

**MINUTES of the GOVERNANCE COMMITTEE MEETING of the ERIE COUNTY WATER AUTHORITY** held in the office, 295 Main Street, Rm. 350, Buffalo, New York, on the 22nd day of March, 2018.

**PRESENT:** Robert Anderson, Chairman  
 Jerome D. Schad, Vice Chairman  
 Karl J. Simmeth, Jr., Treasurer  
 Robert J. Lichtenthal, Jr., Deputy Director  
 Joseph T. Burns, Secretary to the Authority  
 Terrence McCracken, Deputy Administrative Director  
 Russell Stoll, Executive Engineer  
 Paul Riester, Director of Administration  
 Karen Prendergast, Comptroller  
 Daniel NeMoyer, Director of Human Resources  
 Margaret Murphy, Associate Attorney  
 Darlene Sikorski-Petritz, Deputy Associate Attorney  
 Richard Planavsky, Chief Business Officer Manager/Budget Director  
 John Mogavero, Chemist/Chief WTPO  
 Paul Whittam, Director of Water Quality

**ATTENDEES:** Sean Dwyer  
 Mike Wymer  
 David Harrington, WGRZ  
 Josh Bazan, WKBW  
 Dave Sommerville, WIVB  
 Paul Wolf, Buffalo Niagara Coalition for Open Government  
 Ed McKee, Buffalo Niagara Coalition for Open Government  
 Rich Bertrand, Buffalo Niagara Coalition for Open Government

## **CALL TO ORDER**

## **PLEDGE TO THE FLAG**

## **I. - ROLL CALL**

## **II. - READING OF MINUTES**

Motion by Mr. Simmeth seconded by Mr. Schad and carried to waive the reading of the Minutes of the Governance Committee Meeting held on March 8, 2018.

### **III. - APPROVAL OF MINUTES**

Motion by Mr. Simmeth seconded by Mr. Schad and carried to approve the Minutes of the Governance Committee Meeting held on March 8, 2018.

### **IV. - REPORTS**

### **V. - COMMUNICATIONS AND BILLS**

### **VI. - UNFINISHED BUSINESS**

### **VII. - NEW BUSINESS**

- A. Authorities Budget Office Submission of Summary Form, Mission Statement and Performance Measurements Report and General Review of the Proposed PARIS Filing

A proposed Summary Form, Mission Statement and Performance Measurements Report for the Authorities Budget Office were distributed to the Board.

Motion by Mr. Simmeth seconded by Mr. Schad and carried that a recommendation be made to the Board for the approval of submitting the Annual Evaluation Summary Form, Performance Measurements Report and Mission Statement to the Authorities Budget Office

- B. Annual Investment Report and Recommendation of Approval to the Board of Commissioners

Bob Lichtenthal distributed a revised Annual Investment Report Fees and gave a summary to the Board with the changes and recommended that the Board approve this Report and the Annual Investment Guidelines

Drescher and Malecki also provided the Schedule of Cash and Investments.

Motion by Mr. Simmeth seconded by Mr. Schad and carried that a recommendation be made to the Board for the approval of the Erie County Water Authority's Annual Investment Report with Audit and the Annual Investment Guidelines

C. PARIS Filing – Recommendation to the Board of Commissioners

A proposed PARIS filing was distributed to the Board.

Motion by Mr. Simmeth seconded by Mr. Schad and carried that a recommendation be made to the Board for the authorization of the Public Authority Reporting Information System (PARIS) 2017 Annual Report to the New York State Authorities Budget Office

## Summary Results of Confidential Evaluation of Board Performance

Criteria	Agree #	Somewhat Agree #	Somewhat Disagree #	Disagree #
Board members have a shared understanding of the mission and purpose of the Authority.	3			
The policies, practices and decisions of the Board are always consistent with this mission.	3			
Board members comprehend their role and fiduciary responsibilities and hold themselves and each other to these principles.	2	1		
The Board has adopted policies, by-laws, and practices for the effective governance, management and operations of the Authority and reviews these annually.	3			
The Board sets clear and measurable performance goals for the Authority that contribute to accomplishing its mission.	3			
The decisions made by Board members are arrived at through independent judgment and deliberation, free of political influence, pressure or self-interest.	2	1		
Individual Board members communicate effectively with executive staff so as to be well informed on the status of all important issues.	3			
Board members are knowledgeable about the Authority's programs, financial statements, reporting requirements, and other transactions.	3			
The Board meets to review and approve all documents and reports prior to public release and is confident that the information being presented is accurate and complete.	3			
The Board knows the statutory obligations of the Authority and if the Authority is in compliance with state law.	3			
Board and committee meetings facilitate open, deliberate and thorough discussion, and the active participation of members.	3			
Board members have sufficient opportunity to research, discuss, question and prepare before decisions are made and votes taken.	2	1		
Individual Board members feel empowered to delay votes, defer agenda items, or table actions if they feel additional information or discussion is required.	3			
The Board exercises appropriate oversight of the CEO and other executive staff, including setting performance expectations and reviewing performance annually.	3			
The Board has identified the areas of most risk to the Authority and works with management to implement risk mitigation strategies before problems occur.	3			
Board members demonstrate leadership and vision and work respectfully with each other.	3			

Name of Authority: Erie County Water AuthorityDate Completed: March 8, 2018

#### MISSION STATEMENT

The mission of the Erie County Water Authority is to provide all of its customers a plentiful supply of safe, high quality and affordable drinking water through a reliable infrastructure.

#### LIST OF PERFORMANCE GOALS 2017:

The Authority believes its mission imposes a responsibility to provide our customers with a plentiful supply of safe, clean drinking water at an affordable rate, with outstanding service through dedication, professionalism and a progressive vision within a framework of a sound long term financial policy. The elements of that policy are:

1. An unqualified commitment to meet all obligations to the bondholders in the full letter and spirit of the Authority's General Revenue Bond Resolutions and the covenants made therein;
2. An integrated program of inspection, maintenance, repair, rehabilitation and capital improvements to insure the continued integrity of its infrastructure and facilities and the health of its customers;
3. Control of expenditures to the fullest extent consistent with prudent management and responsible administration;
4. Provide the lowest possible rates and outstanding service which at the same time enables the Authority to meet its obligations and responsibilities to provide for adequate financial reserves and capital improvements.
5. In 2017 the Authority implemented a rate change in the tariff based on an exhaustive cost of service study performed by a national company Raefalis. The changes included an infrastructure charge that was now based on meter size. Performance was measured by testing the new model to make sure the rates generated sufficient revenue to support the Authority Budget.

#### PERFORMANCE MEASUREMENTS 2017:

- 1.(a) Affirmation of credit ratings from bond rating firms
- 2.(a) Preparation of a capital budget for the coming year and the next succeeding four years which is reviewed by the Board.
- 3.(a) Financial statements consisting of a Balance Sheet, Income Statement, and an Investment Report are prepared monthly, usually within fifteen (15) days of the last day of each month.
- 3.(b) An independent audit firm retained to annually review and provide a report on the financial statements and expenditures at the end of the fiscal year.
- 3.(c) Various regular reports related to review and monitoring of the operating and capital improvement budgets by management, the Finance Committee and the Authority Board to allow for the containment of controllable expenses throughout the year.

PERFORMANCE MEASUREMENTS 2017  
PERFORMANCE GOALS  
Page 2

4.(a) A series of budget hearings are held with each department head, the Executive Director, the Deputy Director and the Budget Director. A final annual operating and capital budget is reviewed, approved and adopted by the Board.

**Additional Questions:**

1. Have the board members acknowledged that they have read and understood the mission of the public authority?

Yes, Board Members have acknowledged that they have read and understood the mission of the Authority. The Board Members have all signed the Acknowledgement of Fiduciary Duties and Responsibilities.

2. Who has the power to appoint the management of the public authority?

The Board of Commissioners hire the Secretary to the Authority, Executive Director, Deputy Executive Director, Executive Engineer, Comptroller, Attorney and Associate Attorneys.

3. If the Board appoints management, do you have a policy you follow when appointing the management of the public authority?

The Authority follows all applicable policies, rules and regulations of the New York State Civil Service Commission as overseen by the Erie County Department of Personnel.

4. Briefly describe the role of the Board and the role of management in the implementation of the mission.

The Board is the governing body of the Authority and is responsible for periodically reviewing the Authority's mission, vision, and goals and accomplishments. The Board establishes policies to promote a plentiful supply of safe, clean drinking water with outstanding service at an affordable rate through the dedication and professionalism of the Authority's employees. The Board reviews the financial, legal and operational management reports and oversees the Authority's internal controls. Management has the task of implementing policies and procedures to achieve the Authority's goals and report on the status of them to the Board and Board Committees on a periodic basis. The Board oversees the fiscal stability of ECWA through the performance of various functions, including but not limited to, the following: Annual review of the budget and four year financial plans; approval of contracts that exceed \$5,000; approval of proposed collective bargaining agreements; approval of budget modifications in excess of approved thresholds; approval of the annual operating and capital budget and approval of capital borrowings.

5. Has the Board acknowledged that they have read and understood the responses to each of these questions:

Yes, the Board has acknowledged that it has read and understood the responses of each of these questions.



### 2017 Department Accomplishments

#### ➤ Administration Department

- In 2017, after five years of aggressive public auctioning, disposals and housekeeping the Water Authority has revenues of \$2,327,801 from auctions and scrapping over one million pounds of durable metals.
- The Authority has converted an out of date and expensive radio communication system within over one hundred vehicles in favor of a wireless push to talk phone system.
- In 2017, after three years of our ECWA Advance technology upgrades, the original contracts are now 89.61% complete with improvements proving significant. A new wide area network system will secure and increase the speed of base business applications with all locations.

#### ➤ Distribution Department/Engineering Department

- Water main replacements took place along Clarence Center Road and Meadowbrook Road in the Town of Clarence, Lovejoy Street in the Village of Sloan, Highview Court, Exeter Court, Willow Court, Mayfair Court in the Town of Cheektowaga and Forest Stream Drive in the Town of Amherst. This work involved replacing old and failing cast iron water mains with new cement lined ductile iron water mains that will perform well for years to come.
- The ECWA worked cooperatively again with the Town of Cheektowaga to coordinate a road reconstruction project with a water main replacement to result in efficiencies for both entities.
- The rehabilitation of Pine Hill Pump Station was completed. The rehabilitation project included upgrades to the pumps, electrical system, HVAC, and numerous building improvements. The pump station along with an interconnection with the City of Buffalo will add additional redundancy to the ECWA distribution system.
- Sturgeon Point Raw Water Pump Station Rehabilitation work began on improvements that included the following: New raw water intake screens, general building improvements such as doors, windows, lighting, heating, and ventilation. Asbestos and lead paint removal and a new roof. Rehabilitation of the bridge crane; new pump discharge valves and piping. Demolishing the abandoned spray water pumps; rehabilitation or replacement of sluice gates; associated instrumentation, controls, and SCADA improvements; baffle wall installation in the wet well and replacement of Raw Water Pump Motor Controllers with Variable Frequency Drives (VFD). The improvements will help reduce maintenance issues within the facility and improve the operating conditions for the raw water pumps.
- Every year the ECWA rehabilitates water storage tanks, both in the leased managed and direct service areas. In 2017 the ECWA worked collaboratively with the Town of Eden to rehabilitate several water storage tanks in the town, which resulted in efficiencies for both entities to ensure that tanks are being properly maintained. In addition to the tank coating

**2017 Department Accomplishments**

rehabilitation, there are improvements made to the tanks to make them safer for ECWA personnel to access and perform maintenance.

➤ **Line Maintenance**

- 2017 was a watershed year for the Line Maintenance as it marked the first complete year of using the Cityworks software package to manage the department's various work activities. In doing so we have achieved greater efficiency and accountability in identifying, assigning, completing and tracking the work activities of the 65+ employees in the department. As the critical mass of work performance data continues to grow and evolve, ECWA Management will be able to analyze the information to identify improvements in work flow and asset maintenance to achieve better cost efficiencies.
- Total overtime has been reduced by nearly 1500 man-hours (compared against the 3-yr historical average) in the two largest units within the Line Maintenance Department. Improved work order management, new equipment and increased employee training initiatives have contributed significantly to the reduction.
- The 2017 summer hydrant preventative maintenance program was completed 8 weeks ahead of schedule. In doing so, Line Maintenance forces were able to begin the 2018 winter hydrant program early thereby achieving increased production in the large and small-valve preventative maintenance programs.

