authority, the Authority shall discontinue the Book-Entry System and convert to a Bond Register System of ownership for the 2016 Bonds (each, a “Bond Register System Conversion Date”). In such event the Authority shall effect this conversion in the manner specified in “Provisions for Bond Register System” in the General Resolution. This conversion shall be effected pursuant to arrangements for the surrender of a single 2016 Bond by the Depository and the issuance of 2016 Bonds to Registered Owners that are reasonably satisfactory to the Trustee, which arrangements shall be communicated by the Trustee to the Depository of behalf of the Beneficial Owners in the same manner as specified in “Provisions for Bond Register System” in the General Resolution and shall become effective hereunder and binding upon the Authority, the Trustee and all Registered Owners and Beneficial Owners on the Bond Register System Conversion Date.

ARTICLE III

MISCELLANEOUS

Section 3.01. No Rights Conferred on Others. Nothing herein contained shall confer any right upon any person other than the parties hereto and the Owners of the 2016 Bonds.

Section 3.02. Illegal, etc. Provisions Disregarded. In case any provision in this Eighteenth Supplemental Resolution or the 2016 Bonds shall for any reason be held invalid, illegal or unenforceable in any respect, this Eighteenth Supplemental Resolution or the Bonds, as the case may be, shall be construed as if such provision had never been contained herein or therein.

Section 3.03. Notices. Except as otherwise provided herein, any notice, request, complaint, demand, communication or other paper shall be sufficiently given and shall be deemed given when delivered or mailed by first class mail, postage prepaid, or sent by telegram or telex, addressed to the parties as follows:

Authority: Dutchess County Water and Wastewater Authority  
27 High Street  
Poughkeepsie, New York 12601  
Attention: Executive Director

Trustee: The Bank of New York Mellon  
101 Barclay Street, Floor 7-W  
New York, New York 10286  
Attention: Corporate Trust

The above parties may, by notice given hereunder, designate any further or different addresses to which subsequent notices, certificates or other communications shall be sent.

Section 3.04. Successors and Assigns. All the covenants, promises and agreements in this Eighteenth Supplemental Resolution contained by or on behalf of the Authority, or by or on behalf of the Trustee, shall bind and inure to the benefit of their respective successors and assigns, whether so expressed or not.

Section 3.05. Headings for Convenience Only. The descriptive headings in this Eighteenth Supplemental Resolution are inserted for convenience only and shall not control or affect the meaning or construction of any of the provisions hereof.

Section 3.06. Counterparts. This Eighteenth Supplemental Resolution may be executed in any number of counterparts, each of which when so executed and delivered shall be an original; but such counterparts shall together constitute but one and the same instrument.

Section 3.07. Applicable Law. This Eighteenth Supplemental Resolution shall be governed by and construed in accordance with the laws of the State of New York.

Designation of Paying Agent for the 2016 Bonds. The Trustee is hereby designated as Paying Agent for the 2016 Bonds.

IN WITNESS WHEREOF, DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY has caused this Eighteenth Supplemental Resolution to be executed by its Chairman and its corporate seal to be hereunto affixed, attested by its Executive Director, and The Bank of New York has caused this Eighteenth Supplemental Resolution to be executed by one of its authorized officers, all as of the day and year first above written.

(AUTHORITY SEAL)

DUTCHESS COUNTY WATER AND  
WASTEWATER AUTHORITY

Attest: \_\_\_\_\_

By: \_\_\_\_\_

Executive Director

Chairman

THE BANK OF NEW YORK MELLON,  
as Trustee

By: \_\_\_\_\_

Vice President

STATE OF NEW YORK        )  
  ): ss.:  
COUNTY OF DUTCHESS    )

On this \_\_\_\_\_ day of April, 2016, personally appeared before me Thomas LeGrand, personally known to me and known by me to be the person who executed the foregoing instrument in the name and on behalf of the Dutchess County Water and Wastewater Authority, who, being by me duly sworn, did depose and say that he is the Chairman of said Authority, that the said Authority is the body corporate and politic described in and that executed the said instrument, and acknowledged said instrument so executed to be his voluntary act and the voluntary act and deed of said Authority, and stated on oath that said instrument was so signed by him and sealed and attested by Bridget Barclay, Executive Director of said Authority, and delivered on behalf of said Authority and at its direction, and that the seal affixed to said instrument is the official seal of said Authority.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my official seal on the day and year aforesaid.

\_\_\_\_\_  
Notary Public  
(Notarial Seal)  
My Commission Expires:

STATE OF NEW YORK        )  
  ): ss.:  
COUNTY OF NEW YORK     )

On this \_\_\_\_ day of April, 2016, personally appeared before me Joseph M. Lawlor, personally known to me and known by me to be the person who executed the foregoing instrument in the name and on behalf of The Bank of New York Mellon, who, being by me duly sworn, did depose and say that he is a Vice President of said Trustee, that the said Trustee is the banking corporation described in and that executed the said instrument, and acknowledged said instrument so executed to be his voluntary act and the voluntary act and deed of said Trustee, and stated on oath that said instrument was so signed by him and delivered on behalf of said Trustee and at its direction.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my official seal on the day and year aforesaid.

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Notary Public  
(Notarial Seal)  
My Commission Expires:

[SERIES 2016 BOND FORM]

NO. R-1

\$

UNITED STATES OF AMERICA  
DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY  
WATER SERVICE AGREEMENT REVENUE BOND, SERIES 2016

<u>MATURITY DATE</u>	<u>INTEREST RATE</u>	<u>DATED DATE</u>	<u>CUSIP</u>
October 1, 20__	%	April __, 2016	

REGISTERED OWNER: CEDE & CO.

PRINCIPAL SUM:

The **DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY**, a body politic and corporate of the State of New York, created under the Dutchess County Water and Wastewater Authority Act, acknowledges itself indebted to, and for value received, hereby promises to pay, solely from the special funds specified in the General Resolution, to the Registered Owner of this Series 2016 Bond the Principal Sum of this Series 2016 Bond stated hereon on the Maturity Date hereof, unless redeemed prior thereto as hereinafter provided, upon the presentation and surrender of this Series 2016 Bond at the principal corporate trust office in New York, New York, of The Bank of New York Mellon, as Trustee and Paying Agent, or at the principal corporate trust office of any successor thereto, and to pay to the Registered Owner hereof, interest on each Interest Payment Date from the date hereof until payment of such Principal Sum has been made at the Interest Rate set forth herein and as further described in the Eighteenth Supplemental Resolution, commencing on the First Interest Payment Date after the date hereof.

Principal of and interest on this Series 2016 Bond are payable in any coin or currency of the United States of America which, on the date of payment hereof, shall be legal tender for the payment of public and private debts.

NEITHER THE STATE OF NEW YORK, DUTCHESS COUNTY, NOR ANY OTHER MUNICIPALITY OR PUBLIC CORPORATION, OTHER THAN THE AUTHORITY, SHALL BE LIABLE ON THIS SERIES 2016 BOND OR ANY OTHER BOND OF THE AUTHORITY AND THIS SERIES 2016 BOND AND ANY OTHER BOND OF THE AUTHORITY SHALL NOT BE A DEBT OF THE STATE OF NEW YORK, DUTCHESS COUNTY, OR ANY OTHER MUNICIPALITY OR PUBLIC CORPORATION, OTHER THAN THE AUTHORITY.

REFERENCE IS MADE TO THE FURTHER PROVISIONS SET FORTH ON THE REVERSE HEREOF WHICH PROVISIONS SHALL FOR ALL PURPOSES HAVE THE SAME EFFECT AS IF SET FORTH IN FULL HEREIN.

This Series 2016 Bond shall not be entitled to any benefit under the General Resolution or the Eighteenth Supplemental Resolution or be valid or become obligatory for any purpose until this Series 2016 Bond shall have been registered upon the registration books of the Authority kept by the Trustee for that purpose, which registration shall be evidenced by the execution by the manual signature of a duly authorized signatory of the Trustee of the certificate of authentication hereon.

IN WITNESS WHEREOF, AS PROVIDED BY THE ACT, the Dutchess County Water and Wastewater Authority has caused this Series 2016 Bond to be executed in its name and on its behalf by the manual or facsimile signature of its Chairman and its corporate seal to be affixed hereto or imprinted hereon and attested to by the manual or facsimile signature of its Secretary, all as of the date above written.

(AUTHORITY SEAL)

DUTCHESS COUNTY WATER AND  
WASTEWATER AUTHORITY

ATTEST:

\_\_\_\_\_

By: \_\_\_\_\_

Secretary

Chairman

CERTIFICATE OF AUTHENTICATION

This Series 2016 Bond is issued under the within mentioned General Resolution and Eighteenth Supplemental Resolution.

THE BANK OF NEW YORK MELLON, as  
Trustee

By: \_\_\_\_\_

Authorized Signature

This Bond is one of a duly authorized series of Service Agreement Revenue Bonds, 2016 (the "Series 2016 Bonds") issued under the General Revenue Bond Resolution, dated as of June 1, 1998, between the Authority and the Trustee as modified, amended or supplemented and the Eighteenth Supplemental Resolution thereto, dated as of March 15, 2016 between the Authority and the Trustee in the aggregate principal amount of \$\_\_\_\_\_. The issuance of this Series 2016 Bond has been authorized by a resolution duly adopted by the Authority pursuant to the laws of the State of New York. All Indebtedness issued and to be issued under the General Resolution are and will be equally secured by the pledges and covenants made therein, except as otherwise expressly provided or permitted in the General Resolution. Copies of the General Resolution and of the Eighteenth Supplemental Resolution are on file at the principal corporate trust office in New York, New York of the Trustee.

This Series 2016 Bond is transferable, as provided in the General Resolution and in the Eighteenth Supplemental Resolution, only upon the registration books of the Authority kept for that purpose at the principal corporate trust office in New York, New York of the Trustee by the Registered Owner hereof in person, or by his attorney duly authorized in writing, upon the surrender of this Series 2016 Bond together with a written instrument of transfer satisfactory to the Trustee duly executed by the Registered Owner or his attorney duly authorized in writing, and thereupon a new registered Series 2016 Bond or Bonds, without coupons, and in the same aggregate principal amount, shall be issued to the transferee in exchange therefor in the manner, subject to the conditions and upon the payment of the charges, if any, provided in the General Resolution and in the Eighteenth Supplemental Resolution.

All capitalized terms used herein shall have the meaning ascribed to them in the General Resolution or the Eighteenth Supplemental Resolution, to which reference should be made for a definitive understanding of the terms and provisions of this Series 2016 Bond, the rights of the holders thereof, the circumstances under which the General Resolution and Eighteenth Supplemental Resolution may be amended, the rights and obligations of the Trustee and various other related matters.

## **REDEMPTION**

The Series 2016 Bonds are subject to redemption prior to maturity as provided below. Except as otherwise provided herein or in the Resolution or Eighteenth Supplemental Resolution, (i) if less than all of the Series 2016 Bonds of any one maturity shall be called for redemption, the particular Series 2016 Bonds are Authorized Denominations thereof to be redeemed shall be selected by the Trustee by lot and (ii) in the event of redemption of less than all of the Series 2016 Bonds, the maturity or maturities to be redeemed shall be selected by the Authority.

## **OPTIONAL REDEMPTION**

The Series 2016 Bonds maturing on and after October 1, 2026 will be subject to redemption prior to maturity at the option of the Authority as a whole or in part on or after October 1, 2025 at par, together with the interest accrued thereon to the date fixed for redemption.

## **SPECIAL MANDATORY REDEMPTION**

The Series 2016 Bonds are subject to special mandatory redemption prior to maturity at the direction of the Authority upon the occurrence of one or more of the following events, as a whole at any time, but not, in part, at a redemption price equal to 100% of the principal amount thereof, without premium, together with accrued interest to the date of redemption:

(1) The Water System shall have been damaged or destroyed to the extent that, in the opinion of an Independent Engineer submitted to the Authority and the trustee at the request of the Authority, either (i) the Water System cannot be reasonably restored or repaired within a period of six months to the condition thereof immediately preceding such damage or destruction or (ii) the Authority would thereby be prevented from carrying on the normal operations of the Water System, as it existed immediately prior to such damage or destruction, for a period of six months or more; or

(2) Title to, or the use or possession of, all or substantially all of the Water System shall have been condemned or taken under the exercise of the power of eminent domain by any governmental authority, or a Person acting under governmental authority, for any public use or purpose to such an extent that, in the opinion of an Independent Engineer submitted to the Authority and the Trustee at the request of the Authority, either (i) the Water System cannot be reasonably restored or replaced within a period of six months to a condition of comparable usefulness to that existing immediately prior to such condemnation or taking or (ii) the Authority would thereby be prevented from carrying on the normal operations of the Water System as it existed immediately prior to such condemnation or taking for a period of six months or more; or

(3) As a result of changes in the constitutions or laws of the United States of America or the State of New York or of legislative or administrative action of the United States of America or the State of New York or any political subdivision of either thereof or a final decree, judgment or order of a court or an order, rule, regulation, determination, action or refusal to take action, or refusal to issue or make any order, material permit, rule regulation or determination, by a governmental authority or Authority, after contest thereof by the Authority in good faith the Service Agreement, or any material part thereof, shall have become void or unenforceable or impossible of performance in accordance with the intent and purpose of the parties.

## **NOTICE OF REDEMPTION**

Notice of any redemption shall be given to the Trustee not less than forty-five (45) days nor more than sixty (60) days prior to any redemption date for the Series 2016 Bonds. When Bonds are called for redemption, the Trustee shall cause a notice to be given in accordance with the General Resolution, including by causing a notice to be deposited in the United States mail first class, postage prepaid, not less than thirty (30) nor more than sixty (60) days prior to the redemption date addressed to the Registered Owners of the Series 2016 Bonds called for redemption, at the addresses appearing in the records kept by the Trustee. Any such notice of redemption will identify the Series 2016 Bonds to be redeemed by certificate number and CUSIP number, will specify the redemption date and the redemption price, and will state that on the redemption date the Series 2016 Bonds called for redemption will be payable at the principal corporate trust office of the Trustee. All Series 2016 Bonds duly called for redemption will cease to bear interest on the specified redemption date.

## **TRANSFERS AND EXCHANGES**

Except as provided in the Resolution, the Series 2016 Bonds are subject to the Book-Entry-Regional System of ownership and transfer. Each series of Bonds subject to the Book-Entry Regional System of ownership and transfer shall initially be evidenced by one certificate for each maturity, in an amount equal to the aggregate principal amount thereof. The Bonds so initially delivered shall be registered in the name of "Cede &Co." as nominee for the Depository. The Series 2016 Bonds subject to the Book-Entry-Regional System of ownership and transfer may not thereafter be transferred or exchanged on the registration books of the Authority held by the Trustee as bond registrar except as otherwise provided in the Resolution.

