

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 20th day of March, 2014.

PRESENT: Francis G. Warthling, Chairman
Earl L. Jann, Jr., Vice Chairman
Jerome D. Schad, Treasurer (via video conference)
Matthew J. Baudo, Secretary to the Authority/Personnel Director
Robert F. Gaylord, Executive Director
Robert J. Lichtenthal, Jr. Deputy Director
Wesley C. Dust, Executive Engineer
John B. Licata, Counsel
Ronald P. Bennett, Associate Attorney
Daniel J. NeMoyer, Director of Human Resources
Karen A. Prendergast, Comptroller
Steven V. D'Amico, Budget and Financial Analyst

ATTENDEES: Brian Gould

CALL TO ORDER

PLEDGE TO THE FLAG

I. - ROLL CALL

II. - READING OF MINUTES

Motion by Mr. Jann seconded by Mr. Schad and carried to waive the reading of the Minutes of the Governance Committee Meeting held on January 23, 2014.

III. - APPROVAL OF MINUTES

Motion by Mr. Jann seconded by Mr. Schad and carried to approve the Minutes of the Governance Committee Meeting held on January 23, 2014.

IV. - REPORTS

PARIS Filing and Authorities Budget Office Submission of Summary Form, Mission Statement and Performance Measurements Report

A proposed PARIS filing and the Summary Form, Mission Statement and Performance

Measurements Report for the Authorities Budget Office were distributed to the Board.

Motion by Mr. Jann, seconded by Mr. Schad and carried that a recommendation be made to the Board for the approval of the PARIS filing and the Authorities Budget Office Submission of Summary Form, Mission Statement and Performance Measurements Report at the Authority's Board Meeting.



Erie County Water Authority

350 Elliott Square Building • 95 Main Street • Buffalo, NY 14203-2494
716.849.8484 • FAX 716.849.8467

March 5, 2014

MANAGEMENT'S ASSESSMENT OF THE EFFECTIVENESS OF INTERNAL CONTROL STRUCTURE AND PROCEDURES

The Authority's internal control over operations and financial reporting includes policies and procedures that (a) pertain to the maintenance of records that, in reasonable detail, accurately and fairly reflect transactions and disposition of assets; (b) provide reasonable assurances that transactions are recorded as necessary to permit preparation of financial statements in accordance with generally accepted accounting principles, and that receipts and expenditures are being made only in accordance with authorizations of the Executive Director, Deputy Director and Members of the Authority; and, (c) provide reasonable assurance regarding prevention or timely detection of unauthorized acquisition, use or disposition of Authority assets that could have a material effect on the Authority's operations, financial statements and reports.

Because of its inherent limitations, internal control over operations and financial reporting may not prevent or detect misstatements. Projections of any evaluation of the effectiveness of internal controls to future periods are subject to the risk that controls may become inadequate due to changes in conditions, or that the degree of compliance with the policies and procedures may deteriorate.

As of December 31, 2013, management conducted an assessment of the effectiveness of the Authority's internal control over operations and financial reporting and has determined that the controls are adequate. The assessment was made through testing, inquiry and observation.

Respectfully Submitted,

Robert F. Gaylord, Executive Director
Chief Executive Officer

Robert J. Lichtenthal, Jr., Deputy Director
Chief Financial Officer



3/20/14

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Yes ☒ No ☐

16. Has the Board adopted a written/unwritten compensation policy governing all employees?

Yes ☐ No ☒

If Yes, attach the policy to the document below:

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☐ Public ☐ Private	☐ Business ☐ Non-Profit	☐ Government ☐ Other	☐ Individual ☐ Corporate	☐ Non-Profit ☐ Other	☐ Other
BOARD OF DIRECTORS LIST					
One County Under Authority (2021) Report Year End Date: 12/31/2021 Under Authority					

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SEARCH STAFF

Control each of the following: "Name" will produce a list of all staff. To view property request data for the staff, click the "CDL" button. To include data for the Authority has no staff, click the "No Staff" button.

To enter a list of all staff, enter the keyword ("") in the "Last Name" or "First Name" field, then click "Search". To conduct a partial name search, you must also include the wildcard. For example, to return a list of all staff members whose last name contains the letter "A", you would enter "A*" in the "Last Name" field. Any combination of search criteria can be entered to conduct the search. All search results are sorted by "Last Name" in ascending order.