➤ **Finance Department**

- On January 1, 2017, a new rate schedule was implemented. The declining block rate structure and summer surcharges were eliminated, and separate rates were established for small and large meter customers. Even with slightly lower consumption, revenue results were within 1% of budgeted amounts.
- The Business Office and Meter Shop worked together to develop new meter and register change criteria which will improve both reading and billing efficiency.
- Through enhanced safety measures and diligent claims management, our workers' compensation insurance premium has decreased 8.5% from its highest level in 2015/2016.
- Our Cash Manager has been named to the Western Region Council of the New York State Government Financial Officers Association.
- In October of 2017, the national Government Finance Officers Association awarded the Authority the Certificate of Achievement for Excellence in Financial Reporting for its 2016 Comprehensive Annual Financial Report.

**2017 Department Accomplishments**➤ **Human Resources Department**

- In 2017, the Human Resources Department coordinated the efforts of an ECWA Management team that successfully negotiated a new five-year collective bargaining agreement with our employees who are represented by the CSEA. The terms of this new agreement allow ECWA management greater flexibility for scheduling of CSEA members.
- This new agreement also recognizes the changing forms of American families and provides represented members with no changes to the formulas used for calculating insurance premiums, while also providing reasonable annual wage increases.
- One notable and important aspect of these negotiations was the spirit of mutual respect and professionalism which was maintained between the parties throughout our discussions. This respectful and professional environment was a key factor in quickly completing these negotiations.
- Recognizing the possible threats that the ECWA, and every workplace, may face from a variety of sources, the Human Resources Department has worked with the Deputy Administrative Director to hire and integrate a Security Officer directly into our workforce.
- This Security Officer's first priority has been to reach out to law enforcement agencies such as Homeland Security, the FBI, the State Police Counter Terrorism unit and local law enforcement agencies. Some of the agencies have already been brought through our facilities and have offered insights on better securing these facilities and our employees who work there.
- This direct interaction with national security agencies, as well as state and local law enforcement will bring a new, unprecedented level of security and preparation to the Authority.
- For 2017 the ECWA conducted approximately 14,347 hours of employee training in diverse topics such as Ergonomics, Hydraulics, Asbestos, Confined Space Safety, Chlorine handling, Bacteria Sampling and First Aid

➤ **Information Technology Department****Van de Water Control and Server Room :**

- As part of the ECWA Advance SCADA project a new Control room and IT server room were constructed using existing space at our Van de Water treatment plant. IT and Hi-Tech Services were instrumental in setting up a state of the art Control area utilized by both the Production and Distribution Departments.

**2017 Department Accomplishments**

- Three 65" wall mounted monitors and two 24" desk monitors are shared between operators allowing them to view all three SCADA systems, and operator desktops in a variety of combinations on any of these screens. The design of the control room enables one, two, or three operators control of both plant systems and the distribution system along with other day-day operations including water quality, video and door access monitoring.
- The Server room was equipped with redundant storage area networks, servers, and software supporting the operations in the control room and enabling secure access to the SCADA systems and other software from anywhere on the wide area network using secure terminals or Thin Manager software.
- Access to the HSQ Distribution SCADA system was also provided in the new control room so that both new and old systems could be operated simultaneously by the same operators during the transition period.
- Networking, storage, server equipment, operating systems, Thin Manager, and supporting software was installed and configured by Hi-Tech Services and IT staff. SCADA software was installed on top of this infrastructure by Kaman with the help of Hi-Tech Services. Laptops and Thin Manager software providing secure anywhere access to all SCADA systems were setup and installed by IT staff with the help of Hi-Tech Services. Access to the HSQ SCADA system was provided by Hi-Tech Services with the help of instrumentation.

Wireless Access Point/IP Camera Project - Sturgeon Point Plant (out Buildings):

- In preparation for the Plant/Pump Station PM portion of the ECWA Advance Project, IT configured wireless access points for use in all Sturgeon Point out buildings. This allows ECWA staff to utilize mobile devices in any building on the Sturgeon Point grounds to view work orders and enter data directly into Cityworks. These access points will also allow permitted individuals to perform SCADA operations from anywhere in the plant. This was a collaborative effort involving Hi-Tech Services, Ferguson Electric, the ECWA Electrical Engineer and IT staff. The IP security camera project replaced outdated coaxial, low resolution cameras, with IP connected, high resolution cameras, giving us a crystal clear picture. This was a collaborative effort involving Hi-Tech Services, Ferguson Electric, Simplex Grinnell, ECWA Electrical Engineer and IT staff.

Networking SCADA Pump Stations and Tanks:

- The wide area network infrastructure was extended to include the distribution pump and tank stations. IT managed routers on premises at each site enables secure network access through primary and secondary means. Currently high-speed primary network access is achieved using the Verizon Private Network over cellular while secondary communications are ready to be implemented as soon as radios are installed at each site. Several sites have been deployed on this new infrastructure and the rest are scheduled to be implemented.
- Multiple radio technologies were tested for use as a secondary communications link to the stations. One has been ruled out as a contender for implementation while another has been

**2017 Department Accomplishments**

determined to function well and at high speeds but utilizes public frequencies. A third radio technology that is both high-speed and utilizes private frequencies is currently under consideration.

- Network configuration, testing, and implementation was performed by Hi-Tech Services and IT staff. Network specifications were delivered to Kaman for the configuration of SCADA related hardware. A secondary radio configuration and testing was performed by Instrumentation, EMA, and Hi-Tech Services.

**Customer, Media, and Health Care facilities alerting system:**

- A Customer alert system was implemented that sends alerts entered by Dispatch to customers, media, and health care facilities. Contact databases were created and integrated into the ECWA web site's customer portal so customers can maintain their own text, phone, and email contact methods. A separate portal was developed for the registration and maintenance of Health Care Facilities' contact information and methods. Customers can sign up for alerts using an external signup form hosted by IVR Technologies or through their own customer self-service portal on the ECWA web site. Health Care Facilities can sign up through the ECWA web site. Databases were created and maintained by IT and Hi-Tech Services. The media contact list is maintained in the IVR Technologies software by Zeppelin Communications PR firm. The customer portal and health care facility portals were developed by Hi-Tech Services. The alert entry method used by dispatch was developed by Hi-Tech Services. Customer and health care facility alert transmission is provided by software hosted by IVR Technologies. Integration with the alert message transmission software was developed by Hi-Tech Services.

**Enhancements to the ECWA Web GIS :**

- Based on feedback from users, additional functionality was added to the ECWA Web GIS to help increase productivity. A 'Print' tool was added that allows users the ability to create paper or .pdf maps of any location within the ECWA water distribution system. Users also requested that they be allowed to 'Zoom To' specific features (ECWA Detail Grid, Municipality or ECWA Facility), which helps them to quickly navigate the vast ECWA service area.

**Completion of Mapping the Town of Aurora Takeover:**

- All surface features (valves, hydrants, etc.) were located with RIK GPS receiver, features were plotted in a copy of the GIS database, detail sheets were created for the takeover (AUTN-928-1301) and the water system improvements contract (AUTN-928-1601) that accompanied the takeover. As soon as the time line for the takeover is finalized the master GIS database will be updated with this information so that users will have access to the most current information in the takeover area.

**2017 Department Accomplishments****➤ Production Department**

Production Engineering Department  
 Electrical Engineering & Instrumentation  
 Pump and Diesel Mechanics  
 Control Operators – Distribution System

- STP 42" Distribution Line Emergency Repair/Replacement Project - August 6, 2017. The entire ECWA organization responded to this major event along with key sub-contractors. All involved worked as a team for months. They worked long hours in difficult conditions to maintain the water supply to our customers while completing a temporary repair and ultimately replacement of a large section of the 42" distribution line. A major rework of the electrical system, plant service water and the 48" feed line to the East Clear well was also required. This project demonstrated the skill and dedication of the ECWA staff.
- The Instrumentation Department was reinforced with the addition of two new assistant instrumentation technicians. They are undergoing rigorous training and have already begun filling a major need in the instrumentation department.
- The department temporarily removed eighteen tanks from service; eight tanks in the spring and ten tanks in the fall. This was done to support construction projects and internal inspections on very rigorous schedules with limited staff.
- Instrumentation and Control Operations also supported multiple capital projects including; The EMA SCADA Transition Project, CityWorks Implementation, and a number of projects by towns and villages. They also relocated a 10' x 20' communications shelter from Windom Station to the Vukelic site in support of the EMA Microwave project. The shelter was refurbished, powered and rewired.
- The pump mechanics and instrumentation conducted major pump repairs and plant systems repairs at the Sturgeon Point plant while also supporting the ongoing OBG, Wendel, and Nussbaumer & Clarke projects there.

**Sturgeon Point:**

- Settling Basins sludge scrapers slides were repaired and replaced for all five basins.
- Installation of two new traveling screens, upgrading of raw water pumps motor controls having VFD controller to increase pump efficiencies.
- Removal of the accumulated zebra mussels from the intake structure and chemical diffuser.

**2017 Department Accomplishments**

- Installation of new backflow devices to prevent the contamination to the plant potable water supply.
- Improvements to the various chemical feed systems:
  - Caustic Soda new pumps, chemical feed line to the delivered 42" water main and Scada pacing to maintain proper dosing.
  - Potassium permanganate three new tanks, pumps, educator, chemical lines and Scada upgrades
  - Fluoride two new bulk chemical tanks and Scada upgrades.

- Install of Fire/Chlorine alarm system for the entire facility. The facility system will alert all on site of a fire and/or chlorine leak to evacuate to a safe area.

**Van de Water**

- Advance Phase I upgrading the distribution system into the IFix system.
- Re-location of distribution and control operation to a new control room to housing the treatment and distribution Scada systems.
- Re-built of the 20-year-old chlorine system, five new chlorinators installed.
- Fluoride install of a new bulk chemical tank with Scada upgrades.
- An upgrade and relocation of the plant Control Room PLC to the new Control area.
- Communication improvements Scada and Authority network operation operate on a Thin Client operating system compared to stand-only computer network enhances mobility and for accessing the network with WIFI.
- Upgrading of the Sludge Holding tank mixer and Scada operation.
- **Water Quality Department**
  - ECWA's Water Quality Department insured that all of its regulatory compliance requirements were met during 2017. All of the water quality results in the water system were within their acceptable limits. There were no maximum contaminant level (MCL) violations during 2017.

**2017 Department Accomplishments**

- During 2017 ECWA completed its sampling and testing for Cryptosporidium in compliance with the EPA's Long Term 2 Enhanced Surface Water Treatment Rule Regulation.
- In 2017 the Department of Water Quality along with the departments of Production and Engineering began a review of the Authority's Corrosion Control Treatment Program in a proactive effort to ensure optimal corrosion control within our water system. In conjunction with that study, we also purchased several water quality monitoring panels in 2017, which when operational, will provide real-time, on-line monitoring of our drinking water quality, in various parts of our water system, 24 hours a day.
- ECWA's Water Quality Department along with other departments within the Authority, participated in the 2017 National Drug Take Back Day events assisting county, state and federal agencies in the collection and disposal of Opioids and other harmful drugs. This federal Drug Enforcement Agency directed effort is instrumental in taking these drugs off the street, away from public misuse and keeps them out of our drinking water supply.



ERIE COUNTY WATER AUTHORITY  
FEES  
2017

M&T			
	Bond Fees		
	Series 1998D	6,000.00	
	Series 2003F	6,000.00	
	Series 2008	3,000.00	
	Series 2016	<u>3,600.00</u>	
			18,500.00
	Environmental Facilities Corp		
	Admin Fee-Series 1998D	8,437.00	
	Admin Fee-Series 2003F	<u>7,157.00</u>	
			15,594.00
	M&T Custodian		574.93
	Total		34,668.93

J:\CASHMGT\YEARLY\2017 Annual Report Fees

**INVESTMENT GUIDELINES**  
**FOR THE ERIE COUNTY WATER**  
**AUTHORITY PURSUANT TO ARTICLE 9,**  
**SECTION 2925**  
**OF THE PUBLIC AUTHORITIES LAW**

**I. SCOPE**

These investment guidelines apply to all moneys and other financial resources available for investment on its own behalf or on behalf of any other entity or individual.

