

**MINUTES of the GOVERNANCE COMMITTEE MEETING of the ERIE COUNTY WATER AUTHORITY** held in the office, 350 Ellicott Square Building, Buffalo, New York, on the 14th day of February, 2011.

**PRESENT:** Kelly M. Vacco, Chairperson  
Francis G. Warthling, Vice Chairman  
John F. O'Donnell, Treasurer  
Robert A. Mendez, Executive Director  
Matthew J. Baudo, Secretary to the Authority/Personnel Director  
Robert J. Lichtenthal, Jr., Deputy Director  
Wesley C. Dust, Executive Engineer  
Mark J. Fuzak, Attorney  
Daniel J. NeMoyer, Director of Human Resources  
Karen A. Prendergast, Comptroller  
Steven V. D'Amico, Budget and Financial Analyst

**ATTENDEES:** Danielle Elliott

**CALL TO ORDER**

**PLEDGE TO THE FLAG**

**I. - ROLL CALL**

**II. - READING OF MINUTES**

Motion by Mr. Warthling seconded by Mr. O'Donnell and carried to waive the reading of the Minutes of the Governance Committee Meeting held on January 27, 2011.

**III. - APPROVAL OF MINUTES**

Motion by Mr. Warthling seconded by Mr. O'Donnell and carried to approve the Minutes of the Governance Committee Meeting held on January 27, 2011.

**IV. - REPORTS**

**V. - COMMUNICATIONS AND BILLS**

**VI. - UNFINISHED BUSINESS**

## VII. - NEW BUSINESS

### A. Authorities Budget Office Policy Guidance No. 11-01: Compliance Review Process

### B. Authorities Budget Office Policy Guidance No. 11-02: Enforcement Powers of the Authorities Budget Office

Bob Mendez distributed Authorities Budget Office Policy Guidance No. 11-01 and 11-02 with regard to the above matters. He suggested that the Board review the policies and become more familiar with them. He advised that (B) above puts specific responsibilities on the Board and CEO with respect to the way the Authority's business is conducted.


### C. Adoption of 2011 Goals & Objectives

Bob Mendez submitted the Erie County Water Authority 2011 Final Goals & Objectives for approval by the Committee to submit to the Board for approval.

Motion by Mr. Warthling, seconded by Mr. O'Donnell and carried that the 2011 Final Goals & Objectives be adopted at the Authority's Board Meeting.

## VIII. - ADJOURNMENT

Motion by Mr. Warthling, seconded by Mr. O'Donnell and carried that the meeting adjourn.

  
 Matthew J. Baudo  
 Secretary to the Authority /Personnel  
 Director

SLZ

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## Authorities Budget Office Policy Guidance



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No. 11-01

Date Issued: February 1, 2011

Supercedes: 07-03

**Subject:** Compliance Review Process

**Statutory Citation:** Section 6(1)(a) of Public Authorities Law

**Provisions:** The Public Authorities Accountability Act and the Public Authorities Reform Act empower boards of directors to take the steps necessary to promote effective management, improve accountability and oversight, encourage transparent and full disclosure, and establish a culture of ethical behavior and personal responsibility. The Authorities Budget Office (ABO) was created, in part, to assess and enforce the compliance of public authorities with these requirements and to review, analyze, and report on their operations, budgets and practices.

**Authorities Budget Office (ABO) Policy Guidance:** The ABO is committed to enforcing the requirements of the Acts and other applicable provisions of State law in a fair and balanced way. Its goal is to achieve broad compliance with the intent of the Acts, to identify and address factors that inhibit compliance, and to promote high quality performance consistent with the mission and purpose of the authority.

The ABO's responsibility is to ensure that all public authorities, regardless of size and resources, follow the model governance principles contained in the Acts and operate as efficiently and effectively as possible. Accordingly, its compliance assessments will focus on:

- **Governance Reports.** The purpose of these reviews is to provide an objective determination as to whether the authority has adopted the governance principles codified in the two Acts and in other applicable State laws.
- **Operational Reports.** These reviews are objective assessments of an authority's actual adherence to its adopted governance principles and policies, and how well its actions and activities contribute to achieving its statutory mission and performance objectives.

