

DUTCHESS COUNTY



DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
WEDNESDAY, JANUARY 20, 2016
3:30 P.M.

27 High St. 2nd Floor
Poughkeepsie
New York, 12601
(845) 486-3601
Fax (845) 486-3610
dcwwa@dutchessny.gov
www.DCWWA.org

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

PROPOSED AGENDA

1. Meeting Open – Introductions
2. Public Comment
3. Approval of Minutes
 - December 16, 2015 Board Meeting (R2016.01.A)
4. Annual Reorganization
 - Designation of Temporary Chair (R2016.01.B)
 - Election of Officers (R2016.01.C)
 - Designate Regular Meeting Date (R2016.01.D)
 - Designate Official Newspaper (R2016.01.E)
 - Designate Official Banks/Depositories (R2016.01.F)
 - Committee Appointments: Governance, Audit, Finance, Operations and Personnel Committees (R2016.01.G)
5. Chairman's Report
6. Operations Report
 - Appoint VDS and VDW system engineer (R2016.01.H)
7. Finance Report
 - Approval of Warrant (R2016.01.I)
 - Review and Re-Adoption of Procurement Policy (R2016.01.J)
 - Review and Re-Adoption of Disposal of Property Guidelines (R2016.01.K)
 - Review and Re-Adoption of Accounting Procedures and Banking Policy (R2016.01.L)
 - Review and Re-Adoption of Investment Policy (R2016.01.M)
 - Authorize OCIS IT Shared Service Agreement (R2016.01.N)
8. System/Capital Projects
 - Shore Haven Water System Improvement Project Status
 - Chelsea Cove Sewer Wastewater Treatment Plant Rehabilitation Project
 - Award General Construction Contract (R2016.01.O)
 - Award Electrical Construction Contract (R2016.01.P)
 - Award HVAC Construction Contract (R2016.01.Q)
8. Community Projects
 - Vanderburgh Cove Sewer System Acquisition
 - Authorize Transfer Agreement (R2016.01.R)
 - Preserves at Lakes Kill Community Sewer System
 - Adoption of SEQR Determination (R2016.01.S)
 - Authorize Execution of MOU (R2016.01.T)
 - Greenfields Water System – Authorize Execution of Inter-municipal Agreement for Well Head Protection (R2016.01.U)
10. Confirm next meeting date - Wednesday, February 17, 2016
11. 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
UNAPPROVED MINUTES OF DECEMBER 16, 2015**

Authority Board Members

Thomas LeGrand
Chairperson

Vincent DiMaso
Vice-Chairperson

Rudy Vavra
Treasurer

Lawrence R. Knapp
Secretary

Ex officio Members

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Soil and Water Conservation District

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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

Staff Present

Bridget Barclay
Jackie Burger
Peter Fadden
Ed Mills
Mary Morris
Doug Odell

Board Member Absent

Larry Knapp

Ex-Officio Member

Eoin Wrafter – Commissioner, Dutchess County Planning
and Development

Others Present

Pete Marlow – Dutchess County Department of Health

Meeting Open

Tom LeGrand opened the meeting at 3:30 p.m.

Approval of Board Meeting Minutes

Tom requested a motion to approve the minutes of the November Budget Workshop as presented. The motion was made by Rudy, seconded by Vince voted on and passed unanimously. (Res. 2015.12.A/01)

Tom requested a motion to approve the minutes of the December Board Meeting as presented. The motion was made by Rudy, seconded by Vince; voted on and passed unanimously. (Res. 2015.12.B/02)

Chairman's Report

Tom said the Authority had applied for grant funding through the Department of State Local Government Efficiency Program for the Hyde Park Water System consolidation and were successful in obtaining over \$404,000 in grant funding. He then wished everyone a happy and healthy 2016.

Operations Report

Bridget advised the Board the New York State Department of Environmental Conservation (NYSDEC) is sponsoring a pilot program for municipalities to develop asset management programs for their sewer systems. All components of the plant(s) would be documented, the expected useful life of the components, the replacement schedule and estimated cost. They will accept 20 applicants and Staff is seeking the Board's approval to submit an application.

Vince made a motion to authorize the Executive Director and Deputy Director are hereby authorized to submit, on behalf of the DCWWA, an application to the NYS Department of Environmental Conservation for participation in the Municipal Sewage System Asset Management Pilot Program. This was seconded by Rudy and passed unanimously. (Res. 2015.12.C/03)

Vince made a motion that Staff is recommending the award of annual system operations contracts as follows:

Birch Hill Water System to **VRI Environmental Services (VRI)** in the amount of **\$10,296**

Chelsea Cove Sewer System to **VRI** in the amount of **\$34,303**

Dalton Farms Sewer System to **VRI** in the amount of **\$43,229**

Dalton Farms Water System to **VRI** in the amount of **\$17,553**

Fairways Sewer System to **VRI** in the amount of **\$2,859**

Fairways Water System to **VRI** in the amount of **\$6,620**

Pinebrook Sewer System to **VRI** in the amount of **\$18,415**

Pinebrook Water System to **VRI** in the amount of **\$12,277**

Quaker Hills Water System to **VRI** in the amount of **\$9,027**

Rokeby Water System to **VRI** in the amount of **\$7,422**

Schreiber Water System to **VRI** in the amount of **\$5,792**

Shore Haven Water System to **VRI** in the amount of **\$10,331**

Valley Dale Sewer System to **VRI** in the amount of **\$16,449**

Valley Dale Water System to **VRI** in the amount of **\$6,219**

Vince further resolved the Authority is in the process of acquiring the Greenfields Water System and Greenfields Sewer System in the Town of Hyde Park, and the present operator of the Greenfields Water and Sewer Systems, VRI, Inc., has extensive experience with these systems, and the Authority has negotiated with VRI, Inc. to continue operating said systems, pursuant to the terms and conditions of the Authority standard Operations Contract, for the following amounts:

Greenfields Water System to **VRI** in the amount of **\$22,467**

Greenfields Sewer System to **VRI** in the amount of **\$43,866**

and the Executive Director or Deputy Director are authorized to execute system operations contracts for the systems, firms and amounts as recommended by the Staff above. The motion was seconded by Rudy; voted on and passed unanimously. (Res. 2015.12.D/04)

Finance Report – Approval of Warrant

Rudy made a motion to accept the warrant as presented. The motion was seconded by Vince voted on and passed unanimously. (Res. 2015.12.E/05)

Rudy made a motion that the Authority Board approves the 2016 Salary Policy and Schedules. The motion was seconded by Vince voted on and passed unanimously. (Res. 2015.12.F/06)

Rudy made a motion that the Authority Board approves the 2016 Water and Sewer System Budgets. The motion was seconded by Vince voted on and passed unanimously. (Res. 2015.12.G/07)

Rudy made a motion that the Authority Board approves the 2016 Public Authorities Law Budget Report. The motion was seconded by Vince voted on and passed unanimously. (Res. 2015.12.H/08)

Bridget said a memo was distributed at today's meeting indicating some minor corrections to the Capital Plan. Rudy made a motion that the Authority Board approves the 2016 Capital Plan as amended. The motion was seconded by Vince voted on and passed unanimously. (Res. 2015.12.I/09)

Rudy made a motion that the Authority Board approves the Adoption of Bond Resolution of Pinebrook Sewer WWTP Rehabilitation Project. The motion was seconded by Vince voted on and passed unanimously. (Res. 2015.12.J/10)

Annual Contracts

Vince made a motion that the Dutchess County Water and Wastewater Authority

hereby consents to amending the agreements with Sedore & Company of Poughkeepsie, NY for audit and supplementary accounting services to be extended through the 2016 calendar year for the amounts described above, and authorizes the Authority's Executive Director or Deputy Director to execute agreements for the same. The motion was seconded by Rudy voted on and passed unanimously. (Res.2015.12.K/11)

Vince made a motion that the Dutchess County Water and Wastewater Authority hereby consents to the agreement with Rose and Kiernan, Inc. of Fishkill, NY, and authorizes the Authority's Executive Director or Deputy Director to execute an agreement for the same. The motion was seconded by Rudy voted on and passed unanimously. (Res. 2015.12.L/12)

Vince made a motion that the Authority staff has reviewed the relationships and performance of engineering firms providing engineering services for the systems operated by the Authority and has recommended the listed firms be designated as the firms to provide services for the facilities noted:

- Morris Associates: Birch Hill Water, Chelsea Cove Sewer, Fairways Water, Rokeby Water, Schreiber Water, Pinebrook Water, Pinebrook Sewer, Greenfields Water, Greenfields Sewer, Arbors Water, Greenbush Water, Violet Avenue Water, Quaker Hills Water
- Savin Engineers: Hyde Park Regional Water System, CDWTL, Shore Haven Water
- Fuss & O'Neill: Dalton Farms Water and Sewer
- Hudson Land Design: Fairways Sewer

and the Executive Director or Deputy Director are authorized to execute contracts for engineering services with the noted firms regarding the noted facilities within the parameters of the engineering procurement guidelines. The motion was seconded by Rudy voted on and passed unanimously. (Res. 2015.12.M/13)

Vince made a motion that Staff recommends that the Authority enter in agreements with the following firms for the provision of professional services during 2016:

- Legal Counsel – Van De Water & Van De Water, in an amount-not-to-exceed \$30,000
- Special Counsel - Drake, Loeb, Heller, et al, in an amount-not-to-exceed \$30,000

and the Authority Board hereby authorizes the Executive Director or Deputy Director to execute agreements with the previously noted entities for professional services during 2016. The motion was seconded by Rudy voted on and passed unanimously. (Res. 2015.12.N/14)

Rudy made a motion that the Staff recommends that the Authority enter into an agreement with the following firm for the provision of professional services during 2016:

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

and the Authority Board hereby authorizes the Executive Director or Deputy Director to execute agreements with the previously noted entity for professional services during 2016. The motion was seconded by Vince voted on and passed unanimously. (Res. 2015.12.O/15)

Rudy made a motion to authorize the Executive Director or Deputy Director to execute the Professional General Surveying Services Agreement for 2016 at a cost not-to-exceed \$35,000.00 to the Professional Services Agreement between the Authority and Chazen Engineering, Land Surveying & Landscape Architecture Co., PC. The motion was seconded by Vince voted on and passed unanimously. (Res. 2015.12.P/16)

Rudy made a motion that the Authority Board hereby authorizes the Executive Director or the Deputy Director to execute an agreement with the County for the amount of \$95,000 to provide partial funding for 2016 Authority staff salaries in order to support staff activities related to regional community water and wastewater planning, preliminary evaluation and development of potential Authority projects, efforts to sell County reserved capacity in the Central Dutchess Water Transmission Line efforts related to water resource protection, and other activities not related to operation and management of Authority-owned systems. The motion was seconded by Vince voted on and passed unanimously. (Res. 2015.12.Q/17)

System/Capital Projects – Hyde Park Regional Water & CDWTL Building Maintenance and Repair

Rudy made a motion to authorize the Executive Director or Deputy Director to execute Amendment No. 1 to the Professional Services Agreement with T&B Engineering, PC for the for Professional Engineering Services for the HPWTP Control Investigation Professional Engineering Services to set the final, total agreement price for at \$58,365.39. The motion was seconded by Vince voted on and passed unanimously. (Res. 2015.12.R/18)

Vince made a motion that the governing Board of the Dutchess County Water and Wastewater Authority hereby designates the Pinebrook Sewer Wastewater Treatment Plant Rehabilitation Project as a Type II Action, requiring no review pursuant to SEQR. The motion was seconded by Rudy voted on and passed unanimously. (Res. 2015.12.S/19)

Vince made a motion to authorize the Executive Director or Deputy Director to execute a contract with Environmental Capital Associates in the amount of \$11,000, and a contract with Orrick, Herrington and Sutcliffe LLP in the amount of \$12,000, and a contract with Van De Water & Van De Water for an amount not-to-exceed \$20,000, all for Services for the financing and completion of the Pinebrook Sewer Improvements. The motion was seconded by Rudy voted on and passed unanimously. (Res. 2015.12.T/20)

Shore Haven Water System Status Report

Bridget said we are within Drinking Water standards for all water quality criteria. We have the revised plans and specs for the distribution system back to the Dutchess County Health Department (DCDOH) and a response to comments and revised plans and specs on the treatment system back to the NYSDOH.

Dutchess County Airport Water Main Project Status Report

Bridget said the engineering is moving along with Morris Associates and we are working with the County to work out issues with their processing of the payments.