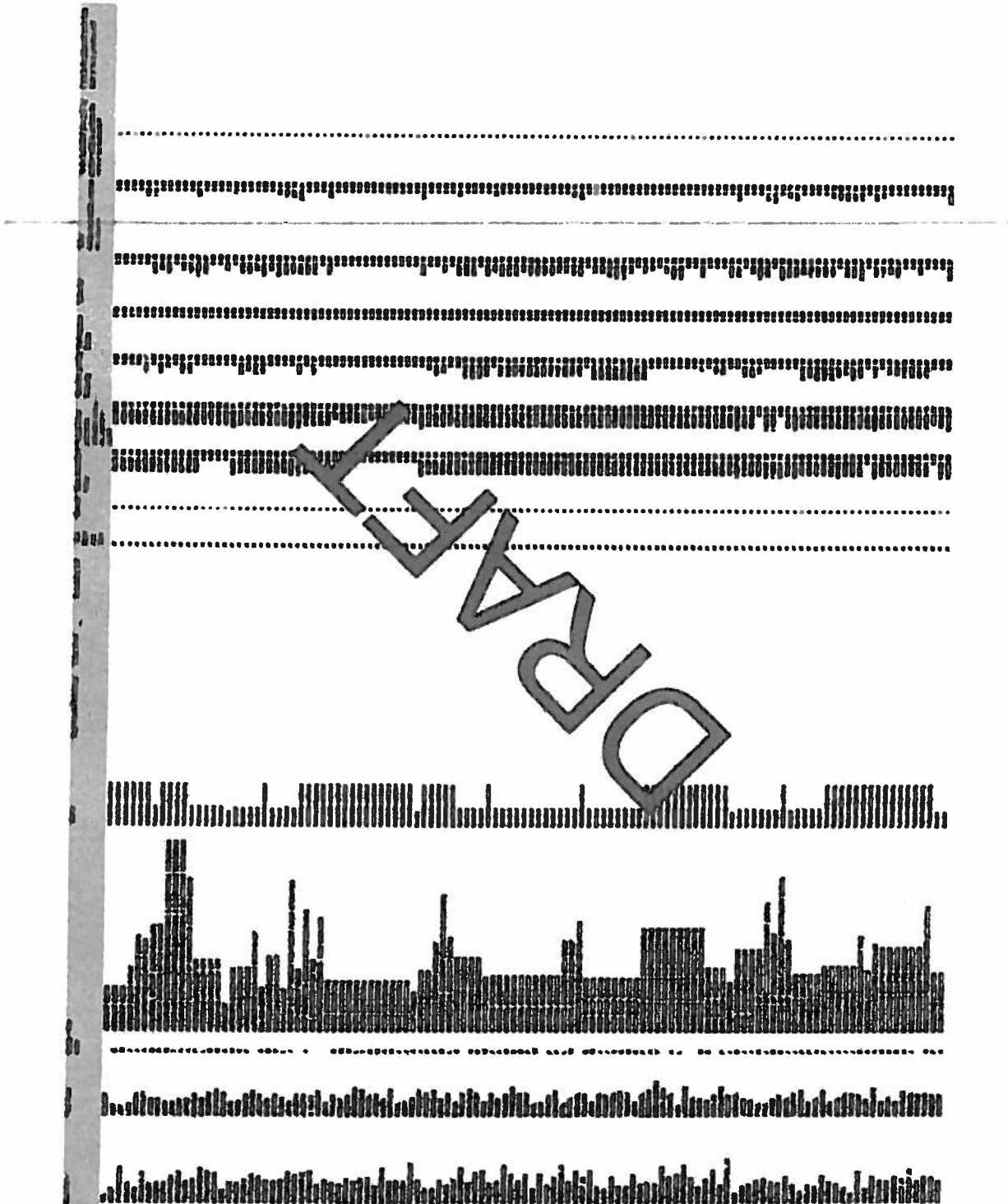
Last Name:
 First Name:
 Office:
 Authorized Salary Range: -
 Total Compensation Range: -