- **Limited Scope Reports.** These reviews are narrow and targeted assessments of specific operating or procedural issues, practices or activities that could compromise the effectiveness of the authority.

Compliance reviews will provide directors and officers with useful information to assist them manage the financial, operating and business risks associated with public authorities. The reviews will also provide information to the public and other government officials on the governance practices, operations and performance of public authorities.

The ABO will conduct its compliance reviews in accordance with internal protocols developed specifically for these reviews, which are based on generally accepted professional standards. These standards address issues such as the independence, competence, professional judgment, and training of ABO staff; quality control over the review process, the planning, supervision, and documenting of information for the compliance review; and the specific elements that must be included in the compliance review report.

The ABO will notify public authorities sufficiently in advance of a compliance review in order for the authority to have time to prepare and to maximize the efficiency of the process.

The components of the compliance review will consist of the following:

Entrance Conference: The ABO will hold an entrance conference with the authority's executive management to discuss the review process and its proposed scope.

Review Stage: This is the analytical phase and generally will take the most time to perform. During this stage, members of the ABO's compliance team will examine and assess relevant financial, operational, and procedural documents of the authority and interview appropriate board members, management and staff. The review stage will generally take place on-site at the authority, but may also take place in other locations.

Discussion Draft: This preliminary written document provides the authority with the results and conclusions of the compliance review. It is shared with authority management for its review and to address any factual errors or misinterpretations made by the compliance team. Management is expected to circulate the draft to the board for its comments. A written response from the authority to the draft report must be signed by the board chair. As necessary, the board's response will be reflected in a revised final draft.

Exit Conference: After authority management and the board of directors have had sufficient time to review the discussion draft and prepare comments, an exit conference may be scheduled. At the exit conference, the review team and

authority officials will discuss the contents of the discussion draft and the authority's comments and feedback. Based on the exit conference, the ABO may make revisions in advance of the final report, and any revisions will be discussed with authority management. An exit conference may not be held for all limited scope reviews, at the discretion of the ABO.

Final Report: The ABO will issue a final compliance report to the head of the authority. The authority's management is responsible for responding to the compliance issues and recommendations outlined in the report. The authority is expected to adopt policies and procedures that adequately address the concerns raised in the report and that advance the authority toward compliance with its statutory obligations. Subsequent to the release of the report, the ABO, as part of its technical assistance, training, and oversight responsibilities, will be available to work with management on developing and implementing appropriate corrective actions and will monitor progress toward compliance.

If the final report concludes that the authority is out of compliance with one or more reporting requirements, that board actions are inconsistent with its fiduciary responsibilities, or that management has not adopted or adhered to appropriate policies and procedures, the issuance of the final report will constitute an official warning by the ABO. The failure to adequately address these deficiencies could lead to additional enforcement actions being taken by the ABO.

As a general rule, the ABO will also distribute final compliance reports to officials having a direct interest in the results of the review team's work. Such officials could include representatives of the Governor, the chairman and ranking minority member of the Senate and Assembly standing committees on corporations, authorities, and commissions, the chairman and ranking minority member of the appropriate oversight committees, and local officials and appointing authorities. Copies of final compliance reports are also distributed to the media. Compliance reports will not contain information specifically exempted from disclosure by state or federal statute, or such information which if disclosed would constitute an unwarranted invasion of personal privacy or interfere with law enforcement investigations or judicial proceedings. When a compliance report is issued, the report will be made available to the public on the Authorities Budget Office website (<http://www.abo.state.ny.us>).

## Authorities Budget Office Policy Guidance



No. 11-02

Date Issued: February 10, 2011  
Supersedes: New

**Subject:** Enforcement Powers of the Authorities Budget Office

**Statutory Citation:** Section (6)(2)(f) and Section (6)(2)(g) of Title 2 of Public Authorities Law

**Provision:** This is a public notice of the Authorities Budget Office's intent regarding its powers of enforcement. The 2009 Public Authorities Reform Act grants the Authorities Budget Office (ABO) the power to publicly warn and censure state and local authorities for non-compliance with the provisions of state law. The ABO may also recommend the suspension or dismissal of officers and/or boards of directors of public authorities under certain circumstances.

