



## **MEETING NOTICE**

**Thursday, March 24, 2022  
Warneck Pump Station  
23557 NYS Rt. 37  
Watertown, New York**

**Zoom Videoconference &  
Conference Room 1**

**Board of Directors – 10:00 AM**

Pursuant to Open Meetings Law, members of the public have the right to attend the Meeting telephonically via Zoom by dialing into the following access line, or view the proceedings using the following link:

**Dial In Number: 1-646-876-9923 Meeting ID: 844 8990 4233 Passcode: 145044**

**<https://us02web.zoom.us/j/84489904233?pwd=VzdDNTk0WjVPVC9GK2ptOXpHM2Q4dz09>**

**The Public May View and Listen to the Meeting  
Live Stream at [www.danc.org](http://www.danc.org).**



**AGENDA**  
**BOARD OF DIRECTORS MEETING**  
**Thursday, March 24, 2022 – 10:00 AM**  
**Warneck Pump Station**  
**Conference Room 1 and Zoom Videoconference**  
**Watertown, New York**

1. Call to Order
2. Call the Roll
3. Privilege of the Floor
4. Approve the Minutes of February 24, 2022 Board Meeting
5. Chairperson's Report
  - a. Resolution No. 2022-03-21, Memorializing Alfred E. Calligaris, Development Authority Board Member and Former Chairman
6. Executive Director's Report
  - a. Performance Measurements Report – FYE 2022
  - b. Mission Statement and Performance Measurements – FYE 2023
  - c. Executive Director Report
7. Finance Report – Chief Financial Officer
  - Approving Financials for the month ending January 31, 2022
8. Governance
  - a. Resolution No. 2022-03-22, Authorizing the Write-Off of Certain Loan Receivables as Bad Debts
  - b. Resolution No. 2022-03-23, Authorizing the Write-Off of Certain Accounts Receivable as Bad Debts.
  - c. Resolution No. 2022-03-24, Approving Modifications to Personnel Policy
  - d. Resolution No. 2022-03-25, Office Space Lease, St. Lawrence County, Development Authority of the North Country
9. Finance
  - a. Resolution No. 2022-03-26, Authorizing Professional Services Contracts

- b. Resolution No. 2022-03-27, Authorizing Standardized Computer Software Programs
- c. Resolution No. 2022-03-28, Standardizing Upon Certain Equipment for Use in Relation to the Material Management Division
- d. Resolution No. 2022-03-29, Standardizing Upon Certain Equipment for Use in Relation to the Open Access Telecommunications Network
- e. Resolution No. 2022-03-30, Standardizing Upon Certain Equipment for Use in Relation to the Water Quality Management Division

## 10. Technical Services Summary Report

- a. Jefferson / St. Lawrence County, Municipalities of Lewis County –
  - I. Village of Potsdam, Technical Services Agreement, Underwriting – DRI Rebuild Downtown Potsdam Fund, Total Agreement Amount of \$20,000, 03/01/22 – 12/31/24, St. Lawrence County
  - II. Town of Clifton, Operation & Maintenance Agreement, Town of Clifton – Newton Falls Wastewater Services, Total Agreement Amount of \$115,851, 4/1/22 – 3/31/2027, St. Lawrence County
  - III. Village of Sackets Harbor, SCADA Services Agreement, Sackets Harbor SCADA Computer Upgrade SSA, Total Agreement Amount of \$20,000, 4/1/22 – 12/31/2022, Jefferson County
  - IV. Town of Parishville, SCADA Services Agreement, Parishville Water Plant Control Panel SCADA Services, Total Agreement Amount of \$46,195, 4/1/22 – 12/31/2022, St. Lawrence County
  - V. Town of Louisville, Technical Services Agreement, Water Systems Improvements Amendment 2, Total Agreement Amount of \$34,500, 3/1/22 – 3/31/2023, St. Lawrence County
  - VI. Village of Heuvelton, Technical Services Agreement, Water Improvements Amendment 4, Total Agreement Amount of \$82,000, 4/1/22 – 12/31/22, St. Lawrence County
  - VII. Village of Heuvelton, Technical Services Agreement, Wastewater Treatment Plant Municipal Restructuring Amendment 3, Total Agreement Amount of \$105,000, 4/1/22 – 12/31/23, St. Lawrence County

## 11. Engineering

- a. Resolution No. 2022-03-31, Technical Services Agreement, Town of Tupper Lake, GIS Services for Regional GIS Data Development Project

12. Water Quality

- a. Resolution No. 2022-03-32, FY 2022 Army Sewer Line Operating Budget, Amendment

13. Regional Development

- a. Loan Report
- b. Resolution No. 2022-03-33, Community Development Loan Fund, Lewis County Development Corporation, Loan Modification
- c. Resolution No. 2022-03-34, Community Rental Housing Program, S&J Properties of Watertown LLC, Loan Modification
- d. Resolution No. 2022-03-35, North Country Value Added Agricultural Loan Fund, North Country Redevelopment Fund, North Country Tourism Community Transformational Loan Fund, Affirm Loan Approval Process

14. Executive Session – to discuss the sale or purchase of real property

15. Report of the Nominating Committee

- a. Election of Officers

16. Authority Board Meeting Dates – FYE 2023

17. Adjourn



**MINUTES**  
**BOARD OF DIRECTORS MEETING**  
**Thursday, February 24, 2022 – 10:00 AM**  
**Dulles State Office Building**  
**317 Washington Street, Watertown, New York**

The Development Authority of the North Country Board of Directors met in regular session in person and via Zoom Videoconference at the Dulles State Office Building, 317 Washington Street, Watertown, New York on Thursday, February 24, 2022 at 10:00 am.