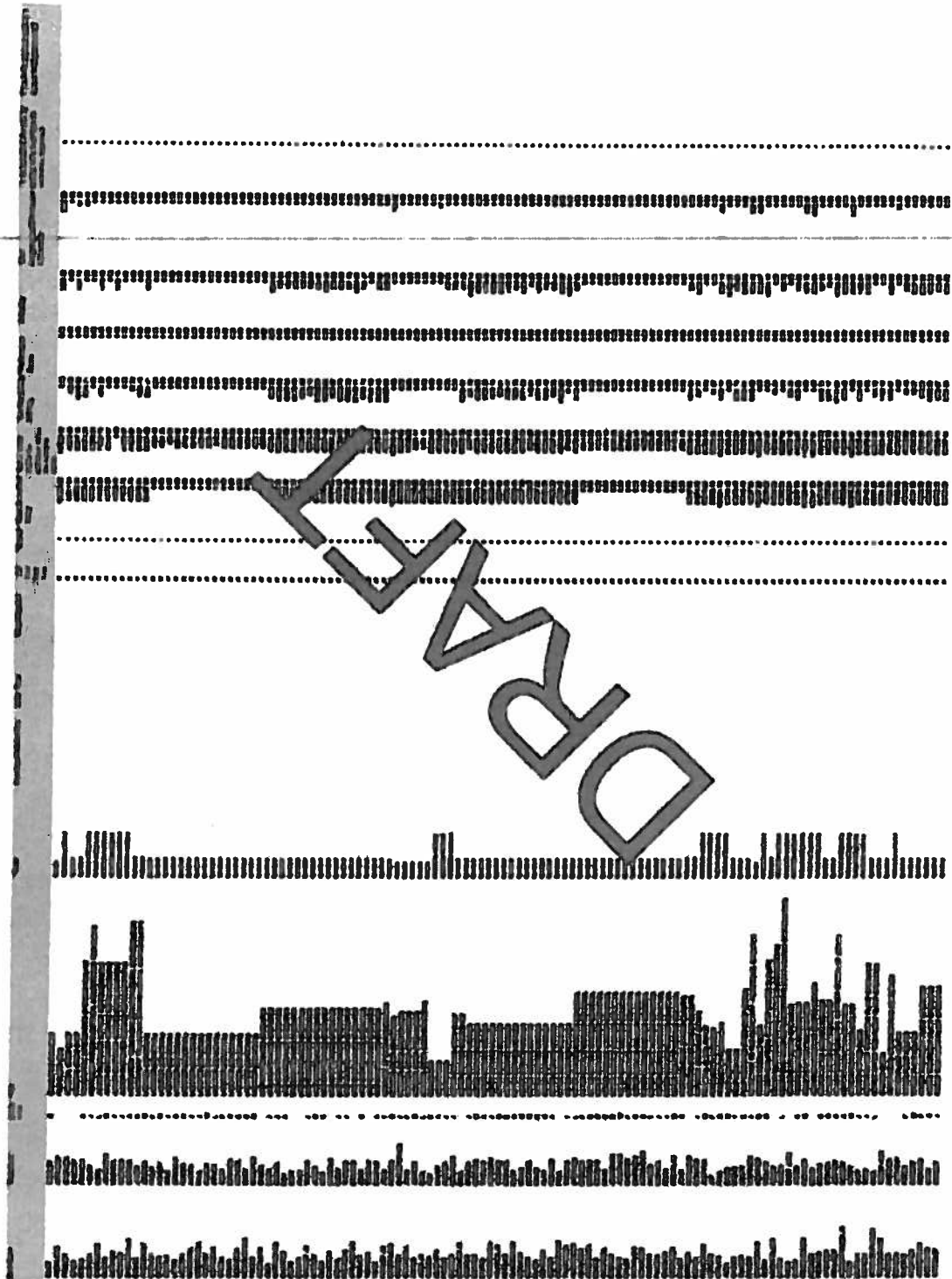
Search Results

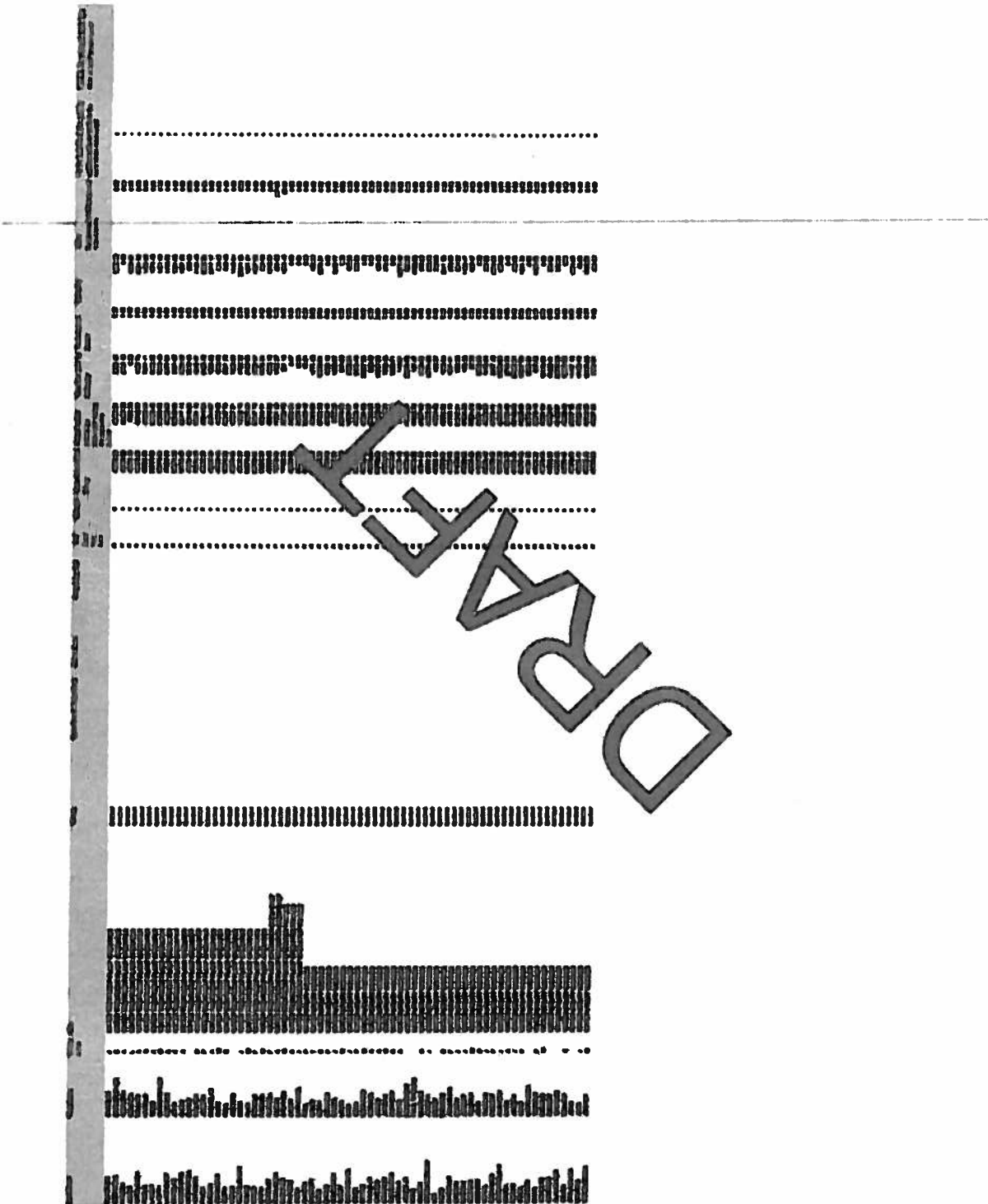
No Results Found

Action	Last Name	First Name	Title	Office	Authorized Salary	Total Compensation
Search	Clear	Print	CDL	No Staff		

[Click here for options](#)







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PDF24 | Download | Submit by March 31st | Search for Authority | Annual Report | Performance Report | Compliance Report | Certified Financial Audit | Version 3.0.0

Operator Information (Public-Visible)
 Compliance Information (Internal-Visible)
 Board of Directors
 Staff
 Results Information
 Substantive Compliance
 GSA Verification
 Current Data
 Real Property
 Nonreal Property
 Personal Property
 Property Disposition