**Authorities Budget Office (ABO) Policy Guidance:** Any public warning or censure will be directed to the board of directors and the chief executive officer, who have the responsibility to establish, oversee and execute the policies and operating practices of the authority and are responsible for the actions of the authority and its employees.

Public authorities have reporting obligations under Public Authorities Law, as well as an obligation to adhere to basic principles of corporate governance. Reporting requirements include filing with the ABO a multi-year budget plan, an annual report, a copy of the authority's annual financial audit, and reports on the authority's investment and procurement policies. Board members have a duty to understand the mission and purpose for which the authority was created, to act in good faith in the best interests of the authority and the citizens of New York State, to act with a duty of loyalty and care to the authority, and to exercise independent judgment free of personal or professional conflicts of interest.

The chief executive officer has a duty to faithfully carry out the policies adopted by the board of directors, to protect the assets of the authority, to present the board with a complete and accurate picture of the authority's finances, to submit required reports to the board for its review and approval prior to filing with the ABO, and to inform the board of potential risks, transactions, and other decisions that impact on the authority's operations or adherence to state or local law.

The failure of the board or the chief executive officer to properly perform these duties and obligations may result in the ABO exercising its enforcement authority.

1. Public Warning: The Authorities Budget Office reserves the right to publicly warn a board of directors or chief executive officer for actions such as, but not limited to:

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- Non-compliance of the authority with statutory reporting or governance requirements.
- Failure of a board member to execute his/her Acknowledgment of Fiduciary Duty.
- Failure of the board to review and understand financial information or other declarations contained in the reports filed with the ABO.
- A demonstrated lack of understanding of the mission, purpose, or performance objectives of the authority.
- Inadequate oversight of the authority's management or the activities of the authority.
- A failure of the chief executive to bring appropriate matters to the attention of the board.

A public warning may take the form of a declarative statement issued by the ABO in a governance and operational report on the authority, written correspondence to the authority that includes an official warning, or the inclusion of the authority in a public document that identifies out of compliance authorities. A warning shall describe the specific act of non-compliance for which the warning is issued, and establish a timeframe within which the authority is expected to take corrective action before additional sanctions are imposed.

2. Censure: A censure is a formal written reprimand or rebuke of the actions, failure to act, or conduct of the board of directors, chief executive officer or employees of a public authority. The Authorities Budget Office reserves the right to censure a public authority, with or without a prior Public Warning referenced in paragraph 1, for actions the ABO deems to be inappropriate, such as, but not limited to:

- The failure to take appropriate corrective action if a warning was first issued by the Authorities Budget Office.
- The failure to respond to requests from the ABO for books, records, information, or other documentation.
- Reasonable evidence to suggest that the board should have been aware of non-compliance, inappropriate actions, or violations of policies but failed to act.
- Conduct or a failure to act that is inconsistent with established authority policy or accepted standards of corporate governance.
- Conduct or actions that demonstrate a lack of understanding of the board's role, responsibilities and fiduciary duty or a disregard for statutory requirements.
- The failure of the board to perform its fiduciary duties or to carry out the mission and public purpose of the authority.
- Actions that place the finances or operations of the authority at risk, damage the integrity or reputation of the authority, or fail to protect adequately the authority's assets.

The letter of censure shall be made public by the ABO and may be distributed to other appropriate oversight bodies. The letter of censure shall cite the statutory 2/14/11

requirements that the ABO determined were violated, describe the nature of the offense, and provide context as to why the letter of censure is appropriate.