These guidelines have been constructed pursuant to the laws detailed in Exhibit I.

**II. OBJECTIVES**

The primary objectives of the Authority's investment activities are, in priority order,

- to conform with all applicable federal, state and other legal requirements (legal);
- to adequately safeguard principal (safety);
- to provide sufficient liquidity to meet all operating requirements (liquidity); and
- to obtain a reasonable rate of return (yield).

**III. DELEGATION OF AUTHORITY**

The governing board's responsibility for administration of the investment program is delegated to the Deputy Director, who shall establish written procedures for the operation of the investment program consistent with these investment guidelines. Such procedures shall include an adequate internal control structure to provide a satisfactory level of accountability based on a data base or 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 Erie County Water Authority to operate 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.

All participants involved in the investment process shall refrain from personal business activity that could conflict with proper execution of the investment program, or which could impair their ability to make impartial investment decisions.

#### **V. DIVERSIFICATION**

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

#### **VI. LIQUIDITY**

Per the current Board of Commissioners Guidelines, unrestricted cash will be maintained at 20% of the Authority's budgeted gross revenues. These funds will be invested in accordance with the Authority's Investment Guidelines.

The Authority will maintain operating cash of \$4 million, which will be available on a daily basis. These funds should be in the Authority's NOW accounts or money market accounts for easy access. If the Authority is aware of an event for which additional operating funds will be required, this amount can be adjusted.

The remaining unrestricted cash may be invested until it is needed for operating expenditures. A cash flow schedule should be reviewed to determine how long the funds may be invested. Depending on the economic environment, it may be advantageous to invest these funds on a short term basis. They can then be reinvested periodically until the funds are required.

#### **VII. INTERNAL CONTROLS**

The Deputy Director 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.

#### **VIII. DESIGNATION OF DEPOSITORIES**

The banks and trust companies authorized for the deposit of monies are:

Depository Name:

Key Bank of New York  
Bank on Buffalo  
JP Morgan Chase Bank  
JPMorgan Securities LLC  
M&T Bank  
Manufacturers & Traders Trust Company/Wilmington Trust, NA  
UBS Financial Services Inc.

#### **IX. COLLATERALIZING OF DEPOSITS**

In accordance with the provisions of General Municipal Law, §10, all deposits of the Erie County Water Authority, including certificates of deposit and special time deposits, in excess of the amount insured under the provisions of the Federal Deposit Insurance Act shall be secured:

1. By a pledge of "eligible securities" with an aggregate "market value" as provided by GML §10, equal to the aggregate amount of deposits from the categories designated in Appendix A to the guidelines.
2. At the time investments are made collateral requirements are established to protect the underlying investments. The collateral is monitored daily until the extinguishment of the investments.
3. Current market values will be reviewed monthly.

#### **X. SAFEKEEPING AND COLLATERALIZATION**

Eligible securities used for collateralizing deposits shall be held by a third party, bank or trust company subject to written security and custodial agreements.

The security agreement shall provide that eligible securities are being pledged to secure the Authority's 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 which will enable the Authority to exercise its rights against the pledged securities. In the event that the securities are not registered or inscribed in the name of the Authority, such securities shall be delivered in a form suitable for transfer or with an assignment in blank to the Erie County Water Authority or its custodial bank.

The custodial agreement shall provide that securities held by the bank or trust company, as agent of and custodian for, the Authority, 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 Authority a perfected interest in the securities.

Securities issued in the Authority's name, for example commercial paper, will also be held by the custodian. These securities may not be released without prior written approval of the Authority.

#### **XI. PERMITTED INVESTMENTS**

All investments of the Erie County Water Authority shall comply with:

1) The Authority's bond covenants contained in the following:

- Fourth General Water Revenue Bond Resolution dated July 9, 1992
  - First Supplemental Resolution dated July 9, 1992 (Series 1992)
  - 1998 Supplemental Resolution dated August 28, 1997, September 25, 1997 and February 5, 1998
  - Supplemental Resolution dated April 30, 1998 (Series 1998D)
  - 2003 Supplemental Resolution dated October 31, 2002 (Series 2003F)
  - 2007 Supplemental Resolution dated August 16, 2007 (Series 2007)
  - 2008 Supplemental Resolution dated June 19, 2008 (Series 2008)
  - 2016 Supplemental Resolution dated August 30, 2016 (Series 2016)

2) Existing Statutory Law

3) Recommendations of the New York State Comptroller and other applicable government agencies

Per the above, the Erie County Water Authority authorizes the Deputy Director to invest moneys not required for immediate expenditure for terms not to exceed its projected cash flow needs as follows:

a) Moneys held in the Funds and Accounts in respect of the Series 1998D, 2003F, 2007, 2008 and 2016 bonds shall only be invested in the following obligations:

1) Direct obligations of, or obligations the principal of and interest on which are unconditionally guaranteed by, the United States of America.

2) Obligations of any agency, subdivision, department division or instrumentality of the United States of America; or obligations fully guaranteed as to interest and principal by any agency, subdivision, department, division or instrumentality of the United States of America.

3) New Housing Authority Bonds issued by public agencies or municipalities and fully secured as to the payment of both principal and interest by a pledge of annual contributions under an annual contributions contract or contracts with the United States of America or any agency thereof; or Project Notes issued by public agencies or municipalities and fully secured as to the payment of both principal and interest by a requisition or payment agreement with the United States of America or any agency thereof;

4) Direct obligations of, or obligations guaranteed as to principal and interest by, any state or direct obligations of any agency or public authority thereof, provided such obligations are rated, at the time of purchase, in one of the two highest rating categories by at least two nationally recognized Bond Rating Agencies;

5) Bank time deposits evidenced by certificates of deposit and bankers' acceptances issued by any bank or trust company (which may include the Trustee with respect to any series of the Authority's bonds) which is a member of the Federal Deposit Insurance Corporation, provided that such time deposits and bankers' acceptance (a) do not exceed at any one time in the aggregate five percent (5%) of the total of the capital and surplus of such bank or trust company, or (b) are secured by obligations described in items (1), (2), or (3) above, which such obligations at all times have a market value (exclusive of accrued interest) at least equal to such time deposits so secured;

6) Repurchase agreements with any bank or trust company (which may include the Trustee with respect to any series of the Authority's bonds), which is a member of the Federal Deposit Insurance Corporation, which such agreements are secured by securities which are obligations described in items (1), (2) or (3) above provided that each such repurchase agreement (a) is in commercially reasonable form and is for a commercially reasonable period, and (b) results in transfer to the Trustee for the Authority's bonds or the Authority of legal title to, or the grant to the Trustee for the Authority's bonds or the Authority of a prior perfected security interest in, identified securities referred to in items (1), (2) or (3) above which are free and clear of any claims by third parties and are segregated in a custodial or trust account held by a third party (other than the repurchaser) as the agent solely of, or in trust solely for the

benefit of, the Trustee for the Authority's bonds or the Authority; provided that such securities acquired pursuant to such repurchase agreements shall be valued at the lower of the then current market value of such securities or the repurchase price thereof set forth in the applicable repurchase agreement; and provided that such repurchase agreements comply with the restrictions specified in Section XIV of these guidelines.

7) Obligations consisting of notes, bonds and debentures which are direct obligations of a solvent corporation existing under the laws of the United States or any state thereof, provided that such investments shall be rated in the two highest rating categories established by at least two nationally recognized bond rating agencies;

8) Commercial paper which is rated at the time of purchase in the single highest classification, "A-1+" by Standard & Poor's and "P-1" by Moody's Investor Services, and which matures not more than 270 days after the date of purchase. However, funds held with respect to the 1998D Series may not be invested in commercial paper;

9) Certificates or other obligations that evidence ownership of the right to payments of principal of or interest on obligations of the United States of America or any state of the United States of America or any political subdivision thereof or any agency or instrumentality of the United States of America or any state or political subdivision, provided that such obligations shall be held in trust by a bank or trust company or a national banking association meeting the requirements for a Trustee under the Authority's Bond Resolutions, and provided further that, in the case of certificates or other obligations of a state or political subdivision, the payments of all principal of and interest on such certificates or such obligations shall be fully insured or unconditionally guaranteed by, or otherwise unconditionally payable pursuant to a credit support arrangement provided by, one or more financial institutions or insurance companies or associations which shall be rated in the highest rating category by Moody's Investors Service, Inc. and Standard & Poor's Corporation, or, in the case of an insurer providing municipal bond insurance policies insuring the payment, when due, of the principal of and interest on municipal bonds, such insurance policy shall result in such municipal bonds being rated in the highest rating category by Moody's Investors Service, Inc. and Standard & Poor's Corporation;

10) Investment agreements rated, or the issuer of which is rated, in one of the two highest rating categories by at least two nationally recognized rating agencies and if rated by Moody's Investors Service or Standard & Poor's Corporation such investment agreements or the long term unsecured debt obligations of the issuer thereof must be rated in one of the two highest rating categories by the respective agency rating such investment agreements; and

11) Bonds, notes or other evidences of indebtedness rated "AA+" by Standard and Poor's Corporation and "Aaa" by Moody's Investor Services issued by the Federal National Mortgage Association (FNMA) or the Federal Home Loan Mortgage Corporation (FHLMC) with remaining maturities not exceeding three years. However, funds held with respect to the 1998D Series may not be invested in bonds, notes or other evidences of indebtedness issued

by FNMA or FHLMC;

12) Investments in a money market fund rated "AAAm" or "AAAm-G" or better by Standard & Poor's Corporation;

13) Such other investments with respect to any Series of Bonds as shall be specified in the supplemental resolution pursuant to which such Series of Bonds was issued.

All investment obligations shall be payable or redeemable at the option of the Erie County Water Authority 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 Erie County Water Authority within two years of the date of purchase.

## **XII. AUTHORIZED FINANCIAL INSTITUTIONS AND DEALERS**

The Erie County Water Authority shall maintain a list of financial institutions and dealers approved for investment purposes and establish appropriate limits to the amount of investments which can be made with each financial institution or dealer. All financial institutions with which the Authority conducts business must be credit worthy. Banks shall provide their most recent Consolidated Report of Condition (Call Report) at the request of the Erie County Water Authority. 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 Deputy Director is responsible for evaluating the financial position and maintaining a listing of proposed depositories, trading partners and custodians. Such listing shall be evaluated at least annually.

If the Authority deems it advisable to retain an investment banker, broker, agent, dealer or other investment advisor or agent to transact business with the Authority, it shall establish criteria for said individuals or firms covering the quality, reliability, experience, capitalization, size and any other factors that at the time the Authority feels pertinent before qualifying said firm to transact business with the Authority.

The Authority must have discretion over all investment transactions and must be supplied with adequate documentation for each transaction. All agreements must comply with the Investment Advisor's Act of 1940 and applicable New York State and Federal laws. In addition, a separate agreement will be entered into with a third party custodian to hold all securities purchased by the investment advisor.

See Exhibit II for Authorized Financial Institutions and Dealers.

## **XIII. PURCHASE OF INVESTMENTS**

The Authority shall enter into a written contract covering each investment made by



the Authority unless it shall determine by resolution that a written contract is not practical or that written contracts are not a regular business practice with respect to any specific investment or transaction.

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

1. Directly, including through a repurchase agreement, from an authorized trading partner.
2. By participation in a cooperative investment program with another authorized governmental entity pursuant to Section 1054 of the Public Authorities Law where the specific program has been authorized by the governing board.
3. By utilizing an ongoing investment program with an authorized trading partner pursuant to a contract authorized by the governing board.

All investments in U.S. Government Securities shall be kept in "Book-Entry" form, and the securities may be retained by the banking institution involved. In such instances, the Authority shall have a duly executed agreement passing title to said securities to the Authority.

The written contract shall fully secure the Authority's financial interest in each investment except where these guidelines describe circumstances where the Authority's financial interest in any investment may be less than fully secured or collateralized.