**Members Present**

Voting

Margaret Murray, Vice Chairperson  
Dennis Mastascusa  
Mary Doheny  
Mark Hall  
Thomas Hefferon  
Alex MacKinnon  
Eric Virkler

Non-Voting

Stephen Hunt  
James Hollenbeck  
Brian McGrath

**Members Absent**

Alfred Calligaris  
Nancy Henry

**Staff Present:**

Carl Farone, Executive Director  
Jennifer Staples, Chief Financial Officer  
Carrie Tuttle, Chief Operating Officer  
Stephen Bohmer, Director of Information Technology  
Dawn Caccavo, Comptroller  
Michelle Capone, Director of Regional Development  
Kevin Feuka, Director of Engineering  
Laurie Marr, Director of Communications and Public Affairs  
Brian Nutting, Director of Water Quality  
Patricia Pastella, Director of Materials Management  
David Wolf, Director of Telecommunications  
Regina Rybka-Lagattuta, Director of Human Resources  
Angela Marra, Executive Assistant  
Katie Maitland, Administrative Assistant

**Guests:**

Jennifer Granzow, Counsel, Wladis Law Firm

1. Vice Chairperson Murray called the meeting to order at 10:02 AM.
2. Vice Chairperson Murray requested a roll call.

- A quorum of voting and non-voting members was established.
3. Privilege of the Floor was offered  
J. Granzow stated that according to the Authority By-Laws, when there is an absence of a chairperson of the board, the vice chair steps in to run the meeting and today that will be M. Murray. J. Granzow asked that if there are any questions, please call her following the meeting.
  4. Upon a motion by D. Mastascusa, and seconded by A. MacKinnon, the minutes from the December 16, 2021 Board Meeting, were approved.

M. Hall abstained as he was not in attendance.

## 5. Chairperson's Report

### a. St. Lawrence County Appointments

M. Murray welcomed M. Hall, who has been recently appointed by St. Lawrence County to the Development Authority Board. She further announced that A. MacKinnon has been reappointed. Both Board positions are four year terms.

M. Hall offered his appreciation, and offered a brief introduction about himself and his experience. He has served on the Town of Fine Board for 13 years, 8 of those years he served as town supervisor. He has owned a contracting business, and been a water operator for the Star Lake water district in the Town of Fine since 2007. He is familiar with many services offered by the Development Authority, and is also a member of the St. Lawrence County IDA and the Adirondack Park Agency.

- b. Resolution No. 2022-02-01, formally conveying the Development Authority of the North Country's most sincere gratitude to Frederick J. Carter, Sr. for 17 years of dedicated service in advancing the interests of the North Country was read aloud in its entirety by C. Farone.

Upon a motion by A. MacKinnon, and seconded by D. Mastascusa, Resolution No. 2022-02-20, Recognizing Frederick J Carter, Sr. Board of Directors, 2004 - 2022, was unanimously approved.

A. MacKinnon stated that he would like to thank Fred Carter for his service to the Development Authority. The process to decide where we are now was difficult but clean, and he welcomes M. Hall to the table.

- c. M. Murray appointed the following Board Members as the nominating committee of Board Officers for fiscal year ending 2023.
  - Alex MacKinnon
  - Tom Hefferon
  - Dennis Mastascusa
  - Jim Hollenbeck

## 6. Executive Director's Report

a. COVID Update –

The Authority COVID team removed the mask mandate yesterday based on favorable trends within the counties and the Authority itself. 93% of our employees are vaccinated and 6 employees have exemptions making the Authority 100% compliant. Over the past two years the Authority's facilities have stayed 100% operational. We will continue to monitor COVID and as things change we may need to change the protocol again, but there appears to be a light at the end of the tunnel.

b. Telecommunications Committee Update –

C. Farone reported and invited B. McGrath as the telecommunications committee chair to comment as well. The telecommunications committee has drafted a work-plan to retain a telecommunications consultant to evaluate current operations and business strategy of the Development Authority's Telecommunications Division and make recommendations for a five year strategic plan. The telecommunications committee has drafted a request for proposals (RFP), and will provide feedback to Authority staff. We hope to have the RFP released within the next week and can then hire the consultant and begin the process. C. Tuttle and D. Wolf's staff have done a great deal of work in gathering information about other entities that provide these services.

c. Telecom – NCTP/ACTION Networks

These networks represent 82 rural hospitals and clinics. The Authority has been providing them with broadband services since 2009. We have been awarded a three year contract to continue providing reliable broadband services.

B. McGrath commented that in the process of working on the telecommunications committee, he needs to emphasize how lucky the Authority is to have D. Wolf's talents. He, along with C. Farone and C. Tuttle have been invaluable in helping us understand our network and the issues.

C. Farone stated that D. Wolf is the subject matter expert in this area and we are learning that people across the state are reaching out to D. Wolf for help. The Authority is extremely fortunate for D. Wolf and his entire team.

d. Minority and Women Business Enterprise (MWBE) Report Card -

Each year we receive a report card rating our progress for meeting the MWBE goal. For quarters 1 and 2 of fiscal year 2021 we have received an A+ rating. This is a coordinated effort between J. Staples, our procurement coordinator L. Petrie, and all the division managers to ensure we are procuring goods and services from minority and women owned businesses when we can.

7. Finance Report – Chief Financial Officer

J. Staples reviewed the December 31, 2021 financial information. On the statement of net position under assets and liabilities there is a total decrease of \$3.7 million from March 31, 2021. Under assets, loan receivables decreased by \$3 million as a result of two loans under the affordable house program being paid in November. We also see investments decreasing by \$11.7 million due to money moving to the closure and liner reserves, which in turn increased the restricted assets. Under liabilities the liner

reserve and undesignated funds both show an increase. The closure pre-funding is currently showing under undesignated funds. In the January financials we'll see the money separated out under a line item for restricted funds. Capital reserve and wetland mitigation decreased reflecting the move to the liner and the closure pre-funding as approved by the Board in August of 2021.