Sanitary Financial Information

Sanitary Water Authority (2013)
 Fiscal Year End Date: 12/31/2013
 Status: Draft

SUMMARY FINANCIAL INFORMATION

SUMMARY STATEMENT OF NET ASSETS

Assets	2013	2012
Current Assets		
Cash and cash equivalents	\$1,000,000.00	\$1,000,000.00
Receivables	0.00	0.00
Prepayments, net	4,400,000.00	4,400,000.00
Other assets	10,000,000.00	10,000,000.00
Total Current Assets	15,400,000.00	15,400,000.00
Investment Assets		
Investment with and without	25,000,000.00	25,000,000.00
Long-term investments, net	0.00	0.00
Other assets	0.00	0.00
Total Investment Assets	25,000,000.00	25,000,000.00
Land and other nondepreciable property		
Buildings and equipment	10,000,000.00	10,000,000.00
Infrastructure	10,000,000.00	10,000,000.00
Accumulated depreciation	10,000,000.00	10,000,000.00
Net capital assets	10,000,000.00	10,000,000.00
Total Nondepreciable Assets	30,000,000.00	30,000,000.00
Total Assets	70,400,000.00	70,400,000.00
Liabilities		
Current Liabilities		
Accounts payable	4,400,000.00	4,400,000.00
Payable to other agencies	0.00	0.00
Other payables	0.00	0.00
Total Current Liabilities	4,400,000.00	4,400,000.00
Long-term Liabilities		
Long-term debt	1,000,000.00	1,000,000.00
Other long-term liabilities	1,000,000.00	1,000,000.00
Total Long-term Liabilities	2,000,000.00	2,000,000.00
Total Liabilities	6,400,000.00	6,400,000.00
Net Assets		
Restricted to capital assets, net of related debt	25,000,000.00	25,000,000.00
Unrestricted	10,000,000.00	10,000,000.00
Total Net Assets	35,000,000.00	35,000,000.00
Revenues	2013	2012
Operating Revenues		
Charges for services	10,000,000.00	10,000,000.00
Grants & financing income	10,000,000.00	10,000,000.00
Other operating revenues	10,000,000.00	10,000,000.00
Total Operating Revenues	30,000,000.00	30,000,000.00
Operating Expenses		
Salaries and benefits	10,000,000.00	10,000,000.00
Other operating expenses	10,000,000.00	10,000,000.00
Depreciation and amortization	10,000,000.00	10,000,000.00
Capital expenditures	10,000,000.00	10,000,000.00
Other operating expenses	10,000,000.00	10,000,000.00
Total Operating Expenses	50,000,000.00	50,000,000.00
Operating Income (Loss)	(20,000,000.00)	(20,000,000.00)

Transportation Revenue	
Interstate earnings	453,747.00
State suballocations	0.00
Federal suballocations	0.00
Portugal suballocations	0.00
Public authority subsidies	0.00
Other transportation revenue	215,164.00
Total Transportation Revenue	668,911.00
Transportation Expenses	
Tolls and other financing charges	1,345,254.00
Subsidies to other public enterprises	0.00
Grants and donations	0.00
Other transportation expenses	0.00
Total Transportation Expenses	1,345,254.00
Revenue (Loss) Before Contributions	6,400,655.00
Capital Contributions	6,399,043.00
Change in net assets	1,601,612.00
Net assets (deficit) beginning of year	284,472,680.00
Other net assets change	0.00
Net assets (deficit) at end of year	286,074,292.00

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229 (Rev. 10/2014) WJG/JPB

POSTAL Environment Authority Name State County City Authority Output Output	Current Date	Reported Report	Development Report	Development Report	Certified Financial Audit Version 3.0.0
Comprehensive Information (Authority-Initiated) Comprehensive Information (Authority-Initiated) Board of Directors Staff General Information Subcommittee/Committee One Worksheet Comprehensive Information Let me Let How Often Information Schedule of Data Real Property Acquisition/Transfer Personal Property Personal Property Information	CURRENT DEBT				

One County Water Authority (2021)
 Fiscal Year End Date: 12/31/2021
 (When Completed)

1. If this question is asked, "Yes," select "Yes" and enter the Current Date function.
 If Question 1 is "Yes" and Question 2 is "Yes," select "Yes" and then select the "Schedule of Debt" link and complete the schedule of debt function.
 If both questions are answered "Yes," select "Yes," then select the "How Often" function, and then complete the schedule of debt function.

2. If the Authority has any outstanding debt, including current debt, at any point during the reporting period?
 Yes ☒ No ☐
 3. If yes, has the Authority issued any debt during the reporting period?
 Yes ☒ No ☐

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PD010 | Dashboard | Authority Access Page | Search for Authority | Annual Report | Procurement Report | Development Report | Certificate of Financial Audit | Version 3.0.0

Real Property Acquisition/Disposal

County Information (Mandatory)

County Information (Optional)

State of Division

Staff

Security Information

Subsidiary/Component Unit Information

Security Clearance Information

Current Date

File Properties

Approved Property Disposal

Property Documents

REAL PROPERTY ACQUISITION/DISPOSAL LIST

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

Go to Table

One County Order Authority (0021)
Report Year End Date: 12/31/2013
Status: Unpublished

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VIEW PROPERTY DOCUMENTS
Property Documents are updated automatically.