Community Project Updates –Pinebrook Sewer WWTP Rehabilitation Project

Rudy made a motion that the Authority Board declares itself as Lead Agency for this action, and the Authority Board does hereby determine that this action will not have a significant impact on the environment and hereby adopts the attached Negative Declaration with respect to this matter. The motion was seconded by Vince voted on and passed unanimously. (Res. 2015.12.U/21)

Rudy made a motion that the Authority Board hereby recommends to Dutchess County that the Town of Hyde Park's application for the Hyde Park Central Sewer System Project be considered for funding depending upon PMGP funding levels, advancement of the Bellefield at Hyde Park development project, and identification of additional funding sources for the central sewer project. The motion was seconded by Vince voted on and passed unanimously. (Res. 2015.12.V/22)

Rudy made a motion to authorize the Executive Director or Deputy Director to enter into the Management and Operations Agreement for the Greenfields Water System. The motion was seconded by Vince voted on and passed unanimously. (Res. 2015.12.W/23)

Rudy made a motion that the Authority proposes to enter into an Agreement with the Towns of Rhinebeck and Hyde Park regarding the acquisition by the Authority of the Vanderburgh Cove Sewer System, and the Authority Board declares itself as Lead Agency for this action, and the Authority Board does hereby determine that this action will not have a significant impact on the environment and hereby adopts the attached Negative Declaration with respect to this matter. (Res. 2015.12.X/24)

Public Comment

There were no members of the public present.

Motion to adjourn

Tom asked for a motion to adjourn. Vince made the motion: seconded by Rudy and passed unanimously. (Res. 2015.12.Y/25)

Confirm Next Meeting Date

At 4:02 p.m. Tom confirmed the next meeting date of January 20, 2016.

Respectfully submitted,



Jackie Burger
Senior Typist

Resolutions

- | | |
|-------------------|---|
| Res. 2015.12.A/01 | Motion to approve minutes from the November 4, 2015 Budget Workshop |
| Res. 2015.12.B/02 | Motion to approve minutes from the November 18, 2015 Board Meeting |
| Res. 2015.12.C/03 | Motion to Authorize DEC Asset Management Pilot Program |
| Res. 2015.12.D/04 | Motion to approve 2016 Authority System Operations Contracts |
| Res. 2015.12.E/05 | Motion to approve the warrant, as presented |
| Res. 2015.12.F/06 | Motion to approve 2016 Authority Salary Policy and Schedules |
| Res. 2015.12.G/07 | Motion to approve 2016 Water and Sewer System Budgets |
| Res. 2015.12.H/08 | Motion to approve 2016 Public Authorities Law Budget Report |
| Res. 2015.12.I/09 | Motion to approve 2016 – 2020 Capital Plan as amended |
| Res. 2015.12.J/10 | Motion to adopt Bond Resolution – Pinebrook Sewer WWTP Rehabilitation Project |
| Res. 2015.12.K/11 | Motion to approve 2016 Audit and Accounting Services Agreement |
| Res. 2015.12.L/12 | Motion to approve 2016 Insurance Agreement |
| Res. 2015.12.M/13 | Motion to approve 2016 System Engineering Services |
| Res. 2015.12.N/14 | Motion to approve 2016 General Legal Services Agreement |
| Res. 2015.12.O/15 | Motion to approve 2016 Financial Services Agreement |
| Res. 2015.12.P/16 | Motion to approve 2016 General Land Services Agreement |
| Res. 2015.12.Q/17 | Motion to approve 2016 County Staff Salary Assistance Agreement |
| Res. 2015.12.R/18 | Motion to authorize Amendment #1 – Engineering Service Agreement; HPWTP Control Investigation Project |
| Res. 2015.12.S/19 | Pinebrook Sewer WWTP Rehabilitation Project – SEQR Determination |
| Res. 2015.12.T/20 | Pinebrook Sewer WWTP Rehabilitation Project – Professional Services Agreement |
| Res. 2015.12.U/21 | Obercreek Community Sewer System – SEQR Determination |

Res. 2015.12.V/22	Partnership for Manageable Growth Application Recommendation
Res. 2015.12.W/23	Greenfields Water System Operations and Management Agreement
Res. 2015.12.X/24	Vanderburgh Cove Sewer System Acquisition – SEQR Determination
Res. 2015.12.Y/25	Motion to adjourn

Resolution Package – Not for Release

Summary of Possible Motions for January 20, 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 – December 16, 2015 Board Meeting (R2016.01.A)
2. Designation of Temporary Chair (R2016.01.B)
3. Election of Officers (R2016.01.C)
4. Designate Regular Meeting Date (R2016.01.D)
5. Designate Official Newspaper (R2016.01.E)
6. Designate Official Banks/Depositories (R2016.01.F)
7. Committee Appointments: Governance, Audit, Finance, Operations and Personnel (R2016.01.G)
8. Appoint VDS and VDW system engineer (R2016.01.H)
9. Approval of Warrant (R2016.01.I)
10. Review and Re-Adoption of Procurement Policy (R2016.01.J)
11. Review and Re-Adoption of Disposal of Property Guidelines (R2016.01.K)
12. Review and Re-Adoption of Accounting Procedures and Banking Policy (R2016.01.L)
13. Review and Re-Adoption of Investment Policy (R2016.01.M)
14. Authorize OCIS IT Shared Services Agreement (R2016.01.N)
15. CCS WWTP Rehabilitation Project - Award General Construction Contract (R2016.01.O)
16. CCS WWTP Rehabilitation Project - Award Electrical Construction Contract (R2016.01.P)
17. CCS WWTP Rehabilitation Project - Award HVAC Construction Contract (R2016.01.Q)

18. Vanderburgh Cove Sewer System Acquisition - Authorize Transfer Agreement
(R2016.01.R)
19. Preserves at Lakes Kill Community Sewer System – Adoption of SEQR Determination
(R2016.01.S)
20. Preserves at Lakes Kill Community Sewer System – Authorize Execution of MOU
(R2016.01.T)
21. Greenfields Water System – Authorize Execution of Inter-municipal Agreement for Well
Head Protection (R2016.01.U)

RESOLUTION NO. 2016.01.A

**Authority Board – DCWWA
January 20, 2016 meeting**

_____ offers the following resolution and moves its adoption:

Approval of Minutes – December 16, 2015 Board Meeting

Seconded by _____

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

Designation of Temporary Chair

_____ offers the following resolution and moves its adoption:

BE IT RESOLVED THAT; Bridget Barclay be appointed temporary chair for the purpose of conducting the annual election of officers.

Seconded by _____

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

Election of Officers

_____ offers the following resolution and moves its adoption:

RESOLVED; that the following be nominated for the offices of the Authority for 2016:

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

BE IT FURTHER RESOLVED THAT; nominations be closed, and that the previous noted persons be elected to the respective offices.

Seconded by _____

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

Designate Regular Meeting Date

_____ offers the following resolution and moves its adoption:

BE IT RESOLVED THAT; the regular meetings of the Authority shall be at 3:30 pm at 27 High Street on the **third Wednesday of each month.**

Seconded by _____

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

Designate Official Newspaper

_____ offers the following resolution and moves its adoption:

BE IT RESOLVED THAT; the **Poughkeepsie Journal** be designated as the Official Paper for the Authority.

Seconded by _____

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

Designation of Banks/Depositories

_____ offers the following resolution and moves its adoption:

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

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

BE IT FURTHER RESOLVED THAT; the Executive Director or Deputy Director be authorized to execute all necessary agreements to maintain accounts.

Seconded by _____

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

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

_____ offers the following resolution and moves its adoption:

BE IT RESOLVED THAT; the following Board Members be appointed to serve on the committees of the Authority as noted below; effective January 1, 2016:

Governance Committee:	Rudy Vavra (Chair), Vincent DiMaso, Thomas LeGrand
Audit Committee:	Thomas LeGrand (Chair), Vincent DiMaso
Finance Committee:	Vincent DiMaso (Chair), Rudy Vavra, Thomas LeGrand
Operations Committee:	Larry Knapp (Chair), Rudy Vavra, Thomas LeGrand
Personnel Committee:	Larry Knapp (Chair), Vincent DiMaso, Thomas LeGrand

Seconded by _____

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

Approval of 2016 System Engineering Services Agreements

_____ offers the following resolution and moves its adoption:

WHEREAS; the Authority has adopted procurement guidelines for obtaining engineering services based upon cost levels, and

WHEREAS; the Authority recognizes there can be a benefit in a continuing relationship for engineering advice and services in operating water and sewer facilities, and

WHEREAS; the Authority staff has reviewed the relationships and performance of engineering firms providing engineering services for the systems operated by the Authority and has recommended the listed firms be designated as the firm to provide services for the facilities noted:

- Lawrence J.Paggi, PE, PC: Valley Dale Sewer and Valley Dale Water

WHEREAS; the Authority Board has reviewed the recommendations,

THEREFORE BE IT RESOLVED THAT; the Executive Director or Deputy Director are authorized to execute contracts for engineering services with the noted firms regarding the noted facilities within the parameters of the engineering procurement guidelines.

Seconded by _____

Record of Vote:	Aye	Nay
Thomas LeGrand	___	___
Vincent DiMaso	___	___
Larry Knapp	___	___
Rudy Vavra	___	___

RESOLUTION NO. 2016.01.I

**Authority Board - DCWWA
January 20, 2016 meeting**

Approval of Warrant

_____ offers the following resolution and moves its adoption:

Approval of warrant, as presented

Seconded by _____

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

Review and Re-adoption of Procurement Policy

_____ offers the following resolution and moves its adoption:

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

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

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

THEREFORE BE IT RESOLVED THAT; the Authority Board hereby adopts the attached 2016 Goods and Services Procurement Policy as presented.

Seconded by _____

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

Review and Re-adoption of Disposal of Property Guidelines

_____ offers the following resolution and moves its adoption:

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

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

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

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

THEREFORE BE IT RESOLVED THAT; the Authority Board hereby adopts the attached Disposal of Property Guidelines.

Seconded by _____

Record of Vote:	Aye	Nay
Thomas LeGrand	___	___
Vincent DiMaso	___	___
Larry Knapp	___	___
Rudy Vavra	___	___

Review and Re-adoption of Accounting Procedures and Banking Policy

_____ offers the following resolution and moves its adoption:

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

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

THEREFORE BE IT RESOLVED THAT; the Authority Board hereby adopts the recommended Accounting Procedures and Banking Policy.

Seconded by _____

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

Review and Re-adoption of Investment Policy

_____ offers the following resolution and moves its adoption:

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

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

THEREFORE BE IT RESOLVED THAT; the Authority Board hereby adopts the recommended Investment Policy.

Seconded by _____

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

Authorize OCIS Shared Service Agreement

_____ offers the following resolution and moves its adoption:

WHEREAS; Dutchess County has offered local jurisdictions the opportunity to participate in Information Technology (IT) related shared services, and

WHEREAS; services offered by the County include hosting DCWWA Servers at its secure, state-of-the art computer center, including participation in the County’s Daily Backup and Off-site Storage protocol and Disaster Recovery Plan, and

WHEREAS; services offered by the County also include Operational and IT Planning Services, and

WHEREAS; the County will provide such services on the terms and conditions set forth in the Dutchess County Water and Wastewater Authority IT Services Agreement (Agreement) a copy of which has been provided to the Board for review, and

WHEREAS; the Staff recommends that the Board authorize the execution of the Agreement, and

WHEREAS; the board has reviewed the Staff’s recommendation and finds that it is in the best interest of the Authority to execute the Agreement,

THEREFORE BE IT RESOLVED THAT; the Executive Director or Deputy Director is authorized to execute the Dutchess County Water and Wastewater Authority IT Services Agreement, in substantially the same form as the Agreement provided to the Board.