Within the Change in Net Position, operating revenue is over by \$1 million, MMF customer billing is over by \$500,000, and telecom customer billing is over by \$387,000. MMF customer billing is over, due to the increased waste volume of 14,682 tons more than projected. MSW waste was over by 9,166 tons and asbestos was over by 3,616 tons. Telecom customer billings were over due to dark fiber billing. Under expenses we are running over budget in community benefits by \$84,000 because MMF is over in projected tons and we are paying more in community benefits to Rodman. The balance of community benefits is in regional development and paid in one lump sum. Under regional development this expense will be equal to the full budget at the end of the year. Under non-operating revenue, interest income continues to trend lower than budget as interest rates remain at low levels. The overall year to date change in net position is a positive \$340,000, as opposed to a budgeted loss of \$2.4 million,

Upon a motion by E. Virkler, and seconded by A. MacKinnon, Financials ending December 31, 2021, was unanimously approved.

#### 8. Governance –

- d. Resolution No. 2022-02-01, approves the Disposition of Real Property Policy without modification.

Upon a motion by D. Mastascusa, and seconded by A. MacKinnon, Resolution No. 2022-02-01, Approving Disposition of Real Property, was unanimously approved.

- e. Resolution No. 2022-02-02, approves the Investment Policy as modified.

C. Farone noted a small change within the policy adding the deputy comptroller or accountant I to track, reconcile, and record entities. Appropriate segregation of duties will continue but this duty is specifically split between the deputy comptroller and the accountant I and needed to be included in the policy.

Upon a motion by E. Virkler, and seconded by M. Hall, Resolution No. 2022-02-02, Approving Investment Policy, was unanimously approved.

- f. Resolution No. 2022-02-03, approves the Procurement Policy without modification.

Upon a motion by A. MacKinnon, and seconded by E. Virkler, Resolution No. 2022-02-03, Approving Procurement Policy, was unanimously approved.

- g. Resolution No. 2022-02-04, authorizes the Executive Director to approve compensation adjustments effective for the Fiscal Year 2022-2023, commencing April 3, 2022 within the budgetary authorizations and consistent with Authority personnel policies authorized by the Board.

Upon a motion by D. Mastascusa, and seconded by E. Virkler, Resolution No. 2022-02-04, Authorizing Executive Director to Implement Compensation Plan, was unanimously approved.

## 9. Water Quality –

### a. Army Water Line Pipeline Integrity Analysis Results Presentation – COO

C. Tuttle reviewed the results of the pipeline integrity analysis for the Board. She explained the tools that were used, how the assessment was done, and what the findings were.

C. Tuttle provided a background of the Army Water Line in stating it was constructed in 1990 for Fort Drum, but also provides service to the towns of Champion, LeRay, and Pamelaia. The line consists of 11.2 miles of 20 inch iron pipe with two booster pump stations. During a project being done in 2019, pitting and deterioration was noticed in some of the pipe that caused concern. The noted damage resulted in an evaluation done in 2020 to assess the integrity of the water line. M. Capone and her staff were successful in applying for funding from the Office of Local Defense Community Cooperation in the amount of \$1.2 million for the Authority to complete this evaluation.

The first step was to evaluate and determine which option would be used to perform the assessment. A newer technology option was selected that allowed the line to stay in service during the evaluation. A free swimming ultrasonic scanning tool that measures pipe wall thickness, identifies defects from the interior of the pipe, and keeps services online was selected. Pictures were projected to show the actual pipe diver.

A. Mackinnon asked if the water needed to be shut off to insert the device, or if there was a locking mechanism. C. Tuttle responded they were able to close some valves and insert the pipe diver in a location where those valves had been replaced with no disruption at all. A. MacKinnon asked if it worked like a loch, and propelled itself by the water movement. C. Tuttle responded yes.

C. Tuttle explained there is a small section between the City of Watertown's water treatment plant and booster pump station one where we did not have an access point. She continued by reviewing a map showing the majority of the line they were able to assess, and reviewed the results. Out of roundness was found to be greater than 3% only in 3 pipes out of the 3,181 total pipes. Pipe wall loss, or the measuring of the pipe thickness, was found to be a more significant item of concern as this will result in water line breaks. 667 pipes were found to have wall loss ranging from 15% to 95% which is very concerning and needs to be addressed. To verify these results, six locations that reported significant corrosion were dug up so we could see if the pipe condition matched the evaluation's results. In every situation the data was confirmed.

M. Hall asked if the data that was provided to us was so specific that we could go to that exact point. C. Tuttle responded yes, the equipment used a GPS locator that would tell us the location down to 1/10<sup>th</sup> of a foot.

C. Tuttle further explained that we also wanted to look at why this is happening in these locations as this pipe should last much longer than it has. Soil samples were pulled to check for corrosive soil conditions or salt contamination. The areas where we have significant pipe loss also show corrosive soil conditions which would match why the pipe is deteriorating at an accelerated rate.

J. Hollenbeck asked if the pipes were bolted or welded together. C. Tuttle replied they are typically welded on straight line connections, and bolted where there are joints or bends.

C. Tuttle stated that based on the evaluation results we have put together a prioritization system. High priority would be where we have widespread and significant pipe corrosion located in corrosive soils. Medium priority is where we have areas of pipe corrosion located in moderately corrosive soils. Low priority would be those areas with few areas of pipe corrosion located in non-corrosive soils. Using the prioritization and evaluation data we identified the section along Patterson Road as high priority. Most other identified sections are medium priority, and if not identified on the map they are considered in good condition. Capital projects were defined based on the phases to be done in order of importance. Phase one will be accessing the section we weren't able to look at to determine the condition through more traditional methods, and replacing the high priority section along Patterson Road which is estimated at \$9.1 million. Phase two is the replacement of the medium priority sections and is estimated at \$10 million.

D. Mastascusa asked if soil samples were done on the section we couldn't get through. C. Tuttle explained they haven't done any exploration of that section, and they will be starting from scratch. An RFP has been issued to find a consultant to help us figure out the best way to do that assessment.