3. Suspension or Dismissal of Board Members: The Authorities Budget Office has the power to recommend the suspension or dismissal of officers or directors of a public authority. A recommendation relating to the board of directors of a public authority must be made in accordance with Section 2827 of Public Authorities Law. The Authorities Budget Office reserves the right to recommend the suspension or dismissal of an officer or one or more members of a board of directors, with or without a prior Public Warning or Censure referenced in paragraphs 1 or 2, when the officer or board of directors was made aware of inappropriate conduct or activities, or violations of law or policies but failed to take corrective action; where the conduct of the board demonstrated a persistent failure to exercise its fiduciary duty; when the actions or inactions of the officer or board caused damage to the authority's or the state's reputation, finances, or assets; or if the actions or inactions of the officer or board could be considered potential criminal or ethical wrongdoing.

In such circumstances, the ABO shall notify in writing the board of directors, public officer and public body empowered to appoint the involved officer or board members of its recommendations and the reasons and justification for such action.

Notwithstanding the imposition of any of the foregoing sanctions, the ABO, in appropriate circumstances, may exercise its statutory authority under Section 6(2)(h) of the Public Authorities Law to refer matters to the office of the Attorney General and/or other prosecutorial agencies.



# Erie County Water Authority 2011 Final Goals & Objectives



February 2, 2011

## Commissioners

**Kelly M. Vacco**  
**Francis G. Warthling**  
**John F. O'Donnell**

**Departments**

<u>Department</u>	<u>Department Head</u>
1000 Production	Robert Niederpruem
1030 Water Quality	Paul Whittam
2000 Distribution	Ed Kuwik
2500 Engineering	Richard Rosenberry
3010 Human Resources	Dan NeMoyer
3015 Budget/Financial	Steve D'Amico
3020/3023 Administration	Paul Riestter
3030 Public Affairs	Outside Consultant
3095 Municipal Liaison	Tom Wik
3525 Data Processing	Matt Baudo/Jack Hanley
4000 Finance	Karen Prendergast
5010 Legal	Mark Fuzak



ERIE COUNTY WATER AUTHORITY  
INTEROFFICE MEMORANDUM

January 19, 2011

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To: Wes Dust, Executive Engineer  
From: Robert Niederpruem, Director of Production *RAN*  
Subject: 2011 Goals and Objectives

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- Goal:** To enhance security at key remote Authority facilities, purchase and install video cameras at the Ball Station to provide real time video recording and live video feedback at Control. Complete by August 2011.
  
- Goal:** To make data communications more reliable and to save monthly rentals with Time Warner, complete the SCADA microwave ring which requires installation of the links from Windom to Broadway and Broadway to Vukelic. Complete by September 2011.
  
- Goal:** To improve remote station reliability and upgrade communications, install a new generation RTU's with Modicon PLC that interface with other vendors' equipment. Complete by April 2011.
  
- Goal:** To prevent damage and improve safety at Van de Water, remove skylights from the pump VFD room. Complete by May 2011.
  
- Goal:** To improve chemical feed consistency and simplify maintenance at both plants, replace potassium permanganate pumps with new gear pumps. Complete by June 2011.
  
- Goal:** To improve the operation and reliability of the de-chlorination of filter to waste at Sturgeon Point, install electric actuators on each filter to waste valves and automate the sodium bisulfite feed at Decant. Complete by May 2011.
  
- Goal:** To increase pumping efficiency at the Windom Station that improves flow and lowers energy consumption, replace the pump impellers and repair the ceramic coating. Test refurbish pumps and report increased efficiencies. Complete first pump January 2011, second pump March 2011, third pump May 2011, fourth pump by July 2011.

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**Goal:** Investigate the merits of Demand Response Programs for Authority to enroll our fixed generating units in. Receive proposals June 2011.

**Goal:** To increase lighting efficiency and standardize lighting equipment, start replacing low efficiency T12 lighting with more efficient T8 fluorescent bulbs. Complete by April 2011.

**Goal:** To increase pumping efficiency and replace outdated equipment, replace one pump each at Hamburg, Lakeview, Horner and Eden III stations. Complete Hamburg January 2011, Eden III February 2011, Lakeview April 2011, Horner October 2011.