Seconded by _____

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

RESOLUTION NO. 2016.01.O

**Authority Board – DCWWA
January 20, 2016 meeting**

CCS WWTP Rehabilitation Project – Award General Construction Contract

_____ offers the following resolution and moves its adoption:

WHEREAS; the Authority received three bids on January 7, 2016 for Contract No. CCS-PWC-2015-01 – General Construction for the Chelsea Cove Wastewater System – Wastewater Treatment Plant Rehabilitation Project as follows:

- | | | |
|----|---|----------------|
| 1. | OCS Industries, Inc., Middletown, NY | \$2,310,469.00 |
| 2. | Eventus Construction Co., Inc., Amawalk, NY | \$2,777,000.00 |
| 3. | WM Schultz Construction, Inc., Ballston Spa, NY | \$2,854,751.00 |

WHEREAS; OCS Industries, Inc., Middletown, NY submitted the lowest responsible bid in the amount of \$2,310,469.00, and

WHEREAS; the consulting engineer, Morris Associates Engineering and Surveying Consultants, PLLC (Morris), has reviewed the bid, qualification statement, experience and references provided by OCS Industries, Inc. and finds no reason not to award the contract to OCS Industries, Inc., and

WHEREAS; the staff has reviewed the recommendation of Morris Associates Engineering and Surveying Consultants, PLLC and recommends the award of Contract No. CCS-PWC-2015-01 – General Construction for the Chelsea Cove Wastewater System – Wastewater Treatment Plant Rehabilitation Project to the lowest responsible bidder, OCS Industries, Inc., Middletown, NY, and

WHEREAS; the Board has reviewed the staff recommendation and finds the award of Contract No. CCS-PWC-2015-01 to OCS Industries, Inc., Middletown, NY. is in the best interests of the Authority.

THEREFORE BE IT RESOLVED THAT; the bid received on January 7, 2016 from OCS Industries, Inc., Middletown, NY for Contract No. CCS-PWC-2015-01 for the Chelsea Cove Wastewater System – Wastewater Treatment Plant Rehabilitation Project in the amount of \$2,310,469.00 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	___	___

CCS WWTP Rehabilitation Project – Award Electrical Construction Contract

_____ offers the following resolution and moves its adoption:

WHEREAS; the Authority received two bids on January 7, 2016 for Contract No. CCS-PWC-2015-02 – Electrical Construction for the Chelsea Cove Wastewater System – Wastewater Treatment Plant Rehabilitation Project as follows:

- | | | |
|----|---|--------------|
| 4. | Stilsing Electric, Inc., Rensselaer, NY | \$274,380.00 |
| 5. | Black Electric, Inc., Poughkeepsie, NY | \$559,500.00 |

WHEREAS; Stilsing Electric, Inc. rescinded its bid, citing bidding errors that excluded significant portions of the work scope, and

WHEREAS; Black Electric, Inc. submitted the lowest responsible bid in the amount of \$559,500.00, and

WHEREAS; the consulting engineer, Morris Associates Engineering and Surveying Consultants, PLLC (Morris), has reviewed the bid, qualification statement, experience and references provided by Black Electric, Inc. and finds no reason not to award the contract to Black Electric, Inc., and

WHEREAS; the staff has reviewed the recommendation of Morris and recommends the award of Contract No. CCS-PWC-2015-02 – Electrical Construction for the Chelsea Cove Wastewater System – Wastewater Treatment Plant Rehabilitation Project to the lowest responsible bidder, Black Electric, Inc., and

WHEREAS; the Board has reviewed the staff recommendation and finds the award of Contract No. CCS-PWC-2015-01 to Black Electric, Inc. is in the best interests of the Authority.

THEREFORE BE IT RESOLVED THAT; the bid received on January 7, 2016 from Black Electric, Inc. for Contract No. CCS-PWC-2015-02 for the Chelsea Cove Wastewater System – Wastewater Treatment Plant Rehabilitation Project in the amount of \$559,500.00 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	___	___

CCS WWTP Rehabilitation Project – Award HVAC Construction Contract

_____ offers the following resolution and moves its adoption:

WHEREAS; the Authority received three bids on January 7, 2016 for Contract No. CCS-PWC-2015-03 – HVAC Construction for the Chelsea Cove Wastewater System – Wastewater Treatment Plant Rehabilitation Project as follows:

- | | | |
|----|---|--------------|
| 1. | DJ Heating & Air Conditioning, Inc., Marlboro, NY | \$62,290.00 |
| 2. | Airflow Air Conditioning, Refrig. & Htg, Inc., Highland, NY | \$68,291.00 |
| 3. | Pearl River Plbg., Htg. & Elect., Inc., Pearl River, NY | \$222,222.00 |

WHEREAS; DJ Heating & Air Conditioning, Inc. submitted the lowest responsible bid in the amount of \$62,290.00, and

WHEREAS; the consulting engineer, Morris Associates Engineering and Surveying Consultants, PLLC (Morris), has reviewed the bid, qualification statement, experience and references provided by DJ Heating & Air Conditioning, Inc. and finds no reason not to award the contract to DJ Heating & Air Conditioning, Inc., and

WHEREAS; the staff has reviewed the recommendation of Morris and recommends the award of Contract No. CCS-PWC-2015-03 – HVAC Construction for the Chelsea Cove Wastewater System – Wastewater Treatment Plant Rehabilitation Project to the lowest responsible bidder, DJ Heating & Air Conditioning, Inc., and

WHEREAS; the Board has reviewed the staff recommendation and finds the award of Contract No. CCS-PWC-2015-02 to DJ Heating & Air Conditioning, Inc. is in the best interests of the Authority.

THEREFORE BE IT RESOLVED THAT; the bid received on January 7, 2016 from DJ Heating & Air Conditioning, Inc. for Contract No. CCS-PWC-2015-02 for the Chelsea Cove Wastewater System – Wastewater Treatment Plant Rehabilitation Project in the amount of \$62,290.00 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	___	___

Vanderburgh Cove Sewer System Acquisition – Authorize Transfer Agreement

_____ offers the following resolution and moves its adoption:

WHEREAS; the Towns of Rhinebeck and Hyde Park (Towns) are the owners of real property, facilities, and assets used in the collection, treatment, and discharge of sewage and provision of sewer service to customers residing in the Vanderburgh Cove Sewer Districts #1 and #2 (collectively the “Sewer Districts”), and

WHEREAS; the Towns, acting for and on behalf of the Sewer Districts, have agreed to sell, transfer, and convey the Sewer System to the Authority, and the Authority has agreed to purchase the Sewer System from the Towns, on the terms and conditions set forth in the Agreement for Transfer of Wastewater System, and

WHEREAS; the Authority will request the County of Dutchess to create a Part County Sewer District encompassing the sewer service areas of the Sewer Districts and approve the execution of the corresponding Service Agreements with the Authority in order for the Authority to provide sewer services within this framework, and

WHEREAS; the Authority, by adoption of Resolution 2015.12.X, has adopted a finding of no significant negative environmental impact associated with the transfer of ownership of the System, and

THEREFORE BE IT RESOLVED THAT; the Authority Board hereby authorizes its Executive Director or Deputy Director to enter into an Agreement for Transfer with the Towns of Rhinebeck and Hyde Park establishing the terms and conditions by which the Authority will accept ownership and operations of the aforementioned Vanderburgh Cove Sewer System.

Seconded by _____

Record of Vote:	Aye	Nay
Thomas LeGrand	___	___
Vincent DiMaso	___	___
Larry Knapp	___	___
Rudy Vavra	___	___

Preserves at Lakes Kill Community Sewer System – Adoption of SEQR Determination

_____ offers the following resolution and moves its adoption:

WHEREAS; the Authority proposes to enter into an Agreement with Landmark Properties of Suffolk, LTD., (Landmark) regarding the acquisition by the Authority of the Preserve at Lakes Kill Subdivision Sewer System (Preserve Sewer System) to be constructed by Landmark, and

WHEREAS; upon acquisition of the Preserve Sewer System, the Authority will serve the wastewater treatment needs of the customers of the Preserve Sewer System in accordance with the terms of the Agreement, and

WHEREAS; the County of Dutchess must create a Part County Sewer District encompassing the proposed sewer service area and execute a corresponding Service Agreement with the Authority in order for the Authority to provide sewer services within this framework, and

WHEREAS; it would be in the public interest for the Authority to acquire the Preserve Sewer System and for the County to establish the Part County Sewer District and execute the Service Agreement, and

WHEREAS; in accordance with the requirements of the SEQR Act, the Authority must make a determination as to the Environmental Impact of this proposed action, and

WHEREAS; the construction of the Preserve Sewer System and the residential subdivision it will serve have been the subject of a SEQR review by the Town of Red Hook Planning Board resulting in the adoption of a Negative Declaration, and are not a part of this action, and

WHEREAS; this action has been classified as “Unlisted” and a Short Environmental Assessment Form has been completed and submitted to the Board,

THEREFORE BE IT RESOLVED THAT; the Authority Board declares itself as Lead Agency for this action, and

BE IT FURTHER RESOLVED THAT; the Authority Board does hereby determine that this action will not have a significant impact on the environment and hereby adopts the attached Negative Declaration with respect to this matter.

Seconded by _____

Record of Vote:	Aye	Nay
Thomas LeGrand	___	___
Vincent DiMaso	___	___
Larry Knapp	___	___
Rudy Vavra	___	___

Preserves at Lakes Kill Community Sewer System – Authorize Execution of MOU

_____ offers the following resolution and moves its adoption:

WHEREAS; Landmark Properties of Suffolk, LTD and PB Developers, Inc. are the owners (Owners) of real property located in the Town of Red Hook, and

WHEREAS; the Owners intend to subdivide the property into an eleven lot cluster subdivision, to be known as Preserve at Lakes Kill, and a separate parcel for construction of the wastewater treatment facility, and

WHEREAS; the Owners intend to design and construct, subject to Authority approval, a community subsurface disposal system, collection mains and service laterals for the collection, treatment and disposal of wastewater from the lots, and

WHEREAS; the Owners have requested that the Authority take fee title to the wastewater treatment facility parcel and title to the wastewater treatment system and collection mains, and

WHEREAS; the Authority and the Owners have negotiated a Memorandum of Understanding (MOU) to identify the contingencies which must be fulfilled and respective obligations of the parties which must be performed in order for the Authority to provide wastewater service, and

WHEREAS; Authority staff recommends that the Board authorize the execution of the MOU in substantially the same form as presented herein to the Authority Board,

THEREFORE BE IT RESOLVED THAT; the Authority Board hereby authorizes its Executive Director or Deputy Director to enter into the Preserve at Lakes Kill Subdivision Wastewater System MOU.

Seconded by _____

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

Greenfields Water System – Authorize Execution of Inter-municipal Agreement for Well Head Protection

_____ offers the following resolution and moves its adoption:

WHEREAS; DCWWA and the Town of Hyde Park (Town) entered into an Agreement in July of 2015 for the transfer of certain Water and Wastewater Districts within the Town to DCWWA, including the Greenfields Water District, and

WHEREAS; certain wells, piping and related appurtenances and infrastructure for the Greenfields Water District system are located within the Town’s Greenfields Park located at 175 and 179 Cream Street in the Town of Hyde Park, and

WHEREAS; the wells for the water district system located within the Greenfields Park are identified as Wells #5, 9, 10, 11 and 12, and

WHEREAS; the Town of Hyde Park, as part of the Agreement, will convey to DCWWA a perpetual easement to enter the Park property for purposes of maintaining, repairing and replacing the Wells and related water piping and appurtenances under, over, across and through the easement area, and

WHEREAS; DCWWA and the Town have determined that in order to more fully protect the wells, water supply and aquifer which provide the source of water for the Greenfields Water District, the Town and DCWWA should enter into a Wellhead Protection Control and Management Agreement, pursuant to the provisions of Article 5G of the General Municipal Law, and

WHEREAS; the Attorney to the Town, in consultation with DCWWA, has prepared a proposed Inter-municipal Cooperation Agreement providing for wellhead protection control and management, by the Town and DCWWA, of the wellhead protection area pursuant to Article 5G of the General Municipal Law, a copy of which has been provided to Board members,

THEREFORE BE IT RESOLVED THAT; the Authority Board hereby authorizes the Board Chairman to execute the Inter-municipal Cooperation Agreement with the Town for the wellhead protection control and management of the wellhead protection area within the Greenfields Park, in the same, or substantially similar form as the Agreement provided to the Board.