M. Hall asked if we knew why the soil was so corrosive in that section. C. Tuttle stated we don't know for sure, but it could be because it is along a road way. She further stated that sometimes the natural soil conditions are just corrosive.

C. Tuttle continued to explain the project funding. Fiscal year end 23 has a total of \$437,289 budgeted for debt service payments, which are for the last payment associated with the valve replacement project and \$100,000 in interest expense for the estimated phase one project. The total project budget for phase one is over \$9 million. We have two possible scenarios for funding this phase. The best case would be to receive a grant of \$400,000 through the OLDCC for engineering, which M. Capone and her staff have already applied for. This money would be used to progress the design and bid portion of the project. Another potential federal funding source could be DCIP, who could provide up to \$6.1 million. Conversations with Fort Drum and the funding agencies have all been positive and they think this is a great project, leaving us hopeful that we will receive some funding through these agencies. The balance that is not covered by a grant could be funded with subsidized state funding, such as New York State Environmental Facilities Corporation. They offer a subsidized rate and finance up to 30 years giving us an annual payment of \$124,000, which is much less than we have budgeted this year. The worst case scenario consists of no grant funding and all loan making our payment

about \$430,000, which is very close to what is budgeted for fiscal year end 2023.

J. Hollenbeck asked if that would be for just the 13,000 feet in phase one. C. Tuttle replied yes, this is only for the high priority phase one. The plan for phase two would be to pursue the same funding, however we have heard that \$10 million tends to be the cap for these grants. Phase two would be another \$10 million project, and we would pursue that after we work through this process. Ultimately we are trying to maximize the amount of grant funding that we can obtain so we can minimize the impact on our users.

The recommendation is to authorize utilization of approximately \$430,000 from the \$900,000 repair reserve to commence project engineering this month allowing us to proceed with the development of design and bid documents to replace 13,000 feet of iron pipe with HDPE that is not subject to corrosion. The reserve fund would be replenished from grant loan proceeds. We will also complete the assessment of section one and then proceed with construction which will progress through the fall of 2023.

C. Farone added a key element to this process is that we have reviewed this presentation with Fort Drum and they were complimentary about our proactive assessment. While no one wants to spend \$9.1 million, they understand the importance of having water and they support the project. They also support utilizing the \$900,000 Fort Drum reserve to commence this project.

M. Hall asked if any research has been done on pipe availability because there have been recent supply chain issues with HDPE pipe. C. Tuttle replied that we have not, and the prices are very volatile with the fuel pricing which is why we are progressing this as quickly as we can. The estimates are recent so it is the best information we have. With recent current events there could be impacts on this and we are not sure how that is going to play out. It will also depend on where the pipe is and what contractors have on hand.

- b. Resolution No. 2022-02-05, authorizes the establishment of a new capital project, Army Water Line Pipeline Replacement Phase 1 Design and Bidding with an established budget of \$429,328. It is further resolved that the Authority authorizes the use of the Army Water Line Replacement Reserve to immediately commence the project.

Upon a motion by M. Hall, and seconded by A. MacKinnon, Resolution No. 2022-02-05, Capital Project, Army Water Line Pipeline Replacement, Phase 1 Design and Bidding, was unanimously approved.

- c. Resolution No. 2022-02-06, authorizes the Director of Regional Development to submit an application to the Office of Local Defense Community Cooperation for up to \$429,328 comprised of up to a \$386,395 grant and \$42,933 in matching funds. It is further resolved to authorize the Director of Regional Development to execute the grant agreement with the Office of Local Defense Community Cooperation, if funded, and implement the grant.

Upon a motion by M. Hall, and seconded by E. Virkler, Resolution No. 2022-02-06, Army Water Line Pipeline Replacement Project, Office of Local Defense Community Cooperation, Grant, was unanimously approved.

- d. Resolution No. 2022-02-07, approves the relocation of and adjustment to Authority owned water mains and appurtenances and the work performed on the project and shown on the contract plans relating to the project and that the Development Authority of the North Country will maintain or cause to be maintained the adjusted facilities performed as stated within the resolution and shown on the contract plans. It is further resolved that the Executive Director has the authority to sign, with the concurrence of the Board of Directors, any and all documentation that may become necessary as a result of this project as it relates to the Development Authority of the North Country. Furthermore the Development Authority of the North Country is directed to transmit five (5) certified copies of this resolution to the New York State Department of Transportation.

Upon a motion by A. MacKinnon, and seconded by M. Hall, Resolution No. 2022-02-07, Regional Water Line, Granting the State of New York Authority to Perform Water Line Relocation/Adjustment and agreeing to Maintain Facilities Adjusted via State-Let Contract, Chaumont Bridge Crossing, was unanimously approved.

#### 10. Finance –

- C. Farone stated that the finance and budget committee met last week and reviewed the budget for all divisions in detail. Much time was spent going over the O & M Budgets, capital projects and various budget elements.
- a. Resolution No. 2022-02-08, approves and adopts the Administrative Budget Fiscal Year 2022-2023 and line items contained therein, as proposed. This resolution also approves the Administrative capital projects for the Fiscal Year 2022-2023 and authorizes the Executive Director to undertake and pay for such projects, including contracting. Furthermore capital funds that were previously approved but not fully executed are carried forward for use in Fiscal Year 2022-2023. The Schedule of Restricted / Board Designated Reserves are also approved in this resolution, as well as the ability to manage such reserves is delegated to the Executive Director who shall report such actions to the Finance Committee on a timely basis. The Fiscal Year 2022-2023 Administrative Allocations are approved and adopted, as well as the Audit Budget. This resolution authorizes the Executive Director to receive legislative initiatives on behalf of the Authority and to execute grant agreements and related documents with grant recipients as appropriate.