It is hereby certified that all conditions, acts and things required to exist, happen and be performed under the Act, the General Resolution and the Eighteenth Supplemental Resolution precedent to or in the issuance of this Series 2016 Bond, exist, have happened and have been performed, and that the issuance, authentication and delivery of this Series 2016 Bond, has been duly authorized by resolution of the Authority duly adopted.

No recourse shall be had for the payment of the principal of or interest on this Series 2016 Bond or for any claim based thereon or upon any obligation, covenant or agreement contained in the General Resolution or the Eighteenth Supplemental Resolution, against any past, present or future officer, member or director of the Authority, or any incorporator, member, officer, director or trustee of any successor corporation, as such, either directly or through the Authority or any successor corporation, under any rule of law or equity, statute or constitution or by the enforcement of any assessment or penalty or otherwise, and all such liability of any such incorporator, member, officer, director or trustee as such is hereby expressly waived and released as a condition of and consideration for the execution of the General Resolution and the Eighteenth Supplemental Resolution and the issuance of this Series 2016 Bond.

**ASSIGNMENT**

**FOR VALUE RECEIVED**, the undersigned hereby sells, assigns and transfers unto:

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(PLEASE PRINT OR TYPEWRITE NAME, SOCIAL SECURITY NUMBER AND ADDRESS OF TRANSFEREE)

the within Series 2016 Bond and all rights thereunder, and hereby irrevocably constitutes and appoints

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(ATTORNEY)

to transfer the within Series 2016 Bond on the books kept for registration thereof, with full power of substitution in the premises.

Dated:

Signature Guaranteed:

[REFUNDING BOND FORM]

NO. R-1

\$

UNITED STATES OF AMERICA  
DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY  
WATER SERVICE AGREEMENT REVENUE REFUNDING BOND, SERIES 2016

<u>MATURITY DATE</u>	<u>YIELD TO MATURITY</u>	<u>DATED DATE</u>	<u>CUSIP</u>
October 1, 20__	%	April __, 2016	

REGISTERED OWNER: CEDE & CO.

STATED INITIAL VALUE:

STATED FACE VALUE AT MATURITY:

The **DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY**, a body politic and corporate of the State of New York, created under the Dutchess County Water and Wastewater Authority Act, acknowledges itself indebted to, and for value received, hereby promises to pay, solely from the special funds specified in the General Resolution, to the Registered Owner of this Refunding Bond the Principal Sum of this Refunding Bond stated hereon on the Maturity Date hereof, unless redeemed prior thereto as hereinafter provided, upon the presentation and surrender of this Refunding Bond at the principal corporate trust office in New York, New York, of The Bank of New York Mellon, as Trustee and Paying Agent, or at the principal corporate trust office of any successor thereto, and to pay to the Registered Owner hereof, interest on each Interest Payment Date from the date hereof until payment of such Principal Sum has been made at the Interest Rate set forth herein and as further described in the Eighteenth Supplemental Resolution, commencing on the First Interest Payment Date after the date hereof.

Principal of and interest on this Refunding Bond are payable in any coin or currency of the United States of America which, on the date of payment hereof, shall be legal tender for the payment of public and private debts.

NEITHER THE STATE OF NEW YORK, DUTCHESS COUNTY, NOR ANY OTHER MUNICIPALITY OR PUBLIC CORPORATION, OTHER THAN THE AUTHORITY, SHALL BE LIABLE ON THIS REFUNDING BOND OR ANY OTHER BOND OF THE AUTHORITY AND THIS REFUNDING BOND AND ANY OTHER

BOND OF THE AUTHORITY SHALL NOT BE A DEBT OF THE STATE OF NEW YORK, DUTCHESS COUNTY, OR ANY OTHER MUNICIPALITY OR PUBLIC CORPORATION, OTHER THAN THE AUTHORITY.

REFERENCE IS MADE TO THE FURTHER PROVISIONS SET FORTH ON THE REVERSE HEREOF WHICH PROVISIONS SHALL FOR ALL PURPOSES HAVE THE SAME EFFECT AS IF SET FORTH IN FULL HEREIN.

This Refunding Bond shall not be entitled to any benefit under the General Resolution or the Eighteenth Supplemental Resolution or be valid or become obligatory for any purpose until this Refunding Bond shall have been registered upon the registration books of the Authority kept by the Trustee for that purpose, which registration shall be evidenced by the execution by the manual signature of a duly authorized signatory of the Trustee of the certificate of authentication hereon.

IN WITNESS WHEREOF, AS PROVIDED BY THE ACT, the Dutchess County Water and Wastewater Authority has caused this Refunding Bond to be executed in its name and on its behalf by the manual or facsimile signature of its Chairman and its corporate seal to be affixed hereto or imprinted hereon and attested to by the manual or facsimile signature of its Secretary, all as of the date above written.

(AUTHORITY SEAL)

DUTCHESS COUNTY WATER AND  
WASTEWATER AUTHORITY

ATTEST:

\_\_\_\_\_ By: \_\_\_\_\_

Secretary

Chairman

CERTIFICATE OF AUTHENTICATION

This Refunding Bond is issued under the within mentioned General Resolution and Eighteenth Supplemental Resolution.

THE BANK OF NEW YORK MELLON, as  
Trustee

By: \_\_\_\_\_

Authorized Signature

This Bond is one of a duly authorized series of Service Agreement Revenue Refunding Bonds, 2016 (the "Refunding Bonds") issued under the General Revenue Bond Resolution, dated as of June 1, 1998, between the Authority and the Trustee as modified, amended or supplemented and the Eighteenth Supplemental Resolution thereto, dated as of March 15, 2016 between the Authority and the Trustee in the aggregate principal amount of \$\_\_\_\_\_. The issuance of this Refunding Bond has been authorized by a resolution duly adopted by the Authority pursuant to the laws of the State of New York. All Indebtedness issued and to be issued under the General Resolution are and will be equally secured by the pledges and covenants made therein, except as otherwise expressly provided or permitted in the General Resolution. Copies of the General Resolution and of the Eighteenth Supplemental Resolution are on file at the principal corporate trust office in New York, New York of the Trustee.

This Refunding Bond is transferable, as provided in the General Resolution and in the Eighteenth Supplemental Resolution, only upon the registration books of the Authority kept for that purpose at the principal corporate trust office in New York, New York of the Trustee by the Registered Owner hereof in person, or by his attorney duly authorized in writing, upon the surrender of this Refunding Bond together with a written instrument of transfer satisfactory to the Trustee duly executed by the Registered Owner or his attorney duly authorized in writing, and thereupon a new registered Refunding Bond or Bonds, without coupons, and in the same aggregate principal amount, shall be issued to the transferee in exchange therefor in the manner, subject to the conditions and upon the payment of the charges, if any, provided in the General Resolution and in the Eighteenth Supplemental Resolution.

All capitalized terms used herein shall have the meaning ascribed to them in the General Resolution or the Eighteenth Supplemental Resolution, to which reference should be made for a definitive understanding of the terms and provisions of this Refunding Bond, the rights of the holders thereof, the circumstances under which the General Resolution and Eighteenth Supplemental Resolution may be amended, the rights and obligations of the Trustee and various other related matters.

## **REDEMPTION**

The Refunding Bonds are subject to redemption prior to maturity as provided below. Except as otherwise provided herein or in the Resolution or Eighteenth Supplemental Resolution, (i) if less than all of the Refunding Bonds of any one maturity shall be called for redemption, the particular Refunding Bonds are Authorized Denominations thereof to be redeemed shall be selected by the Trustee by lot and (ii) in the event of redemption of less than all of the Refunding Bonds, the maturity or maturities to be redeemed shall be selected by the Authority.

## **SPECIAL MANDATORY REDEMPTION**

The Refunding Bonds are subject to special mandatory redemption prior to maturity at the direction of the Authority upon the occurrence of one or more of the following events, as a whole at any time, but not, in part, at a redemption price equal to 100% of the principal amount thereof, without premium, together with accrued interest to the date of redemption:

(4) The Water System shall have been damaged or destroyed to the extent that, in the opinion of an Independent Engineer submitted to the Authority and the trustee at the request of the Authority, either (i) the Water System cannot be reasonably restored or repaired within a period of six months to the condition thereof immediately preceding such damage or destruction or (ii) the Authority would thereby be prevented from carrying on the normal operations of the Water System, as it existed immediately prior to such damage or destruction, for a period of six months or more; or

(5) Title to, or the use or possession of, all or substantially all of the Water System shall have been condemned or taken under the exercise of the power of eminent domain by any governmental authority, or a Person acting under governmental authority, for any public use or purpose to such an extent that, in the opinion of an Independent Engineer submitted to the Authority and the Trustee at the request of the Authority, either (i) the Water System cannot be reasonably restored or replaced within a period of six months to a condition of comparable usefulness to that existing immediately prior to such condemnation or taking or (ii) the Authority would thereby be prevented from carrying on the normal operations of the Water System as it existed immediately prior to such condemnation or taking for a period of six months or more; or

(6) As a result of changes in the constitutions or laws of the United States of America or the State of New York or of legislative or administrative action of the United States of America or the State of New York or any political subdivision of either thereof or a final decree, judgment or order of a court or an order, rule, regulation, determination, action or refusal to take action, or refusal to issue or make any order, material permit, rule regulation or determination, by a governmental authority or Authority, after contest thereof by the Authority in good faith the Service Agreement, or any material part thereof, shall have become void or unenforceable or impossible of performance in accordance with the intent and purpose of the parties.

## **NOTICE OF REDEMPTION**

Notice of any redemption shall be given to the Trustee not less than forty-five (45) days nor more than sixty (60) days prior to any redemption date for the Refunding Bonds. When Refunding Bonds are called for redemption, the Trustee shall cause a notice to be given in accordance with the General Resolution, including by causing a notice to be deposited in the United States mail first class, postage prepaid, not

less than thirty (30) nor more than sixty (60) days prior to the redemption date addressed to the Registered Owners of the Refunding Bonds called for redemption, at the addresses appearing in the records kept by the Trustee. Any such notice of redemption will identify the Refunding Bonds to be redeemed by certificate number and CUSIP number, will specify the redemption date and the redemption price, and will state that on the redemption date the Refunding Bonds called for redemption will be payable at the principal corporate trust office of the Trustee. All Refunding Bonds duly called for redemption will cease to bear interest on the specified redemption date.

## **TRANSFERS AND EXCHANGES**

Except as provided in the Resolution, the Refunding Bonds are subject to the Book-Entry-Regional System of ownership and transfer. Each series of Bonds subject to the Book-Entry Regional System of ownership and transfer shall initially be evidenced by one certificate for each maturity, in an amount equal to the aggregate principal amount thereof. The Bonds so initially delivered shall be registered in the name of "Cede &Co." as nominee for the Depository. The Refunding Bonds subject to the Book-Entry-Regional System of ownership and transfer may not thereafter be transferred or exchanged on the registration books of the Authority held by the Trustee as bond registrar except as otherwise provided in the Resolution.

It is hereby certified that all conditions, acts and things required to exist, happen and be performed under the Act, the General Resolution and the Eighteenth Supplemental Resolution precedent to or in the issuance of this Refunding Bond, exist, have happened and have been performed, and that the issuance, authentication and delivery of this Refunding Bond, has been duly authorized by resolution of the Authority duly adopted.

No recourse shall be had for the payment of the principal of or interest on this Refunding Bond or for any claim based thereon or upon any obligation, covenant or agreement contained in the General Resolution or the Eighteenth Supplemental Resolution, against any past, present or future officer, member or director of the Authority, or any incorporator, member, officer, director or trustee of any successor corporation, as such, either directly or through the Authority or any successor corporation, under any rule of law or equity, statute or constitution or by the enforcement of any assessment or penalty or otherwise, and all such liability of any such incorporator, member, officer, director or trustee as such is hereby expressly waived and released as a condition of and consideration for the execution of the General Resolution and the Eighteenth Supplemental Resolution and the issuance of this Refunding Bond.

**ASSIGNMENT**

**FOR VALUE RECEIVED**, the undersigned hereby sells, assigns and transfers unto:

---

(PLEASE PRINT OR TYPEWRITE NAME, SOCIAL SECURITY NUMBER AND ADDRESS OF TRANSFEREE)

the within Refunding Bond and all rights thereunder, and hereby irrevocably constitutes and appoints

---

(ATTORNEY)

to transfer the within Refunding Bond on the books kept for registration thereof, with full power of substitution in the premises.