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
January 20, 2016**

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
<u>Arbors Water System</u>						
ABW15008	Central Hudson Gas & Electric	Electric: 5148 0448 01 1	138.99			
ABW15009	City of Poughkeepsie	Arbors Water: 9/1/15-11/30/15	5,673.60			
ABW16001	Dutchess County Dep of Health	Annual Water supply permits: 2016	1,920.00			
	SUBTOTAL		7,732.59			
<u>Benefit Assessment</u>						
	none this warrant					
	SUBTOTAL		0.00			
<u>Birch Hill Water System</u>						
BHW15099	Dig Safely New York, Inc.	Location Request Services: November 2015	126.64			
BHW15100	VRI Environmental Services, Inc.	Operations and Maintenance: December 2015	855.49	10,265.00	10,265.00	100.00%
BHW15101	USA BlueBook	Reagent iron ferrover	133.17			
BHW15102	NYSEG	Electric service: 10/17/15-12/16/15 (1003 1922 494)	1,529.08			
BHW15103	Prime Print Shop	BHW Treatment Plant: Control replacement contract	365.20			
BHW15104	Smith Environmental Laboratory	Labs: November 2015	1,858.25			
BHW15105	Morris Associates Eng Consultants, PLLC.	Professional Services: BHW transfer pumps (11/8/15-12/5/15)	3,276.00	4,744.00	4,329.00	91.25%

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
WARRANT
January 20, 2016**

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
BHW15106	Byrnes Message Bureau, Inc.	Answering service: December 2015	44.11			
BHW15107	DC Commissioner of Finance	Postage: December 2015	269.25			
BHW15108	Poughkeepsie Journal	BHW Treatment Plant: Control panel bids	129.60			
BHW15109	VRI Environmental Services, Inc.	Wired well	148.75			
BHW15110	Dig Safely New York, Inc.	Location Request Services: Last bill of 2015	131.28			
BHW15111	Smith Environmental Laboratory	Labs: December 2015	2,483.00			
BHW16001	Frontier Communications	Telephone Service: 12/25/15 - 01/24/15 (226-5492)	41.55			
SUBTOTAL			11,391.37			
 <u>Chelsea Cove Sewer System</u>						
CCS15139	Frontier Communications	Telephone service: 12/7/15-1/6/16 (226 5492)	41.06			
CCS15140	NYSEG	Electric service:11/09/15-12/09/15 (10010243847)	1,640.87			
CCS15141	Royal Carting Service Co.	Monthly Refuse Removal: December 2015	76.59			
CCS15142	VRI Environmental Services, Inc.	Operations and Maintenance: December 2015	2,850.00	34,200.00	34,200.00	100.00%
CCS15143	Schmidt's Wholesale, Inc.	Backflow repair kit	639.20			
CCS15144	Amrex	Chemicals: Sodium Thiosulfate	151.57			
CCS15145	Slack Chemical Company, Inc.	Chemicals: Hypochlorite	261.60			
CCS15146	USA BlueBook	Hand soap	42.14			
CCS15147	Jeff Daley & Sons Oil Ser Inc.	Winter blend fuel 575.3 @ 2.50	1,438.25			
CCS15148	Earthcare - All County Division	Sludge removal: 12/10/15	1,740.40			
CCS15149	Porco Energy Corporation	Propane: 512.9@.9378	481.00			
CCS15150	Earthcare - All County Division	Vactor service: 12/29/15	990.00			

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
WARRANT
January 20, 2016**

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
CCS15151 E	Dutchess TEKCON Ind, Inc.	Removed old freeze stat, installed new control	738.60			
CCS15152	Dutchess TEKCON Ind, Inc.	Air handeler not working/need to replace	184.00			
CCS15153	Earthcare - All County Division	Sludge removal: 12/30/15	860.00			
CCS15154	Slack Chemical Company, Inc.	Chemicals: Hypochlorite	261.60			
CCS15155	VRI Environmental Services, Inc.	RPZ tests	290.00			
SUBTOTAL			12,686.88			
 <u>Dalton Farms Sewer System</u>						
DFS15160	Frontier Communications	Telephone service:12/25/15-1/24/16(8452233038)	46.25			
DFS15161	NYSEG	Electric service:11/09/15-12/09/15 (10010243581)	121.76			
DFS15162	Verizon	Telephone service: 12/7/15-1/6/16 (7243574)	24.10			
DFS15163	Royal Carting Service Co.	Monthly Refuse Removal: December 2015	163.35			
DFS15164	VRI Environmental Services, Inc.	Operations and Maintenance: December 2015	3,591.74	43,100.00	43,100.00	100.00%
DFS15165	NYSEG	Elec:10/10-12/11/15 (10015041113/5040438/5452078/0959681)	4,165.28			
DFS15166	Earthcare - All County Division	Sludge removal: 12/1/15	870.20			
DFS15167	Earthcare - All County Division	Sludge removal/Vactor Service: 12/17/15	2,738.00			
DFS15168	Fourth Dimension Instruments & Products Inc.	Black round Hour Meter	62.94			
DFS15170	Earthcare - All County Division	Sludge removal:12/23/15	916.00			
DFS15171	VRI Environmental Services, Inc.	Reassemble filter cell #1: 11/23/15	1,190.00			
DFS15172	VRI Environmental Services, Inc.	Pull and clear pumps: 12/18/15	170.00			
DFS15173	VRI Environmental Services, Inc.	Replace hour meter: 12/16/15	85.00			
DFS15174	VRI Environmental Services, Inc.	Brush hog path to manholes: 12/14/15	384.66			

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
WARRANT
January 20, 2016**

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
DFS15175	VRI Environmental Services, Inc.	Curb box repair: 11/30/15	665.95			
DFS15176	VRI Environmental Services, Inc.	Butterfly valve replacement	1,359.00			
DFS16001	Frontier Communications	Telephone service:12/25/15-1/24/16(14519600000619907/LD)	11.37			
DFS16002	Vector Security	Monitoring (Multiple Locations): 1/1/16-12/31/16	4,548.00			
SUBTOTAL			21,113.60			
 <u>Dalton Farms Water System</u>						
DFW15053	Frontier Communications	Telephone service: 12/7/15-1/6/16 (223 7653)	32.26			
DFW15054	VRI Environmental Services, Inc.	Operations and Maintenance: December 2015	1,458.37	17,500.00	17,500.00	100.00%
DFW15055	NYSEG	Electric service: 10/10/15-12/11/15 (1001 5040 446/5042 020)	3,066.52			
DFW15056	VRI Environmental Services, Inc.	Change lower float: 11/23/15	228.93			
DFW15057	Amrex	Chemicals: Liquid caustic soda	2.00			
SUBTOTAL			4,788.08			
 <u>Fairways Sewer</u>						
FAS15009	Central Hudson Gas & Electric	Elec:10/2-12/4/15 (58122190018/2145012/2405010/56742480017)	514.95			
FAS15011	VRI Environmental Services, Inc.	Operations and Maintenance: December 2015	237.50	950.00	950.00	100.00%
SUBTOTAL			752.45			

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
WARRANT
January 20, 2016**

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
	<u>Fairways Water</u>					
FAW15031	VRI Environmental Services, Inc.	Operations and Maintenance: December 2015	550.00	6,600.00	6,600.00	100.00%
	SUBTOTAL		550.00			
	<u>General</u>					
GEN15260	The Hon Company	File cabinet/delivery and set up	584.27			
GEN15261	NYS Deferred Compensation Plan	Deferred Compensation: Paydate 12/4/15	1,020.00			
GEN15262	AFLAC	November 2015 Premium	464.22			
GEN15263	Paychex, Inc.	Time and Labor Management Program: November 2015	70.00			
GEN15264	Paychex, Inc.	Administrative Services: Pay Period ending 12/11/15	593.39			
GEN15265	Churins, Jonathan D.	Reimbursement for Toner	116.98			
GEN15266	Rose and Kiernan, Inc.	Commercial Package endorsement 9/15/15	148.05			
GEN15267	DC Commissioner of Finance	Printing	30.00			
GEN15268	DC Commissioner of Finance	Copier/Telephone Service: November 2015	340.73			
GEN15269	Paychex, Inc.	Administrative Services: Pay Period ending 12/25/15	593.39			
GEN15270	NYS Deferred Compensation Plan	Deferred Compensation: Paydate 12/31/15	1,020.00			
GEN15271	W.B.Mason	Post screws	24.99			
GEN15272	Mills, Edward J.	Mileage reimbursement	51.18			
GEN15273	Drake, Loeb, Heller, etal.	Professional services:HPR RT9 sewer district	840.88	45,000.00	33,262.53	73.92%
GEN15274	Drake, Loeb, Heller, etal.	Professional services:Red Hook/Hoffman	446.25	45,000.00	33,708.78	74.91%
GEN15275	Van DeWater & Van DeWater, LLP	Prof Serv: Shorehaven/HP Acquisitions/Obercreek/Norrie Pt	1,716.50	30,000.00	23,289.57	77.63%
GEN15276	Van DeWater & Van DeWater, LLP	Professional services: Shorehaven/HPW+S Acquisitions	626.54	30,000.00	23,916.11	79.72%

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
WARRANT
January 20, 2016**

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
GEN15277	Nelco	1094/1095 B Forms	21.24			
GEN15278	KC Engineering & Land Surveying PC	Grenfields water& sewer survey tasks for closing	2,460.00			
GEN15279	Staples Credit Plan	December 2015 Supplies Purchase	84.65			
GEN15280	DC Commissioner of Finance	Dental/Optical Premiums: December 2015	2,253.62			
GEN15281	DC Commissioner of Finance	Printing services: December 2015	190.00			
GEN15282	DC Commissioner of Finance	Copier/Telephone Service: December 2015	340.73			
GEN15283	AFLAC	December 2015 Premium	309.48			
GEN15284	NYS & Local Emp. Ret. System	Retirement System Monthly Reporting: December 2015	3,019.98			
GEN15285	DC Commissioner of Finance	Storeroom supplies	43.49			
GEN15286	UPS	Mailings	56.18			
GEN15287	Industrial Appraisal Co.	Appraisal fee: Feild work per contract	6,288.00	10,480.00	6,288.00	60.00%
GEN16001 *	Employee Benefits Division	Health Insurance Premium: January 2016	16,051.09			
GEN16002	American Water Works Assoc.	Dues 1/1/16-12/13/16 (unpaid balance from last months warrant)	16.00			
GEN16003	MVP Health Care, Inc.	January 2016 Health insurance	8,684.23			
GEN16004 *	Town of Hyde Park (HPWA1)	Debt Service Payment: February 1, 2016 (Interest)	18,028.19			
GEN16005	Real Property Abstract & Title Services, LLC	Title report: Last owner searches	875.00			
GEN16006	Real Property Abstract & Title Services, LLC	Title report: Title policy	674.00			
GEN16007	NYS Deferred Compensation Plan	Deferred Compensation: Paydate 1/15/16	1,020.00			
GEN16008 *	Employee Benefits Division	Health Insurance Premium: February 2016	21,605.65			
GEN16009	Paychex, Inc.	Administrative Services: Pay Period ending 12/25/15	620.31			
	SUBTOTAL		91,329.21			

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
WARRANT
January 20, 2016**

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
<u>Hyde Park Regional Water System</u>						
HPW15025 ***	Casale Construction Services, Inc.	SBW Water system Rt 9 main replacement (payment #10)	97,773.10	1,426,555.00	1,382,265.97	96.90%
HPR15397	Home Depot Credit Services	Misc Supplies including Decking Material: November 2015	1,104.48			
HPR15399	Seaway Diving & Salv Co., Inc.	Diving services: Clean/remove chemical line in raw water intake	3,561.00			
HPR15400	Hach Company	Testing chemicals	106.89			
HPR15401	Royal Carting Service Co.	Monthly Refuse Removal: December 2015	41.40			
HPR15402	Ulster Uniform Service, Inc.	Uniforms: December 2015	272.50			
HPR15403	Pendragon LLC	Technical Support for Soft Start	720.00			
HPR15404	Protective Power Systems & Controls, Inc.	Inspection 11/24/15	150.00			
HPR15405	Protective Power Systems & Controls, Inc.	Inspection 11/24/15	150.00			
HPR15406	USA BlueBook	Flagger sign	253.27			
HPR15407	USA BlueBook	Pressure gauge/flagger sign	406.30			
HPR15408	USA BlueBook	Chlorine pocket colorimeter	438.50			
HPR15409	The Vellano Corporation	Repair clamp/combo drill/grease	483.54			
HPR15410	Surpass Chemical Company, Inc.	Chemicals: Sodium Hypochlorite	524.80			
HPR15411	Verizon Wireless	Cell phone service: 12/13/15-1/12/16	190.26			
HPR15412	Cablevision	Internet service: 12/16/15-1/15/16	199.70			
HPR15413	Verizon	Telephone service: 12/10/15-1/9/16(229 9233/229 1117)	141.40			
HPR15414	Central Hudson Gas & Electric	Electric service:10/9/15-12/9/15 (5327 2710 00 4/5664 0195 00 6)	294.11			
HPR15415	McMaster-Carr Supply Co.	Diaphragm repair kit	108.90			
HPR15416	Smith Environmental Laboratory	Labs: November 2015	1,743.00			
HPR15417	W.B.Mason	Calendar/desk pad	80.10			
HPR15418	Chickery's Auto Repair	Oil change/tire rotation/antifreeze	107.95			