Said contract shall recite the type and amount of collateral or insurance for each investment.

It shall establish a method of valuation of the collateral at not less than market value. The Deputy Director, or someone delegated to act in his behalf, shall monitor the valuation of the collateral security not less than once every six (6) months and keep a record setting forth the valuation of said collateral security.

All purchased obligations, unless registered or inscribed in the name of the Authority, 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 Erie County Water Authority 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 Authority, 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 Authority a perfected interest in the securities.

#### **XIV. 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 guaranteed by agencies of the United States of America.
- No substitution of securities will be allowed.
- The custodian shall be a party other than the trading partner.
- Maximum dollars to be invested with each bank or Trust Company is \$30 million except for proceeds received from a banking institution or state authority in relation to issuance of Authority bonds.

#### **XV. LOCKBOX**

1. A written contract must be entered into for lockbox services.
2. Customer water bill payments processed by a lockbox will be deposited into a Water System Revenue Account. This account will be collateralized in accordance with Section IX of these guidelines.

**XVI. ON-LINE BANKING SERVICE AGREEMENTS**

1. The customer water bill payments made on-line with a service organization acting on behalf of the paying bank will be electronically transferred into the Water System Revenue Account. In addition, customer deposits will be transferred into the Customer Deposit Account. These accounts will be collateralized in accordance with Section IX of these guidelines.

2. A written contract must be entered into for the transmission of customer payments made on-line.

**XVII. REPORTING**

1. The Deputy Director of the Authority shall report to the Authority's Board on the investments of the Authority not less than once each month.

2. The independent accounting firm retained by the Authority to perform the yearly audit of the Authority's books and records shall audit the investments of the Authority and make its report available to the members of the Authority at the time the members conduct the annual review and approval of these investment guidelines.

3. The Deputy Director shall annually prepare for approval by resolution of the Authority an investment report which shall include these investment guidelines, any amendments to such guidelines since the last investment report, an explanation of these guidelines and amendments, the results of the annual independent audit of the schedule of investments, the investment income records of the Authority and a list of the total fees, commissions or other charges paid to each investment banker, broker, agent, dealer or advisor rendering investment associated services to the Authority since the last investment report. This investment report may be made a part of the Authority's annual report.

4. The Deputy Director shall submit the annual investment report to the Chief Fiscal Officer of the County of Erie and to the Authority Budget Office. Copies of this report shall be made available to the public upon reasonable request thereof.

**APPENDIX A**  
Schedule of Eligible Securities  
for Collateralization of Deposits

- \_\_\_\_\_ (i) Obligations issued, or fully insured or guaranteed as to the payment of principal and interest, by the United States of America, an agency thereof or a United States government sponsored corporation.
- \_\_\_\_\_ (ii) Obligations issued or fully guaranteed by the International Bank for Reconstruction and Development, the Inter-American Development Bank, the Asian Development Bank, and the African Development Bank.
- \_\_\_\_\_ (iii) Obligations partially insured or guaranteed by any agency of the United States of America, at a proportion of the Market Value of the obligation that represents the amount of the insurance or guaranty.
- \_\_\_\_\_ (iv) Obligations issued or fully insured or guaranteed by the State of New York, obligations issued by a municipal corporation, school district or district corporation of such State or obligations of any public benefit corporation which under a specific State statute may be accepted as security for deposit of public moneys.
- \_\_\_\_\_ (v) Currency of the United State of America which constitutes legal tender.

**EXHIBIT I**

The Erie County Water Authority Investment Guidelines have been constructed pursuant to the following laws:

General Municipal Law 10, 11 and 39  
Banking Law 107a  
Public Authorities Law 1055, 2824, 2890 and 2925  
New York Office of the State Comptroller's Investment Guidelines  
for Public Authorities (Advisory Only)  
New York Office of the State Comptroller's Financial Management Guide  
Erie County Water Authority Bond Covenants  
Investment Advisor's Act of 1940

3/22/18

12

3/22/18

**EXHIBIT II****Authorized Financial Institutions and Dealers:**

Bank on Buffalo  
Bank of New York  
Capital Markets Advisors, LLC  
Federal Home Loan Bank of New York  
Fitch Ratings  
Jefferies LLC  
JPMorgan Chase Bank  
JPMorgan Securities LLC  
Key Bank of New York  
M&T Bank  
Manufacturers & Traders Trust Company/Wilmington Trust, NA  
Moody's Investors Service  
New York State Environment Facilities Corporation  
Paymentus Corporation  
Standard & Poor's Rating Services  
UBS Financial Services Inc.  
United States Treasury

Draft 3.21.18

**ERIE COUNTY**  
**WATER AUTHORITY**  
*Schedule of Cash and Investments and Schedule of  
Income from Cash and Investments for the  
Year Ended December 31, 2017 and  
Independent Auditors' Report*

3/22/18

## Draft 3.21.18

### INDEPENDENT AUDITORS' REPORT

The Board of Commissioners  
Erie County Water Authority

We have audited the accompanying schedule of cash and investments of the Erie County Water Authority (the "Authority") as of December 31, 2017, and the related schedule of income from cash and investments (the "schedules") for the year then ended, and the related notes to the schedules.

#### Management's Responsibility for the Schedules

The Authority's management is responsible for the preparation and fair presentation of the schedules in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of the schedules that are free from material misstatement, whether due to fraud or error.

#### Auditors' Responsibility

Our responsibility is to express an opinion on these schedules based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the schedules are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the schedules. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the schedules, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the schedules in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the schedules.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

#### Opinion

In our opinion, the schedule of cash and investments and schedule of income from cash and investments referred to above present fairly, in all material respects, the cash and investments of the Authority as of December 31, 2017 and income from cash and investments for the year then ended, in accordance with accounting principles generally accepted in the United States of America.



## Draft 3.21.18

### Other Matter

We have audited, in accordance with auditing standards generally accepted in the United States of America, the financial statements of the Erie County Water Authority as of and for the year ended December 31, 2017, and our report thereon, dated March 22, 2018 expressed an unmodified opinion on those financial statements.

March 22, 2018

## Draft 3.21.18

**ERIE COUNTY WATER AUTHORITY**  
**Schedule of Cash and Investments**  
**Year Ended December 31, 2017**

	<u>Fair Value</u>	<u>Amortized Cost</u>
<b>Working Funds</b>		
Extension and improvement accounts:		
Money market funds	\$ 9,152,025	\$ 9,152,025
Certificates of deposit	5,490,921	5,490,921
US Treasury securities	<u>6,851,323</u>	<u>6,847,503</u>
Total extension and improvement accounts	<u>21,494,269</u>	<u>21,490,449</u>
Operating and maintenance accounts:		
DDA & NOW accounts	7,826,114	7,826,114
Money market funds	4,877,025	4,877,025
Certificates of deposit	1,849,000	1,849,000
US Treasury securities	<u>9,909,380</u>	<u>9,908,440</u>
Total operating and maintenance accounts	<u>24,461,519</u>	<u>24,460,579</u>
Customer deposit accounts:		
NOW accounts	285,532	285,532
Money market funds	<u>564,252</u>	<u>564,252</u>
Total customer deposit accounts	<u>849,784</u>	<u>849,784</u>
Employee withholding deposits:		
NOW accounts	<u>31,829</u>	<u>31,829</u>
Total employee withholding deposits	<u>31,829</u>	<u>31,829</u>
Total working fund investments	<u>46,837,401</u>	<u>46,832,641</u>
<b>Fiscal Agent Funds</b>		
Debt service reserve accounts:		
Money market funds	86	86
State and Local Government Series Treasury bonds	<u>6,619,105</u>	<u>6,619,105</u>
Total debt service reserve accounts	<u>6,619,191</u>	<u>6,619,191</u>
Debt service accounts:		
Money market funds	570,183	570,183
US Treasury securities	<u>1,185,927</u>	<u>1,185,468</u>
Total debt service accounts	<u>1,756,110</u>	<u>1,755,651</u>
Total fiscal agents funds	<u>8,375,301</u>	<u>8,374,842</u>
<b>Total</b>	<u>\$ 55,212,702</u>	<u>\$ 55,207,483</u>

The accompanying notes are an integral part of these schedules.

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**ERIE COUNTY WATER AUTHORITY**  
**Schedule of Income from Cash and Investments**  
**Year Ended December 31, 2017**

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<b>Working Funds:</b>	
Extension and improvement account	\$ 87,720
Operating and maintenance account	134,101
Customer deposit account	512
Employee withholding deposits	<u>4</u>
Total income from working funds investments	<u>222,337</u>
<b>Fiscal Agent Funds:</b>	
Debt service reserve	166,216
Debt service	<u>40,554</u>
Total income from fiscal agent funds	<u>206,770</u>
Net increase in the fair market value of investments	<u>5,233</u>
Total income from investments	<u>\$ 434,340</u>

The accompanying notes are an integral part of these schedules.

## Draft 3.21.18

**ERIE COUNTY WATER AUTHORITY**  
**Notes to the Schedules of Cash and Investments and**  
**Income from Cash and Investments**  
**Year Ended December 31, 2017**

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**1. ORGANIZATION AND FUNCTION OF THE AUTHORITY**

The Erie County Water Authority (the "Authority") is a public benefit corporation created in 1949 by the State of New York for the purpose of constructing, operating and maintaining a public water supply for certain parts of Erie County.

The Authority operates its business activities on a direct service basis where the Authority owns the assets and is responsible for their operation, maintenance, improvement and replacement; on a leased managed service basis where the Authority is responsible for the operation and maintenance of the assets while the lessor is responsible for the improvement and replacement of assets; and on a bulk sales basis where the Authority contracts with the customer to provide water while the customer owns the assets and is responsible for their operation, maintenance, improvement and replacement as well as billings and customer collections.

**2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

Investments are made by the Authority in accordance with the Bond Resolutions relating to the Series 1998D, Series 2003F, Series 2008 and Series 2016 Bonds and investment guidelines. At December 31, 2017, the Authority had invested substantially all of its funds in the following:

Security	Interest Rate
US Government obligations	1.01% - 3.09%
Cash equivalents (including money market funds)	0.02% - 1.04%
Certificates of deposit	0.90% - 1.65%

Investments are carried at fair value for those investments subject to market forces and at amortized cost for investments not subject to market forces. The amortized cost recorded is either original cost (government obligations and asset-based securities) or face value (money market funds). Any premium or discount resulting from the purchase of government securities is included in cost and amortized into income over the term of the security.

Income from investments is recorded on the accrual basis and includes realized gains and losses from sales of investments.

**3. FAIR VALUE MEASUREMENT**

The Authority reports its fair value measures using a three-level hierarchy that prioritizes the inputs used to measure fair value. This hierarchy, established by GAAP, requires that entities maximize the use of observable inputs and minimize the use of unobservable inputs when measuring fair value. The three levels of inputs used to measure fair value are shown on the following page.

## Draft 3.21.18

- Level 1. Quoted prices for identical assets or liabilities in active markets to which the Authority has access at the measurement date.
- Level 2. Inputs other than quoted process included in Level 1 that are observable for the asset or liability, either directly or indirectly. Level 2 inputs include:
  - Quoted prices for similar assets or liabilities in active markets;
  - Observable inputs other than quoted prices for the asset or liability (for example, interest rates and yield curves); and
  - Inputs derived principally from, or corroborated by, observable market data by correlation or by other means.
- Level 3. Unobservable inputs for the asset or liability. Unobservable inputs should be used to measure fair value to the extent that observable inputs are not available.

The Authority has the following fair value measurements as of December 31, 2017:

- Money market funds, DDA and NOW accounts of \$23,307,046 are values using quoted prices for identical assets in active markets (Level 1 input).
- Certificates of deposit of \$7,339,921 are values using quoted prices for identical assets in active markets (Level 1 input).
- US Treasury bills of \$15,071,714 and Treasury notes of \$2,874,916 are values using quoted prices for identical assets in active markets (Level 1 input).
- Treasury securities — State and Local Government Series (SLGS) of \$6,619,105 are valued using quoted prices for similar assets or liabilities in active markets (Level 2 input).