Dated:

Signature Guaranteed:

Governance Information (Authority-Related)

Question	Response	URL (if applicable)
1. Has the Authority prepared its annual report on operations and accomplishments for the reporting period as required by section 2800 of PAL?	Yes	<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>
2. As required by section 2800(9) of PAL, did the Authority prepare an assessment of the effectiveness of its internal controls?	Yes	<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>
3. Has the lead audit partner for the independent audit firm changed in the last five years in accordance with section 2802(4) of PAL?	Yes	N/A
4. Does the independent auditor provide non-audit services to the Authority?	Yes	N/A
5. Does the Authority have an organization chart?	Yes	<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>
6. Are any Authority staff also employed by another government agency?	No	
7. Has the Authority posted their mission statement to their website?	Yes	<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>
8. Has the Authority's mission statement been revised and adopted during the reporting period?	No	N/A
9. Attach the Authority's measurement report, as required by section 2824-a of PAL and provide the URL.		<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>

Governance Information (Board-Related)

Question	Response	URL
1. Has the Board established a Governance Committee in accordance with Section 2824(7) of PAL?	Yes	N/A
2. Has the Board established an Audit Committee in accordance with Section 2824(4) of PAL?	Yes	N/A
3. Has the Board established Finance Committee in accordance with Section 2824(8) of PAL?	Yes	N/A
4. Provide a URL link where a list of Board committees can be found (including the name of the committee and the date established):		<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>
5. Does the majority of the Board meet the independence requirements of Section 2825(2) of PAL?	Yes	N/A
6. Provide a URL link to the minutes of the Board and committee meetings held during the covered fiscal year		<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>
7. Has the Board adopted bylaws and made them available to Board members and staff?	Yes	<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>
8. Has the Board adopted a code of ethics for Board members and staff?	Yes	<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>
9. Does the Board review and monitor the Authority's implementation of financial and management controls?	Yes	N/A
10. Does the Board execute direct oversight of the CEO and management in accordance with Section 2824(1) of PAL?	Yes	N/A
11. Has the Board adopted policies for the following in accordance with Section 2824(1) of PAL?		
Salary and Compensation	Yes	N/A
Time and Attendance	Yes	N/A
Whistleblower Protection	Yes	N/A
Defense and Indemnification of Board Members	Yes	N/A
12. Has the Board adopted a policy prohibiting the extension of credit to Board members and staff in accordance with Section 2824(5) of PAL?	Yes	N/A
13. Are the Authority's Board members, officers, and staff required to submit financial disclosure forms in accordance with Section 2825(3) of PAL?	Yes	N/A
14. Was a performance evaluation of the board completed?	Yes	N/A
15. Was compensation paid by the Authority made in accordance with employee or union contracts?	No	N/A
16. Has the board adopted a conditional/additional compensation policy governing all employees?	Yes	<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY  
2015 OPERATIONS AND ACCOMPLISHMENTS**

**AUTHORITY SYSTEM OPERATIONS**

In 2015 the DCWWA continued its successful management and operation of fourteen water and sewer systems, providing services to over 4,167 customers. During 2015 DCWWA acquired five additional systems, bringing the total of customers served to 4,585. All systems but two closed out 2015 within the adopted system budget parameters. Below are the system operational highlights from 2015:

- Negotiated and executed an Assignment Agreement to transfer the IBM 2.0 million gallon per day Water Sale Agreement to Global Foundries, upon Global Foundries acquisition of the IBM campus in East Fishkill.
- Completed an engineering evaluation of all Instrumentation and Control Systems at the Hyde Park Water Treatment Facility, and developed a plan for phased upgrading of the systems.
- Completed architectural design for building exterior maintenance and repair for the Hyde Park Water Treatment Facility and Central Dutchess Water Transmission Line Pump Station, and developed a plan for phased construction activities.
- Completed design and construction of an access drive to the north wells at the Valley Dale Water treatment facility, to allow all-weather access to wells.
- Addressed urgent safety items identified in the acquisition evaluation report for the Pinebrook Sewer System.
- Completed downstream water flow improvements to alleviate flooding risks at the Quaker Hills Water System pumphouse.

**MAJOR CAPITAL PROJECTS**

In 2015 the DCWWA continued the process of annually reviewing and updating a Five Year Capital Plan. The 2015-2019 Capital Plan included \$16.8 million in funded capital project work. Below are the capital project highlights for 2015:

- Completed a value engineering review of the design of an extensive rehabilitation of the Valley Dale wastewater treatment plant to replace aging infrastructure and improve plant efficiency. Construction will commence in 2016.
- Completed a value engineering review of the design of an extensive rehabilitation of the Chelsea Cove wastewater treatment plant to replace aging infrastructure and improve plant efficiency, and re-bid the project construction. Construction will commence in 2016.
- Completed the construction of a new Booster Pump Station to improve distribution pressures in the Shore Haven Water System.

- Completed design work for the Shore Haven Water System Permanent Water Treatment Improvements and Distribution System Improvement Project. Project construction will commence in 2016 pending receipt of regulatory approvals.
- Entered into a Project Management Agreement with Dutchess County to manage the construction of a waterline extension from the Central Dutchess Water Transmission Line to the Dutchess County Airport. Commenced engineering design for the project.

### **NEW SYSTEM ACQUISITIONS AND SYSTEM EXPANSIONS**

- Based on the outcome of an evaluation process funded by the NYS Department of State's Local Government Efficiency Grant Program, the Town of Hyde Park determined to transfer to DCWWA eight Town-owned water and sewer districts. Transfer of four systems was completed in 2015, with the remaining four to be transferred in 2016.
- Received a grant award of \$404,000 from the NYS Department of State's Local Government Efficiency Grant Program to implement the transfer of Hyde Park water and sewer systems to DCWWA, and to invest in technology that will enable DCWWA to more efficiently absorb the additional operational and administrative responsibilities for the systems.
- Continued to negotiate agreements with the project sponsor for the 102 unit residential development on the Hoffman Farm property in the Town of Red Hook for DCWWA management and operation of the project's proposed water and sewer systems. With the project sponsor, began negotiations of a water purchase agreement with the Village of Red Hook.
- Completed the acquisition from the Red Hook Fairways Homeowner's Association of the community sewer system, which provides service to 36 customers in the Town of Red Hook, NY.
- Continued to work with the Village of Tivoli on a grant funded evaluation of the potential transfer to the DCWWA of the Village's water and sewer systems.
- In response to a request from the Town of Rhinebeck, completed the process of evaluating the Town's Vanderburgh Cove Sewer System, culminating in a decision by the Town to transfer the system to DCWWA.
- Executed an agreement with the developer of the proposed Obercreek fifteen lot conservation cluster subdivision to develop an innovative "green-technology" community wastewater system, to be owned and operated by the DCWWA upon completion.
- Executed an agreement with the developer of the proposed Preserve at Lakes Kill 11 lot conservation cluster subdivision to develop a community wastewater system, to be owned and operated by the DCWWA upon completion.

DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY  
ASSESSMENT OF INTERNAL CONTROLS  
REPORT FOR FISCAL YEAR 2015

The mission of the Dutchess County Water and Wastewater Authority is to protect and enhance the health, environmental sustainability and economic stability of Dutchess County and its residents through the provision of clean drinking water and proper treatment of wastewater, acting at all times with a commitment to accountability and transparency. In addition to assisting municipalities with their water and sewer needs, the Authority owns and operates fourteen water systems (each a zone of assessment in the Dutchess County Water District and 4 of which now comprise the Hyde Park Regional Water System), five wastewater systems, (each its own part-county sewer district) and a 13 mile water transmission line. Of the above referenced systems, three water and two sewer systems were new acquisitions to the Authority during the 2015 fiscal year. Operations to fulfill the Authority's purpose include planning and administering annual budgets, management of capital project funds, billing and bookkeeping on site by Authority staff.

The DCWWA and Dutchess County, as the governing body of the Water District, have entered into a Service Agreement, which has now been amended twelve times (authorized by resolutions of the Legislature) in order to incorporate each new zone of assessment. Parallel Service Agreements have been executed by the DCWWA and Dutchess County for each of the part-county sewer districts.

The key provisions of these Service Agreements are as follows:

- The DCWWA agrees to provide service to properties within the County districts through water and sewer infrastructure that it owns and operates.
- The County agrees to "accept and pay for" water or sewer service provided to such properties, in the form of a Service Fee. The amount of the Service Fee is equal to the aggregate amount of all debt service expenses for all DCWWA bonds, the debt service on which Dutchess County has agreed, by resolution of the County Legislature, to include in the Service Fee. The Service Fee also includes the aggregate amount of Operating Expenses incurred by DCWWA water or sewer systems providing service to the districts, minus the amount collected by the DCWWA through water or sewer rates.
- The DCWWA agrees to establish water and sewer rates sufficient to cover system Operating Expenses.
- Dutchess County agrees to generate revenues sufficient to pay the Service Fee by levying benefit assessments against properties within the various sewer districts and water district zones of assessment.

To date, the DCWWA has never closed out a budget year in a deficit situation in any water or sewer system. "Operation Expense" charges paid by Dutchess County to the DCWWA as part of the Service Fee have been comprised solely of the collection of unpaid charges through a relevy process, whereby any unpaid water rents or sewer charges as of November of the fiscal year are placed on the following year's property taxes for collection.

DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY  
ASSESSMENT OF INTERNAL CONTROLS  
REPORT FOR FISCAL YEAR 2015

In preparation for each fiscal year, the staff prepares budgets and presents these to the Authority Board for review over the course of three separate board meetings prior to adoption, providing opportunity for both Board and public comment. Budgets are prepared taking into consideration the age and condition of the system, customer count, prior years' financial performance and individual system fund balance. Board members review capital improvements that are being considered for the next fiscal year in addition to reviewing a 5 Year Capital Plan. These budgets include an operational contingency, and where appropriate, a capital contingency. Based on information provided through this process, water and sewer system user charges are established by the DCWWA Board of Directors.

During the fiscal year, revenues and expenses are monitored on a monthly basis, identifying any need to reevaluate budgeted expenses against actual revenues. DCWWA operators follow all regulatory testing protocol and meet all regulatory requirements for continued operation. All DCWWA systems are covered by an insurance policy which includes coverage for Property, General Liability, Machinery and Equipment, Auto and Directors and Officers Liability.

Annually the Board of Directors reviews and accepts an Accounting Policies and Procedures document which establishes the protocol for handling of Authority funds received and expended during the fiscal year. This document is evaluated for assessment of the effectiveness of the protocol to provide reasonable assurance of the reliability of safeguarding financial resources, insure accuracy, serve our customers and vendors and make the best use of staff resources. This evaluation is based on review of the prior year's operation as the fiscal year's statements are prepared for audit. At the January 28, 2015 board meeting, the Authority Board reviewed and accepted the Accounting Policies and Procedures for 2015 (attached). In reviewing the Accounting Policies and Procedures for 2016, it was determined that the controls established in 2015 were adequate and effective.

A Procurement Policy, governing the manner in which purchase of goods and services is handled, is reviewed and adopted annually by the Authority Board. At the January 28, 2015 board meeting, the Authority Board reviewed and accepted the Procurement Policy (attached).

The Authority Board also annually adopts a Property Disposal Guidelines Policy defining parameters for disposition of Authority assets. This policy was reviewed and accepted at the January 28, 2015 board meeting (attached).

Also attached is the "Report on Internal Control over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with Government Auditing Standards" submitted to the Authority Board with the 2015 audited Financial Statements by Sedore and Company and dated March 9, 2016.

RESOLUTION NO. 2015.01.I/08

Authority Board - DCWWA  
January 28, 2015 meeting

**Review and Re-adoption of Procurement Policy**

Larry Knapp 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 Rudy Vavra

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

**Review and Re-adoption of Disposal of Property Guidelines**

Larry Knapp 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 Vince DiMaso

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

RESOLUTION NO. 2015.01.K/10

Authority Board – DCWWA  
January 28, 2015 meeting

**Review and Re-adoption of Accounting Procedures and Banking Policy**

Rudy Vavra 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 Larry Knapp

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

**INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER  
FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS  
BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED  
IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS**

Members of the Board of Directors  
Dutchess County Water & Wastewater Authority  
27 High Street  
Poughkeepsie, New York 12601

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of the business-type activities of Dutchess County Water & Wastewater Authority, a component unit of Dutchess County, New York, as of and for the years ended December 31, 2015 and 2014, and the related notes to the financial statements, which collectively comprise the Dutchess County Water & Wastewater Authority's basic financial statements, and have issued our report thereon dated March 9, 2016.

**Internal Control Over Financial Reporting**

In planning and performing our audit of the financial statements, we considered Dutchess County Water & Wastewater Authority's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of Dutchess County Water & Wastewater Authority's internal control. Accordingly, we do not express an opinion on the effectiveness of Dutchess County Water & Wastewater Authority's internal control.

*A deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. *A material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. *A significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or, significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

### **Compliance and Other Matters**

As part of obtaining reasonable assurance about whether Dutchess County Water & Wastewater Authority's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

### **Purpose of this Report**

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the Authority's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Authority's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

Poughkeepsie, New York  
March 9, 2016

<u>Board of Directors Listing</u>			
Name	Baxter-Dingee, Amanda	Name	Knapp, Larry
Chair of the Board	No	Chair of the Board	No
If yes, Chair Designated by.		If yes, Chair Designated by.	
Term Start Date	12/15/2014	Term Start Date	02/18/2013
Term Expiration Date	09/21/2015	Term Expiration Date	12/31/2017
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Designee Name		Designee Name	
Ex-officio	No	Ex-officio	No
Nominated By	Local	Nominated By	Local
Appointed By	Local	Appointed By	Local
Confirmed by Senate?		Confirmed by Senate?	
Has the Board member/designee signed the acknowledgement of fiduciary duty?	No	Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes
Complied with training requirement of Section 2824?	No	Complied with training requirement of Section 2824?	Yes
Does the Board member/designee also hold an elected or appointed State gove	No	Does the Board member/designee also hold an elected or appointed State gove	No
Does the Board member/designee also hold an elected or appointed municipal government position?	No	Does the Board member/designee also hold an elected or appointed municipal government position?	No

Board of Directors Listing

Name	LeGrand, Thomas	Name	Vavra, Rudy
Chair of the Board	Yes	Chair of the Board	No
If yes, Chair Designated by.	Elected by Board	If yes, Chair Designated by.	
Term Start Date	01/01/2004	Term Start Date	01/01/2015
Term Expiration Date	12/31/2008	Term Expiration Date	12/31/2019
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Designee Name		Designee Name	
Ex-officio	No	Ex-officio	No
Nominated By	Local	Nominated By	Local
Appointed By	Local	Appointed By	Local
Confirmed by Senate?		Confirmed by Senate?	No
Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes	Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes
Complied with training requirement of Section 2824?	Yes	Complied with training requirement of Section 2824?	Yes
Does the Board member/designee also hold an elected or appointed State gove	No	Does the Board member/designee also hold an elected or appointed State gove	No
Does the Board member/designee also hold an elected or appointed municipal government position?	No	Does the Board member/designee also hold an elected or appointed municipal government position?	No

Board of Directors Listing

Name	DiMaso, Vincent J
Chair of the Board	No
If yes, Chair Designated by.	
Term Start Date	01/01/2007
Term Expiration Date	12/31/2011
Title	
Has the Board member appointed a designee?	
Designee Name	
Ex-officio	No
Nominated By	Local
Appointed By	Local
Confirmed by Senate?	
Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes
Complied with training requirement of Section 2824?	Yes
Does the Board member/designee also hold an elected or appointed State gove	No
Does the Board member/designee also hold an elected or appointed municipal government position?	No