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
WARRANT
January 20, 2016**

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
HPR15419	Chickery's Auto Repair	Oil change	59.95			
HPR15420	Ross Valve Mfg. Co., Inc.	Repair Hughes ave PRV	1,534.04			
HPR15421	Sarjo Industries	Threaded rod/hex nut	50.56			
HPR15422	USA BlueBook	Calibration gas/DPD packets/PH buffer	614.67			
HPR15423	USA BlueBook	Assorted pipe fittings	644.61			
HPR15424	USA BlueBook	Brass nipple	24.95			
HPR15425	The Vellano Corporation	Curb stop	650.40			
HPR15426	Verizon Wireless	Modem: 11/24/15-12/23/15	14.04			
HPR15427	Central Hudson Gas & Electric	Elect:11/23-12/21/15(56171635016/3730013/4600017/53503800004)	6,218.49			
HPR15428	Wex Inc.	Fuel for vehicles: December 2015	1,102.13			
HPR15429	Williams Lumber & Home Centers	December 2015 Supplies	406.86			
HPR15430	Northside Supplies, LLC	Ice Bite	466.14			
HPR15431	USA BlueBook	ANSI class 2 mesh vest	67.03			
HPR15432	Smith Environmental Laboratory	Labs: December 2015	483.00			
HPR16001	American Water Works Assoc.	Dues 3/1/16-2/28/17	86.00			
HPR16002	A-1 Communications, Inc.	Annual Rental Fee: 6 Radio Communications Units	935.58			
HPR16003	Vector Security	Monitoring: 1/1/16-12/31/16	421.17			
SUBTOTAL			122,630.82			
 <u>Pinebrook Sewer System</u>						
PBS15010	VRI Environmental Services, Inc.	Operations and Maintenance: December 2015	1,530.00	5,355.00	5,355.00	100.00%
PBS15011	USA BlueBook	Hach nessler reagent	69.36			

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
WARRANT
January 20, 2016**

<u>VOUCHER</u>	<u>PAYEE</u>	<u>DESCRIPTION</u>	<u>AMOUNT</u>	<u>CONTRACT</u>	<u>TO DATE</u>	<u>PERCENT</u>
PBS15012	USA BlueBook	Testing chemicals and equipment	124.09			
PBS15013	Central Hudson Gas & Electric	Electric service:11/09/15-12/09/15 (56640245033/0248037)	668.14			
PBS15014	Amity Construction Corp	Manhole repair	996.00			
PBS15015	Grainger	Exhaust fan/shutter	166.92			
PBS15016	H.A. Schreck, Inc.	Generator Service: PBS/PBW 12/8/15	175.00			
PBS16001	Commercial Instruments & Alarm	System rental /monitoring 1/1/16-3/31/16	162.00			
SUBTOTAL			3,891.51			
 <u>Pinebrook Water System</u>						
PBW15007	VRI Environmental Services, Inc.	Operations and Maintenance: December 2015	1,020.00	3,570.00	3,570.00	100.00%
PBW15008	Veith Enterprises, Inc.	Complete chlorination pump	1,309.50			
PBW16001	Commercial Instruments & Alarm	System rental /monitoring 1/1/16-3/31/16	162.00			
SUBTOTAL			2,491.50			
 <u>Quaker Hills Water</u>						
QHW15013	Central Hudson Gas & Electric	Electric service:11/2/15-12/3/15 (5662 0810 01 2)	276.52			
QHW15014	VRI Environmental Services, Inc.	Operations and Maintenance: December 2015	750.00	2,625.00	2,625.00	100.00%
QHW15015	Smith Environmental Laboratory	Labs: November 2015	592.75			
QHW15016	H.A. Schreck, Inc.	Service: QHW 12/8/15	145.74			
QHW15017	Smith Environmental Laboratory	Labs: December 2015	672.25			

**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>
QHW16001	Commercial Instruments & Alarm	System rental /monitoring 1/1/16-3/31/16	162.00			
SUBTOTAL			2,599.26			
<u>Rokeby Water System</u>						
RKW15034	Frontier Communications	Telephone service: 12/1/15-1/30/16 (758 9223)	48.13			
RKW15035	VRI Environmental Services, Inc.	Operations and Maintenance: December 2015	616.74	7,400.00	7,400.00	100.00%
RKW15036	Everhart Tree Care LLC	Tree removal	1,500.00			
RKW15037	Davies Hardware	December 2015	23.17			
RKW16001	Frontier Communications	Telephone service: 1/1/16-1/31/16 (758 9223)	48.31			
RKW16002	USA BlueBook	Hach DPD sample	126.10			
SUBTOTAL			2,362.45			
<u>Schreiber</u>						
DSW15025	NYSEG	Electric service: 11/10/15-12/10/15 (10011912549)	133.30			
DSW15026	VRI Environmental Services, Inc.	Operations and Maintenance: December 2015	481.25	5,775.00	5,775.00	100.00%
SUBTOTAL			614.55			

**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>
<u>Shore Haven Water System</u>						
SHW15077	VRI Environmental Services, Inc.	Operations and Maintenance: December 2015	858.37	10,300.00	10,300.00	100.00%
SHW15078	NYSEG	Electric service: 10/18/15-12/17/15 (1003 2103 375)	853.55			
SHW15079	Surpass Chemical Company, Inc.	Chemicals:Sodium Hypochlorite	107.00			
SHW15080	USA BlueBook	Assorted pipe fittings	106.41			
SHW15081	Amrex	Chemicals: Delivery charge	70.00			
SHW15082	Weston & Sampson Engineers, Inc.	Professional services: Shorehaven Water Dist Improvement #20	151.48			
SUBTOTAL			2,146.81			
<u>Central Dutchess Water Transmission Line</u>						
CDW15267	NYS Deferred Compensation Plan	Deferred Compensation: Paydate 12/18/15	300.00			
CDW15268	UPS	Mailing 11/21/15-12/5/15	20.05			
CDW15269	Central Hudson Gas & Electric	Electric: 10/30/15-12/3/15(56852136011/2135013/50624675000)	2,390.31			
CDW15270	Dig Safely New York, Inc.	Location Request Services: November 2015	99.84			
CDW15271	Royal Carting Service Co.	Monthly Refuse Removal: December 2015	36.23			
CDW15272	Paychex, Inc.	Administrative Services: Payroll Period ending 12/11/15	8.77			
CDW15273	Protective Power Systems & Controls, Inc.	Block heater	1,033.00			
CDW15274	Verizon	Telephone service: 12/10/15-1/9/16 (4710917)	226.57			
CDW15275	Time Warner Cable	Internet service: 12/19/15-1/18/16(8150410150093567)	116.03			
CDW15276	Jeff Daley & Sons Oil Ser Inc.	Winter blend fuel 575.3 @ 2.50	1,425.25			
CDW15277	Smith Environmental Laboratory	Labs: November 2015	943.25			
CDW15278	Paychex, Inc.	Administrative Services: Payroll Period ending 12/25/15	8.77			

**DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
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CDW15279	NYS Deferred Compensation Plan	Deferred Compensation: Paydate 12/31/15	300.00			
CDW15280	Van DeWater & Van DeWater, LLP	Professional services:IBM assignment	175.00	30,000.00	24,091.11	80.30%
CDW15281	Arlington Auto & Tire	Oil change	34.50			
CDW15282	Wex Inc.	Fuel for vehicles: December 2015	152.51			
CDW15283	DC Commissioner of Finance	Dental/Optical Premiums: December 2015	119.58			
CDW15284	DC Commissioner of Finance	Postage: December 2015	23.54			
CDW15285	Dig Safely New York, Inc.	Location Request Services: December 2015	60.48			
CDW15286	NYS & Local Emp. Ret. System	Retirement System Monthly Reporting: December 2015	481.31			
CDW15287	USA BlueBook	Lettering/signals/deionized water	115.70			
CDW15288	Dig Safely New York, Inc.	Location Request Services: December 2015	97.04			
CDW15289 *	City of Poughkeepsie	Water: December 2015	130,343.22			
CDW15290	Smith Environmental Laboratory	Labs: December 2015	250.25			
CDW16001	MVP Health Care, Inc.	January 2016 Health insurance	1,594.34			
CDW16002	A-1 Communications, Inc.	Annual Rental Fee: 2 Radio Communications Units	311.86			
CDW16003	Cablevision	Internet service: 12/23/15-1/22/16	119.90			
CDW16004	NYS Deferred Compensation Plan	Deferred Compensation: Paydate 1/15/16	300.00			
CDW16005	Paychex, Inc.	Administrative Services: Payroll Period ending 01/08/16	12.17			
SUBTOTAL			141,099.47			
 <u>VALLEY DALE SEWER SYSTEM</u>						
VDS15072	VRI Environmental Services, Inc.	Operations and Maintenance: December 2015	1,366.74	16,400.00	16,400.00	100.00%
VDS15073	Central Hudson Gas & Electric	Electric service:11/19/15-12/17/15 (56530702002/0700014/004)	772.05			

**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>
VDS15074	DCWWA	Water service: 10/1/15-12/31/15	46.82			
VDS15075	USA BlueBook	Hach oxygen powder pillows/Sodium thiosulfate	188.43			
VDS15076 *	Lawrence J Paggi, PE, PC	Professional services: VDS WWTP Rehabilitation	7,163.75	141,500.00	111,695.67	78.94%
VDS15077	H.G. Page & Sons, Inc.	Coupling/nipple	10.08			
SUBTOTAL			9,547.87			
 <u>VALLEY DALE WATER SYSTEM</u>						
VDW15039	Landworks of Hudson Valley	Brushhogging	995.00			
VDW15040	VRI Environmental Services, Inc.	Operations and Maintenance: December 2015	516.74	6,200.00	6,200.00	100.00%
VDW15041	USA BlueBook	Selector switch	46.62			
VDW15042	Central Hudson Gas & Electric	Electric service: 11/19/15-12/17/15 (56530720004)	573.64			
SUBTOTAL			2,132.00			
TOTAL WARRANT			439,860.42			

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

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

E/P Procurement Policy Emergency Repair Provision

TO: Authority Board
 FROM: Frederic Zanetti
 DATE: January 12, 2016
 RE: December 2015 Systems Operation Report

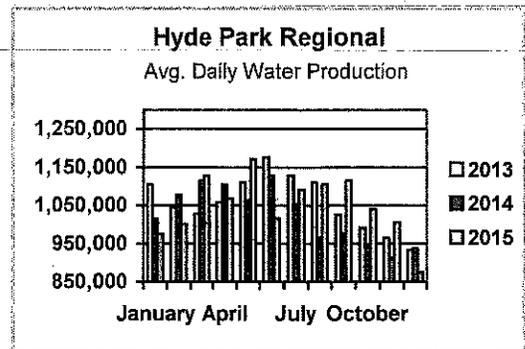
*Present: F. Dongo, G. Goettel, S. Heupler, J. McLaughlin, D. Odell, S. Osborne,
 M. Rowe, P. Scofield, R. Winchester, F. Zanetti*

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

Average daily usage: December- 876,000
 November- 1,007,000 October- 1,041,000
 All testing aspects are in compliance.

Action Items:

- Curb boxes repaired at 9 Doty Ave. and 5 Kirchner Ave.
- Health Department annual inspection completed.

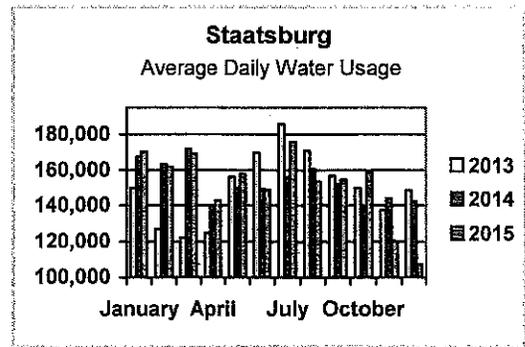


2. Staatsburg Water (Zone C)

Average daily usage: December- 107,300
 November- 120,500 October- 159,200
 All testing aspects are in compliance.

Action items:

- Routine Operations.
- Old Post, Hillcrest, River, and Mill Roads flushed.