Description	12/31/2017	Level 1	Level 2	Level 3
Money Market/DDA/NOW accounts	\$ 23,307,046	\$ 23,307,046	\$ -	\$ -
Certificate of deposit	7,339,921	7,339,921	-	-
US Treasury bills/notes	17,946,630	17,946,630	-	-
Treasury securities - SLGS	6,619,105	-	6,619,105	-
Total	<u>\$ 55,212,702</u>	<u>\$ 48,593,597</u>	<u>\$ 6,619,105</u>	<u>\$ -</u>

New York State Comptroller  
THOMAS P. DINAPOLI

**PARIS** Public Authorities Reporting  
Information System

Authorities Budget Office

Erie County Water Authority (0321)  
Fiscal Year End Date: 12/31/2017  
Status: UNSUBMITTED

#### Annual Report Instructions

Section 2800 of the Public Authorities Law and Sections 30 and 859 of the General Municipal Law require public Authorities to file an Annual Report that includes information on their operations, finances, indebtedness, compensation and benefits, property transactions, internal controls and other management activities, policies and governance practices.

The Annual Report tab should also be used to submit information required by Sections 206 (Personnel Schedule) and 2896 (Property Report) as well as any additional information requested by ABO and/or OSC.

To enter this information, select from the menu on the left.

The required information can be entered and saved, but the Authority is not considered to be in compliance until the CEO, CFO or another designated official acknowledges that the information contained in this submission is complete and accurate.

To submit this information, select and complete the Annual Report Submission link.

Cancel

New York State Comptroller  
THOMAS P. DI NAPOLI

**PARIS** Public Authorities Reporting  
Information System

Authorities Budget Office

Erie County Water Authority (0321)  
Fiscal Year End Date: 12/31/2017  
Status: UNSUBMITTED

#### View Governance Information (Authority-Related)

##### Current Document List

2 items found

Action	Document Name	Document Type	Date Attached
<a href="#">View</a>	2017 Operations and Accomplishments.pdf	Operations and Accomplishments	03/16/2018
<a href="#">View</a>	2017 Performance Measures Report.pdf	Measurement Report	03/16/2018

##### \* Required Field

##### Operations and Accomplishments

\* 1 Has the Authority prepared its annual report on operations and accomplishments for the reporting period as required by Section 2802(4) of PAL?

☒ Yes ☐ No

If Yes, provide the URL link to the document below:

<http://www.ecwa.org/publications>

\* 2 As required by Section 2802(4) of PAL, did the Authority prepare an assessment of the effectiveness of its internal controls?

☒ Yes ☐ No

If Yes, provide the URL link to the document below:

<http://www.ecwa.org/publications>

\* 3 Has the lead audit partner for the independent audit firm changed in the last five years in accordance with section 2802(4) of PAL?

☒ Yes ☐ No

\* 4 Does the independent auditor provide non-audit services to the Authority?

☐ Yes ☒ No

\* 5 Does the Authority have an organization chart?

☒ Yes ☐ No

If Yes, provide the URL link to the document below:

<http://www.ecwa.org/publications>

\* 6 Are any Authority staff also employed by another government agency?

☒ Yes ☐ No  
 New York State Comptroller  
 THOMAS P. DiNapoli Identify the agency: **PARIS** Public Authorities Reporting Information System Authorities Budget Office

City of Lackawanna

**Authority Mission Statement**

\* 7 Has the Authority posted their mission statement to their website?  
☒ Yes ☐ No

If Yes, provide the URL link to the document below:

<http://www.ecwa.org/publications>

\* 8 Has the Authority's mission statement been revised and adopted during the reporting period?  
☐ Yes ☒ No

**Authority Measurement Report**

\* 9 Attach the Authority's measurement report, as required by Section 2824-a of PAL and provide the URL.

<http://www.ecwa.org/publications>

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Authorities Budget Office

Eric County Water Authority (0321)  
Fiscal Year End Date: 12/31/2017  
Status: UNSUBMITTED

View Governance Information (Board-Related)

\* Required Field

\* 1 Has the Board established a Governance Committee in accordance with Section 2824(7) of PAL?

☒ Yes ☐ No

\* 2 Has the Board established an Audit Committee in accordance with Section 2824(4) of PAL?

☒ Yes ☐ No

\* 3 Has the Board established a Finance Committee in accordance with Section 2824(8) of PAL?

☒ Yes ☐ No

\* 4 Provide a URL link where a list of Board committees can be found (including the name of the committee and the date established):

<http://www.ecwa.org/about>

\* 5 Does the majority of the Board meet the independence requirements of Section 2825(2) of PAL?

☒ Yes ☐ No

\* 6 Provide a URL link to the minutes of the Board and committee meetings held during the covered fiscal year:

<http://www.ecwa.org/publications>

\* 7 Has the Board adopted bylaws and made them available to Board members and staff?

☒ Yes ☐ No

If Yes, provide the URL link to the document below:

<http://www.ecwa.org/publications>

\* 8 Has the Board adopted a code of ethics for Board members and staff?

☒ Yes ☐ No

If Yes, provide the URL link to the document below:

<http://www.ecwa.org/publications>

\* 9 Does the Board review and monitor the Authority's implementation of financial and management controls?

☒ Yes ☐ No

\* 10 Does the Board execute direct oversight of the CEO and management in accordance with Section 2824(1) of PAL?

☒ Yes ☐ No  
 New York State Comptroller  
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11 Has the Board adopted policies for the following in accordance with Section 2824(1) of PAL?

- \* Salary and Compensation
  - ☒ Yes ☐ No
- \* Time and Attendance
  - ☒ Yes ☐ No
- \* Whistleblower Protection
  - ☒ Yes ☐ No
- \* Defense and Indemnification of Board Members
  - ☒ Yes ☐ No

\* 12 Has the Board adopted a policy prohibiting the extension of credit to Board members and staff in accordance with Section 2824(5) of PAL?

☒ Yes ☐ No

\* 13 Are the Authority's Board members, officers, and staff required to submit financial disclosure forms in accordance with Section 2825(3) of PAL?

☒ Yes ☐ No

\* 14 Was a performance evaluation of the Board completed?

☒ Yes ☐ No

\* 15 Was compensation paid by the Authority in accordance with employee or union contracts?

☒ Yes ☐ No

\* 16 Has the Board adopted a supplemental/additional compensation policy governing all employees?

☐ Yes ☒ No

If Yes, provide the URL link to the document below:

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Erie County Water Authority (0321)  
Fiscal Year End Date: 12/31/2017  
Status: UNSUBMITTED

#### Board of Directors List

Enter all filled and vacant Board member positions. To enter a Board member, select the 'New' button.  
To copy previously entered data into the current reporting period for editing, select the 'Copy Forward' button.

3 items found

Action	Last Name	First Name	Current	Appointed by	Term Exp. Date
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	Anderson	Robert	Yes	Other	04/27/2018
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	Schad	Jerome	No	Other	04/27/2019
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	Simmeth Jr	Karl	No	Other	04/27/2020

3 items found

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THOMAS P. DINAPOLI

PARIS Public Authorities Reporting  
Information System

Authorities Budget Office

Erie County Water Authority (0321)  
Fiscal Year End Date: 12/31/2017  
Status: UNSUBMITTED

View Board Member

\* Required Field

\* Is the Board Member's position vacant?

☐ Yes ☒ No

\* Member's Last Name

Anderson

\* Member's First Name

Robert

Middle Initial

\* Term Start Date

04/27/2015

MM/DD/YYYY

\* Term Expiration Date (choose one)

☒ 4/1/18

☐ Serves at Pleasure of Accounting Authority

☐ Ex-Officio

Title

Has the Board member appointed a designee?

☐ Yes ☐ No

\* Is this Member the Chair of the Board?

☒ Yes ☐ No

If yes, Chair designated by?

New York State  
THOMAS P. DINAPOLI

Reported by Board  
THOMAS P. DINAPOLI

PARIS Public Authorities Reporting  
Information System

Authorities Budget Office

\* Nominated by?  
Other

\* Appointed by?  
Other

\* Confirmed by Senate?  
☐ Yes ☐ No ☒ N/A

\* Complied with training requirement of Section 2824?  
☒ Yes ☐ No

\* Has the Board member signed the acknowledgement of fiduciary duty?  
☒ Yes ☐ No

\* Does the Board member also hold an elected or appointed state government position?  
☐ Yes ☒ No

\* Does the Board member also hold an elected or appointed municipal government position?  
☐ Yes ☒ No

New Modify Cancel

New York State Comptroller  
THOMAS P. DINAPOLI

PARIS Public Authorities Reporting  
Information System

Authorities Budget Office

Erie County Water Authority (0321)  
Fiscal Year End Date: 12/31/2017  
Status: UNSUBMITTED

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\* Member's Last Name

Schad

\* Member's First Name

Jerome

Middle Initial

D

\* Term Start Date

04/27/2016

MM/DD/YYYY

\* Term Expiration Date (Choose)

☒ 4/1/2019

☐ Serves at Pleasure of Accounting Authority

☐ Ex-Officio

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If yes, Chair designated by?

New York State Comptroller  
THOMAS P. DINAPOLI

PARIS

Public Authorities Reporting  
Information System

Authorities Budget Office

\* Nominated by?

Other

\* Appointed by?

Other

\* Confirmed by Senate?

☐ Yes ☐ No ☒ N/A

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New

Modify

Cancel

New York State Comptroller  
THOMAS P. DINAPOLI

**PARIS** Public Authorities Reporting  
Information System

Authorities Budget Office

Erie County Water Authority (0321)  
Fiscal Year End Date: 12/31/2017  
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\* Member's Last Name

Simmeth Jr

\* Member's First Name

Karl

Middle Initial

J

\* Term Start Date

04/27/2017

MM/DD/YYYY

\* Term Expiration Date Choose a

☒

4/27/2019

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THOMAS P. DINAPOLI

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Information System

Authorities Budget Office

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New Modify Cancel

New York State Comptroller  
THOMAS P. DINAPOLI

**PARIS** Public Authorities Reporting  
Information System

Authorities Budget Office

Erie County Water Authority (0321)  
Fiscal Year End Date: 12/31/2017  
Status: UNSUBMITTED

#### Search Staff

Enter all staff of the Authority.  
To enter a staff member, select the 'New' button.  
To copy previously entered data into the current reporting period for editing, select the 'Copy Forward' button.  
To indicate that the Authority has no staff, select the 'No Staff' button.  
All search results are sorted by 'Last Name' in ascending order and are limited to 1,000 records.

Last Name Search

First Name Search

Group Search

  
  


Annualized Salary Range Search

 to 

Total Compensation Range Search

 to 

271 items found

Action	Last Name	First Name	Title	Exempt	Group
View Modify Delete	ABDALLAH	CHUCK	LINE MAINTENANCE OPERATOR	No	Operator
View Modify Delete	ADVEY JR	WILLIAM	GENERAL CREW CHIEF	No	Operator
View Modify Delete	AIPLE	SCOTT	ELECTRICAL ENGINEER	No	Technical Engineer
View Modify Delete	ALAGNA	PAUL	WATER UTILITY WORKER	No	Operator

[illegible][illegible]

Colleges where students study are not listed with each business listing in the book. On the last page there are 100 colleges listed with information regarding the location of the school. The last page is titled "Colleges Where Students Study".

This is a valuable tool for students to use in planning their college careers. The book is a valuable tool for students to use in planning their college careers. The book is a valuable tool for students to use in planning their college careers.

NOTE: We can also provide a list of all the colleges where students study in the book. This is a valuable tool for students to use in planning their college careers. The book is a valuable tool for students to use in planning their college careers.