**Staff Listing**

Name	Title	Group	Department / Subsidiary	Union Name	Bargaining Unit	Full Time/ Part Time	Exempt	Base Annualized Salary	Actual salary paid to the individual	Overtime paid by Authority	Performance Bonus	Extra Pay	Other Compensation/Allowances/Adjustments	Total Compensation	Individual also paid by another entity to perform the work of the Authority	If yes, Is the payment made by State or local government
Barclay, Bridget	Executive Director	Executive				FT	Yes	106,648.38	106,648.38	0	0	0	2,500	109,148.38	No	
Burger, Jacqueline	Senior Typist	Administrative and Clerical				FT	No	38,157.50	38,157.5	0	0	0	0	38,157.5	No	
Churins, Jonathan	Water and Wastewater Authority Project Facilitator	Technical and Engineering				FT	Yes	73,868.67	73,868.67	0	0	0	0	73,868.67	No	
Corey, Jr., Donald	Water Maintenance Mechanic	Operational				FT	No	62,169.24	62,169.24	2,111.77	0	0	0	64,281.01	No	
D'Ambrosio, Anthony	Laborer	Operational				FT	No	33,682.00	11,030.79	643.56	0	0	0	11,674.35	No	
Doyle, Robert	Water Maintenance Mechanic	Operational				FT	No	61,338.87	61,338.87	10,424.43	0	0	0	71,763.3	No	
Fadden, Peter	Project Manager (Water and Wastewater)	Technical and Engineering				FT	Yes	124,276.39	124,276.39	0	0	0	0	124,276.39	No	
Gilnack, Gerald	Superintendent of Water District	Managerial				PT	Yes	15,517.08	15,517.08	921.38	0	0	0	16,438.46	No	
Goettel, Glenn	Water Maintenance Mechanic	Operational				FT	No	60,324.60	60,324.6	6,053.56	0	0	0	66,378.16	No	
Hallenbeck, Karen	Principal Clerk	Administrative and Clerical				FT	No	53,122.56	53,122.56	0	0	0	0	53,122.56	No	

Annual Report for Dutchess County Water and Wastewater Authority  
Fiscal Year Ending:12/31/2015

Run Date: 03/16/2016  
Status: UNSUBMITTED

**Staff Listing**

Name	Title	Group	Department / Subsidiary	Union Name	Bargaining Unit	Full Time/ Part Time	Exempt	Base Annualized Salary	Actual salary paid to the individual	Overtime paid by Authority	Performance Bonus	Extra Pay	Other Compensation/Advances/Adjustments	Total Compensation	Individual also paid by another entity to perform the work of the Authority	If yes, Is the payment made by State or local government
Heupler, Steven	Water Treatment Plant Operator Grade II	Operational				FT	No	77,512.16	77,512.16	4,663.38	0	0	0	82,175.54	No	
Licis, Michael	Water Distribution System Operator Grade D	Operational				FT	No	52,842.17	52,842.17	4,048.56	0	0	0	56,890.73	No	
Lutz, Daniel	Water Treatment Plant Operator Grade II	Operational				FT	No	60,493.39	60,493.39	5,155.74	0	0	0	65,649.13	No	
McGuire, Lisa	Administrative Secretary	Administrative and Clerical				FT	No	52,071.26	52,071.26	0	0	0	0	52,071.26	No	
Mills, Edward	Water and Wastewater Authority Project Facilitator	Technical and Engineering				FT	Yes	76,024.72	76,024.72	0	0	0	0	76,024.72	No	
Morris, Mary	Treasurer	Managerial				FT	Yes	98,741.53	98,741.53	0	0	0	0	98,741.53	No	
O'Neill, Robert	Water Distribution System Operator Grade D	Operational				FT	No	68,170.49	68,170.49	6,968.91	0	0	0	75,139.4	No	
Odell, Douglas	Director of Operations	Managerial				FT	No	78,823.45	78,823.45	0	0	0	0	78,823.45	No	

**Staff Listing**

Name	Title	Group	Department / Subsidiary	Union Name	Bargaining Unit	Full Time/Part Time	Exempt	Base Annualized Salary	Actual salary paid to the individual	Overtime paid by Authority	Performance Bonus	Extra Pay	Other Compensation/Allowances/Adjustments	Total Compensation	Individual also paid by another entity to perform the work of the Authority	If yes, Is the payment made by State or local government
Rosencrans, Jeff	Wastewater Authority Helper	Operational				FT	No	29,638.72	29,638.72	0	0	0	0	29,638.72	No	
Smith, Marie G	Account Clerk Typist	Administrative and Clerical				FT	No	37,838.00	24,532.99	0	0	0	0	24,532.99	No	
Underwood, Kenneth	Water Treatment Plant Operator Grade II	Operational				FT	No	68,209.48	68,209.48	11,041.29	0	0	0	79,250.77	No	
Winchester, Richard F	Water Maintenance Mechanic	Operational				FT	No	55,094.53	55,094.53	0	0	0	0	55,094.53	No	
Zanetti, Fred	Junior Planner	Operational				FT	No	64,398.54	64,398.54	0	0	0	0	64,398.54	No	

Benefit Information

During the fiscal year, did the Authority continue to pay for any of the above mentioned benefits for

No

Board Members

Name	Title	Severance Package	Payment for Unused Leave	Club Member-ships	Use of Corporate Credit Cards	Personal Loans	Auto	Transportation	Housing Allowance	Spousal / Dependent Life Insurance	Tuition Assistance	Multi-Year Employment	None of These Benefits	Other
LeGrand, Thomas	Board of Directors												X	
Baxter-Dingee, Amanda	Board of Directors												X	
DiMaso, Vincent J	Board of Directors												X	
Knapp, Larry	Board of Directors												X	
Vavra, Rudy	Board of Directors												X	

Staff

Name	Title	Severance Package	Payment for Unused Leave	Club Member-ships	Use of Corporate Credit Cards	Personal Loans	Auto	Transportation	Housing Allowance	Spousal / Dependent Life Insurance	Tuition Assistance	Multi-Year Employment	None of These Benefits	Other
Barclay, Bridget	Executive Director												X	
Fadden, Peter	Project Manager (Water and Wastewater)												X	

Subsidiary/Component Unit Verification

Is the list of subsidiaries, as assembled by the Office of the State Comptroller, correct? Yes  
 Are there other subsidiaries or component units of the Authority that are active, not included in the PARIS reports submitted by this No

Name of Subsidiary/Component Unit	Status	Requested Changes
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Subsidiary/Component Unit Creation

Name of Subsidiary/Component Unit	Establishment Date	Entity Purpose
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Subsidiary/Component Unit Termination

Name of Subsidiary/Component Unit	Termination Date	Termination Reason	Proof of Termination
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No Data has been entered by the Authority for this section in PARIS

Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

Assets

Current Assets

Cash and cash equivalents	\$3,571,430
Investments	\$1,801,231
Receivables, net	\$1,619,433
Other assets	\$17,404
<b>Total Current Assets</b>	<b>\$7,009,498</b>

Noncurrent Assets

Restricted cash and investments	\$2,466,736
Long-term receivables, net	\$0
Other assets	\$593,258

Capital Assets

Land and other nondepreciable property	\$955,608
Buildings and equipment	\$24,826,950
Infrastructure	\$54,588,133
Accumulated depreciation	\$24,902,636
<b>Net Capital Assets</b>	<b>\$55,468,055</b>

<b>Total Noncurrent Assets</b>	<b>\$58,528,049</b>
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<b>Total Assets</b>	<b>\$65,537,547</b>
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Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

Liabilities

Current Liabilities

Accounts payable	\$598,944
Pension contribution payable	\$0
Other post-employment benefits	\$0
Accrued liabilities	\$481,453
Deferred revenues	\$25,220,512
Bonds and notes payable	\$4,623,922
Other long-term obligations due within one year	\$0
<b>Total Current Liabilities</b>	<b>\$30,924,831</b>

Noncurrent Liabilities

Pension contribution payable	\$0
Other post-employment benefits	\$1,536,779
Bonds and notes payable	\$0
Long Term Leases	\$0
Other long-term obligations	\$30,074,707
<b>Total Noncurrent Liabilities</b>	<b>\$31,611,486</b>

Total Liabilities

\$62,536,317

Net Asset (Deficit)

Net Asset

Invested in capital assets, net of related debt	\$4,678,651
Restricted	\$2,742,480
Unrestricted	(\$4,419,901)
<b>Total Net Assets</b>	<b>\$3,001,230</b>

Summary Financial Information

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

Operating Revenues

Charges for services	\$5,298,663
Rental & financing income	\$114,798
Other operating revenues	\$4,100
<b>Total Operating Revenue</b>	<b>\$5,417,561</b>

Operating Expenses

Salaries and wages	\$1,320,333
Other employee benefits	\$711,652
Professional services contracts	\$123,920
Supplies and materials	\$472,139
Depreciation & amortization	\$1,337,328
Other operating expenses	\$2,322,799
<b>Total Operating Expenses</b>	<b>\$6,288,171</b>

**Operating Income (Loss)** (\$870,610)

Nonoperating Revenues

Investment earnings	\$153,639
State subsidies/grants	\$0
Federal subsidies/grants	\$0
Municipal subsidies/grants	\$2,842,496
Public authority subsidies	\$0
Other nonoperating revenues	\$2,274,099
<b>Total Nonoperating Revenue</b>	<b>\$5,270,234</b>

Summary Financial Information

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

Nonoperating Expenses

Interest and other financing charges	\$1,465,653
Subsidies to other public authorities	\$0
Grants and donations	\$0
Other nonoperating expenses	\$200,736
<b>Total Nonoperating Expenses</b>	<b>\$1,666,389</b>
Income (Loss) Before Contributions	\$2,733,235
Capital Contributions	\$0
Change in net assets	\$2,733,235
Net assets (deficit) beginning of year	\$274,909
Other net assets changes	(\$6,914)
Net assets (deficit) at end of year	\$3,001,230

**Current Debt**

Question	Response
1. Did the Authority have any outstanding debt, including conduit debt, at any point during the reporting period?	Yes
2. If yes, has the Authority issued any debt during the reporting period?	Yes

**New Debt Issuances List by Type of Debt and Program**

Type Of Debt: Authority Debt - Revenue

Program:

Project	Amounts	CUSIP Number	Bond Closing Date	Taxable Status	Issue Process	True Interest Cost	Interest Type	Term	Cost of Issuance (\$)	FACB Project	URL
Shore Haven Water System Improvements	Refunding 0.00 New 304,200.00 Total 304,200.00		09/26/2013		Negotiated	0	Fixed	3	16,000.00		
Staatsburg Water Route 9 Pipeline Replacement Project	Refunding 0.00 New 1,660,500.00 Total 1,660,500.00		05/20/2015		Competitive	1.67	Fixed	1	8,250.00		

Schedule of Authority Debt

Type of Debt	Statutory Authorization (\$)	Outstanding Start of Fiscal Year (\$)	New Debt Issuances (\$)	Debt Retired (\$)	Outstanding End of Fiscal Year (\$)
<b>State Obligation</b>					
State Guaranteed					
State Supported					
State Contingent Obligation					
State Moral Obligation					
Other State Funded					
<b>Authority Obligation</b>					
General Obligation					
Revenue	0.00	35,846,778.00	1,964,700.00	3,112,849.00	34,698,629.00
Other Non-State Funded					
<b>Conduit</b>					
Conduit Debt					
Conduit Debt - Pilot Increment Financing					

Real Property Acquisition/Disposal List

<p>1. Address Line1: 13-49 Tee Lane Address Line2: City: RED HOOK State: NY Postal Code: 12571 Plus4: Province/Region: Country: USA Property Description: Industrial Facility/Plant Estimated Fair Market Value: \$373,620 How was the Fair Market Value Appraisal Determined? Transaction Type: ACQUISITION If Other, Explain:  Transaction Date: 09/01/2015 Purchase Sale Price: \$1.00 <u>Lease Data (If applicable)</u> Market Rate(\$/square foot): Lease Rate(\$/square foot): Lease Period (months): <u>Seller/Purchaser/Tenant Data:</u> Organization: Red Hook Fairway Homeowners Association, Inc Last Name: First Name:  Address Line1: 72 Tee Lane Address Line2: City: RED HOOK State: NY Postal Code: 12571 Plus4: Province/Region: Country: USA Relation With Board member/senior authority management? No</p>	<p>2. Address Line1: 15 Legion Road Address Line2: City: HYDE PARK State: NY Postal Code: 12538 Plus4: Province/Region: Country: USA Property Description: Industrial Facility/Plant Estimated Fair Market Value: \$41,622 How was the Fair Market Value Appraisal Determined? Transaction Type: ACQUISITION If Other, Explain:  Transaction Date: 09/15/2015 Purchase Sale Price: \$1.00 <u>Lease Data (If applicable)</u> Market Rate(\$/square foot): Lease Rate(\$/square foot): Lease Period (months): <u>Seller/Purchaser/Tenant Data:</u> Organization: Town of Hyde Park Last Name: First Name:  Address Line1: 4383 Albany Post Road Address Line2: City: HYDE PARK State: NY Postal Code: 12538 Plus4: Province/Region: Country: USA Relation With Board member/senior authority management? No</p>
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Real Property Acquisition/Disposal List

3. Address Line1: 225 Pinebrook Drive  
  
Address Line2:  
  
City: HYDE PARK  
State: NY  
Postal Code: 12538  
Plus4:  
Province/Region:  
Country: USA  
Property Description: Industrial Facility/Plant  
Estimated Fair Market Value: \$542,253  
How was the Fair Market Value Appraisal  
Determined?  
Transaction Type: ACQUISITION  
If Other, Explain:

4. Address Line1: 35 Quaker Hill Drive  
  
Address Line2:  
  
City: HYDE PARK  
State: NY  
Postal Code: 12538  
Plus4:  
Province/Region:  
Country: USA  
Property Description: Industrial Facility/Plant  
Estimated Fair Market Value: \$217,048  
How was the Fair Market Value Appraisal  
Determined?  
Transaction Type: ACQUISITION  
If Other, Explain:

Transaction Date: 09/15/2015  
Purchase Sale Price: \$1.00  
Lease Data (If applicable)  
Market Rate(\$/square foot):  
Lease Rate(\$/square foot):  
Lease Period (months):  
Seller/Purchaser/Tenant Data:  
Organization: Town of Hyde Park  
Last Name:  
First Name:  
  
Address Line1: 4383 Albany Post Road  
Address Line2:  
City: HYDE PARK  
State: NY  
Postal Code: 12538  
Plus4:  
Province/Region:  
Country: USA  
Relation With Board  
member/senior authority  
management? No

Transaction Date: 09/15/2015  
Purchase Sale Price: \$1.00  
Lease Data (If applicable)  
Market Rate(\$/square foot):  
Lease Rate(\$/square foot):  
Lease Period (months):  
Seller/Purchaser/Tenant Data:  
Organization: Town of Hyde Park  
Last Name:  
First Name:  
  
Address Line1: 4383 Albany Post Road  
Address Line2:  
City: HYDE PARK  
State: NY  
Postal Code: 12538  
Plus4:  
Province/Region:  
Country: USA  
Relation With Board  
member/senior authority  
management? No

Real Property Acquisition/Disposal List

5. Address Line1: 75 Pinebrook Drive  
Address Line2:  
City: HYDE PARK  
State: NY  
Postal Code: 12538  
Plus4:  
Province/Region:  
Country: USA  
Property Description: Industrial Facility/Plant  
Estimated Fair Market Value: \$899,036  
How was the Fair Market Value Appraisal  
Determined?  
Transaction Type: ACQUISITION  
If Other, Explain:

Transaction Date: 09/15/2015  
Purchase Sale Price: \$1.00  
Lease Data (If applicable)  
Market Rate(\$/square foot):  
Lease Rate(\$/square foot):  
Lease Period (months):  
Seller/Purchaser/Tenant Data:  
Organization: Town of Hyde Park  
Last Name:  
First Name:  
Address Line1: 4383 Albany Post Road  
Address Line2:  
City: HYDE PARK  
State: NY  
Postal Code: 12538  
Plus4:  
Province/Region:  
Country: USA  
Relation With Board  
member/senior authority  
management? No

Annual Report for Dutchess County Water and Wastewater Authority  
Fiscal Year Ending:12/31/2015

Run Date: 03/16/2016  
Status: UNSUBMITTED

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Personal Property

This Authority has indicated that it had no personal property disposals during the reporting period.