Upon a motion by E. Virkler, and seconded by D. Mastascusa, Resolution No. 2022-02-08, Administrative Budget, Capital Projects, Administrative Allocations and Audit Committee Budget, was unanimously approved.

- b. Resolution No. 2022-02-09, approves and adopts the Engineering Budget and line items contained therein, as proposed. This resolution also approves the Engineering capital projects for the Fiscal Year 2022-2023 and authorizes the Executive Director to undertake and pay for such projects, including contracting. This resolution further delegates the Executive Director to negotiate contracts and report such actions to the Board of Directors in a timely manner.

Upon a motion by A. MacKinnon, and seconded by M. Hall, Resolution No. 2022-02-09, Approving Fiscal Year 2022-2023 Engineering Division Operating Budget, Capital Projects and Reserve Designation, was unanimously approved.

- c. Resolution No. 2022-02-10, approves and adopts the Materials Management Division Budget and line items contained therein, as proposed. This resolution also approves the Materials Management capital projects for the Fiscal Year 2022-2023 and authorizes the Executive Director to undertake and pay for such projects, including contracting. Furthermore capital funds that were previously approved but not fully executed are carried forward for use in Fiscal Year 2022-2023. This resolution also approves the tipping fees at \$47.00 per ton for municipal waste, construction and demolitions, and ash and increasing to \$50.00 per ton effective January 1, 2023; \$36 per ton for non-beneficial use sludge, industrial waste and sewage sludge; \$18 per ton for nonhazardous petroleum, contaminated soil increasing to \$20.00 per ton effective January 1, 2023; \$17.50 per ton for beneficial use sludge increasing to \$20.00 per ton effective January 1, 2023; \$200 per ton for friable asbestos (one ton minimum); \$80 per ton for friable asbestos-contaminated construction debris or other waste that requires special handling protocol. This resolution extends the Community Improvement Program for Fiscal Year 2022-2023 at \$31.50 per ton up to 15,000 tons of demolition waste, and the Residential Cleanup Program shall be extended for Fiscal Year 2022-2023 at \$36.00 per ton up to 2,500 tons. Reserve requirements per ton as included in the tipping fees shall be \$5.00 for Replacement, \$3.50 for Closure, and \$6.00 for Liner. Pursuant to the Host Community Agreement with the Town of Rodman, estimated host benefit fees and gas to energy revenue sharing for Fiscal Year 2022-2023 total \$872,964. The resolution further delegates the authority to establish tipping fees, special condition fees, manage reserves, establish host community agreements and negotiate multi-year hauler contracts to the Executive Director to be reported to the Facilities Committee in a timely manner.

Upon a motion by A. MacKinnon, and seconded by E. Virkler, Resolution No. 2022-02-10, Approving Fiscal Year 2022-2023 Materials Management Division Operating Budget, Capital Projects, Reserve Requirements, and Tipping Fees, was unanimously approved.

A. MacKinnon asked when the last tip fee increase was. C. Farone replied that there was an increase this past year, and prior to that there was an increase in 2012.

A. MacKinnon commented that when our landfill operation is compared to others he has seen, it is a perfectly maintained operation. He offered his complements to those who run it and further stated pricing will be a challenge, but ours is still the least costly of all the landfills.

C, Farone stated that from a staff perspective, a tiered approach was the right approach so we can continue to evaluate and become more efficient. If we find things that can improve our cost we will do that in an effort to keep the rates from increasing.

J. Hollenbeck asked if we will be having the Open House this year. C. Farone stated that we hope to have one this year. J. Hollenbeck stated that he encourages people in his area to attend because it is very impressive and professionally done.

- d. Resolution No. 2022-02-11, approves and adopts the Regional Development Budget and line items contained therein, as proposed for Fiscal Year 2022-2023. This resolution also delegates the authority to negotiate contracts to the Executive Director who will report to the Board of Directors in a timely manner.

Upon a motion by M. Hall, and seconded by E. Virkler, Resolution No. 2022-02-11, Approving Fiscal Year 2022-2023 Regional Development Budget, was unanimously approved.

- e. Resolution No. 2022-02-12, approves and adopts the Telecommunications Division Budget and line items contained therein, as proposed. This resolution also approves the Telecommunications Division capital projects for the Fiscal Year 2022-2023 and authorizes the Executive Director to undertake and pay for such projects, including contracting, on such terms and conditions as he shall determine. Furthermore, capital funds that were previously approved but not fully expended are carried forward for use in Fiscal Year 2022-2023. Based on anticipated circuit volume, a tariff filed with and accepted by the Public Service Commission on May 1, 2004 will remain in effect for Fiscal Year 2022-2023. This resolution also approves that reserves will be maintained on an on-going basis for the Fiscal Year 2021-2022. Previously authorized reserves have been created and capitalized as of December 31, 2021 in the following amounts, Operating \$981,701 and Repair and Upgrade \$5,857,109. The following reserves will be maintained on an on-going basis for Fiscal Year 2022-2023, Operating 16.7% of Revenue, Repair & Upgrade 20% of OSP Replacement Cost and 100% of Equipment Replacement Cost for the largest CO. This resolution also delegates the authority to create and manage reserves, establish agreements, and negotiate contracts to the Executive Director who shall report such action to the Board of Directors in a timely manner.

Upon a motion by A. MacKinnon, and seconded by E. Virkler, Resolution No. 2022-02-12, Approving Fiscal Year 2022-2023 Telecommunications Division Operating Budget, Capital Projects, Reserve Designation, and Tariff, was unanimously approved.

A. MacKinnon asked if we sent the Telecommunications RFP to ourselves. C. Farone replied it has not yet been sent to anyone as the committee is still reviewing it, but we will not be sending it to ourselves. The point of this process is to have an outside firm give us their perspective. It also appears that the public-private partnership will be the future for rural areas but it is definitely prudent to take a look at it now. A. MacKinnon agreed.