[illegible]

## Version 1.6

Year	1974	1975	1976	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035	2036	2037	2038	2039	2040	2041	2042	2043	2044	2045	2046	2047	2048	2049	2050	2051	2052	2053	2054	2055	2056	2057	2058	2059	2060	2061	2062	2063	2064	2065	2066	2067	2068	2069	2070	2071	2072	2073	2074	2075	2076	2077	2078	2079	2080	2081	2082	2083	2084	2085	2086	2087	2088	2089	2090	2091	2092	2093	2094	2095	2096	2097	2098	2099	2100	2101	2102	2103	2104	2105	2106	2107	2108	2109	2110	2111	2112	2113	2114	2115	2116	2117	2118	2119	2120	2121	2122	2123	2124	2125	2126	2127	2128	2129	2130	2131	2132	2133	2134	2135	2136	2137	2138	2139	2140	2141	2142	2143	2144	2145	2146	2147	2148	2149	2150	2151	2152	2153	2154	2155	2156	2157	2158	2159	2160	2161	2162	2163	2164	2165	2166	2167	2168	2169	2170	2171	2172	2173	2174	2175	2176	2177	2178	2179	2180	2181	2182	2183	2184	2185	2186	2187	2188	2189	2190	2191	2192	2193	2194	2195	2196	2197	2198	2199	2200	2201	2202	2203	2204	2205	2206	2207	2208	2209	2210	2211	2212	2213	2214	2215	2216	2217	2218	2219	2220	2221	2222	2223	2224	2225	2226	2227	2228	2229	2230	2231	2232	2233	2234	2235	2236	2237	2238	2239	2240	2241	2242	2243	2244	2245	2246	2247	2248	2249	2250	2251	2252	2253	2254	2255	2256	2257	2258	2259	2260	2261	2262	2263	2264	2265	2266	2267	2268	2269	2270	2271	2272	2273	2274	2275	2276	2277	2278	2279	2280	2281	2282	2283	2284	2285	2286	2287	2288	2289	2290	2291	2292	2293	2294	2295	2296	2297	2298	2299	2300	2301	2302	2303	2304	2305	2306	2307	2308	2309	2310	2311	2312	2313	2314	2315	2316	2317	2318	2319	2320	2321	2322	2323	2324	2325	2326	2327	2328	2329	2330	2331	2332	2333	2334	2335	2336	2337	2338	2339	2340	2341	2342	2343	2344	2345	2346	2347	2348	2349	2350	2351	2352	2353	2354	2355	2356	2357	2358	2359	2360	2361	2362	2363	2364	2365	2366	2367	2368	2369	2370	2371	2372	2373	2374	2375	2376	2377	2378	2379	2380	2381	2382	2383	2384	2385	2386	2387	2388	2389	2390	2391	2392	2393	2394	2395	2396	2397	2398	2399	2400	2401	2402	2403	2404	2405	2406	2407	2408	2409	2410	2411	2412	2413	2414	2415	2416	2417	2418	2419	2420	2421	2422	2423	2424	2425	2426	2427	2428	2429	2430	2431	2432	2433	2434	2435	2436	2437	2438	2439	2440	2441	2442	2443	2444	2445	2446	2447	2448	2449	2450	2451	2452	2453	2454	2455	2456	2457	2458	2459	2460	2461	2462	2463	2464	2465	2466	2467	2468	2469	2470	2471	2472	2473	2474	2475	2476	2477	2478	2479	2480	2481	2482	2483	2484	2485	2486	2487	2488	2489	2490	2491	2492	2493	2494	2495	2496	2497	2498	2499	2500	2501	2502	2503	2504	2505	2506	2507	2508	2509	2510	2511	2512	2513	2514	2515	2516	2517	2518	2519	2520	2521	2522	2523	2524	2525	2526	2527	2528	2529	2530	2531	2532	2533	2534	2535	2536	2537	2538	2539	2540	2541	2542	2543	2544	2545	2546	2547	2548	2549	2550	2551	2552	2553	2554	2555	2556	2557	2558	2559	2560	2561	2562	2563	2564	2565	2566	2567	2568	2569	2570	2571	2572	2573	2574	2575	2576	2577	2578	2579	2580	2581	2582	2583	2584	2585	2586	2587	2588	2589	2590	2591	2592	2593	2594	2595	2596	2597	2598	2599	2600	2601	2602	2603	2604	2605	2606	2607	2608	2609	2610	2611	2612	2613	2614	2615	2616	2617	2618	2619	2620	2621	2622	2623	2624	2625	2626	2627	2628	2629	2630	2631	2632	2633	2634	2635	2636	2637	2638	2639	2640	2641	2642	2643	2644	2645	2646	2647	2648	2649	2650	2651	2652	2653	2654	2655	2656	2657	2658	2659	2660	2661	2662	2663	2664	2665	2666	2667	2668	2669	2670	2671	2672	2673	2674	2675	2676	2677	2678	2679	2680	2681	2682	2683	2684	2685	2686	2687	2688	2689	2690	2691	2692	2693	2694	2695	2696	2697	2698	2699	2700	2701	2702	2703	2704	2705	2706	2707	2708	2709	2710	2711	2712	2713	2714	2715	2716	2717	2718	2719	2720	2721	2722	2723	2724	2725	2726	2727	2728	2729	2730	2731	2732	2733	2734	2735	2736	2737	2738	2739	2740	2741	2742	2743	2744	2745	2746	2747	2748	2749	2750	2751	2752	2753	2754	2755	2756	2757	2758	2759	2760	2761	2762	2763	2764	2765	2766	2767	2768	2769	2770	2771	2772	2773	2774	2775	2776	2777	2778	2779	2780	2781	2782	2783	2784	2785	2786	2787	2788	2789	2790	2791	2792	2793	2794	2795	2796	2797	2798	2799	2800	2801	2802	2803	2804	2805	2806	2807	2808	2809	2810	2811	2812	2813	2814	2815	2816	2817	2818	2819	2820	2821	2822	2823	2824	2825	2826	2827	2828	2829	2830	2831	2832	2833	2834	2835	2836	2837	2838	2839	2840	2841	2842	2843	2844	2845	2846	2847	2848	2849	2850	2851	2852	2853	2854	2855	2856	2857	2858	2859	2860	2861	2862	2863	2864	2865	2866	2867	2868	2869	2870	2871	2872	2873	2874	2875	2876	2877	2878	2879	2880	2881	2882	2883	2884	2885	2886	2887	2888	2889	2890	2891	2892	2893	2894	2895	2896	2897	2898	2899	2900	2901	2902	2903	2904	2905	2906	2907	2908	2909	2910	2911	2912	2913	2914	2915	2916	2917	2918	2919	2920	2921	2922	2923	2924	2925	2926	2927	2928	2929	2930	2931	2932	2933	2934	2935	2936	2937	2938	2939	2940	2941	2942	2943	2944	2945	2946	2947	2948	2949	2950	2951	2952	2953	2954	2955	2956	2957	2958	2959	2960	2961	2962	2963	2964	2965	2966	2967	2968	2969	2970	2971	2972	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## Yen-Lo Lâ

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## Verdure 2.6

**Staff:**  
 Columbia University's *Journal of Law, Economics, & Organization* is a peer-reviewed journal that publishes research in law, economics, and organization. The journal is published by the Law and Economics Center, which is a part of the School of Business. The journal is published quarterly and is available online and in print. The journal is published by the Law and Economics Center, which is a part of the School of Business. The journal is published quarterly and is available online and in print. The journal is published by the Law and Economics Center, which is a part of the School of Business. The journal is published quarterly and is available online and in print.

[illegible]

## Verónica L.

[illegible][illegible]

### Staff Work Load Worksheet

Yuzhuo Li

**Yule  
Sale**

[illegible]

Artist Name	Year	Genre	Label	Album Title	Release Date	Chart Peak	Certification	Notes
Michael Jackson	1979	Pop	A&M	Off the Wall	1979-08-10	#1	10x Platinum	First of four consecutive #1 albums
David Bowie	1977	Rock	Mercury	Young Americans	1977-06-10	#1	3x Platinum	Transition to soul/R&B sound
Stevie Nicks	1977	Rock	Capricorn	Fleetwood Mac	1977-08-26	#1	10x Platinum	Band's first #1 album
Barbra Streisand	1974	Pop	Columbia	The Way We Were	1974-09-16	#1	3x Platinum	First #1 album
John Lennon	1970	Rock	Apple	Imagine	1970-09-09	#1	10x Platinum	Only solo #1 album
Billie Jean King	1970	Rock	Capricorn	Billie Jean	1970-08-10	#1	3x Platinum	First #1 album
Janet Jackson	1982	Pop	A&M	Control	1982-08-10	#1	3x Platinum	First #1 album
Prince & New Power Generation	1992	Pop	W&A	The Love Symbol Album	1992-08-10	#1	3x Platinum	First #1 album
Madonna	1984	Pop	Sire	Like a Virgin	1984-11-06	#1	10x Platinum	First #1 album
Whitney Houston	1985	Pop	A&M	Whitney	1985-06-10	#1	10x Platinum	First #1 album
George Strait	1981	Country	Mercury	Strait Out of the Box	1981-08-10	#1	3x Platinum	First #1 album
Barry Manilow	1974	Pop	Columbia	15 Minutes	1974-09-16	#1	3x Platinum	First #1 album
John Denver	1971	Country	Capricorn	John Denver	1971-08-10	#1	3x Platinum	First #1 album
Neil Young	1970	Rock	Capricorn	Neil Young	1970-08-10	#1	3x Platinum	First #1 album
Simon & Garfunkel	1968	Pop	Columbia	Bookends	1968-08-10	#1	3x Platinum	First #1 album
Bob Dylan	1969	Rock	Columbia	John Wesley Harding	1969-05-10	#1	3x Platinum	First #1 album
Frank Sinatra	1964	Pop	Columbia	Sinatra	1964-08-10	#1	3x Platinum	First #1 album
Elvis Presley	1956	Rock	RCA	Elvis Presley	1956-08-10	#1	3x Platinum	First #1 album

PARIS - Annual Report - Benefit Information

Page 1 of 3

New York State Comptroller  
THOMAS P. DI RAPOLI

**PARIS** Public Authorities Reporting Information System

Authorities Budget Office

### Benefits List

The table below displays form fits for all listed Members and for staff whose annualized salary is greater than \$100,000. To edit or modify this information, and to answer the question at the bottom of the page, select "Modify."

The intent of this section is to capture information on:

- Any benefit available to Board members.
- Extraordinary benefits available to staff earning over \$100,000 in annual salary by virtue of the position.

An extraordinary benefit should only be reported if it is provided for the exclusive use of a staff member. For example, you should report:

- A car assigned to a staff member for personal use.
- A financial package provided at retirement or the end of a contract that exceeds the government's provision of unused vacation time, or
- Some other benefit that is not also available to rank and file.

Do not report benefits that are equally available to all staff. For example, you should not report:

- Staff use of a credit card for business travel
- Access to a fleet vehicle owned by the authority is available only to staff for business use only, or
- The right of all staff to convert to full-time employment.