Property Documents

Question	Response	URL (if applicable)
1. In accordance with Section 2896(3) of PAL, the Authority is required to prepare a report at least annually of all real property of the Authority. Has this report been prepared?	Yes	<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>
2. Has the Authority prepared policies, procedures, or guidelines regarding the use, awarding, monitoring, and reporting of contracts for the acquisition and disposal of property?	Yes	<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>
3. In accordance with Section 2896(1) of PAL, has the Authority named a contracting officer who shall be responsible for the Authority's compliance with and enforcement of such guidelines?	Yes	

No Data has been entered by the Authority for this section in PARIS

Additional Comments:

Dutchess County Water and Wastewater Authority  
 2015  
 Real Property List

System	Location	Property Size
Arbors Water System	15 Legion Road, Hyde Park, NY	Easement/ROW
Birch Hill Water System	165 Reilly Road, Town of Beekman, NY	3.58 Acres
Central Dutchess Water Transmission Line	21 Page Park Drive, Town of Poughkeepsie	Easement/ROW
Chelsea Cove Sewer System	94 Miller Road, Town of Beekman, NY	2.42 Acres
Dalton Farms Sewer System	21 Recreation Road, Town of Beekman, NY 52 Reynolds Road, Town of Beekman, NY 21 East Saw Mill Road, Town of Beekman, NY 140 Victoria Drive, Town of Beekman, NY 27 Plum Court Drive, Town of Beekman, NY	3.5 Acres Easement/ROW Easement/ROW Easement/ROW Easement/ROW
Dalton Farms Water System	91 Recreation Road, Town of Beekman, NY 141 Roosevelt Drive, Town of Beekman, NY	13.83 Acres 1.15 Acres
Fairways Sewer System	13 Tee Lane, Red Hook, NY 37 Tee Lane, Red Hook, NY 49 Tee Lane, Red Hook, NY	Easement/ROW Easement/ROW Easement/ROW
Fairways Water System	13 Fairway Lane, Red Hook NY Tee Lane Water Main Easement	4.94 Acres Easement/ROW
Hyde Park Water System	16 Church Street, Town of Hyde Park, NY 30 Crum Elbow Road, Town of Hyde Park, NY 48 South Drive, Town of Hyde Park, NY 145 River Road, Town of Hyde Park, NY Fuller Lane (Rear), Town of Hyde Park, NY 56 Hudson Drive, Town of Hyde Park, NY 59 St. Andrews Road, Town of Hyde Park, NY	1.43 Acres 6.3 Acres 15.5 Acres .79 Acres .11 Acres 3.67 Acres 3.73 Acres
Pinebrook Sewer System	225 Pinebrook Drive, Hyde Park, NY Pinebrook Drive, Hyde Park, NY	0.94 Acres Easement/ROW
Pinebrook Water System	75 Pinebrook Drive, Hyde Park, NY 50 Pinebrook Drive, Hyde Park, NY 101 Pinebrook Drive, Hyde Park, NY	1.48 Acres 2.5 Acres 1.13 Acres
Quaker Hills Water System	35 Quaker Hill Drive, Hyde Park, NY Quaker Hill Drive, Hyde Park, NY	2.8 Acres Easement/ROW
Rokeby Water System	53 Jefferson Road, Town of Red Hook	2.1 Acres
Schreiber Water System	Hillside Avenue, Town of Dover, NY Hillside Avenue, Town of Dover, NY	.38 Acres 3.8 Acres
Shore Haven Water System	Rocky Mountain Way, Holmes, NY	1.37 Acres
Staatsburg Water System	57 Reservoir Road, Town of Hyde Park, NY	6.54 Acres
Valley Dale Sewer System	68 Forest Valley Road, Town of Pleasant Valley, NY	0.54 Acres
Valley Dale Water System	76 Forest Valley Road, Town of Pleasant Valley, NY	2.9 Acres
Zone D Water System	8 Roosevelt Road, Town of Hyde Park	Easement/ROW
Water Lines	Towns of Beekman, Dover, East Fishkill, Hyde Park Lagrange, Pleasant Valley, Pawling, Poughkeepsie, Red Hook, Rhinebeck and Wappinger	Easement/ROW
Sewer Lines	Towns of Beekman, Hyde Park and Pleasant Valley	Easement/ROW

Procurement-Information:

Question	Response	URL (if applicable)
1. Does the Authority have procurement guidelines?	Yes	<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>
2. Are the procurement guidelines reviewed annually, amended if needed, and approved by the Board?	Yes	
3. Does the Authority allow for exceptions to the procurement guidelines?	Yes	
4. Does the Authority assign credit cards to employees for travel and/or business purchases?	Yes	
5. Does the Authority require prospective bidders to sign a non-collusion agreement?	Yes	
6. Does the Authority incorporate a summary of its procurement policies and prohibitions in its solicitation of proposals, bid documents or specifications for procurement contracts?.	Yes	
7. Did the Authority designate a person or persons to serve as the authorized contact on a specific procurement, in accordance with Section 139-j(2)(a) of the State Finance Law, "The Procurement Lobbying Act"?	Yes	
8. Did the Authority determine that a vendor had impermissible contact during a procurement or attempted to influence the procurement during the reporting period, in accordance with Section 139-j(10) of the State Finance Law?	No	
8a If Yes, was a record made of this impermissible contact?		
9. Does the Authority have a process to review and investigate allegations of impermissible contact during a procurement, and to impose sanctions in instances where violations have occurred, in accordance with Section 139-j(9) of the State Finance Law?	Yes	

Procurement Transactions Listing:

1. Vendor Name:	AccuFund, Inc.	2. Vendor Name:	Amity Construction Corp.
Type of Procurement:	Technology - Software	Type of Procurement:	Design and Construction/Maintenance
Award Process:	Non Contract Procurement/Purchase Order	Award Process:	Non Contract Procurement/Purchase Order
Award Date:		Award Date:	
End Date:		End Date:	
Amount:		Amount:	
Amount Expended for Fiscal Year:	\$6,386.25	Amount Expended for Fiscal Year:	\$5,834.21
Fair market value:		Fair market value:	
Explain why the fair market value is less than the amount:		Explain why the fair market value is less than the amount:	
Address Line1:	400 Hillside Avenue	Address Line1:	24 Haviland Road
Address Line2:		Address Line2:	
City:	NEEDHAM	City:	POUGHKEEPSIE
State:	MA	State:	NY
Postal Code:	02494	Postal Code:	12601
Plus 4:		Plus 4:	
Province Region:		Province Region:	
Country:	USA	Country:	USA
Procurement Description:	Annual maintenance and support of accounting software	Procurement Description:	Excavation and other work performed through the year with multiple, separate procurements.

Procurement Report for Dutchess County Water and Wastewater Authority

Run Date: 03/06/2016

Fiscal Year Ending: 12/31/2015

Status: UNSUBMITTED

Procurement Transactions Listing:

3. Vendor Name: Amrex

4. Vendor Name: Casale Construction Services, Inc.

Type of Procurement: Commodities/Supplies  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 01/01/2015  
 End Date: 12/31/2015  
 Amount: \$13,853.91  
 Amount Expended for Fiscal Year: \$13,853.91  
 Fair market value:

Explain why the fair market value is less than the amount:

Type of Procurement: Design and Construction/Maintenance  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 05/22/2014  
 End Date: 04/30/2016  
 Amount: \$1,426,555  
 Amount Expended for Fiscal Year: \$265,601.57  
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 117 E Frederick Street  
 Address Line2: P.O. Box 642  
 City: BINGHAMTON  
 State: NY  
 Postal Code: 13902  
 Plus 4:  
 Province Region:  
 Country: USA

Procurement Description: Chemical Purchases

Address Line1: 551 Main Avenue  
 Address Line2:  
 City: WYNANTSKILL  
 State: NY  
 Postal Code: 12198  
 Plus 4:  
 Province Region:  
 Country: USA

Procurement Description: Staatsburg Water System Route 9 Main Replacement Construction Services

Procurement Transactions Listing:

5. Vendor Name: Chazen Engineering, Land Surveying and Landscaping

Type of Procurement: Design and Construction/Maintenance  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 04/17/2013  
 End Date: 11/19/2015  
 Amount: \$104,915  
 Amount Expended for Fiscal Year: \$1,183.5  
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 21 Fox Street  
 Address Line2:  
 City: POUGHKEEPSIE  
 State: NY  
 Postal Code: 12601  
 Plus 4:  
 Province Region:  
 Country: USA

Procurement Description: Engineering Services for the investigation, design, permitting, bidding and technical services during construction of the Staatsburg Route 9 Main Replacement

6. Vendor Name: Chazen Engineering, Land Surveying and Landscaping

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 01/01/2015  
 End Date: 12/31/2015  
 Amount: \$35,000  
 Amount Expended for Fiscal Year: \$14,779.3  
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 21 Fox Street  
 Address Line2:  
 City: POUGHKEEPSIE  
 State: NY  
 Postal Code: 12601  
 Plus 4:  
 Province Region:  
 Country: USA

Procurement Description: General Surveying Services

Procurement Report for Dutchess County Water and Wastewater Authority

Run Date: 03/06/2016

Fiscal Year Ending: 12/31/2015

Status: UNSUBMITTED

Procurement Transactions Listing:

7. Vendor Name: Chickery's Auto Repair

Type of Procurement: Other  
Award Process: Non Contract Procurement/Purchase Order  
Award Date:  
End Date:  
Amount:  
Amount Expended for Fiscal Year: \$7,807.05  
Fair market value:  
Explain why the fair market value is less than the amount:

8. Vendor Name: D.W. Martine & Associates, LLC.

Type of Procurement: Commodities/Supplies  
Award Process: Authority Contract - Non-Competitive Bid  
Award Date: 05/04/2015  
End Date: 05/04/2016  
Amount: \$105,630  
Amount Expended for Fiscal Year: \$98,068.5  
Fair market value: \$105,630  
Explain why the fair market value is less than the amount:

Address Line1: 612 B Violet Avenue  
Address Line2:  
City: HYDE PARK  
State: NY  
Postal Code: 12538  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Vehicle Maintenance and Repair

Address Line1: 4 Nottingham Road  
Address Line2:  
City: ANNANDALE  
State: NJ  
Postal Code: 08801  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: One new and one refurbished Purestream Microscreen Drum Filter

Procurement Transactions Listing:

9. Vendor Name: Dell Marketing, L.P.

Type of Procurement: Technology - Hardware  
Award Process: Purchased Under State Contract  
Award Date:  
End Date:  
Amount:  
Amount Expended for Fiscal Year: \$6,296.42  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: P.O. Box 643561  
Address Line2:  
City: PITTSBURGH  
State: PA  
Postal Code: 15264  
Plus 4: 3561  
Province Region:  
Country: USA  
Procurement Description: Computer equipment Purchase

10. Vendor Name: Dolphin Equipment Corporation

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Competitive Bid  
Award Date: 07/23/2014  
End Date: 09/23/2015  
Amount: \$96,250  
Amount Expended for Fiscal Year: \$81,762.5  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 629 5th Avenue, Suite 113  
Address Line2:  
City: PELHAM  
State: NY  
Postal Code: 10803  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: SHW Booster Pump Station Equipment

Procurement Transactions Listing:

11. Vendor Name: Double Dee Excavating Corp.

Type of Procurement: Design and Construction/Maintenance  
Award Process: Non Contract Procurement/Purchase Order  
Award Date:  
End Date:  
Amount:  
Amount Expended for Fiscal Year: \$81,921  
Fair market value:  
Explain why the fair market value is less than the amount:

12. Vendor Name: Drake, Loeb, Heller, etal.

Type of Procurement: Legal Services  
Award Process: Authority Contract - Non-Competitive Bid  
Award Date: 01/01/2015  
End Date: 12/31/2015  
Amount: \$45,000  
Amount Expended for Fiscal Year: \$34,988.95  
Fair market value: \$45,000  
Explain why the fair market value is less than the amount:

Address Line1: 53 W. Dorsey Lane  
Address Line2:  
City: HYDE PARK  
State: NY  
Postal Code: 12538  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Excavation and other work performed through the year with multiple, separate procurements.