RAN/dm

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## 2011 GOALS AND OBJECTIVES

### DEPARTMENT 1030 Water Quality


The Department of Water Quality is responsible for monitoring the quality of the drinking water produced and distributed by the Authority and is charged with ensuring that the Authority meets or exceeds all State and Federal regulatory requirements. In addition, the Department is also responsible for administering the distribution system's water quality surveillance program for security purposes. The following are the department's goals and objectives for 2011:

1. To review and update the ECWA Total Coliform Sampling Plan for submittal to the ECDOH and NYSDOH by 1-30-11
2. To review and update the Authority's Important Deadlines Schedule as they pertain to the Department of Water Quality and its operation, by 02-28-11.
3. To complete the 2010 Data Tables for the Annual Water Quality Report by 3-15-11.
4. Review the final draft of the ECWA Water Quality Report by 4-30-11
5. Review and inspect all proposed Stage 2 DBP sampling locations by 6-01-11
6. To have all microbiology analysts successfully complete one set of in-house proficiency tests for Total Coliform, E.coli and Standard Plate Count by 8-31-11.
7. To complete all required preventive maintenance of laboratory equipment by 10-31-11
8. To complete all annually required NYSDOH compliance testing by 11-30-11.
9. To complete annual Laboratory Ethics/Data Integrity training for all water quality lab employees by 12-31-11.



# ERIE COUNTY WATER AUTHORITY INTEROFFICE MEMORANDUM

February 1, 2011

To: Wesley Dust, Executive Engineer  
From: Edward J. Kuwik, Sr. Distribution Engineer   
Subject: 2011 Goals and Objectives - Distribution Department

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The Distribution Department is responsible for preventive maintenance and repair of all ECWA owned and leased managed mains, valves, hydrants and appurtenances. In addition, the Distribution Department is also responsible for meter reading, installation, replacement, repair and testing.

To ensure the Department achieves these functions, the following goals have been established for 2011:

## Line Maintenance

1. To reduce leak averages to 16.00 man hours per repair.
2. To maintain the database of dead-end mains and schedule main flushing to improve and monitor water quality. There are 3,155 dead-end mains in the system and we have developed a two-year program to flush the mains. The goal for 2011 is 1,600 dead-end main flushes.
3. To file paperwork for annual New York State Thruway Authority work permit #TAW070030 by March 31, 2011.

## Hydrants & Valves

1. To maintain the maximum number of hydrants in full working order condition by:
  - a.) Performing preventive maintenance on all 17,245 hydrants in both summer service and winter service..
  - b.) Painting 7,500 hydrants in 2011.

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2. To perform maintenance on the valves in our system for 2011 according to the following schedule:
  - a.) Small Valves ( $\leq 14$ " ) - 4,750 valves (26,647 valves total - 6 year program).
  - b.) Large Valves ( $\geq 16$ " ) - 320 valves (1,137 valves total - 4 year program).
  - c.) Pressure Reducing Valves - 46 PRVs. There are 81 PRV's in our system. This is a two-year program.

### Meter Shop

1. To change 8,000 meters and 1,500 registers by December 31, 2011.
2. To change the remaining 2 commercial meters that need to be replaced due to backflow protection requirements and field test 180 commercial meters (3-inch to 10-inch) by December 31, 2011.
3. To coordinate with Customer Service to prioritize residential meter reading routes by May 1, 2011, and read all 36 cycles during our summer program.

EK/dm

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# ERIE COUNTY WATER AUTHORITY INTEROFFICE MEMORANDUM

January 5, 2011

Ed Kuwik, Sr. Distribution Engineer

To: John Kuryak, Distribution Engineer *JK*

Subject: Commercial Meters

As of December 31, 2010, the following is a list of outstanding commercial meters scheduled for change:

Project No.	Name	Address	Town	Status
0600550	County of Erie	Como Park Blvd.	LNTN	Submittal received 12/15/10. Returned for revisions 12/16/10.
0600633	Jay Birnbaum Co.	4695 Transit Rd.	CLTN	Design met with Engineer 4/29/10.