1. In accordance with Section 209(2) of the LGA, the authority is required to prepare a report on the status 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.nyc.gov/finance/realproperty/](#)

2. Has the authority prepared policies, procedures, or guidelines regarding the use, recording, monitoring, and reporting of changes for the acquisition and disposal of property?
 Yes ☒ No ☐
 If Yes, provide the URL link to the document below:
[http://www.nyc.gov/finance/realproperty/](#)

3. In accordance with Section 209(2) of the LGA, has the authority named a controlling officer who shall be responsible for the authority's compliance with and enforcement of such provisions?
 Yes ☒ No ☐

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Procurement Report Instructions

Sections 83(9) and 83(10)(b) 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 entry on the left.

The required information can be entered and saved, but the authority is not considered to be in compliance until the OSC, CPO or another designated official acknowledges that the information contained in this application is complete and accurate. To submit this information, select and complete the Procurement Report Submitted tab.

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Version 3.0.0
 One County Water Authority (0001)
 Fiscal Year End Date: 12/31/2013
 Status: Unsubscribed

SEARCH PROCUREMENT TRANSACTIONS

Enter all procurement transactions again 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 enter previously entered data into the search reporting period for editing, select the "Copy Forward" button. To ensure that the authority has no open procurement transactions, select the "No Transactions" button.

To enter a list of all procurement transactions, enter the authority ("A") in the "Vendor Name" field, then select "Vendor". To conduct a partial-name search, you must also include the authority. For example, to enter a list of all vendors whose names contain the letter "A", you would enter "A" in the "Vendor Name" field. 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 "New Contract Procurement/Purchase Order" and "Modified Vendor State Contract" transactions of 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.

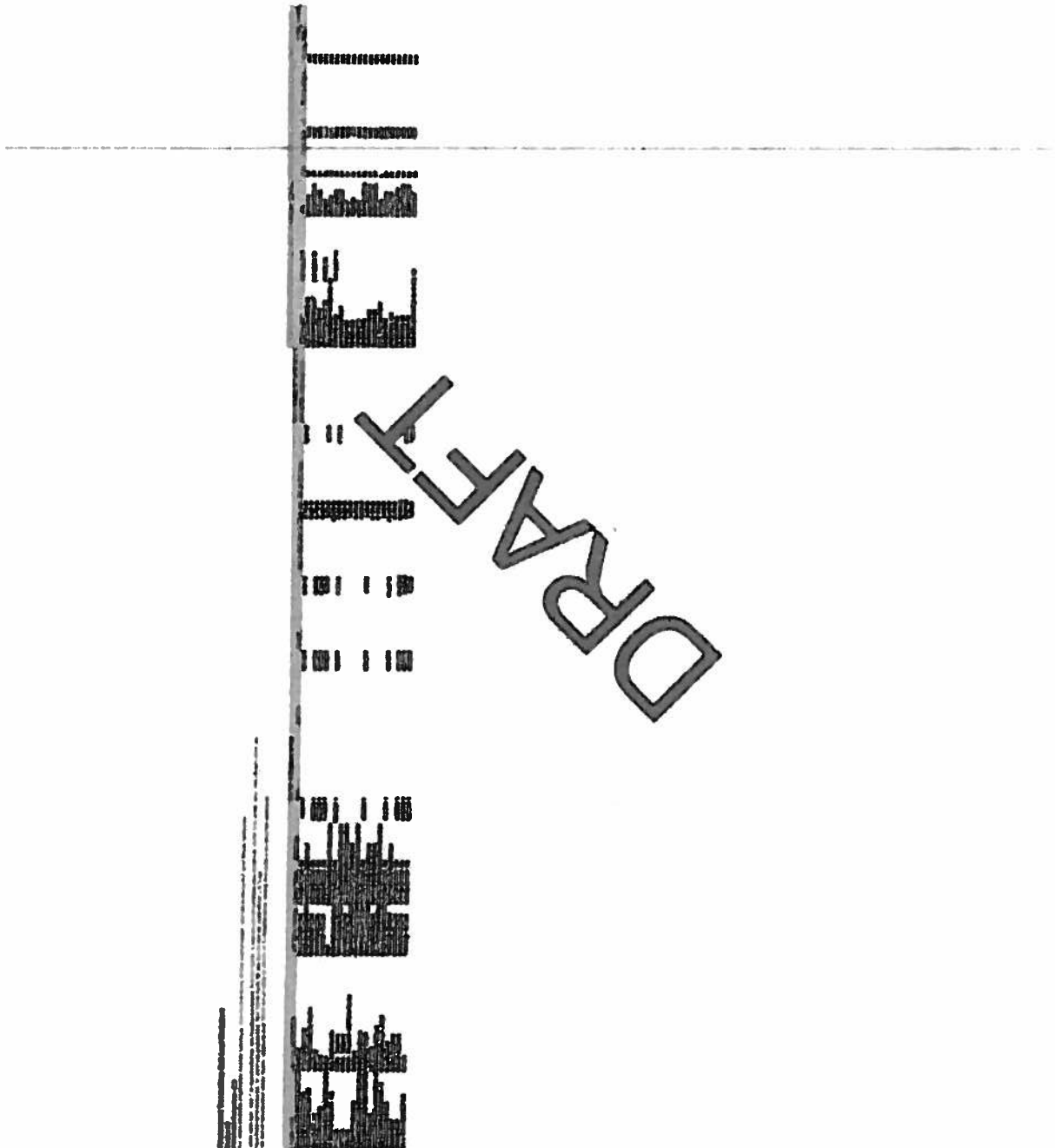
Vendor Name:
 Award Worksheet: Award Purchase:
 Award Date From: Award Date To:

Search Results
 No Items Found

No.	Name	Amount	Vendor Name	Status	Award Date
Submit Clear Cancel Copy Forward No Transactions					







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Dashboard Investment Report Annual Report Investment Report Investment Report Investment Report	Investment Report
Investment Report Investment Report Investment Report Investment Report Investment Report Investment Report	Investment Report
Investment Report Instructions Section 2020 of the Public Authorities Law requires public authorities to adopt and annually review and approve comprehensive investment guidelines and reports. To enter this information, click on the steps on the left. The required information can be entered and saved, but the authority is not considered to be in compliance until the OSC, CFO or another designated officer acknowledges that the information contained in the information is complete and accurate. To submit the information, click on the Submit button at the bottom of the page. Submit	

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[Investment Information](#) | [Investment Information](#) | [Investment Information](#) | [Investment Information](#) | [Investment Information](#) | [Investment Information](#) | [Investment Information](#) | [Investment Information](#)

One County Water Authority (2013)
 Fiscal Year End Date: 12/31/2013
 Status: Unpublished

VIEW INVESTMENT INFORMATION

Investment Information was created automatically.

Annual Investment Report

• 1. Has the authority prepared an Annual Investment Report for the reporting period as required by section 200(2)(b) of the L?

Yes ☒ No ☐

If Yes, provide the URL link to the document below
[http://www.water.ny.gov/InvestmentReport.pdf](#)

• 2. Are the authority's estimates prepared and approved annually? **Investment Guidelines**

Yes ☒ No ☐

Investment Audit Report

• 3. Did the authority have an independent audit of investments as required by section 200(2)(c) of the L?

Yes ☒ No ☐

[http://www.water.ny.gov/InvestmentAudit.pdf](#)

• 4. Has the authority's independent auditor issued a management letter to the authority in connection with the annual audit of investments? **Management Letter**

Yes ☒ No ☐

[http://www.water.ny.gov/InvestmentManagementLetter.pdf](#)

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[Financial Statements](#) | [Select Fiscal Year](#)

One County Water Authority (0001)
 Fiscal Year End Date: 12/31/2013
 Status: Production

Certified Financial Audit

Instructions

Section 2003 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, click on the links 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 the information, click and complete the Certified Financial Audit Submittal box.

DRAFT

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[Account Settings](#) | [Financial Documents](#)

One County Water Authority (00201)
Fiscal Year End Date: 12/31/2013
Status: Unpublished

ENTER FINANCIAL DOCUMENTS

*** Required Field**

To enter a document that requires a URL, file and an attachment:

1. Answer the questions by clicking "Yes" or "No".
2. Enter a URL, file, attach the document or document.
3. Click the "Submit" button to open the "Current Document List". Highlight the appropriate file, then select the "View" button. The path of the file will be placed in the "Document Path" field.
4. Click the "Update to List" button. When the upload has completed successfully, all text boxes will be cleared and a new report will appear in the "Current Document List" at the top of the page.