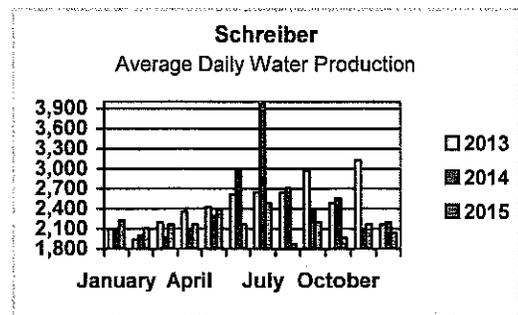


3. Schreiber Water (Zone E)

Average daily production: December- 2,032
 November- 2,167 October- 1,968

Action Items:

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



4. Rokeby Water (Zone F)

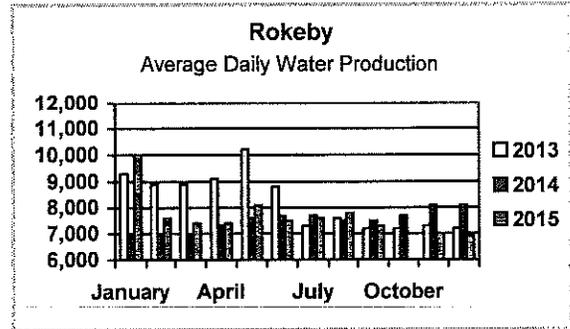
Average daily production: December- 6,900

November- 7,000 October- 5,800

All testing aspects are in compliance.

Action items:

- Routine operations.



5. Valley Dale Water

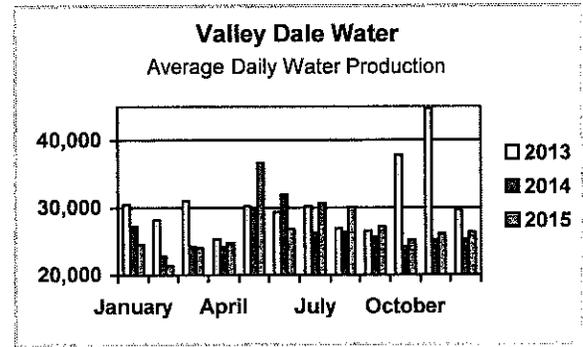
Average daily production: December- 26,372

November- 26,127 October- 25,169

All testing aspects are in compliance.

Action Items:

- Routine operations.
- Well #6 not working, found bad switch.



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

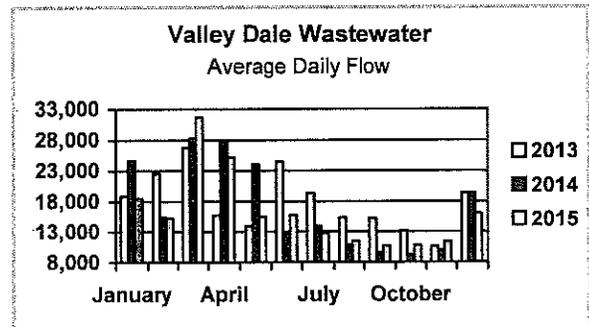
Average daily flow: December- 16,039

November- 11,408 October- 10,805

All testing aspects are in compliance.

Action Items:

- Routine operations.
- Flow meter calibrated.

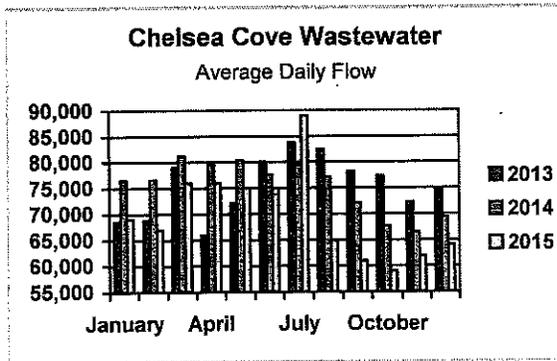


7. Chelsea Cove Wastewater (S.D. #1)

Average daily flow: December- 64,000
November- 62,000 October- 59,000

Action Items:

- Routine operations.
- RPZ's tested.

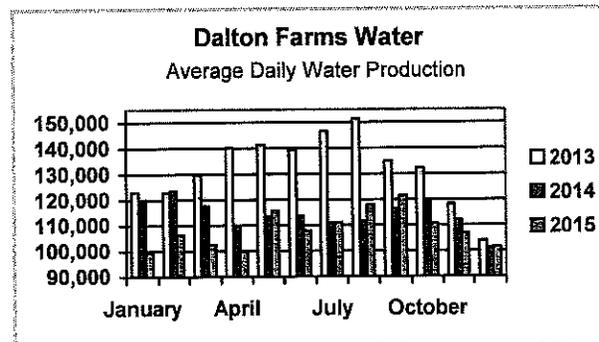


8. Dalton Farms Water (Zone H)

Average Daily Production: December- 101,600
November- 106,800 October- 110,700
All testing aspects are in compliance.

Action Items:

- Normal operations.
- RPZ's tested

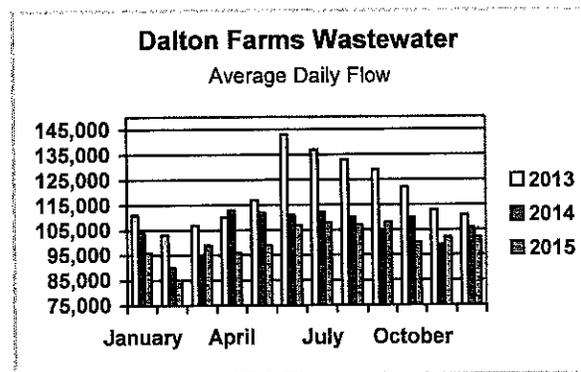


9. Dalton Farms Wastewater (S.D. #3)

Average Daily Flow: December- 102,000
November- 102,000 October- 100,000
All testing aspects are in compliance with the exception of TSS.

Action Items:

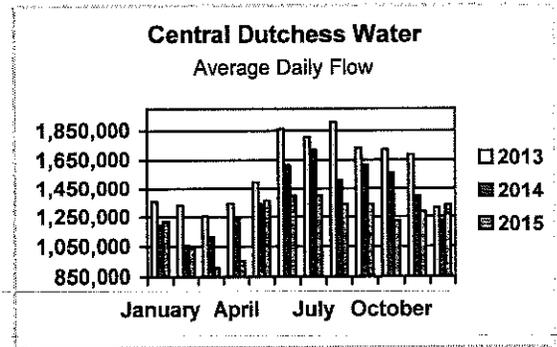
- Normal operations.
- Process sampling continues
- Final Effluent tank drained and cleaned



10. Central Dutchess Water Transmission Line

Average Daily Flow: December- 1,333,000
 November- 1,284,133 October- 1,222,838
 All testing aspects are in compliance.
 Action Items:

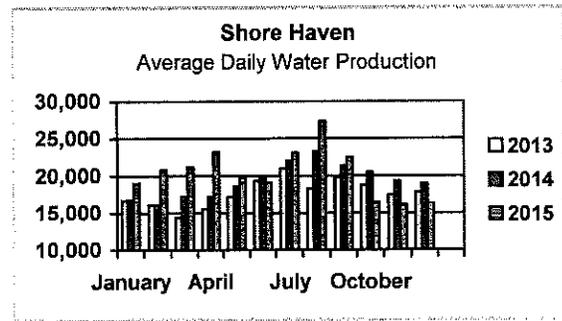
- Normal operations.



11. Shore Haven Water (Zone J)

Average daily production: December- 16,300
 November- 1,600 October- 16,400
 All testing aspects are in compliance.
 Action items:

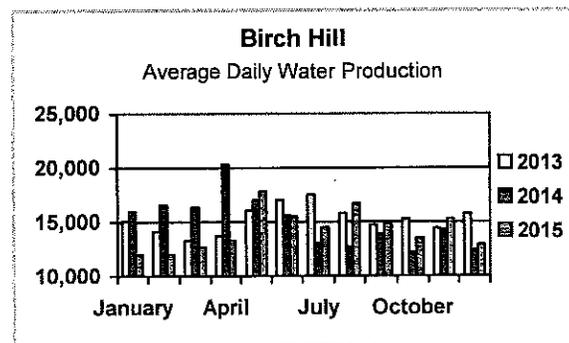
- Routine operations.



12. Birch Hill Water (Zone K)

Average daily production: December- 12,900
 November- 15,300 October- 13,500
 All testing aspects are in compliance.
 Action items:

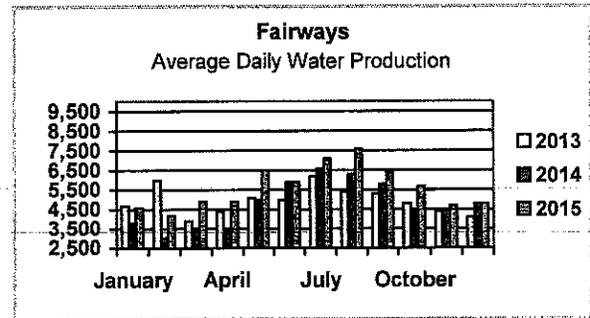
- Normal operations.
- Well static levels recovering



13. Fairways Water (Zone M)

Average daily production: December- 4,800
 November- 4,700 October- 5,700
 All testing aspects are in compliance.

Action items:-Normal operations.



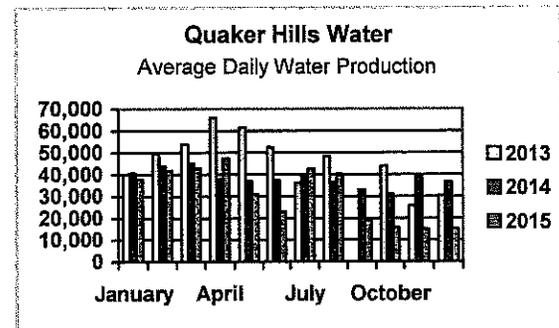
14. Quaker Hill Water (Zone U)

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

Average daily production: December- 15,000
 November- 15,000 October- 15,500
 All testing aspects are in compliance.

Action items:

- Normal operations.



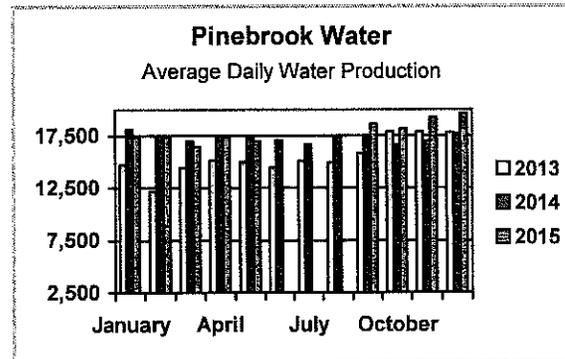
15. Pinebrook Water (Zone R)

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

Average daily production: December- 19,620
 November- 19,270 October- 18,160
 All testing aspects are in compliance.

Action items:

- Normal operations.



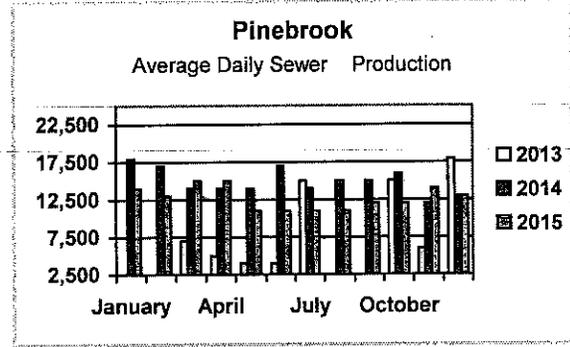
16. Pinebrook Wastewater (S.D. #7)

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

Average daily production: December- 13,000
 November- 14,000 October- 12,000

All testing aspects are in compliance except for CBOD.

Action items: - Normal operations



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

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

No issues. (Wastewater flow is not metered.)

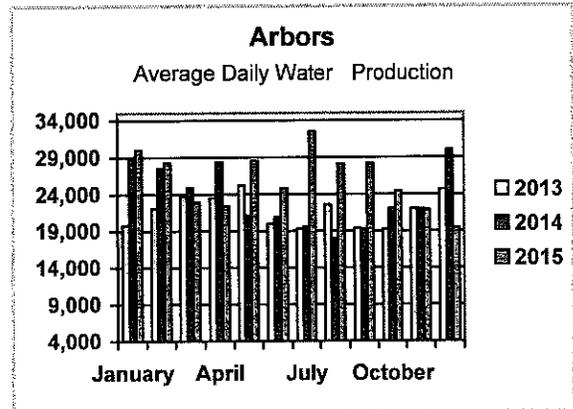
18. Arbors Water (Zone O)

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

Average daily production: December- 19,419
 November 21,867 October- 24,484

All testing aspects are in compliance.