Address Line1: 555 Hudson Valley Avenue  
Address Line2: Suite 100  
City: NEW WINDSOR  
State: NY  
Postal Code: 12553  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Annual Legal Services

Procurement Transactions Listing:

13. Vendor Name: Dutchess TEKCON Ind, Inc.

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Competitive Bid  
Award Date: 01/01/2015  
End Date: 12/31/2015  
Amount: \$8,687.2  
Amount Expended for Fiscal Year: \$8,687.2  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 44 Noxon Road  
Address Line2: Suite 1  
City: POUGHKEEPSIE  
State: NY  
Postal Code: 12603  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Multiple maintenance and services calls for HVAC work

14. Vendor Name: Earthcare - All County Division

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Competitive Bid  
Award Date: 01/01/2015  
End Date: 12/31/2015  
Amount: \$66,508.8  
Amount Expended for Fiscal Year: \$66,508.8  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: A North Star Waste Company  
Address Line2: 99 Maple Grange Road  
City: VERNON  
State: NJ  
Postal Code: 07462  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Annual Sludge Hauling for Chelsea Cove Sewer System, Dalton Farms Sewer System, Valley Dale Sewer System

Procurement Transactions Listing:

<p>15. Vendor Name: Emil K. Lienau</p> <p>Type of Procurement: Design and Construction/Maintenance  Award Process: Authority Contract - Non-Competitive Bid  Award Date: 12/17/2014  End Date: 02/15/2015  Amount: \$5,655.7  Amount Expended for Fiscal Year: \$5,655.7  Fair market value: \$5,655.7</p> <p>Explain why the fair market value is less than the amount:</p>  <p>Address Line1: 19 Sommers Drive  Address Line2:  City: RHINEBECK  State: NY  Postal Code: 12572  Plus 4:  Province Region:  Country: USA</p> <p>Procurement Description: Value Engineering Evaluation and Cost Estimate for Valley Dale Sewer System Wastewater Treatment Facility Rehabilitation</p>	<p>16. Vendor Name: Employee Benefits Division</p> <p>Type of Procurement: Other  Award Process: Non Contract Procurement/Purchase Order  Award Date:  End Date:  Amount:  Amount Expended for Fiscal Year: \$181,222.98  Fair market value:</p> <p>Explain why the fair market value is less than the amount:</p>  <p>Address Line1: State of New York Dept. of Civil Ser  Address Line2: P.O. Box 3801  City: NEW YORK  State: NY  Postal Code: 10008  Plus 4: 3801  Province Region:  Country: USA</p> <p>Procurement Description: Annual Employee Health Insurance Premium</p>
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Procurement Transactions Listing:

<p>17. Vendor Name: Everhart Tree Care LLC</p> <p>Type of Procurement: Design and Construction/Maintenance  Award Process: Non Contract Procurement/Purchase Order  Award Date:  End Date:  Amount:  Amount Expended for Fiscal Year: \$5,500  Fair market value:    Explain why the fair market value is less than the amount:</p> <p>Address Line1: 23 Orchard Road  Address Line2:  City: HUDSON  State: NY  Postal Code: 12534  Plus 4:  Province Region:  Country: USA</p> <p>Procurement Description: Tree Trimming and Removal</p>	<p>18. Vendor Name: Fuss and O'Neill of New York, P.C.</p> <p>Type of Procurement: Design and Construction/Maintenance  Award Process: Authority Contract - Non-Competitive Bid  Award Date: 01/01/2015  End Date: 12/31/2015  Amount: \$35,000  Amount Expended for Fiscal Year: \$17,044.74  Fair market value: \$35,000    Explain why the fair market value is less than the amount:</p> <p>Address Line1: 146 Hartford Road  Address Line2:  City: MANCHESTER  State: CT  Postal Code: 06040  Plus 4:  Province Region:  Country: USA</p> <p>Procurement Description: General Engineering Services: Dalton Farms Sewer System</p>
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Procurement Transactions Listing:

<p>19. Vendor Name: H.A. Schreck, Inc.</p> <p>Type of Procurement: Design and Construction/Maintenance Award Process: Authority Contract - Competitive Bid Award Date: 01/01/2015 End Date: 12/31/2015 Amount: \$10,904.63 Amount Expended for Fiscal Year: \$10,904.63 Fair market value:  Explain why the fair market value is less than the amount:</p> <p>Address Line1: P.O. Box 3088 Address Line2: 32 Van Wagner Road City: POUGHKEEPSIE State: NY Postal Code: 12603 Plus 4: Province Region: Country: USA</p> <p>Procurement Description: Multiple maintenance and service calls/repairs to generators and pumps</p>	<p>20. Vendor Name: Industrial Appraisal Co.</p> <p>Type of Procurement: Other Professional Services Award Process: Authority Contract - Competitive Bid Award Date: 04/17/2013 End Date: 12/31/2022 Amount: \$67,320 Amount Expended for Fiscal Year: \$9,073 Fair market value:  Explain why the fair market value is less than the amount:</p> <p>Address Line1: Two Gateway Center Address Line2: 603 Stanwix Street, Suite 1500 City: PITTSBURGH State: PA Postal Code: 15222 Plus 4: Province Region: Country: USA</p> <p>Procurement Description: Appraisal of Dutchess County Water and Wastewater Authority newly acquired Fixed Assets including individual system evaluation and annual updates</p>
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Procurement Transactions Listing:

21. Vendor Name: KC Engineering & Lnad Surveying PC

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 08/19/2015  
End Date: 12/18/2015  
Amount: \$14,400  
Amount Expended for Fiscal Year: \$12,341.98  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 56 Main Street  
Address Line2:  
City: POUGHKEEPSIE  
State: NY  
Postal Code: 12601  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Surveying for the Greenfields Water and Sewer System

22. Vendor Name: Landworks of Hudson Valley

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Competitive Bid  
Award Date: 07/10/2015  
End Date: 12/21/2015  
Amount: \$48,400  
Amount Expended for Fiscal Year: \$45,439  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: P.O. Box 248  
Address Line2:  
City: RED HOOK  
State: NY  
Postal Code: 12571  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Construction of a North Well Access Drive at the Valley Dale Water System

Procurement Transactions Listing:

23. Vendor Name: Lawrence J. Paggi, PE, PC

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Competitive Bid  
Award Date: 07/17/2013  
End Date: 06/30/2016  
Amount: \$141,500  
Amount Expended for Fiscal Year: \$38,110.25  
Fair market value:  
Explain why the fair market value is less than the amount:

24. Vendor Name: M&O Sanitation

Type of Procurement: Design and Construction/Maintenance  
Award Process: Non Contract Procurement/Purchase Order  
Award Date:  
End Date:  
Amount:  
Amount Expended for Fiscal Year: \$10,542.5  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 43 Broad Street  
Address Line2:  
City: FISHKILL  
State: NY  
Postal Code: 12524  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Design of Improvements to Rehabilitate the Treatment Process and Facilities of the Valley Dale Sewer System

Address Line1: 70 Fairview Avenue  
Address Line2:  
City: POUGHKEEPSIE  
State: NY  
Postal Code: 12601  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Pumping and Cleaning of Hyde Park Pump Station

Procurement Transactions Listing:

25. Vendor Name: MVP Health Care, Inc.

Type of Procurement: Other  
Award Process: Non Contract Procurement/Purchase Order  
Award Date:  
End Date:  
Amount:  
Amount Expended for Fiscal Year: \$96,943.92  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: GPO Box 26864  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10087  
Plus 4: 6864  
Province Region:  
Country: USA  
Procurement Description: Annual Employee Health Insurance Premium

26. Vendor Name: MacDermid Offshore Solutions, LLC

Type of Procurement: Commodities/Supplies  
Award Process: Non Contract Procurement/Purchase Order  
Award Date:  
End Date:  
Amount:  
Amount Expended for Fiscal Year: \$6,504.75  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: P.O. Box 203552  
Address Line2:  
City: DALLAS  
State: TX  
Postal Code: 75320  
Plus 4: 3552  
Province Region:  
Country: USA  
Procurement Description: Chemical Purchase

Procurement Transactions Listing:

27. Vendor Name: Manufacturers and Traders Trust Company

28. Vendor Name:

Morris Associates Engineering  
Consultants, PLLC

Type of Procurement: Financial Services  
Award Process: Non Contract Procurement/Purchase Order  
Award Date:  
End Date:  
Amount:  
Amount Expended for Fiscal Year: \$15,100  
Fair market value:

Explain why the fair market value is less than the amount:

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Competitive Bid  
Award Date: 03/21/2013  
End Date: 12/31/2015  
Amount: \$342,340  
Amount Expended for Fiscal Year: \$61,611.2  
Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: Corporate Trust & Agency Services  
Address Line2: One M&T Plaza - 7th Floor  
City: BUFFALO  
State: NY  
Postal Code: 14203  
Plus 4: 2399  
Province Region:  
Country: USA

Procurement Description: Annual Trustee and Administration Services

Address Line1: 9 Elks Lane  
Address Line2:  
City: POUGHKEEPSIE  
State: NY  
Postal Code: 12601  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Chelsea Cove Sewer System Treatment Plant Rehabilitation Design

Procurement Transactions Listing:

29. Vendor Name: Morris Associates Engineering Consultants, PLLC

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Competitive Bid  
Award Date: 05/22/2014  
End Date: 12/31/2015  
Amount: \$89,250  
Amount Expended for Fiscal Year: \$13,485

Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 9 Elks Lane  
Address Line2:  
City: POUGHKEEPSIE  
State: NY  
Postal Code: 12603  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Staatsburg Water Pipeline Construction Administration Services

30. Vendor Name: Morris Associates Engineering Consultants, PLLC

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Non-Competitive Bid  
Award Date: 01/01/2015  
End Date: 12/31/2015  
Amount: \$35,000  
Amount Expended for Fiscal Year: \$22,234.1

Fair market value: \$35,000

Explain why the fair market value is less than the amount:

Address Line1: 9 Elks Lane  
Address Line2:  
City: POUGHKEEPSIE  
State: NY  
Postal Code: 12601  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: General Engineering Services: Birch Hill Water System

Procurement Transactions Listing:

31. Vendor Name: Orrick, Herrington & Sutcliffe, LLP

Type of Procurement: Legal Services  
Award Process: Non Contract Procurement/Purchase Order  
Award Date:  
End Date:  
Amount:  
Amount Expended for Fiscal Year: \$6,500  
Fair market value:  
Explain why the fair market value is less than the amount:

32. Vendor Name: Paychex, Inc.

Type of Procurement: Other Professional Services  
Award Process: Non Contract Procurement/Purchase Order  
Award Date:  
End Date:  
Amount:  
Amount Expended for Fiscal Year: \$15,938.66  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: Lockbox #774619  
Address Line2: 4619 Solutions Center  
City: CHICAGO  
State: IL  
Postal Code: 60677  
Plus 4: 4006  
Province Region:  
Country: USA

Procurement Description: Professional Service: Bond Counsel regarding financing with NYS Environmental Facilities Corporation

Address Line1: 300 Westage Business Center  
Address Line2: Suite 150  
City: FISHKILL  
State: NY  
Postal Code: 12524  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Payroll and HR Administrative Services

Procurement Transactions Listing:

33. Vendor Name: Pendragon LLC

Type of Procurement: Other Professional Services  
Award Process: Non Contract Procurement/Purchase Order  
Award Date:  
End Date:  
Amount:  
Amount Expended for Fiscal Year: \$12,435  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 30725 US Hwy 19 N #244  
Address Line2:  
City: PALM HARBOR  
State: FL  
Postal Code: 34684  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Calibration, design, repair and installation of instrumentation and controls

34. Vendor Name: Rose & Kiernan

Type of Procurement: Other  
Award Process: Authority Contract - Competitive Bid  
Award Date: 01/01/2015  
End Date: 12/31/2015  
Amount: \$131,351.25  
Amount Expended for Fiscal Year: \$131,351.25  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: P.O. Box 640  
Address Line2: 99 Troy Road  
City: EAST GREENBUSH  
State: NY  
Postal Code: 12061  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Annual Insurance Coverage

Procurement Transactions Listing:

35. Vendor Name: Savin Engineers, P.C.

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Non-Competitive Bid  
Award Date: 01/20/2011  
End Date: 12/31/2016  
Amount: \$532,252  
Amount Expended for Fiscal Year: \$78,530  
Fair market value: \$532,252

Explain why the fair market value is less than the amount:

36. Vendor Name: Savin Engineers, P.C.

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Non-Competitive Bid  
Award Date: 01/01/2015  
End Date: 12/31/2015  
Amount: \$35,000  
Amount Expended for Fiscal Year: \$24,885.92  
Fair market value: \$35,000

Explain why the fair market value is less than the amount:

Address Line1: 3 Campus Drive  
Address Line2:  
City: PLEASANTVILLE  
State: NY  
Postal Code: 10570  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Shore Haven Water Treatment System Improvement Project/Engineering Services

Address Line1: 3 Campus Drive  
Address Line2:  
City: PLEASANTVILLE  
State: NY  
Postal Code: 10570  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: General Engineering Services: Shore Haven Water System

Procurement Transactions Listing:

37. Vendor Name: Seaway Diving & Salv. Co., Inc.

Type of Procurement: Design and Construction/Maintenance  
Award Process: Non Contract Procurement/Purchase Order  
Award Date:  
End Date:  
Amount:  
Amount Expended for Fiscal Year: \$7,122  
Fair market value:  
Explain why the fair market value is less than the amount:

38. Vendor Name: Sedore & Co.

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Non-Competitive Bid  
Award Date: 01/01/2015  
End Date: 12/31/2015  
Amount: \$29,250  
Amount Expended for Fiscal Year: \$23,964.25  
Fair market value: \$29,250  
Explain why the fair market value is less than the amount:

Address Line1: 461 Hudson River Road  
Address Line2:  
City: WATERFORD  
State: NY  
Postal Code: 12188  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Cleaning of Intake Screens and Chemical Lines

Address Line1: 2678 South Road  
Address Line2:  
City: POUGHKEEPSIE  
State: NY  
Postal Code: 12601  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Annual Audit and Accounting Services

Procurement Transactions Listing:

39. Vendor Name: Silkworth Engineering

40. Vendor Name:

Slack Chemical Company, Inc.