The abovementioned locations all require backflow protection device installation/modification and are at various stages in completion of this matter as per Mr. Alan Strycharz.

JK/dm





ERIE COUNTY WATER AUTHORITY  
INTEROFFICE MEMORANDUM  
January 13, 2011

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To: Wesley Dust, Executive Engineer  
From: Richard Rosenberry, Director of Engineering *RMR*  
Subject: 2011 Goals and Objectives - Engineering Department

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As requested, following are the goals and objectives for the Engineering Department for 2011.

1. To implement an update to the Professional Services Contract for design/construction projects subject to Legal Department approval by March 31, 2011.
2. To provide a mid-year and a year-end status report to the Erie County Health Department relative to the Cross Connection Control retrofit program.
3. To complete the procedure manual for engineering design and construction projects by November 30, 2011.
4. To perform leak survey on 6,000 fire hydrants (one-third of total) by December 31, 2011.
5. To map the Evans water system in the Geographic Information System (GIS) by the takeover date, currently estimated for June 30, 2011.
6. To map the Blasdell water system in the Geographic Information System (GIS) by the takeover date, currently estimated for June 30, 2011.
7. To prepare Capital Budget cash flow projections by January 31, April 30, July 31 and October 30, 2011.
8. To maintain overall project construction and engineering change orders under 3% by December 31, 2011.
9. To maintain Capital Budget spending within 5% of budget authorization by December 31, 2011.

RR/dm

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# ERIE COUNTY WATER AUTHORITY

## INTEROFFICE MEMORANDUM

January 14, 2011

To: Wes Dust  
 From: Dan NeMoyer  
 RE: **2011 Goals and Objectives for Human Resources**

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1. To conduct a work session with Board of Commissioners to update on contract negotiations with both (CSEA and AFSCME) ECWA collective bargaining unions by 6/1/11.
2. To produce and distribute monthly "Communicator" newsletters to share information with ECWA employees.
3. To produce a comprehensive policy and schedule of appropriate, mandatory, workplace training for all ECWA employees by 4/30/11
4. To enhance professional development of HR staff through 8 hours minimum training for each member of the HR Department, including HIPAA training, by 12/31/11.
5. To conduct random drug sampling of 50% of CDL and NON-CDL pool of eligible employees by 12/31/11. Testing will take place each month.
6. To convene 4 quarterly Safety Meetings in February, May, September, and December, 2011.
7. To conduct one fire drill at each ECWA location by 10/31/11.
8. To coordinate with the Legal Department to review and update employee orientation materials by 4/30/2011.
9. To offer two EAP informational seminars, Flu Shots and Health Screenings to all ECWA Employees by 12/1/2011.
10. To conduct quarterly reviews of ECWA retirees receiving health benefits; By March 31, June 31, September 31 and December 31, 2011.

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ERIE COUNTY WATER AUTHORITY  
INTEROFFICE MEMORANDUM

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To: Wes Dust, Executive Engineer  
From: Steven V. D'Amico, Budget/Financial Analyst  
Subject: 2011 Goal Plan – Unit 3015 - Budget

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- 1.) To complete final budget printing/PDF for distribution by February 1, 2011.
- 2.) To update and maintain the Public Relations PowerPoint presentation as follows:
  - a. Non-CAFR items and corresponding charts that do not require auditing updated by March 1, 2011.
  - b. CAFR/Audited items and corresponding charts updated by May 1, 2011.
- 3.) To update and maintain data and charts for "ECWA Market Statistics Portfolio" by May 1, 2011.
- 4.) To update and maintain the ECWA Data Master spreadsheet containing pertinent data used in reporting and presentations along with the defined source for that data by June 1, 2011.
- 5.) To prepare and present a 6 Month Budget review to the Board no later than August 1, 2011
- 6.) To update Budget Manual & Budget Preparation Instructions by September 1, 2011.
- 7.) To have a completed/board adopted budget in place by November 1, 2011 for submission to the NYS PARIS system.
- 8.) To complete review of budget allocations put in place for 2011 and make necessary adjustments for 2012 budget by December 31, 2011.