No Items Found Current Document List

Action	Document Name	Document Type	Date Added	URL
Audit Report 1. Attach the independent audit of the authority's financial statements. Provide the URL, file to the document and attach the document below. View / Download / Upload Document Audit Report Document Type: Audit Report Upload Document: Upload Document				
Management Letter 2. Attach the authority's independent audit report or a copy of the audit report to the audit of the authority's financial statements. If Yes, provide the URL, file to the document and attach the document below. View / Download / Upload Document Management Letter Document Type: Management Letter Upload Document: Upload Document				
Internal Controls 3. Attach the authority's independent audit report or a copy of the audit report to the audit of the authority's financial statements. If Yes, provide the URL, file to the document and attach the document below. View / Download / Upload Document Internal Controls Document Type: Internal Controls Upload Document: Upload Document				
Additional Communications 4. Attach any additional communication required or allowed by government auditing standards issued by the Comptroller General of the United States to be issued by the authority's independent auditor to correction with the annual audit of the authority's financial statements. Additional Communications Document Type: Additional Communications Upload Document: Upload Document				

[Cancel](#)

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.	2	1		
The policies, practices and decisions of the Board are always consistent with this mission.	2	1		
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.	2	1		
The Board sets clear and measurable performance goals for the Authority that contribute to accomplishing its mission.	2	1		
The decisions made by Board members are arrived at through independent judgment and deliberation, free of political influence or self-interest.	3			
Individual Board members communicate effectively with executive staff so as to be well informed on the status of all important issues.	2	1		
Board members are knowledgeable about the Authority's programs, financial statements, reporting requirements, and other transactions.	2	1		
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.	2		1	
The Board knows the statutory obligations of the Authority and if the Authority is in compliance with state law.	2		1	
Board and committee meetings facilitate open, deliberate and thorough discussion, and the active participation of members.	2	1		
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.	2	1		
The Board exercises appropriate oversight of the CEO and other executive staff, including setting performance expectations and reviewing performance annually.	2	1		
The Board has identified the areas of most risk to the Authority and works with management to implement risk mitigation strategies before problems occur.	2	1		
Board members demonstrate leadership and vision and work respectfully with each other.	2	1		

Name of Authority: ERIE COUNTY WATER AUTHORITYDate Completed: MARCH 18, 2014

AUTHORITY MISSION STATEMENT AND PERFORMANCE MEASUREMENTS

NAME OF PUBLIC AUTHORITY: ERIE COUNTY WATER AUTHORITY

PUBLIC AUTHORITY'S MISSION STATEMENT:

THE ERIE COUNTY WATER AUTHORITY IS AN ORGANIZATION OF DEDICATED PROFESSIONALS WHO STRIVE TO CONTINUOUSLY PROVIDE OUR CUSTOMERS WITH A PLENTIFUL SUPPLY OF SAFE, CLEAN DRINKING WATER AT AN AFFORDABLE RATE.

WE ARE UNITED IN ONE GOAL – TO DELIVER A SUPERIOR PRODUCT AND OUTSTANDING SERVICE THAT MERITS EQUAL RECOGNITION FROM OUR CUSTOMERS AND OUR PEERS. WE TAKE PRIDE IN CREATING A WORK ENVIRONMENT THAT ACHIEVES EXCELLENCE THROUGH REWARDING DEDICATION, PROFESSIONALISM AND A PROGRESSIVE VISION

DATE ADOPTED: FEBRUARY 24, 2011

LIST OF PERFORMANCE GOALS:

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.**

PERFORMANCE MEASUREMENTS

1.(a) Affirmation of credit ratings from bond rating firms

2.(a) The Authority has adopted "Management by Objectives" and each department has established goals and objectives which are reviewed with the Board of Commissioners periodically and annually.

(b) 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.

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.

4.(b) The Authority regularly participates in an industry wide benchmarking survey prepared by the American Productivity and Quality Center using Qualserve Performance indicators for water and wastewater utilities.

4.(c) The Authority has commissioned several customer surveys focusing on the customer's perception of the service they receive.

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 plan; approval of contracts that exceed \$5,000; approval of proposed collective bargaining agreements; approval of budget modifications in excess of approved threshold; 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.

V. - COMMUNICATIONS AND BILLS

VI. - UNFINISHED BUSINESS

VII. - NEW BUSINESS

VIII. - ADJOURNMENT

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

**Matthew J. Baudo
Secretary to the Authority/Personnel
Director**

SLZ

3/20/14