Action items: - Normal operations
 5 Legion Road service line approved.



TO: Authority Board
FROM: Bridget Barclay
DATE: January 15, 2016
RE: Shore Haven Water System Improvements Status Report

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 4th 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 90th 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 4th 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 December 15, 2015, Savin Engineers issued updated drawings, specifications and other correspondence to both the Dutchess County and NYS Departments of Health in response to the NYS DOH's November 12th comments on the plans and specs for the Treatment System Improvements.

6) Distribution System Improvements Design - On December 3, 2015 Weston & Sampson resubmitted their revised drawings and specs to the Dutchess County and NYS Departments of Health for regulatory review and final approval. Comments on the revised plans and specs were provided to Weston & Sampson by the Dutchess County DOH on December 22nd and by the NYS DOH on January 11, 2016.

7) Distribution System Flushing - Maintenance flushing continues on a monthly basis as the weather permits.

Proposed January 20, 2016

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

Accounts Receivables Office Procedures

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

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

Accounts Receivables record keeping for 2005 and forward is done using the AccuFund System, with all prior records being kept in a Visual dBase database. These prior records were kept as separate .dbf files for each billing period. These records are housed on the DCWWA server. Access is available to the Administrative Assistant, Assistant Financial Clerk, Account Clerk, the Receptionist/Typist, the Computer Network Facilitator, the Staff Treasurer and the Director of

Operations. Additional staff accounts may be added with varying access rights tailored to meet the needs of the DCWWA. The server has a regular backup schedule (See Attachment "B"). In January of 2016, the DCWWA will enter into a shared services agreement with Dutchess County OCIS which includes hosting DCWWA servers at its secure computer center.

Payment is due within thirty (30) days of the mail date. Most payments are received through the regular mail. The Account Clerk opens them and proofs checks for accuracy and completeness. If the check is not complete ("Pay to the Order" is missing/incorrect, signature is missing, etc.), the Account Clerk will give them to the Receptionist/Typist. The Receptionist/Typist will then return the check and payment stub to the customer with a letter indicating why we could not accept payment, and what changes need to occur in order for the payment to be accepted and their account credited accordingly. If the check is complete and accurate, the payment stub is date stamped with the receipt date, the payment amount is indicated, and the check number is noted on the stub. If no payment stub has been sent, one is created. Checks are stamped "For Deposit Only" with the deposit account number recorded on the back of the check. The Account Clerk separates the payments by system. Until such time as the Account Clerk can begin this task, the payments are kept secured in the office of the Account Clerk, Administrative Assistant or Receptionist/Typist.

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

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

During October 2009, we moved to a system of Remote Check Deposit. All above procedures pertaining to receipt of payments and deposits continue to be followed. We acquired equipment and software that allow the Account Clerk to scan checks received. The Account Clerk enters information concerning the batch and then scans the checks in accordingly. The computer then indicates the total dollar amount credited to the DCWWA banking account based on the checks scanned. This amount is verified by the Account Clerk as matching the batch amount for the total of the payment stubs and checks for that same batch. A printout for the batches entered for the day is created which includes the check number for all checks scanned and credited. The

Account Clerk then signs and dates the form, which is then filed. Although the checks are already considered "voided," they are filed by batch and kept for a period of 120 days in a locked file cabinet in the office of the Account Clerk. After 120 days, the Account Clerk pulls the form created on the scan day or "date of deposit" for the batch. The checks are then shredded and the Account Clerk initials and dates the form indicating that the checks listed on that form have now been destroyed. The Account Clerk checks the file daily in order to manage the file of receipted payment checks.

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

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

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

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

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

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

We are in the process of working with our software vendor, AccuFund, to install a program during the 2016 fiscal year which would allow customers the option of paying their bills on line. At the time this occurs, protocol will be developed to cross check and verify all entries.

Accounts Payables Office Procedures

A. Payment Approval Process

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

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

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

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

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

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

B. Processing of Payments

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

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

BANKING

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

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

Attachment
A

	116	216	316		
Arbors	Ending 2/29/16	Ending 6/30/16	Ending 10/31/16		
7	mail	mail	mail		
	due	due	due		
	read #	read #	read #		
	415	116	216	316	416
Birch Hill	Ending 11/30/15	Ending 2/29/16	Ending 5/31/16	Ending 8/31/16	Ending 11/30/16
69	mail	mail	mail	mail	mail
	due	due	due	due	due
	read #	read #	read #	read #	read #
	415	116	216	316	416
Chelsea	Ending 12/31/15	Ending 2/29/16	Ending 5/31/16	Ending 8/31/16	Ending 11/30/16
Cove	mail	mail	mail	mail	mail
480	due	due	due	due	due
	read #	read #	read #	read #	read #
	315	116	216	316	
Dalton	Ending 1/31/16	Ending 5/31/16	Ending 9/30/16	Ending 1/31/17	
Farms	mail	mail	mail	mail	
603	due	due	due	due	
	read #	read #	read #	read #	
	315	415	116	216	316
Fairways	Ending 10/31/15	Ending 1/31/16	Ending 4/30/16	Ending 7/31/16	Ending 10/31/16
48	mail	mail	mail	mail	mail
	due	due	due	due	due
	read #	read #	read #	read #	read #
	116	216			
Greenbush	Ending 6/30/16	Ending 12/31/16			
249	mail	mail			
	due	due			
	read #	read #			
	116	216	316		
Greenfields	Ending 3/31/16	Ending 7/31/16	Ending 11/30/16		
281	mail	mail	mail		
	due	due	due		
	read #	read #	read #		

Attachment

A

	315	116	216	316	
Hyde Park A	Ending 11/30/15	Ending 3/31/16	Ending 7/31/16	Ending 11/30/16	
284	mail	mail	mail	mail	
	due	due	due	due	
	read #	read #	read #	read #	
	315	116	216	316	
Hyde Park B	Ending 12/31/15	Ending 4/30/16	Ending 8/31/16	Ending 12/31/16	
497	mail	mail	mail	mail	
	due	due	due	due	
	read #	read #	read #	read #	
	315	116	216	316	
Hyde Park C	Ending 10/31/15	Ending 2/29/16	Ending 6/30/16	Ending 10/31/16	
434	mail	mail	mail	mail	
	due	due	due	due	
	read #	read #	read #	read #	
	116	216	316		
Pinebrook	Ending 1/31/16	Ending 5/31/16	Ending 9/30/16		
133	mail	mail	mail		
	due	due	due		
	read #	read #	read #		
	116	216	316		
Quaker Hills	Ending 2/29/16	Ending 6/30/16	Ending 10/31/16		
109	mail	mail	mail		
	due	due	due		
	read #	read #	read #		
	315	415	116	216	316
Rokeby	Ending 10/31/15	Ending 1/31/16	Ending 4/30/16	Ending 7/31/16	Ending 10/31/16
57	mail	mail	mail	mail	mail
	due	due	due	due	due
	read #	read #	read #	read #	read #
	415	116	216	316	416
Schreiber	Ending 11/30/15	Ending 2/29/16	Ending 5/31/16	Ending 8/31/16	Ending 11/30/16
23	mail	mail	mail	mail	mail

Attachment

A

	due	due	due	due	due
	read #				
	315	415	116	216	316
Shore Haven	Ending 10/31/15	Ending 12/31/15	Ending 4/30/16	Ending 8/31/16	Ending 12/31/16
100	mail	mail	mail	mail	mail
	due	due	due	due	due
	read #				
	315	415	116	216	316
Staatsburg	Ending 10/31/15	Ending 1/31/16	Ending 4/30/16	Ending 7/31/16	Ending 10/31/16
321	mail	mail	mail	mail	mail
	due	due	due	due	due
	read #				
	415	116	216	316	416
Valley Dale	Ending 12/31/15	Ending 3/31/16	Ending 6/30/16	Ending 9/30/16	Ending 12/31/16
164	mail	mail	mail	mail	mail
	due	due	due	due	due
	read #				
	116	216	316		
Violet Ave	Ending 2/29/16	Ending 6/30/16	Ending 10/31/16		
11	mail	mail	mail		
	due	due	due		
	read #	read #	read #		
	415	116	216	316	416
Zone D	Ending 12/31/15	Ending 3/31/16	Ending 6/30/16	Ending 9/30/16	Ending 12/31/16
354	mail	mail	mail	mail	mail
	due	due	due	due	due
	read #				
	315	116	216	316	
Zone L	Ending 11/30/15	Ending 3/31/16	Ending 7/31/16	Ending 11/30/16	
23	mail	mail	mail	mail	
	due	due	due	due	
	read #	read #	read #	read #	

Attachment B

To: File
From: Jonathan Churins
Date: Wednesday, January 13, 2016
Re: DCWWA Backup Procedure

During 2016 the DCWWA will transition from in-house IT services to a shared services scenario with the Dutchess County Office of Computer Information Services Division (OCIS). Under the shared services agreement OCIS will incorporate the DCWWA File Application Server into the county's architecture. All files, SQL databases and software will operate in a virtual environment with fail-over protection. Daily updates will be maintained both onsite and offsite. Until such time as the transition occurs, the DCWWA will continue utilizing best management practices as noted below.

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

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

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

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

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

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

<<< END >>>

DUTCHESS COUNTY WATER & WASTEWATER AUTHORITY

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

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VOUCHER

Voucher No.	
-------------	--

Claimant's

Name

Address

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

CLAIMANT'S CERTIFICATION

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

DATE	SIGNATURE	TITLE
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OPERATOR / ENGINEER / ADMINISTRATIVE APPROVAL

The above services or materials were rendered on the dates stated.

ASSISTANT FINANCIAL CLERK APPROVAL

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

DATE OPERATOR / ENGINEER / ADMINISTRATOR

PAYMENT APPROVAL

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

DATE ASSISTANT FINANCIAL CLERK

FINANCIAL APPROVAL

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

DATE BOARD TREASURER

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

DATE STAFF TREASURER

DATE EXECUTIVE / DEPUTY DIRECTOR

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

Dutchess County Water & Wastewater Authority
Investment Policy

Proposed January 20, 2016

I. SCOPE

This policy applies to the investment of funds.

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

II. OBJECTIVES

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

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

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

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

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

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

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

III. DELEGATION OF AUTHORITY

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

IV. PRUDENCE

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

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

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

V. DIVERSIFICATION

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

VI. INTERNAL CONTROLS

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

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

VII. DESIGNATION OF DEPOSITARIES

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

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

VIII. COLLATERALIZING OF DEPOSITS

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

IX. SAFEKEEPING AND COLLATERALIZATION

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

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

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

X. PERMITTED INVESTMENTS

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

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

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

XI. AUTHORIZED FINANCIAL INSTITUTIONS AND DEALERS

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

XII. PURCHASE OF INVESTMENTS

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

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

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

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

XIII. REPURCHASE AGREEMENTS

Repurchase agreements are authorized subject to the following restrictions:

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

Appendix A

Schedule of Eligible Securities

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

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

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

DISPOSAL OF PROPERTY GUIDELINES
Dutchess County Water and Wastewater Authority

Proposed January 20, 2016

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

1. Definitions

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

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

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

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

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

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

2. Designation of Contracting Officer

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

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

3. Application of Guidelines

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

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

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

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

4. Purpose

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

5. Fair Market Value

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

6. Advertised Bid

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

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

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

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

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

7. Award of Property Subject to Bid

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

8. Notification of Successful Bid

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

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

9. Disposal of Property by Negotiation

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

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

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

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

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

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

10. Documentation of Disposal by Negotiation

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

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

11. Annual Property Report

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

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

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

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DUTCHESS COUNTY WATER AND WASTEWATER AUTHORITY
GOODS AND SERVICES PROCUREMENT POLICY
Proposed January 2016

1.0 - Purpose and Scope of Policy Statement

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

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

2.0 - Annual Review and Adoption by the Authority Board

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

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

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

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

3.0 – General

3.1 Documentation

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

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

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

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

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

- Executive Law Section 313 regarding minority and women owned business opportunity in bid proposals and contracts for acquisition, construction, demolition, replacement, major repair or renovation of real property where the proposed contract exceeds \$100,000.