Type of Procurement: Design and Construction/Maintenance  
 Award Process: Authority Contract - Non-Competitive Bid  
 Award Date: 01/01/2015  
 End Date: 12/31/2015  
 Amount: \$25,000  
 Amount Expended for Fiscal Year: \$5,070.8  
 Fair market value: \$25,000

Explain why the fair market value is less than the amount:

Type of Procurement: Commodities/Supplies  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 01/01/2015  
 End Date: 12/31/2015  
 Amount: \$6,649.65  
 Amount Expended for Fiscal Year: \$6,649.65  
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 6 Maple Road  
 Address Line2:  
 City: POUGHKEEPSIE  
 State: NY  
 Postal Code: 12601  
 Plus 4:  
 Province Region:  
 Country: USA  
 Procurement Description: General Engineering Services: Shore Haven Water System

Address Line1: 465 South Clinton Street  
 Address Line2: P.O. Box 30  
 City: CARTHAGE  
 State: NY  
 Postal Code: 13619  
 Plus 4: 0030  
 Province Region:  
 Country: USA  
 Procurement Description: Chemical Purchase

Procurement Transactions Listing:

41. Vendor Name: Smith Environmental Laboratory

42. Vendor Name:

Soiltech, LLC

Type of Procurement: Other  
 Award Process: Non Contract Procurement/Purchase Order  
 Award Date:  
 End Date:  
 Amount:  
 Amount Expended for Fiscal Year: \$38,519.3  
 Fair market value:

Explain why the fair market value is less than the amount:

Type of Procurement: Commodities/Supplies  
 Award Process: Non Contract Procurement/Purchase Order  
 Award Date:  
 End Date:  
 Amount:  
 Amount Expended for Fiscal Year: \$8,380.97  
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 4 Scenic Drive  
 Address Line2:  
 City: HYDE PARK  
 State: NY  
 Postal Code: 12538  
 Plus 4: 1313  
 Province Region:  
 Country: USA  
 Procurement Description: Lab Services for all Authority Water/Sewer systems

Address Line1: 501 Salt Point Turnpike  
 Address Line2:  
 City: POUGHKEEPSIE  
 State: NY  
 Postal Code: 12601  
 Plus 4:  
 Province Region:  
 Country: USA  
 Procurement Description: Item 4 for excavation and repairs



Procurement Transactions Listing:

43. Vendor Name: Sciltech, LLC

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Competitive Bid  
Award Date: 08/24/2015  
End Date: 09/24/2015  
Amount: \$32,977  
Amount Expended for Fiscal Year: \$32,951.03  
Fair market value:  
Explain why the fair market value is less than the amount:

44. Vendor Name: Swartz Architecture, DPC

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Competitive Bid  
Award Date: 06/05/2015  
End Date: 08/06/2016  
Amount: \$33,210  
Amount Expended for Fiscal Year: \$15,500.8  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 501 Salt Point Turnpike  
Address Line2:  
City: POUGHKEEPSIE  
State: NY  
Postal Code: 12601  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Removal of Alum sludge waste at Hyde Park Water Filtration Plant

Address Line1: 134 Academy Street  
Address Line2:  
City: POUGHKEEPSIE  
State: NY  
Postal Code: 12601  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Architectural Services for the Hyde Park Treatment Plant and Central Dutchess Water Treatment Plant Pump Station Building Exterior Maintenance and Repair.

Procurement Transactions Listing:

45. Vendor Name: T&B Engineering, PC

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Competitive Bid  
Award Date: 05/04/2015  
End Date: 05/04/2016  
Amount: \$62,800  
Amount Expended for Fiscal Year: \$58,365.39  
Fair market value:  
Explain why the fair market value is less than the amount:

46. Vendor Name: T. Webber Plumbing & Heating

Type of Procurement: Design and Construction/Maintenance  
Award Process: Non Contract Procurement/Purchase Order  
Award Date:  
End Date:  
Amount:  
Amount Expended for Fiscal Year: \$5,200  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 53 Southhampton Road  
Address Line2:  
City: WESTFIELD  
State: MA  
Postal Code: 01085  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Assessment of all process instruments and controls and preparation of database of current equipment so described.

Address Line1: 3365 Route 9  
Address Line2:  
City: COLD SPRING  
State: NY  
Postal Code: 10516  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Equipment and Labor provided to thaw Water Mains in Hyde Park and Shore Haven Water Systems

Procurement Transactions Listing:

47. Vendor Name: Thatcher of New York

48. Vendor Name: The Bank of New York Mellon

Type of Procurement: Commodities/Supplies  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 01/01/2015  
 End Date: 12/31/2015  
 Amount: \$26,788.5  
 Amount Expended for Fiscal Year: \$26,788.5  
 Fair market value:

Explain why the fair market value is less than the amount:

Type of Procurement: Financial Services  
 Award Process: Non Contract Procurement/Purchase Order  
 Award Date:  
 End Date:  
 Amount:  
 Amount Expended for Fiscal Year: \$21,050  
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: P.O. Box 118  
 Address Line2:  
 City: WILLIAMSON  
 State: NY  
 Postal Code: 14589  
 Plus 4:  
 Province Region:  
 Country: USA  
 Procurement Description: Chemical Purchase

Address Line1: Attn: Deborah Todak, Vice President  
 Address Line2: 101 Barclay Street, 7W  
 City: NEW YORK  
 State: NY  
 Postal Code: 10286  
 Plus 4:  
 Province Region:  
 Country: USA  
 Procurement Description: Annual trustee services

Procurement Transactions Listing:

49. Vendor Name: The State Insurance Fund

Type of Procurement: Other  
Award Process: Non Contract Procurement/Purchase Order  
Award Date:  
End Date:  
Amount:  
Amount Expended for Fiscal Year: \$34,865.51  
Fair market value:  
Explain why the fair market value is less than the amount:

50. Vendor Name: The Vellano Corporation

Type of Procurement: Commodities/Supplies  
Award Process: Non Contract Procurement/Purchase Order  
Award Date:  
End Date:  
Amount:  
Amount Expended for Fiscal Year: \$12,902.37  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: P.O. Box 5238  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10008  
Plus 4: 5238  
Province Region:  
Country: USA

Procurement Description: Annual Workers' Compensation Insurance

Address Line1: 7 Hemlock Street  
Address Line2:  
City: LATHAM  
State: NY  
Postal Code: 12110  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Multiple purchases including pipes, valves, hydrants, clamps and gaskets

Procurement Transactions Listing:

<p>51. Vendor Name: Thomas Gleason, Inc.</p> <p>Type of Procurement: Design and Construction/Maintenance  Award Process: Non Contract Procurement/Purchase Order  Award Date:  End Date:  Amount:  Amount Expended for Fiscal Year: \$44,381.45  Fair market value:    Explain why the fair market value is less than the amount:</p>  <p>Address Line1: 501 Salt Point Turnpike  Address Line2:  City: POUGHKEEPSIE  State: NY  Postal Code: 12603  Plus 4:  Province Region:  Country: USA</p> <p>Procurement Description: Multiple leak repairs and repairs to valves, hydrants and water lines/Item 4 delivery</p>	<p>52. Vendor Name: Ti-Sales</p> <p>Type of Procurement: Commodities/Supplies  Award Process: Non Contract Procurement/Purchase Order  Award Date:  End Date:  Amount:  Amount Expended for Fiscal Year: \$16,893.98  Fair market value:    Explain why the fair market value is less than the amount:</p>  <p>Address Line1: 36 Hudson Road  Address Line2:  City: SUDBURY  State: MA  Postal Code: 01776  Plus 4:  Province Region:  Country: USA</p> <p>Procurement Description: Purchase of Neptune Meters and Related Maintenance and Equipment for Radio Meters</p>
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Procurement Transactions Listing:

53. Vendor Name: Titan Roofing, Inc.

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Competitive Bid  
Award Date: 06/01/2015  
End Date: 10/27/2015  
Amount: \$25,175.57  
Amount Expended for Fiscal Year: \$25,175.57  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 200 Tapley Street  
Address Line2:  
City: SPRINGFIELD  
State: MA  
Postal Code: 01104  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Central Dutchess Water Transmission Line Roof Repair

54. Vendor Name: USA BlueBook

Type of Procurement: Commodities/Supplies  
Award Process: Non Contract Procurement/Purchase Order  
Award Date:  
End Date:  
Amount:  
Amount Expended for Fiscal Year: \$17,750.72  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: P.O. Box 9004  
Address Line2:  
City: GURNEE  
State: IL  
Postal Code: 60031  
Plus 4: 9004  
Province Region:  
Country: USA

Procurement Description: Multiple equipment and supply purchases throughout the year

Procurement Transactions Listing:

55. Vendor Name: VRI Environmental Services, Inc.

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Non-Competitive Bid  
Award Date: 07/14/2015  
End Date: 12/31/2015  
Amount: \$2,013.34  
Amount Expended for Fiscal Year: \$2,013.34  
Fair market value: \$2,013.34

Explain why the fair market value is less than the amount:

56. Vendor Name: VRI Environmental Services Inc.

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Competitive Bid  
Award Date: 01/01/2015  
End Date: 12/31/2015  
Amount: \$22,749.1  
Amount Expended for Fiscal Year: \$22,749.1  
Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 1847 Route 55  
Address Line2:  
City: LAGRANGEVILLE  
State: NY  
Postal Code: 12540  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Fairways Sewer System Annual Operation and Maintenance

Address Line1: 1847 Route 55  
Address Line2:  
City: LAGRANGEVILLE  
State: NY  
Postal Code: 12540  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Dalton Farms Water System Annual Operation and Maintenance

Procurement Transactions Listing:

57. Vendor Name: VRI Environmental Services, Inc.

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Competitive Bid  
Award Date: 01/01/2015  
End Date: 12/31/2015  
Amount: \$61,181.08  
Amount Expended for Fiscal Year: \$61,181.08  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 1847 Route 55  
Address Line2:  
City: LAGRANGEVILLE  
State: NY  
Postal Code: 12540  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Dalton Farms Sewer System Annual Operation and Maintenance

58. Vendor Name: VRI Environmental Services, Inc.

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Competitive Bid  
Award Date: 01/01/2015  
End Date: 12/31/2015  
Amount: \$41,804.44  
Amount Expended for Fiscal Year: \$41,804.44  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 1847 Route 55  
Address Line2:  
City: LAGRANGEVILLE  
State: NY  
Postal Code: 12540  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Chelsea Cove Sewer System Annual Operation and Maintenance

Procurement Transactions Listing:

59. Vendor Name: VRI Environmental Services, Inc.

60. Vendor Name: VRI Environmental Services, Inc.

Type of Procurement: Design and Construction/Maintenance  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 01/01/2015  
 End Date: 12/31/2015  
 Amount: \$30,850.57  
 Amount Expended for Fiscal Year: \$30,850.57  
 Fair market value:  
 Explain why the fair market value is less than the amount:

Type of Procurement: Design and Construction/Maintenance  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 01/01/2015  
 End Date: 12/31/2015  
 Amount: \$19,750.4  
 Amount Expended for Fiscal Year: \$19,750.4  
 Fair market value:  
 Explain why the fair market value is less than the amount:

Address Line1: 1847 Route 55  
 Address Line2:  
 City: LAGRANGEVILLE  
 State: NY  
 Postal Code: 12540  
 Plus 4:  
 Province Region:  
 Country: USA

Address Line1: 1847 Route 55  
 Address Line2:  
 City: LAGRANGEVILLE  
 State: NY  
 Postal Code: 12540  
 Plus 4:  
 Province Region:  
 Country: USA

Procurement Description: Shore Have Water System Annual Operation and Maintenance

Procurement Description: Valley Dale Sewer System Annual Operation and Maintenance

Procurement Transactions Listing:

61. Vendor Name: VRI Environmental Services, Inc.

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Competitive Bid  
Award Date: 01/01/2015  
End Date: 12/31/2015  
Amount: \$17,021.43  
Amount Expended for Fiscal Year: \$17,021.43

Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 1847 Route 55  
Address Line2:  
City: LAGRANGEVILLE  
State: NY  
Postal Code: 12540  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Rokeby Water System Annual Operation and Maintenance

62. Vendor Name: VRI Environmental Services, Inc.

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Competitive Bid  
Award Date: 01/01/2015  
End Date: 12/31/2015  
Amount: \$12,881.51  
Amount Expended for Fiscal Year: \$12,881.51

Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 1847 Route 55  
Address Line2:  
City: LAGRANGEVILLE  
State: NY  
Postal Code: 12540  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Fairways Water System Annual Operation and Maintenance

Procurement Transactions Listing:

63. Vendor Name: VRI Environmental Services, Inc.

64. Vendor Name:

VRI Environmental Services, Inc.

Type of Procurement: Design and Construction/Maintenance  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 01/01/2015  
 End Date: 12/31/2015  
 Amount: \$11,732.92  
 Amount Expended for Fiscal Year: \$11,732.92  
 Fair market value:

Explain why the fair market value is less than the amount:

Type of Procurement: Design and Construction/Maintenance  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 01/01/2015  
 End Date: 12/31/2015  
 Amount: \$8,259.04  
 Amount Expended for Fiscal Year: \$8,259.04  
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 1847 Route 55  
 Address Line2:  
 City: LAGRANGEVILLE  
 State: NY  
 Postal Code: 12540  
 Plus 4:  
 Province Region:  
 Country: USA

Procurement Description: Birch Hill Water System Annual Operation and Maintenance

Address Line1: 1847 Route 55  
 Address Line2:  
 City: LAGRANGEVILLE  
 State: NY  
 Postal Code: 12540  
 Plus 4:  
 Province Region:  
 Country: USA

Procurement Description: Schreiber Water System Annual Operation and Maintenance

Procurement Transactions Listing:

65. Vendor Name: VRI Environmental Services, Inc.

Type of Procurement: Design and Construction/Maintenance  
 Authority Contract - Competitive Bid  
 Award Process:  
 Award Date: 01/01/2015  
 End Date: 12/31/2015  
 Amount: \$7,625.67  
 Amount Expended for Fiscal Year: \$7,625.67  
 Fair market value:  
 Explain why the fair market value is less than the amount:

Address Line1: 1847 Route 55  
 Address Line2:  
 City: LAGRANGEVILLE  
 State: NY  
 Postal Code: 12540  
 Plus 4:  
 Province Region:  
 Country: USA

Procurement Description: Valley Dale Water System Annual Operation and Maintenance

66. Vendor Name: VRI Environmental Services, Inc.

Type of Procurement: Design and Construction/Maintenance  
 Authority Contract - Non-Competitive Bid  
 Award Process:  
 Award Date: 07/14/2015  
 End Date: 12/31/2015  
 Amount: \$5,525  
 Amount Expended for Fiscal Year: \$5,525  
 Fair market value: \$5,525  
 Explain why the fair market value is less than the amount:

Address Line1: 1847 Route 55  
 Address Line2:  
 City: LAGRANGEVILLE  
 State: NY  
 Postal Code: 12540  
 Plus 4:  
 Province Region:  
 Country: USA

Procurement Description: Pinebrook Sewer System Annual Operation and Maintenance

Procurement Transactions Listing:

67. Vendor Name: VRI Environmental Services, Inc.

68. Vendor Name:

VRI Environmental Services, Inc.