- f. Resolution No. 2022-02-13, approves and adopts the Water Quality Division Budget and line items contained therein, as proposed. This resolution also approves the Water Quality Division capital projects for the Fiscal Year 2022-2023 and authorizes the Executive Director to undertake and pay for such projects, including contracting. Capital funds that were previously approved but not fully expended are carried forward for use in Fiscal Year 2022-2023. This resolution approves and adopts user charges for Water Quality Management for Fiscal Year 2022-2023 as proposed. This resolution also delegates the ability to manage

reserves for the Army Waterline and Sewer Line, and Regional Waterline projects consistent with contractual requirements. This resolution authorizes and directs the Executive Director to manage reserves for the Army Waterline and Sewer Line, and Regional Waterline projects consistent with contractual requirements. Furthermore, to enhance the Authority's ability to respond promptly to customer requirements, the Authority's ability to negotiate contracts is delegated to the Executive Director who will report such actions to the Board of Directors in a timely manner.

Upon a motion by M. Hall, and seconded by A. MacKinnon, Resolution No. 2022-02-13, Approving Fiscal Year 2022-2023 Water Quality Management Division Operating Budget, Capital Projects, and User Charges, was unanimously approved.

- g. Resolution No. 2022-02-14, approves and adopts the Fiscal Year 2022-2023 North County Economic Development Fund Budget and line items contained therein, as proposed

Upon a motion by E. Virkler, and seconded by A. MacKinnon, Resolution No. 2022-02-14, Approving Fiscal Year 2022-2023 North County Economic Development Fund Budget, was unanimously approved.

M. Hall asked if he should abstain from this vote because he sits on the St. Lawrence County IDA board and they have received some of these funds. M. Capone responded no, the IDA has money from the Power Authority but it is a separate entity. It was also stated that Patrick Kelly is a representative of the North County Alliance as well as Steve Hunt who represents Empire State Development.

#### 11. Technical Services Summary Report –

C. Tuttle reviewed the contracts listed individually, and the table was approved with two motions. These items are within our service area, and under \$100,000 annually.

##### a. Jefferson / St. Lawrence County / Municipalities of Lewis County -

- I. St. Lawrence County, Subrecipient Agreement, 2021 CDBG Housing Rehabilitation Program, Total Agreement Amount of \$104,800, 12/9/21-12/9/23, St. Lawrence County
- II. Thousand Islands – Rift Camp/AMEX Station, Operation & Maintenance Agreement, Wastewater Treatment Operation and Maintenance, Total Agreement Amount of \$35,561, 3/1/22 – 2/28/27, Jefferson County
- III. Thousand Island Bridge Authority Boldt Castle, Operation & Maintenance Agreement, Water and Wastewater Treatment Operation and Maintenance, Total Agreement Amount of \$199,414, 3/1/22 – 2/2/27, Jefferson County
- IV. Town of Parishville, Operation & Maintenance Agreement, Water Treatment Operation and Maintenance, Total Agreement Amount of \$92,892, 4/1/22 – 3/31/27, St. Lawrence County

- V. Village of Castorland, Operation and Maintenance Agreement, Water Treatment Operation and Maintenance, Total Agreement Amount \$51,621, 3/1/22 – 2/28/27, Lewis County
- VI. Village of Castorland, Operation & Maintenance Agreement, Wastewater Treatment Operation and Maintenance, Total Agreement Amount of \$1007,489, 3/1/22 – 2/28/27, Lewis County
- VII. Village of Sackets Harbor, Operation & Maintenance Agreement, Water Treatment Operation and Maintenance, Total Agreement Amount of \$159,712, 6/1/21 – 5/31/26, Jefferson County
- VIII. Village of Sackets Harbor, Operation & Maintenance Agreement, Wastewater Treatment Operation and Maintenance, Total Agreement Amount of \$215,956, 6/1/21 – 5/31/26, Jefferson County
- IX. City of Ogdensburg, Technical Services Agreement, Ogdensburg Main St. Pump Station NBRC Grant Admin, Total Agreement Amount \$14,000, 2/24/22 – 3/31/23, St. Lawrence County
- X. City of Ogdensburg, SCAADA Services Agreement, Ogdensburg Main St. Pump Station Controls Upgrades, Total Agreement Amount \$45,000, 2/24/22 – 12/31/22, St. Lawrence County
- XI. Town of Gouverneur, Technical Services Agreement, East/West Side Water District Ross Valve Upgrades, Total Agreement Amount \$10,800, 2/24/22 – 12/31/22, St/ Lawrence County
- XII. Village of Clayton, Technical Services Agreement, FEMA Flood Damage Project Amendment 1, Total Agreement Amount \$10,000, 2/24/22 – 12/31/22, Jefferson County
- XIII. Village of Potsdam, Technical Services Agreement, Pine Street Funding Strategy, Total Agreement Amount \$10,000, 2/24/22 – 12/31/22, St. Lawrence County

Upon a motion by A. MacKinnon, and seconded by E. Virkler, Board Contract Summary Table items numbered I through XIII for the month of February, was unanimously approved.

b. Lewis County -

- I. Lewis County, Village of Turin Comprehensive Plan, Total Agreement Amount of \$3,000, 1/1/22 – 5/31/22, Lewis County

Upon a motion by D. Mastascusa, and seconded by A. MacKinnon, Board Contract Summary Table item numbered I for the month of February, was approved.

E. Virkler abstained from this vote due to being the Treasurer of Lewis County.

## 12. Materials Management –

- a. Resolution No. 2022-02-15, authorizes the Executive Director to enter into a Memorandum of Understanding with NCLS to recycle hardcover books. Furthermore, the Development Authority of the North Country will transfer operation of the book debinding machine to NCLS in exchange for hardcover book recycling services provided pursuant to the Memorandum of Understanding.

Upon a motion by E. Virkler, and seconded by D. Mastascusa, Resolution No. 2022-02-15, Materials Management Facility, North Country Library Systems, Memorandum of Understanding, was unanimously approved.