\* Required field

### Board Members

[illegible]

Project Name	Project ID	Project Manager	Project Status	Project Start Date	Project End Date	Project Budget	Project Actual Cost	Project Variance	Project Risk Level	Project Comments
Project A	101	John Doe	In Progress	2023-01-01	2023-03-31	\$100,000	\$95,000	\$5,000	Low	On track
Project B	102	Jane Smith	On Hold	2023-02-01	2023-04-30	\$150,000	\$150,000	\$0	Medium	Waiting for funding
Project C	103	Mike Johnson	Completed	2022-11-01	2022-12-31	\$80,000	\$80,000	\$0	Low	Successfully completed
Project D	104	Sarah Brown	Planned	2023-04-01	2023-06-30	\$120,000	\$0	\$120,000	High	Not yet started
Project E	105	David Wilson	In Progress	2023-01-15	2023-05-15	\$90,000	\$88,000	\$2,000	Medium	Minor delays
Project F	106	Emily Davis	On Hold	2023-03-01	2023-07-31	\$110,000	\$110,000	\$0	Medium	Waiting for resources
Project G	107	Chris Miller	Completed	2022-10-01	2022-11-30	\$70,000	\$70,000	\$0	Low	Completed ahead of schedule
Project H	108	Alexander Lee	Planned	2023-05-01	2023-08-31	\$130,000	\$0	\$130,000	High	Not yet started
Project I	109	Olivia White	In Progress	2023-02-15	2023-06-15	\$105,000	\$102,000	\$3,000	Medium	Minor delays
Project J	110	Benjamin Green	On Hold	2023-04-15	2023-09-30	\$140,000	\$140,000	\$0	Medium	Waiting for funding

3/19/2018

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Name	Role	Severance Package (Select All)	Payment for Unpaid Leave (Select All)	Club Memberships (Select All)	Use of Corporate Credit Cards (Select All)	Personal Laptop (Select All)	Automobile (Select All)	Transportation (Select All)	Housing Allowance (Select All)	Spouse/Dependent Life Insurance (Select All)	Tuition Assistance (Select All)	Multi-Year Employment Contract (Select All)	House of These Benefits (Select All)	Other
THANAYAK, MOHAMED	CHIEF BUSINESS OFFICER, MANAGER - BUDGET & FINANCE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
PARADIGAST, KAPEN	CONSTRUCTION	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
RESTER, PAUL	DIRECTOR OF ADMINISTRATION	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
MILLARD, JAMES	CASH MANAGER	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
STOLL, HENRI	EXECUTIVE ENGINEER	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
THANAKA, KACE	ASSISTANT MANAGER OF ACCOUNTING SERVICES (ICWA)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
WHITMAN, PAUL	DIRECTOR OF OPERATIONS WATER QUALITY (ICWA)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

PARIS - Annual Report - Benefit Information

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Helpdesk Contact: [ ] PARIS Public Authority Reporting Information System. Authorities Budget Office

Name	Role	Severance Package (Select All)	Payment for Unpaid Leave (Select All)	Club Memberships (Select All)	Use of Corporate Credit Cards (Select All)	Personal Laptop (Select All)	Automobile (Select All)	Transportation (Select All)	Housing Allowance (Select All)	Spouse/Dependent Life Insurance (Select All)	Tuition Assistance (Select All)	Multi-Year Employment Contract (Select All)	House of These Benefits (Select All)	Other
THANAYAK, MOHAMED	CHIEF BUSINESS OFFICER, MANAGER - BUDGET & FINANCE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

During the fiscal year, did the Authority continue to pay for any of the above mentioned benefits for former staff or individuals affiliated with the Authority after those individuals left the Authority?

☐ Yes ☒ No

[Modify](#) [Return to Annual Report](#)



New York State Comptroller  
THOMAS P. DINAPOLI

Erie County Water Authority (0321)  
Fiscal Year End Date: 12/31/2017  
Status: UNSUBMITTED

#### Subsidiary/Component Unit Verification

##### Subsidiary/Component Unit List

**\* Required Field**

This list should include only those subsidiaries and component units that are active and whose information is included in the PARIS reports submitted by this Authority.

**\* Is this list accurate and complete?**

☒ Yes ☐ No

**\* Are there other subsidiaries or component units of the Authority that are active, not included in the PARIS reports submitted by this Authority and not independently filing reports in PARIS?**

☐ Yes ☒ No

Name of Subsidiary/Component Unit	Status
-----------------------------------	--------

Save

New York State Comptroller  
THOMAS P. DINAPOLI

Eric County Water Authority (0321)  
Fiscal Year End Date: 12/31/2017  
Status: UNSUBMITTED

### Summary Financial Information

Modify Delete  
Definitions

#### SUMMARY STATEMENT OF NET ASSETS

##### Assets

##### **Current Assets**

Cash and cash equivalents	\$ 14,154,935.00
Investments	12,944,307.00
Receivables, net	5,066,187.00
Other assets	15,888,347.00
<b>Total Current Assets</b>	<b>48,053,776.00</b>

##### **Noncurrent Assets**

Restricted cash and investments	28,113,460.00
Long-term receivables, net	2,290,075.00
Other assets	4,562,398.00

##### **Capital Assets**

Land and other nondepreciable property	9,203,839.00
Buildings and equipment	334,763,082.00
Infrastructure	301,608,157.00

New York State Comptroller's Office	265,353,084.00
THOMAS P. DINAPOLI	
Net capital assets	380,221,994.00
<b>Total Noncurrent Assets</b>	<b>415,187,927.00</b>
<b>Total Assets</b>	<b>463,241,703.00</b>
<b>Liabilities</b>	
<b>Current Liabilities</b>	
Accounts payable	6,277,334.00
Pension contribution payable	0.00
Other post-employment benefits	0.00
Accrued liabilities	3,406,948.00
Deferred revenues	0.00
Bonds and notes payable	9,862,757.00
Other long-term obligations due within one year	1,373,712.00
<b>Total Current Liabilities</b>	<b>20,914,751.00</b>
<b>Noncurrent Liabilities</b>	
Pension contribution payable	0.00
Other post-employment benefits	38,864,242.00
Bonds and notes payable	37,379,602.00
Long term leases	0.00
Other long-term obligations	7,415,037.00
<b>Total Noncurrent Liabilities</b>	<b>83,658,881.00</b>
<b>Total Liabilities</b>	<b>104,573,632.00</b>

New York State Comptroller  
THOMAS P. DINAPOLI

**Net Asset (Deficit)**

**Net Assets**

Invested in capital assets, net of related debt	332,979,635.00
Restricted	8,375,301.00
Unrestricted	17,313,135.00

**Total Net Assets** 358,668,071.00

**SUMMARY STATEMENT OF REVENUES, EXPENSES AND CHANGE IN NET ASSETS**

**Operating Revenue**

Charges for services	72,740,365.00
Rental and leasing income	505,662.00
Other operating revenues	45,485.00

**Total Operating Revenue** 73,291,512.00

**Operating Expenses**

Salaries and wages	15,873,626.00
Other employee benefits	13,765,620.00
Professional services contracts	359,178.00
Supplies and materials	3,927,623.00

New York State Corporation THOMAS P. DINAPOLI	Depreciation & amortization	12,823,738.00
	Other operating expenses	12,831,574.00
	<b>Total Operating Expenses</b>	<b>59,631,359.00</b>
	<b>Operating Income (Loss)</b>	<b>13,660,153.00</b>
	<b><u>Nonoperating Revenues</u></b>	
	Investment earnings	524,424.00
	State subsidies/grants	0.00
	Federal subsidies/grants	0.00
	Municipal subsidies/grants	0.00
	Public Authority subsidies	0.00
	Other nonoperating revenues	151,474.00
	<b>Total Nonoperating Revenue</b>	<b>675,898.00</b>
	<b><u>Nonoperating Expenses</u></b>	
	Interest and other financing charges	1,551,606.00
	Subsidies to other public Authorities	0.00
	Grants and donations	0.00
	Other nonoperating expenses	0.00
	<b>Total Nonoperating Expenses</b>	<b>1,551,606.00</b>
	<b>Income (Loss) Before Contributions</b>	<b>12,784,445.00</b>

New York State Comptroller  
THOMAS P. DINAPOLI

Capital Contributions	1,628,369.00
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Change in net assets	14,412,814.00
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Net assets (deficit) beginning of year	344,255,257.00
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Other net assets changes	0.00
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Net assets (deficit) at end of year	358,668,071.00
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New York State Comptroller  
THOMAS P. DINAPOLI

Erie County Water Authority (0321)  
Fiscal Year End Date: 12/31/2017  
Status: UNSUBMITTED

#### Current Debt

##### \* Required Field

If both questions below are answered "No," select "Save" and exit the Current Debt function.

If Question 1 is "Yes" and Question 2 is "No," select "Save" and then select the "Schedule of Debt" link and complete the schedule of debt function.

If both questions are answered "Yes," select "Save," then select the "New Debt Issuances" link to complete the new debt function and then select the "Schedule of Debt" link and complete the schedule of debt function.

\* 1 Did the Authority have any outstanding debt, including conduit debt, at any point during the reporting period?

☒ Yes ☐ No

2 If yes, has the Authority issued any debt during the reporting period?

☐ Yes ☒ No

Save

New York State Comptroller  
THOMAS P. DI NAPOLIPARIS Public Authorities Reporting  
Information System

Authorities Budget Office

Rich County Water Authority (0321)  
Fiscal Year End Date: 12/31/2017  
Status: UNSUBMITTED

Schedule of Debt

New  
Definitions

Action	Type of Debt (1)	Statutory Authority (\$)	Outstanding State Fiscal Year	New Debt Issuances (\$)	Debt Retired (\$)	Outstanding End of Fiscal Year (\$)
	State Obligation					
	State Guaranteed					
	State Supported					
	State Contingent Obligation					

[https://portal.osc.state.ny.us/paris/TwoR-ndX8cO6Hn4Lf-of\\_g/Two4b](https://portal.osc.state.ny.us/paris/TwoR-ndX8cO6Hn4Lf-of_g/Two4b)

3/19/2018

New York State Comptroller THOMAS P. DI NAPOLI	State Moral Obligation	PARIS Public Authorities Reporting Information System	Authorities Budget Office
	Other State- Funded		
	Authority Obligation		
	Authority Debt - General Obligation		
View Modify	Authority Debt - Revenue	0.00 51,558,384.00	0.00 8,530,000.00 42,968,384.00
	Authority Debt - Other		
	Conduit		
	Conduit Debt		
	Conduit Debt - Pilot Incremental Financing		
	Total	0.00 51,558,384.00	0.00 8,530,000.00 42,968,384.00

[https://portal.osc.state.ny.us/paris/TwoR-ndX8cO6Hn4Lf-of\\_g/Two4b](https://portal.osc.state.ny.us/paris/TwoR-ndX8cO6Hn4Lf-of_g/Two4b)

3/19/2018



New York State Comptroller  
THOMAS P. DINAPOLI

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Erie County Water Authority (0321)  
Fiscal Year End Date: 12/31/2017  
Status: UNSUBMITTED

Real Property Acquisition/Disposal List

This Authority has indicated that it had no real property acquisitions or disposals during the reporting period.

To change this statement select 'No Transactions'.

No Transactions

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New York State Comptroller  
THOMAS P. DINAPOLI

Erie County Water Authority (0321)  
Fiscal Year End Date: 12/31/2017  
Status: UNSUBMITTED

#### Personal Property Disposal List

In accordance with the Public Authorities Law, please provide information on any personal property of the Authority having an estimated fair market value in excess of \$5,000 that the Authority disposed of during the reporting period.

New

Bulk Load

No Disposals

28 items found

Action	Transaction Date	Price	Description
View Modify Delete	01/12/2017	28,000.00	2012 Ford E250 Cargo Van
View Modify Delete	04/24/2017	7,000.00	2007 International 7400 Service Truck
View Modify Delete	05/11/2017	5,200.00	2007 John Deere Diesel Gator
View Modify Delete	05/31/2017	7,200.00	2014 Ford Escape SUV
View Modify Delete	05/31/2017	8,600.00	2012 Dodge Caravan
View Modify Delete	06/06/2017	12,000.00	2012 Ford E250 Cargo Van
View Modify Delete	06/06/2017	8,300.00	2013 Ford Escape SUV
View Modify Delete	06/19/2017	8,200.00	2014 Ford Escape SUV
View Modify Delete	06/19/2017	8,300.00	2014 Ford Escape SUV
View Modify Delete	07/06/2017	12,925.00	2008 Ford F450 Supercab Pickup 4X4

New York State Comptroller THOMAS P. DIAMANTOPOULOS	Transaction Date	Sale Price	Description
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	07/12/2017	14,300.00	2016 Chevrolet Equinox SUV
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	07/18/2017	8,445.00	2012 Ford F150 Pickup
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	08/10/2017	12,500.00	2012 Ford E150 Cargo Van
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	08/10/2017	7,100.00	2013 Ford Escape SUV
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	08/10/2017	20,100.00	2013 Ford F250 Pickup 4X4
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	08/14/2017	13,712.00	2013 Ford Transit Connect Cargo Van
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	08/24/2017	25,100.00	2005 Caterpillar 6D Backhoe
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	08/24/2017	24,700.00	2015 Chevrolet Silverado 2500 Pickup 4X4
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	08/24/2017	22,200.00	2013 Ford F250 Pickup 4X4
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	09/26/2017	18,800.00	2013 Ford F150 Pickup 4X4
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	09/26/2017	16,100.00	2015 Chevrolet Silverado 2500 Pickup 4X4
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	12/05/2017	25,000.00	2011 International 7400 Dump Truck
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	12/05/2017	11,995.98	2013 Ford E150 Cargo Van
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	12/05/2017	12,375.00	2013 Ford E150 Cargo Van
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	12/12/2017	11,100.00	2013 Ford E150 Cargo Van
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	12/12/2017	12,100.00	2012 Ford E250 Cargo Van
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	12/12/2017	12,150.00	2005 Gehl SL6640 Skidsteer
<a href="#">View</a> <a href="#">Modify</a> <a href="#">Delete</a>	12/21/2017	10,400.00	2013 Ford Transit Connect Cargo Van

28 items found

New York State Comptroller  
THOMAS P. DINAPOLI

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Eric County Water Authority (0321)  
Fiscal Year End Date: 12/31/2017  
Status: UNSUBMITTED

#### View Property Documents

**\* Required Field**

**\* 1 In accordance with Section 2896(3) of PAL, the Authority is required to prepare a report at least annually of all real property of the Authority. Has this report been prepared?**

☒ Yes ☐ No

If Yes, provide the URL link to the document below:

<http://www.ecwa.org/procurement>

**\* 2 Has the Authority prepared policies, procedures, or guidelines regarding the use, awarding, monitoring, and management of contracts for the acquisition and disposal of property?**

☒ Yes ☐ No

If Yes, provide the URL link to the document below:

<http://www.ecwa.org/procurementreports>

**\* 3 In accordance with Section 2896(1) of PAL, has the Authority named a contracting officer who shall be responsible for the Authority's compliance with and enforcement of such guidelines?**

☒ Yes ☐ No

[Modify](#)

New York State Comptroller  
THOMAS P. DINAPOLI

PARIS Public Authorities Reporting  
Information System

Authorities Budget Office

Erie County Water Authority (0321)  
Fiscal Year End Date: 12/31/2017  
Status: UNSUBMITTED

#### Procurement Report Instructions

Sections 2879 and 2894(e) of the Public Authorities Law require public Authorities to adopt and annually review and approve comprehensive procurement guidelines and reports.