3.3 - Procurements funded by Outside Programs or Agencies

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

3.4 – Emergency Circumstances

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

General Municipal Law Sect. 103(4) defines “Emergency” as arising out of an accident or other unforeseen occurrence or condition whereby circumstances affecting public buildings, public property or the life, health, safety or property of the inhabitants of a political subdivision or district therein, require immediate action.

In the event such an Emergency requires the purchase of goods or material of less than or equal to \$20,000, or a contract for public works or professional services of less than or equal to \$35,000, notification of the Emergency and the resultant procurements shall be made to the Authority Board at its next meeting. Such notification shall provide sufficient documentation to substantiate the existence of an Emergency.

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

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

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

3.6 - Sole Source Procurements

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

4.0 - Purchase of Goods and Materials

4.1 – General Provisions

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

4.1.1 - Standardization of Equipment, Materials or Supplies

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

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

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

4.1.3 – Purchase of Recycled Products

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

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

4.2.1 – Procurement Requirements

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

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

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

The Authority Board may, in its sole discretion, identify specific circumstances when, or types of procurements for which, the solicitation of alternative proposals

or quotations will not be in the best interest of the Authority. Such exceptions shall be established by resolution of the Authority Board.

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

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

5.0 - Purchase of Public Works Services

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

5.1.1 – Procurement Requirements

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

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

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

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

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

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

From time to time it may be necessary to perform work at an operating water or sewer system in a manner that does not interfere with ongoing operations and/or that calls for a special familiarity with the system. In such instances, the Executive Director, Deputy Director or Director of Operations may authorize such work to be performed by the independent operator under contract to the Authority to operate said system, without the solicitation of alternative proposals or quotations otherwise required by this policy.

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

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

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

6.0 - Professional Services

6.1 – General Provisions

6.1.1 - Qualification Based Selection

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

minimum of three responsible and responsive firms (if available.) Price proposals will be considered only from pre-qualified firms.

6.1.2 – Multi-Year Agreements

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

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

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

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

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

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

6.2.2 - Services provided pursuant to Annual Professional Services Agreements

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

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

6.3 – Professional Services Greater than \$35,000

6.3.1 – Procurement Requirements

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

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

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

Short Environmental Assessment Form

Part 1 - Project Information

Instructions for Completing

Part 1 - Project Information. The applicant or project sponsor is responsible for the completion of Part 1. Responses become part of the application for approval or funding, are subject to public review, and may be subject to further verification. Complete Part 1 based on information currently available. If additional research or investigation would be needed to fully respond to any item, please answer as thoroughly as possible based on current information.

Complete all items in Part 1. You may also provide any additional information which you believe will be needed by or useful to the lead agency; attach additional pages as necessary to supplement any item.

Part 1 - Project and Sponsor Information			
Name of Action or Project: Acquisition of Preserve at Lakes Kill Sewer System and Establishment of Part County Sewer District			
Project Location (describe, and attach a location map): Feller Newmark Road, Town of Red Hook. Tax lots 6372-00-718975 and 754955, and part of lot 6373-00-790095.			
Brief Description of Proposed Action: Acquisition of property, easements, treatment system, collection system and other assets of the Preserve at Lakes Kill community sewer system. Creation of a Part County Sewer District by Dutchess County. Execution of a Service Agreement for the Part County Sewer District between DCWWA and Dutchess County. Provision of sewer services by the DCWWA to the properties encompassed by the Part County Sewer District.			
Name of Applicant or Sponsor: Dutchess County Water and Wastewater Authority		Telephone: (845) 486-3601 E-Mail: dcwwa@dutchessny.org	
Address: 27 High Street			
City/PO: Poughkeepsie		State: NY	Zip Code: 12601
1. Does the proposed action only involve the legislative adoption of a plan, local law, ordinance, administrative rule, or regulation? If Yes, attach a narrative description of the intent of the proposed action and the environmental resources that may be affected in the municipality and proceed to Part 2. If no, continue to question 2.			NO <input checked="" type="checkbox"/> YES <input type="checkbox"/>
2. Does the proposed action require a permit, approval or funding from any other governmental Agency? If Yes, list agency(s) name and permit or approval: Dutchess County; Creation of Part County Sewer District; Approval of Service Agreement			NO <input type="checkbox"/> YES <input checked="" type="checkbox"/>
3.a. Total acreage of the site of the proposed action?		+/- 35 acres	
b. Total acreage to be physically disturbed?		<1 acres	
c. Total acreage (project site and any contiguous properties) owned or controlled by the applicant or project sponsor?		+/- 35 acres	
4. Check all land uses that occur on, adjoining and near the proposed action. <input type="checkbox"/> Urban <input checked="" type="checkbox"/> Rural (non-agriculture) <input type="checkbox"/> Industrial <input type="checkbox"/> Commercial <input checked="" type="checkbox"/> Residential (suburban) <input type="checkbox"/> Forest <input checked="" type="checkbox"/> Agriculture <input type="checkbox"/> Aquatic <input type="checkbox"/> Other (specify): _____ <input type="checkbox"/> Parkland			

5. Is the proposed action, a. A permitted use under the zoning regulations?	NO	YES	N/A
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
b. Consistent with the adopted comprehensive plan?	NO	YES	N/A
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
6. Is the proposed action consistent with the predominant character of the existing built or natural landscape?	NO	YES	
	<input type="checkbox"/>	<input type="checkbox"/>	
7. Is the site of the proposed action located in, or does it adjoin, a state listed Critical Environmental Area? If Yes, identify: _____	NO	YES	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
8. a. Will the proposed action result in a substantial increase in traffic above present levels?	NO	YES	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
b. Are public transportation service(s) available at or near the site of the proposed action?	NO	YES	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
c. Are any pedestrian accommodations or bicycle routes available on or near site of the proposed action?	NO	YES	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
9. Does the proposed action meet or exceed the state energy code requirements? If the proposed action will exceed requirements, describe design features and technologies: N/A _____	NO	YES	
	<input type="checkbox"/>	<input type="checkbox"/>	
10. Will the proposed action connect to an existing public/private water supply? If No, describe method for providing potable water: _____	NO	YES	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
11. Will the proposed action connect to existing wastewater utilities? If No, describe method for providing wastewater treatment: _____ N/A _____	NO	YES	
	<input type="checkbox"/>	<input type="checkbox"/>	
12. a. Does the site contain a structure that is listed on either the State or National Register of Historic Places?	NO	YES	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
b. Is the proposed action located in an archeological sensitive area?	NO	YES	
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
13. a. Does any portion of the site of the proposed action, or lands adjoining the proposed action, contain wetlands or other waterbodies regulated by a federal, state or local agency?	NO	YES	
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
b. Would the proposed action physically alter, or encroach into, any existing wetland or waterbody? If Yes, identify the wetland or waterbody and extent of alterations in square feet or acres: _____	NO	YES	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
14. Identify the typical habitat types that occur on, or are likely to be found on the project site. Check all that apply: <input type="checkbox"/> Shoreline <input checked="" type="checkbox"/> Forest <input checked="" type="checkbox"/> Agricultural/grasslands <input checked="" type="checkbox"/> Early mid-successional <input checked="" type="checkbox"/> Wetland <input type="checkbox"/> Urban <input checked="" type="checkbox"/> Suburban			
15. Does the site of the proposed action contain any species of animal, or associated habitats, listed by the State or Federal government as threatened or endangered?	NO	YES	
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
16. Is the project site located in the 100 year flood plain?	NO	YES	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
17. Will the proposed action create storm water discharge, either from point or non-point sources? If Yes, a. Will storm water discharges flow to adjacent properties? <input type="checkbox"/> NO <input type="checkbox"/> YES	NO	YES	
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
b. Will storm water discharges be directed to established conveyance systems (runoff and storm drains)? If Yes, briefly describe: _____	NO	YES	
	<input type="checkbox"/>	<input type="checkbox"/>	

<p>18. Does the proposed action include construction or other activities that result in the impoundment of water or other liquids (e.g. retention pond, waste lagoon, dam)?</p> <p>If Yes, explain purpose and size: _____</p> <p>_____</p> <p>_____</p>	<p>NO</p> <p><input checked="" type="checkbox"/></p>	<p>YES</p> <p><input type="checkbox"/></p>
<p>19. Has the site of the proposed action or an adjoining property been the location of an active or closed solid waste management facility?</p> <p>If Yes, describe: _____</p> <p>_____</p> <p>_____</p>	<p>NO</p> <p><input checked="" type="checkbox"/></p>	<p>YES</p> <p><input type="checkbox"/></p>
<p>20. Has the site of the proposed action or an adjoining property been the subject of remediation (ongoing or completed) for hazardous waste?</p> <p>If Yes, describe: _____</p> <p>_____</p> <p>_____</p>	<p>NO</p> <p><input checked="" type="checkbox"/></p>	<p>YES</p> <p><input type="checkbox"/></p>
<p>I AFFIRM THAT THE INFORMATION PROVIDED ABOVE IS TRUE AND ACCURATE TO THE BEST OF MY KNOWLEDGE</p>		
<p>Applicant/sponsor name: Dutchess County Water and Wastewater Authority _____</p>		<p>Date: December 30, 2015 _____</p>
<p>Signature: <u>Bryant Bausley</u></p>		

Project: Date:

Short Environmental Assessment Form
Part 2 - Impact Assessment

Part 2 is to be completed by the Lead Agency.

Answer all of the following questions in Part 2 using the information contained in Part 1 and other materials submitted by the project sponsor or otherwise available to the reviewer. When answering the questions the reviewer should be guided by the concept "Have my responses been reasonable considering the scale and context of the proposed action?"

	No, or small impact may occur	Moderate to large impact may occur
1. Will the proposed action create a material conflict with an adopted land use plan or zoning regulations?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
2. Will the proposed action result in a change in the use or intensity of use of land?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3. Will the proposed action impair the character or quality of the existing community?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
4. Will the proposed action have an impact on the environmental characteristics that caused the establishment of a Critical Environmental Area (CEA)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
5. Will the proposed action result in an adverse change in the existing level of traffic or affect existing infrastructure for mass transit, biking or walkway?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
6. Will the proposed action cause an increase in the use of energy and it fails to incorporate reasonably available energy conservation or renewable energy opportunities?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
7. Will the proposed action impact existing:	<input checked="" type="checkbox"/>	<input type="checkbox"/>
a. public / private water supplies?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
b. public / private wastewater treatment utilities?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
8. Will the proposed action impair the character or quality of important historic, archaeological, architectural or aesthetic resources?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
9. Will the proposed action result in an adverse change to natural resources (e.g., wetlands, waterbodies, groundwater, air quality, flora and fauna)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
10. Will the proposed action result in an increase in the potential for erosion, flooding or drainage problems?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
11. Will the proposed action create a hazard to environmental resources or human health?	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Project: _____

Date: _____

Short Environmental Assessment Form Part 3 Determination of Significance

For every question in Part 2 that was answered "moderate to large impact may occur", or if there is a need to explain why a particular element of the proposed action may or will not result in a significant adverse environmental impact, please complete Part 3. Part 3 should, in sufficient detail, identify the impact, including any measures or design elements that have been included by the project sponsor to avoid or reduce impacts. Part 3 should also explain how the lead agency determined that the impact may or will not be significant. Each potential impact should be assessed considering its setting, probability of occurring, duration, irreversibility, geographic scope and magnitude. Also consider the potential for short-term, long-term and cumulative impacts.

The action involves the acquisition of a proposed sewer system after such system has been constructed by others. The construction of the system, and the residential subdivision that it will service, is not part of this action. The Preserve at Lakes Kill Subdivision, including the sewer system, has already been subject to SEQR review by the Town of Red Hook Planning Board, resulting in the adoption of a Negative Declaration (dated December 2, 2013.) No further physical changes to the project area are covered under this review.

This action is considered to be an Unlisted Action.

- Check this box if you have determined, based on the information and analysis above, and any supporting documentation, that the proposed action may result in one or more potentially large or significant adverse impacts and an environmental impact statement is required.
- Check this box if you have determined, based on the information and analysis above, and any supporting documentation, that the proposed action will not result in any significant adverse environmental impacts.

Dutchess County Water & Wastewater Authority

Name of Lead Agency

Date

Bridget Barclay

Executive Director

Print or Type Name of Responsible Officer in Lead Agency

Title of Responsible Officer

Signature of Responsible Officer in Lead Agency

Signature of Preparer (if different from Responsible Officer)

PRINT FORM