E. Virkler asked if we envision having to transport books to them from our facilities. C. Tuttle responded we will, as we already do. She further stated that we had a meeting with the partners from all three counties and reviewed this. It shouldn't be a significant change for them versus taking them to Harrisville or bringing them to a location in Watertown.

## 13. Regional Development -

- b. Loan Report –

M. Capone reported that there are two loans that are 30 days past due, but she is currently working with them regarding receipt of payments. Otherwise, all loans are being paid as agreed.

Legal pursuit is continuing with MCM Development of Malone.

- c. Resolution No. 2022-02-16, approves the loan modification for Cambray Housing Corporation for a term of 30 years and authorizes the Executive Director or Chief Financial Officer to execute all necessary documentation.

Upon a motion by M. Hall, and seconded by E. Virkler, Resolution No. 2022-02-16, Affordable Rental Housing Corporation, Cambray Housing Corporation, Loan Modification, was unanimously approved.

- d. Resolution No. 2022-02-17, approves a loan up to \$750,000 to S&J Properties of Watertown, LLC with \$400,000 from the Community Rental Housing Program and \$350,000 from the Watertown Local Development Corporation subject to the terms and conditions cited in the term sheet. Furthermore this resolution authorizes the Executive Director or Chief Financial Officer to execute all necessary documents. The Development Authority of the North Country does hereby subordinate its existing debt to an additional \$500,000 in debt by Watertown Savings Bank for construction financing. This is a Type II Unlisted Action taken under the State Environmental Quality Review (SEQRA).

B. McGrath asked about the litigation with this contract. M. Capone stated that on the side of the building there was a required stairwell as another form of egress from the building. The original contractor did the work, the architect/engineer signed off on it and it was paid. They later found out that it was not up to code so the whole stairwell has to be redone resulting in additional cost to the project. The owner is currently litigating the contractor for costs associated with the poor or lack

of performance. It is believed to have a June hearing date. The outcome is still to be seen but the work has been completed up to code now and there is a very nice egress from the building.

B. McGrath asked if they are unsuccessful in their litigation, are there any concerns on the financial underpinnings of the project that would increase our risk on the loan. M. Capone replied no, because the funds have already been expended and it is part of the financing that is already part of the underwriting with us and would not change the underwriting.

S. Hunt also stated that ESD is involved with this project with regard to a Restore New York grant. This project was part of the city of Watertown's downtown revitalization initiative plan (DRI). It did not receive an award from the DRI because they received a Restore New York grant instead.

Upon a motion by D. Mastascusa, and seconded by M. Hall, Resolution No. 2022-02-17, Community Rental Housing Program, S&J Properties of Watertown LLC, Loan, was unanimously approved.

- e. Resolution No. 2022-02-18, approves the loan modification for the Jefferson County Historical Society for an additional four months beginning January 1, 2022 and ending May 1, 2022. Furthermore this resolution authorizes the Executive Director or Director of Regional Development to execute all necessary documentation.

Upon a motion by D. Mastascusa, and seconded by E. Virkler, Resolution No. 2022-02-18, Economic Development Fund, Jefferson County Historical Society, Loan Modification #2, was approved.

M. Doheny abstained due to her husband being a member of the Jefferson County Historical Society Board.

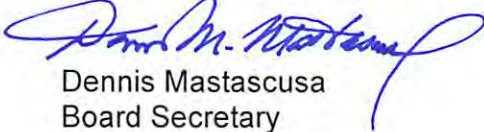
- f. Resolution No. 2022-02-19, authorizes the HDFC to enter into an agreement, claim for payment – purchase of land or property voucher, affidavit of title, assignments of claim and release, payment authorization and any and all other documents, to which it is a party to be entered into with respect to the taking of the Condemned Property by the State. Furthermore the Development Authority of the North Country is authorized to enter into an assignment of claim and release and any and all other documents, to which it is a party to be entered into with respect to the taking by the State of the Condemned Property. The Development Authority of the North Country authorizes Carl E. Farone, Jr., the Executive Director or Jennifer Staples, Chief Financial Officer on behalf of the HDFC, to enter into an agreement, claim for payment – purchase of land or property voucher, affidavit of title, assignments of claim and release, payment authorization and any and all other documents to which the HDFC is a party to be entered into with the respect to taking by the State of the Condemned Property. As holder of a mortgage on the Property, the Development Authority of the North Country authorizes its Executive Director or Chief Financial Officer to enter into an assignment of claim and release and any and all other documents, to which it is party to be entered into with respect to the taking by the State of the Condemned Property.

Upon a motion by M. Hall, and seconded by D. Mastascusa, Resolution No. 2022-02-19, Creek Wood Housing Development Fund Company Inc., Condemned Portion OF Property, Authorization to Execute Documents, was unanimously approved.

14. Next Board Meeting Date – March 24, 2022

15. Upon a motion by D. Mastascusa, and seconded by A. MacKinnon, the meeting was adjourned at 11:41 AM.

Respectfully submitted,



Dennis Mastascusa  
Board Secretary



**Board Resolution No. 2022-03-21**  
**March 24, 2022**

**MEMORIALIZING ALFRED E. CALLIGARIS**  
**DEVELOPMENT AUTHORITY BOARD MEMBER**  
**AND FORMER CHAIRMAN**

Whereas, Alfred E. Calligaris served as a member of the Development Authority of the North Country Board of Directors for 14 years from 2008 to 2022, and

Whereas, Alfred E. Calligaris was first appointed as a voting member to the Development Authority of the North Country Board of Directors on January 9, 2008 by Jefferson County representing not only the people of Jefferson County, but equally the people of St. Lawrence and Lewis Counties and the City of Watertown, and

Whereas, Mr. Calligaris served as Board Vice Chairman from April 2009 to March 2011 and Chairman of the Board from April 2011 to March 2015, and