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2011 Goals  
Department of Administration  
Paul Riester, Director  
(Stores and Inventory, Central Purchasing and Information Services)  
*Proposed*

1. To commence the development of the 2012-2013 water main and materials contract with review for market and materials requirements and conditions for bi-annual bidding. Complete by Dec. 31, 2011.
2. To commence the development of a new paper and stationery contract for authority-wide requirements for bidding by June 1, 2011. The goal is to reduce office supply expense by coordinating all locations.
3. To review, organize, inventory, scan and store approximately 300 multi-page drawings from the acquisition of the Town of Clarence. To be completed by the November 1, 2011.
4. To complete the inventory of highway and sewer project drawings. Review the locations for accurate retrieval. Provide a quarterly report on progress by the end each quarter with goal of completion by end of December 31, 2011
5. To update, review and file all flat map cabinet contents to insure retrieval. To be completed by October 1, 2011.
6. To administer and conduct four Quarterly Training Workshops for an expanded base of employees on various procurement and administrative needs.
7. To review Purchasing Guidelines Policy and Procedures to highest standards by the end of the 1<sup>st</sup> quarter for inclusion in annual meeting agenda and recertification of Paul Riester as CPPO for August 11, 2011.
8. To commence procurement reporting process for New York State Authorities Budget Office system, PARIS and complete by April 1, 2011.

Public Affairs  
2011 Goals and Objectives

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1. To begin monthly or bi-monthly message advertisements in weekly publications; March – December 31, 2011
2. To complete mailing of 2010 Annual Water Quality Report by March 15, 2011
3. To complete design, printing and distribution of Annual Report by April 15, 2011
4. To redesign ECWA web site and have prototype available for review and approval by May 1, 2011 and have on-line by July 1, 2011
5. To complete customer bill insert program for quarters 2, 3 and 4 and complete by December 31, 2011
6. To implement radio programming for National Drinking Water Week by May 1, 2011
7. To coordinate pharmaceutical drop off day with Erie County Health Department no later than September 2011
8. To submit application to New York State's Local Government Efficiency Grant Program by December 1, 2011
9. To meet with Buffalo News editorial board minimum of once by December 31, 2011

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ERIE COUNTY WATER AUTHORITY  
INTEROFFICE MEMORANDUM  
January 13, 2011

To: Wesley C. Dust, Executive Engineer  
From: Thomas J. Wik, Distribution Engineer *TJW*  
Subject: 2011 Goals and Objectives - Department 3095 - Municipal Liaison

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1. To update the Municipal Contact List by June 30, 2011.
2. To prepare a summary of all related issues and activities under consideration in the Authority's service territory for the annual Town Meeting.
3. To meet with representatives from each Lease Managed and Bulk Service Customer at least once per year.
4. To finalize implementation of ECWA use of the NY Alert System by June 30, 2011.
5. To complete a semi-annual intermediate update of the ECWA Emergency Response Plan by March 31, 2011 and September 30, 2011. The revised plan was submitted to the Health Department in December of 2008 and is not required to be completely updated until 2013.
6. To work with the Legal Department to facilitate the renewal of the Bulk Sales Agreement with the Monroe County Water Authority and the Village of Silver Creek by December 31, 2011.
7. To prepare and send to the various municipalities the list of capital improvement recommendations by September 15, 2011.

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ERIE COUNTY WATER AUTHORITY  
MEMORANDUM

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**To:** Matthew J. Baudo  
Secretary to the Authority