Type of Procurement: Design and Construction/Maintenance  
 Award Process: Authority Contract - Non-Competitive Bid  
 Award Date: 07/14/2015  
 End Date: 12/31/2015  
 Amount: \$4,700.36  
 Amount Expended for Fiscal Year: \$4,700.36  
 Fair market value: \$4,700.36

Explain why the fair market value is less than the amount:

Type of Procurement: Design and Construction/Maintenance  
 Award Process: Authority Contract - Non-Competitive Bid  
 Award Date: 07/14/2015  
 End Date: 12/31/2015  
 Amount: \$4,015  
 Amount Expended for Fiscal Year: \$4,015  
 Fair market value: \$4,015

Explain why the fair market value is less than the amount:

Address Line1: 1847 Route 55  
 Address Line2:  
 City: LAGRANGEVILLE  
 State: NY  
 Postal Code: 12540  
 Plus 4:  
 Province Region:  
 Country: USA

Procurement Description: Quaker Hills Water System Annual Operation and Maintenance

Address Line1: 1847 Route 55  
 Address Line2:  
 City: LAGRANGEVILLE  
 State: NY  
 Postal Code: 12540  
 Plus 4:  
 Province Region:  
 Country: USA

Procurement Description: Pinebrook Water System Annual Operation and Maintenance

Procurement Transactions Listing:

69. Vendor Name: Van DeWater & Van DeWater, LLP

Type of Procurement: Legal Services  
Award Process: Authority Contract - Non-Competitive Bid  
Award Date: 01/01/2015  
End Date: 12/31/2015  
Amount: \$30,000  
Amount Expended for Fiscal Year: \$25,351.11  
Fair market value: \$30,000

Explain why the fair market value is less than the amount:

70. Vendor Name: Vector Security

Type of Procurement: Telecommunication Equipment or Services  
Award Process: Non Contract Procurement/Purchase Order  
Award Date:  
End Date:  
Amount:  
Amount Expended for Fiscal Year: \$7,078  
Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: P.O. Box 112  
Address Line2: 85 Civic Center Plaza, Suite 101  
City: POUGHKEEPSIE  
State: NY  
Postal Code: 12601  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Annual Legal Services

Address Line1: 59 Page Park Drive  
Address Line2:  
City: POUGHKEEPSIE  
State: NY  
Postal Code: 12603  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: Monitoring Service

Procurement Transactions Listing:

71. Vendor Name: Veith Enterprises, Inc.

Type of Procurement: Design and Construction/Maintenance  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/30/2014  
End Date: 12/31/2015  
Amount: \$7,019.42  
Amount Expended for Fiscal Year: \$7,019.42  
Fair market value:  
Explain why the fair market value is less than the amount:

72. Vendor Name: Wilmington Trust

Type of Procurement: Financial Services  
Award Process: Non Contract Procurement/Purchase Order  
Award Date:  
End Date:  
Amount:  
Amount Expended for Fiscal Year: \$5,500  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 100 Parker Avenue  
Address Line2:  
City: POUGHKEEPSIE  
State: NY  
Postal Code: 12601  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: SHW Booster Pump Electrical Connection/various system maintenance items

Address Line1: Attn: Fee Processing Unit  
Address Line2: P.O. Box 22900  
City: ROCHESTER  
State: NY  
Postal Code: 14692  
Plus 4: 2900  
Province Region:  
Country: USA

Procurement Description: Annual Trustee Services

Procurement Report for Dutchess County Water and Wastewater Authority

Run Date: 03/06/2016

Fiscal Year Ending: 12/31/2015

Status: UNSUBMITTED

Procurement Transactions Listing:

Additional Comments:

Investment Report for Dutchess County Water and Wastewater Authority  
Fiscal Year Ending:12/31/2015

Run Date: 03/16/2016

Status: UNSUBMITTED

Investment Information:

Question	Response	URL (if applicable)
1. Has the Authority prepared an Annual Investment Report for the reporting period as required by Section 2925(6) of PAL?	Yes	<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>
2. Are the Authority's investment guidelines reviewed and approved annually?	Yes	
3. Did the Authority have an independent audit of investments as required by Section 2925(3)(f) of PAL?	Yes	<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>
4. Has the Authority's independent auditor issued a management letter to the Authority in connection with its annual audit of investments?	No	

Additional Comments:

# Dutchess County Water and Wastewater Authority

## INVESTMENT REPORT – FISCAL YEAR 2015

Section 2925 of the New York State Public Authorities Law requires that the Dutchess County Water and Wastewater Authority annually prepare and approve an investment report. This report is to include the investment guidelines, including any amendments to the guidelines since the last investment report, an explanation of the guidelines and amendments, the result of the annual independent audit, the investment income record and a list of total fees, commissions or other charges paid to each investment banker, broker, agent, dealer and advisor rendering investment associated services since the last investment report.

### Explanation of the Investment Guidelines

These investment guidelines were adopted at the regular monthly meeting of the Dutchess County Water and Wastewater Authority on January 28, 2015, Resolution #2015.01.L/11 (Attached). These guidelines meet the recommendations of the New York State Comptroller and fulfill the Authority's primary objectives for its investment activities of safety, liquidity and yield, in that order.

### Investment Activity

In the year ended December 31, 2015 the DCWWA received, accrued or was credited a total of \$153,639.62 in interest on investments. The distribution of these earnings was as follows:

Type of Account	Total Interest Earnings
Bond and Note related, held by Trustee	\$ 52,707.91
Municipal Money Market Savings	820.53
Interest Bearing Checking	542.18
Interest Income for Subsidy Payments	<u>99,569.00</u>
<b>Total</b>	<b>\$153,639.62</b>

All bank deposits of Authority funds are required to be fully collateralized.

### Fees

The Authority paid a total of \$40,650.00 in trustee and trust account administration services during fiscal year 2015, covering 43 separate accounts.

Trustee	Total Fees Paid
BONY Mellon	\$ 20,050.00
M&T Investment Group	15,100.00
Wilmington Trust	<u>5,500.00</u>
<b>Total</b>	<b>\$ 40,650.00</b>

# **Dutchess County Water and Wastewater Authority**

## **Independent Audit**

Attached

**Review and Re-adoption of Investment Policy**

Vince DiMaso 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.

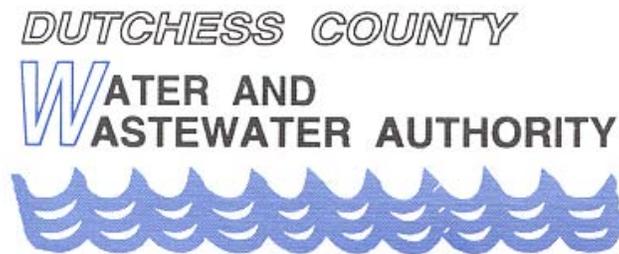
Seconded by Larry Knapp

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

Financial Documents:

Question	Response	URL (if applicable)	Attachments
1. Attach the independent audit of the Authority's financial statements.	N/A	<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>	Attachment Included
2. Has the Authority's independent auditor issued a management letter to the Authority in connection with its audit of the Authority's financial statements?	No		
3. Has the Authority's independent auditor issued a Report on Internal Controls Over Financial Reporting to the Authority?	Yes	<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>	Attachment Included
4. Attach any other communication required or allowed by government auditing standards issued by the Comptroller General of the United States to be issued by the Authority's independent auditor in connection with its annual audit of the Authority's financial statements.			

Additional Comments:



March 11, 2016

To: DCWWA Board  
From: Bridget Barclay, Executive Director  
Re: Report on 2015 Goals, Objectives and Measures of DCWWA

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**2015 DCWWA GOALS:**

**1. Produce and distribute safe and reliable potable water service to DCWWA water customers.**

Objectives:

- Maintain compliance with applicable NYS Dept. of Environmental Conservation and Dept. of Health regulations.

*Measure:* Complete and timely responses, within the respective timeframe established by the inspecting agency, to notices of violation and/or findings determined pursuant to a regulatory inspection.

**2015 Result:** Nine of the 14 water systems owned by the DCWWA in 2015 were inspected by the Dutchess County Dept. of Health in 2015. All findings at all systems were addressed promptly.

A notice of violation for exceeding the MCL (Maximum Contaminant Level) for Iron and Manganese was issued for the Shore Haven Water System. This violation will be addressed upon completion of the treatment system improvements.

On September 15, 2015, the DCWWA acquired the Quaker Hill Water System. Prior to that date, a violation had been issued to the former owner of this Water System for failure to exercise care and due diligence in the operation and maintenance of a public water system. This violation had resulted from the poor condition of the existing building and piping. It will be resolved when the planned replacement of the building and piping takes place. Until then, the violation will remain in effect for this Water System.

On September 15, 2015, the DCWWA acquired the Pinebrook Water System. Prior to that date, a violation had been issued to the former owner of this Water System for failure to provide an adequate back up well supply. This issue is currently being evaluated through well testing and water quality analysis.

*Measure:* For each system, produce water that meets the standards for "potable water".

**2015 Result:** All of the DCWWA's 14 water systems produced water which met the standards for potability. There were no "Do Not Drink the Water" orders in effect for any of the 14 systems.

*Measure:* Monthly Water System Operation Reports filed on time with the Dept. of Health for all systems.

**2015 Result:** A report is required to be filed monthly for each of the DCWWA's 14 water systems. All 144 monthly Operations reports were filed on-time with the Dutchess County Dept. of Health in 2015.

- Prepare, publish and distribute accurate and timely Annual Water Quality Reports (AWQR) annually for each water system as directed by regulatory agency.

*Measure:* AWQR's for all water systems posted on the DCWWA website by June 1, or by date otherwise specified by the Dept. of Health.

**2015 Result:** The AWQR's prepared in 2015 were for the eleven water systems owned by the DCWWA in 2014. The AWQR's for all eleven water systems were posted on the DCWWA's website by June 1.

*Measure:* AWQR's for all water systems printed and mailed to the respective water system customers by June 1, or by date otherwise specified by the Dept. of Health.

**2015 Result:** AWQR's for all eleven water systems were printed and mailed to DCWWA customers by June 1.

- Maintain DCWWA-owned facility and pipe infrastructure in good operating condition.

*Measure:* Adherence to established operations and maintenance schedule tailored for each system.

**2015 Result:** Established operations and maintenance schedules were followed at their respective systems. New equipment maintenance schedules were added and updated where appropriate.

## **2. Collect, process and treat wastewater from part-county sewer districts in an environmentally-responsible and lawful manner.**

### Objectives:

- Maintain compliance with applicable NYS Dept. of Environmental Conservation and Dept. of Health regulations.

*Measure:* Monthly Wastewater Facility Operation Reports filed on time with the NYS Dept. of Environmental Conservation (NYS DEC) for all systems.

**2015 Result:** A report is required to be filed monthly for each of the DCWWA's wastewater systems. In 2015, the DCWWA owned four wastewater systems. 64 monthly Operations reports were required and all were filed on-time with the NYS Dept. of Environmental Conservation.

*Measure:* Meet SPDES permit limits and other applicable regulatory standards for each system.

**2015 Result:** All required SPDES monitoring was completed for all four facilities owned by the DCWWA in 2015. 99.14% of all monitoring results were within permit limits.

*Measure:* Complete and timely responses, within the respective timeframe established by the inspecting agency, to notices of violation and/or findings determined pursuant to a regulatory inspection.

**2015 Result:** Only the Valley Dale Sewer and Dalton Farms Sewer systems were inspected by the NYS DEC in 2015. A violation was issued for the Valley Dale Sewer System for not having a licensed assistant operator and this was addressed immediately. Four deficiencies were issued for the Valley Dale Sewer System and were addressed within timeframe established. There were no violations or deficiencies noted in the inspection of the Dalton Farms Sewer System.

- Maintain DCWWA-owned facility and pipe infrastructure in good operating condition.

*Measure:* Adherence to established operations and maintenance schedule tailored for each system.

**2015 Result:** Established operations and maintenance schedules were followed at their respective systems. New equipment maintenance schedules were added and updated where appropriate.

### **3. Deliver quality and responsive customer care and service.**

Objectives:

- Maintain customer satisfaction.

*Measure:* Resolution of written customer billing complaints within next two billing cycles.

**2015 Result:** For the 14 Water Systems and four Sewer Systems owned by the DCWWA in 2015, a total of 18 billing-related complaints were received from the DCWWA's water and sewer customers in 2015. All 18 complaints were resolved within two billing cycles.

*Measure:* Prompt investigation and resolution of service delivery complaints.

**2015 Result:** For the 14 Water Systems and four Sewer Systems owned by the DCWWA in 2015, there were 46 service delivery/customer complaints in 2015. All reported complaints were investigated and resolved promptly by DCWWA staff and/or the respective system contract operator.

### **4. Develop and implement in a cost-effective manner a 5-year capital improvement plan for DCWWA-owned water and wastewater systems.**

Objectives:

- Update a capital project plan annually.

*Measure:* Schedule capital project plan to be completed and submitted to DCWWA Board with annual DCWWA annual operations budget each November.

**2015 Result:** The 2016-2020 updated capital plan was submitted to the DCWWA Board in November 2015. The DCWWA Board approved a 2016-2020 capital plan update.

- Complete capital projects at or below budget.

*Measure:* Final individual project budgets that do not exceed respective expenses.

**2015 Result:** All capital projects reaching completion or substantial completion in 2015 were completed within approved budget parameters.

**5. Maintain sound fiscal management practices and controls in accordance with government accounting and other applicable standards and guidelines.**

Objectives:

- Meet all obligations to bondholders in full compliance with bond resolution and all covenants made therein.

*Measure:* Annual debt service payments made on time and for the proper amounts to the respective Trustees.

**2015 Result:** A total of 21 debt service payments were remitted to the respective trustee on time in accordance with the four payment cycles established for the year.

- Satisfactory completion of annual independent audit with prompt response by DCWWA management to any deficiencies noted therein.

*Measure:* Management responses communicated in a complete and timely manner so as to facilitate the Auditor's ability to deliver the Annual Audit of Year-end Financials draft report to the DCWWA Board prior to March 31.

**2015 Result:** No deficiencies were identified by the DCWWA's Independent Auditor in the 2014 financial statements, and as a result, no management response letter was required. Subsequently, the 2014 Annual Audit and accompanying Financial Statements were reviewed and adopted by the DCWWA Board at its March 18, 2015 meeting.

- Manage system budgets effectively.

*Measure:* Endeavor not to exceed the aggregate of budget expenses for each system by more than 5%.

**2015 Result:** Only two of the DCWWA's water and wastewater systems, the Schreiber Water System and the Shore Haven Water System, exceeded their respective aggregate operating budgeted expenses by more than 5% in 2015.

For the Schreiber Water System, this was due to the replacement of Well Pump No. 2, which had unexpectedly failed. In addition, a new requirement for the Schreiber Water System to begin taking lead and copper samples in 2015 caused lab testing costs to increase. Sufficient fund balance was available to cover the additional expenses incurred.

The Shore Haven Water System exceeded 5% of its aggregate operating budgeted expenses due to the cost of multiple repairs to a water main which had frozen and broke during the Winter in early 2015. Sufficient fund balance was available to cover the additional expenses incurred.

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