To enter this information, select from the menu on the left.

The required information can be entered and saved, but the Authority is not considered to be in compliance until the CEO, CFO or another designated official acknowledges that the information contained in this submission is complete and accurate.

To submit this information, select and complete the Procurement Report Submittal link.

Cancel

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New York State Comptroller  
THOMAS P. DI NAPOLI

PARIS Public Authorities Reporting  
Information System

Authorities Budget Office

Erle County Water Authority (0321)  
Fiscal Year End Date: 12/31/2017  
Status: UNSUBMITTED

#### Search Procurement Transactions

Enter all procurement transactions open during the reporting period with an actual or estimated value of \$5,000 or more. To enter a procurement transaction, select the 'New' button. To copy previously entered data into the current reporting period for editing, select the 'Copy Forward' button. To indicate that the Authority has no open procurement transactions, select the 'No Transactions' button.

Any combination of search criteria can be entered to conduct the search. The search results will be sorted by 'Vendor Name' in ascending order.

Only report "Non Contract Procurement/Purchase Order" and "Purchased Under State Contract" transactions if all purchases made from a single vendor total \$5,000 or more during the reporting period. These purchases should be reported as a single transaction for the total amount, not as individual transactions.

Any combination of search criteria can be entered to conduct the search. The search results will be sorted by 'Vendor Name' in ascending order and limited to 100 records.

Vendor Name

Amount Minimum \$

Amount Maximum \$

  


Award Date From

Award Date To

  


237 items found

Action	Vendor Name	Amount	Award Date
View Modify Delete	10 ELLICOTT SQUARE COURT CORPORATION	22,545.00	02/09/2017
View Modify Delete	3279 GROUP INC	0.00	



# Pre-surveyed Questionnaire Data and Worksheet

Form 12  
 1/1/2018

This document contains the data collected from the pre-surveyed questionnaire. The data is organized by survey question and is presented in a format that is easy to read and understand. The data is presented in a table format with columns for the survey question, the response options, and the number of responses for each option. The data is presented in a format that is easy to read and understand.

Survey Question	Response Options	Number of Responses
1. How often do you use the internet?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
2. How often do you use social media?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
3. How often do you use a mobile phone?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
4. How often do you use a laptop?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
5. How often do you use a tablet?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
6. How often do you use a smart TV?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
7. How often do you use a smart home device?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
8. How often do you use a smart car?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
9. How often do you use a smart watch?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
10. How often do you use a smart home security system?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
11. How often do you use a smart home energy management system?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
12. How often do you use a smart home entertainment system?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
13. How often do you use a smart home automation system?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
14. How often do you use a smart home security camera?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
15. How often do you use a smart home alarm system?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
16. How often do you use a smart home fire alarm system?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
17. How often do you use a smart home carbon monoxide detector?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
18. How often do you use a smart home water leak detector?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
19. How often do you use a smart home air quality monitor?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
20. How often do you use a smart home thermostat?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
21. How often do you use a smart home lighting system?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
22. How often do you use a smart home door lock?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
23. How often do you use a smart home garage door opener?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
24. How often do you use a smart home security system with a camera?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
25. How often do you use a smart home security system with a siren?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
26. How often do you use a smart home security system with a motion detector?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
27. How often do you use a smart home security system with a glass break detector?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
28. How often do you use a smart home security system with a door/window sensor?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
29. How often do you use a smart home security system with a pet detector?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
30. How often do you use a smart home security system with a smoke detector?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
31. How often do you use a smart home security system with a carbon monoxide detector?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
32. How often do you use a smart home security system with a water leak detector?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
33. How often do you use a smart home security system with an air quality monitor?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
34. How often do you use a smart home security system with a thermostat?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
35. How often do you use a smart home security system with a lighting system?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
36. How often do you use a smart home security system with a door lock?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
37. How often do you use a smart home security system with a garage door opener?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
38. How often do you use a smart home security system with a camera, siren, motion detector, glass break detector, door/window sensor, pet detector, smoke detector, carbon monoxide detector, water leak detector, air quality monitor, thermostat, lighting system, door lock, and garage door opener?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
39. How often do you use a smart home security system with a camera, siren, motion detector, glass break detector, door/window sensor, pet detector, smoke detector, carbon monoxide detector, water leak detector, air quality monitor, thermostat, lighting system, door lock, and garage door opener?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45
40. How often do you use a smart home security system with a camera, siren, motion detector, glass break detector, door/window sensor, pet detector, smoke detector, carbon monoxide detector, water leak detector, air quality monitor, thermostat, lighting system, door lock, and garage door opener?	1. Never 2. Rarely 3. Sometimes 4. Often 5. Every day	1. 10 2. 15 3. 25 4. 35 5. 45



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Information System

Authorities Budget Office

Erie County Water Authority (0321)  
Fiscal Year End Date: 12/31/2017  
Status: UNSUBMITTED

#### View Procurement Information

##### Current Document List

0 items found

Action	Document Name	Document Type	Date Attached
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##### \* Required Field

##### Procurement Guidelines

\* 1 Does the Authority have procurement guidelines?

☒ Yes ☐ No

If Yes, provide the URL link to the document

<http://www.ecwa.org/business>

\* 2 Are the procurement guidelines reviewed annually, amended if needed, and approved by the Board?

☒ Yes ☐ No

\* 3 Does the Authority allow for exceptions to the procurement guidelines?

☒ Yes ☐ No

\* 4 Does the Authority assign credit cards to employees for travel and/or business purchases?

☒ Yes ☐ No

\* 5 Does the Authority require prospective bidders to sign a non-collusion agreement?

☒ Yes ☐ No

\* 6 Does the Authority incorporate a summary of its procurement policies and prohibitions in its solicitation of proposals, bid documents, or specifications for procurement contracts?

☒ Yes ☐ No

\* 7 Did the Authority designate a person or persons to serve as the authorized contact on a specific procurement, in accordance with Section 139-j(2)(a) of the State Finance Law, 'The Procurement Lobbying Act'?

☒ Yes ☐ No

##### Impermissible Contacts

<https://portal.osc.state.ny.us/paris/tFCgfiMe4DzjWg2tgLpug/tfFd5>

3/19/2018

3/22/18

**\* 8 Did the Authority determine that a vendor had impermissible contact during a procurement or attempted to influence the procurement during the reporting period?** Public Authorities Reporting

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accordance with Section 139-j(10) of the State Finance Law?

☐ Yes ☒ No

**If Yes, was a record made of this impermissible contact?**

☐ Yes ☐ No

**\* 9 Does the Authority have a process to review and investigate allegations of impermissible contact during a procurement, and to impose sanctions in instances where violations have occurred, in accordance with Section 139-j(9) of the State Finance Law?**

☒ Yes ☐ No

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#### Investment Report Instructions

Section 2925 of the Public Authorities Law requires public Authorities to adopt and annually review and approve comprehensive investment guidelines and reports.

To enter this information, select from the menu on the left.

The required information can be entered and saved, but the Authority is not considered to be in compliance until the CEO, CFO or another designated official acknowledges that the information contained in this submission is complete and accurate.

To submit this information, select and complete the Investment Report Submittal link.

Cancel

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Erie County Water Authority (0321)  
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#### View Investment Information

##### \* Required Field

##### Annual Investment Report

\* 1 Has the Authority prepared an Annual Investment Report for the reporting period as required by section 2925(6) of PAL?

☒ Yes ☐ No

If Yes, provide the URL link to the document below:

<http://www.ecwa.org/publications>

##### Investment Guidelines

\* 2 Are the Authority's investment guidelines reviewed and approved annually?

☒ Yes ☐ No

##### Investment Audit Report

\* 3 Did the Authority have an independent audit of investments as required by Section 2925(3) of PAL?

☒ Yes ☐ No

If Yes, provide the URL link to the document below:

<http://www.ecwa.org/publications>

##### Management Letter

\* 4 Has the Authority's independent auditor issued a management letter to the Authority in connection with its annual audit of investments?

☐ Yes ☒ No

If Yes, provide the URL link to the document below:

Modify

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Erie County Water Authority (0321)  
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#### Certified Financial Audit Instructions

Section 2802 of the Public Authorities Law requires public authorities to submit a copy of their annual independent audit report, performed by a certified public accounting firm in accordance with generally accepted government auditing standards.

To enter this information, select from the menu on the left.

The required information can be entered and saved, but the Authority is not considered to be in compliance until the CEO, CFO or other designated official acknowledges that the information contained in this submission is complete and accurate.

To submit this information, select and complete the Certified Financial Audit Submittal link.

Cancel

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Erie County Water Authority (0321)  
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#### Enter Financial Documents

To answer a question that requires a URL link and an attachment:

1. Answer the question by selecting 'Yes' or 'No'.
2. Enter a URL link where the document is located.
3. Select the 'Browse' button to open the 'Choose File' window. Highlight the appropriate file, then select the 'Open' button. The path of the file will be placed in the 'Select Document' text box.
4. Select the 'Update to List' button. When the upload has completed successfully, all red boxes will be cleared and a new record will appear in the 'Current Document List' at the top of the page.

#### Current Document List

0 items found

Action	Document Name	Document Type	Date Attached	URL
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\* Required Field

#### Audit Report

\* 1 Attach the independent auditor's report of the Authority's financial statements.

Provide the URL link to the document and attach the document below:

Document Type:

Audit Report

Select Document:

Update to List

#### Management Letter

\* 2 Has the Authority's independent auditor issued a management letter to the Authority in connection with its audit of the Authority's financial statements?

☒ Yes ☐ No

If Yes, provide the URL link to the document and attach the document below:

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Document Type:  
Management Letter

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Information System

Authorities Budget Office

Select Document:

Internal Controls

\* 3 Has the Authority's independent auditor issued a Report on Internal Controls Over Financial Reporting to the Authority?

☒ Yes ☐ No

If Yes, provide the URL link to the document and attach the document below:

Document Type:  
Internal Controls

Select Document:

Additional Communications

4 Attach any additional communication required or issued by government auditing standards issued by the Comptroller General of the United States to be issued by the Authority's independent auditor in connection with its annual audit of the Authority's financial statements.

Document Type:  
Additional Communications

Select Document:

**DRAFT**

Motion by Mr. Simmeth seconded by Mr. Schad and carried that the meeting adjourn.

A handwritten signature in dark ink, appearing to read "J. T. Burns", with a long horizontal stroke extending to the right.

Joseph T. Burns  
Secretary to the Authority

TF