**From:** Jack Hanley  
Manager of Data Processing

**Date:** January 13, 2011

**Subject:** 2011 Objectives for Data Processing

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**Objectives for 2011:**

1. To replace the existing network switch at Ellicott Square to the latest level of Cisco Systems technology for improved network security and manageability by March 31, 2011.
2. To install Microsoft Outlook 2007 on all Authority personal computers and laptops and complete the conversion of the Authority's email system to a Microsoft Exchange Server platform by November 1, 2011.
3. To upgrade the operating system on the Authority's two IBM Power Systems servers (a.k.a. AS400) to Version 7 Release 1 which is the most current level available from IBM by June 30, 2011.
4. To develop image processing software to replace the IBM Content Manager software currently used for image enabled applications on the IBM Power Systems servers (a.k.a. AS400) by September 30, 2011.
5. To implement and test Disaster Recovery and High Availability procedures for the two IBM Power Systems servers by December 31, 2011.
6. To redesign ECWA web site and have prototype available for review and approval by May 1, 2011 and have on-line by July 1, 2011

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## ERIE COUNTY WATER AUTHORITY INTEROFFICE MEMORANDUM

January 14, 2011

To: Robert J. Lichtenthal, Jr., Deputy Director

From: Karen A. Prendergast, Comptroller

Subject: Finance Department Goals For 2011

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The Finance Department has set the following goals to accomplish during 2011:

- A. Overall Finance Department: Responsible parties: K. Prendergast, A. Alessi,  
S. Rinaldo, J. Tomaka
1. To issue monthly financial statements and subsidiary reports by the middle of the month following the month being reported.
  2. To prepare and issue monthly investment reports by the middle of the month following the month being reported on.
  3. To issue monthly claims and claim activity reports by the middle of the month following the month being reported.
  4. To update the statistical sections of our annual report and CAFR for data required by the Government Accounting Standards Board Standards 34 and 44 by March 16, 2010.
  5. To assist management in the preparation of reports required by the New York State Public Authorities Accountability Act of 2005 by March 16, 2011.
  6. To assist the outside auditors to complete their audit of ECWA 2010 annual financial statements by March 28, 2011 and issue our annual report to NYS Comptroller by its March 31, 2011 due date.
  7. To submit the 2010 ECWA Comprehensive Annual Financial Report (CAFR) to the GFOA for award consideration by June 1, 2011.

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B. Business Office: Responsible parties: S. Rinaldo, P. Reszka, J. Hlavaty  
S. Wiatrowski

1. To conduct a minimum of two CSR training sessions throughout 2011 on emerging issues in Customer Service.
2. To conduct quarterly meetings with the Meter Shop to better coordinate activities with the Business Office.
3. To identify and evaluate alternatives to the current phone-in meter reading procedure by December 31, 2011.

C. Accounting: Responsible parties: Karen Prendergast, Joyce Tomaka

1. To modify and automate the 1099 Reporting System with the goal of implementing the system improvements on January 1, 2012. (This is a joint objective with Data Processing)
2. To modify the W-2 Reporting System with the goal of implementing the system improvements on January 1, 2012. (This is a joint objective with Data Processing)
3. To investigate the potential for automating selected time sheets by December 31, 2012. (This is a joint objective with Data Processing)

D. Risk Management: Responsible Party: Anthony Alessi

1. To analyze current insurance coverage and prepare recommendations regarding the need to either extend contracts or issue an Insurance RFP by April 1, 2011 with a return by April 30, 2011 and a review and award(s) by the Board by May 26, 2011.
2. To develop a tool to be used to evaluate items that are included or excluded from current and future insurance coverage by March 15, 2011.

cc: K. Prendergast  
S. Rinaldo  
J. Tomaka  
A. Alessi

**LEGAL DEPARTMENT GOALS AND OBJECTIVES FOR 2011**

- To research, review and coordinate with other departments to ensure compliance by ECWA of the 2009 Public Authority Reform Bill by March 31, 2011
- To administer and resolve pending litigation involving the Authority in a manner consistent with the best interests of the Authority by December 31, 2011, subject to Court Scheduling Orders
- To work with the Municipal Liaison to facilitate the renewal of the Bulk Sale Agreements with Monroe County Water Authority and the Village of Silver Creek by December 31, 2011.
- To coordinate a reorganization of the Law Library and revisions to Westlaw agreement by June 30, 2011
- To coordinate with the Human Resources Department and Personnel Manager the implementation of new and current employee training practices and policies by April 30, 2011