Whereas, Mr. Calligaris's background as President and Chairman of the Board of The Stebbins Engineering and Manufacturing Group, as well as his experience in accounting and finance, provided a voice for businesses, as well as a dedicated interest to ensure the Authority's long term financial stability through his work on the Governance, Audit, Facilities and Telecommunications Committees, and

Whereas, over the course of Mr. Calligaris's 14-year tenure on the Authority Board, he was a strong supporter of projects in Jefferson County through facilitating the expansion of the regional solid waste management facility in Rodman; the expansion of the open access telecommunications network as a middle-mile solution across northern New York State; the creation of several regional revolving loan programs for tourism, value added agriculture and redevelopment; and the creation of new rental housing units to support the second expansion of Fort Drum, and

Whereas, his extensive community involvement provided leadership and direction to Samaritan Medical Center, Family Counseling Services of Northern New York, Greater Watertown - North Country Chamber of Commerce, Jefferson County Job Development Corporation, Seaway Valley Council of the Boy Scouts of America, Blue Cross of Watertown, Blue Cross Blue Shield of Utica and Utica Mutual Insurance Company.

Now, therefore be it

**RESOLVED, that the Development Authority of the North Country herewith recognizes the life, service, commitment and contributions of Alfred E. Calligaris, upon his untimely death, and**

**BE IT FURTHER RESOLVED, the Authority Board Members extend their sympathies to the Calligaris family – his wife, and children, acknowledging their loss and honoring his life.**

Fiscal Year End 2022

# Performance Measurements Report

April 1, 2021 - March 31, 2022



The Development Authority of the North Country adopted the following measurements as indicators of the Authority's performance. Listed for each objective are the activities which addressed the objective during the fiscal year. Actions reflected in red are non-performance issues.

## Meet or exceed federal, state and local regulatory requirements.

- The Authority-owned Army water line, Army sewer line, and regional water line operated with no violations.
- The Materials Management Division operated the regional solid waste landfill in accordance with the NYS Department of Environmental Conservation (NYSDEC) Part 360 Solid Waste Management Permit, the NYSDEC Air Title V Permit, the NYSDEC Part 364 Waste Transporter Permit and the NYSDEC Multi Sector General Permit for Storm Water Discharges.
- The Regional Recycling Transfer Station operated as a NYSDEC-Certified Recyclables Handling and Recovery Facility and complied with Part 360.15 of DEC regulations.
- Several Authority employees in the Water Quality and Engineering divisions obtained additional NYS Department of Health (NYSDOH) water and NYSDEC wastewater licenses.
- For the fiscal year ending March 31, 2021, the Authority received an A+ on its Minority and Women-owned Business Enterprise (MWBE) report card, based on an evaluation by NYS Empire State Development. Of 26 criteria, the Authority scored a 25, resulting in grade of A+.
- The Authority reviewed 84 special waste disposal requests for over 27,681 tons to ensure the materials being delivered to the Materials Management Facility were acceptable as non-hazardous waste in accordance with the Authority's Part 360 permit.
- The Telecommunications Division completed all surveys for work on New York State rights-of-way as part of a new NYS Department of Transportation (NYSDOT) requirement.
- Regional Development staff assisted Jefferson County during HUD's monitoring of the Jefferson County HOME Consortium. No major findings were identified.
- The Materials Management Division completed the Annual Planning Unit Recycling Report for submission to NYSDEC.
- The Regional Recycling Transfer Station completed a required annual report for the facility for submission to NYSDEC.

- The Authority completed Sexual Harassment Prevention in the Workplace training for all employees, as annually required by the NYS Department of Labor (NYSDOL).
  - Regional Development staff completed and submitted a HOME 5-year Consolidated Plan.
  - Human Resources completed Affordable Care Act required reporting that demonstrates affordable health insurance coverage is provided to its employees.
  - Human Resources completed Public Employee Safety and Health (PESH) annual reporting of work-related injuries and illnesses.
  - Human Resources coordinated with a third-party vendor to conduct required annual random on-site drug and alcohol screening for CDL drivers.
  - Human Resources ensured that all Board members and required employees completed the NYS Joint Commission on Public Ethics comprehensive ethics training and filed annual financial disclosure statements.
  - Human Resources completed and submitted the required annual Confidential Evaluation of Board Performance Survey to the NYS Authorities Budget Office (ABO).
  - Human Resources completed the required annual reporting of NYSDOL Workplace Violence Prevention training, employee survey results, site evaluations, and checklists.
  - The Telecommunications Division filed all Federal Communications Commission (FCC) and NYS Department of Public Service forms required to operate a telecommunications network, in a timely manner.
  - The Telecommunications Division worked closely with the Fort Drum Regional Health Planning Organization to provide all required USAC forms in a timely manner.
  - Telecommunications sent Universal Service Fund certificate requirements to all customers as required by the FCC.
- The Authority established a Service Disabled Veteran-Owned Business goal of 4%, and SDVOB utilization from April 1 through December 31, 2021 was 2.82%.
  - The Authority established an MWBE goal of 30%, consistent with state requirements, and Authority MWBE utilization from April 1, 2021 through December 31, 2021 was 24.75%.
  - Water pollution control facilities serving the villages of Carthage/West Carthage, Clayton and Malone, and the City of Ogdensburg, which are managed by the Authority, experienced a combined total of seven violations, down from 20 violations last year. The Authority is working through a SPDES permit modification process in Malone as well as significant capital upgrades to Ogdensburg which will allow these facilities to better operate within the required SPDES limits and further reduce the number of violations.
  - The Authority received a Notice of Violation pertaining to the Army Water Line as a result of disinfection byproducts contained in water received from the City of Watertown that exceeded the maximum allowable contaminant levels. The city is proceeding with a capital improvement project to implement measures to reduce disinfection byproducts.
  - Municipal wastewater treatment plants operated by the Authority had two SPDES violations; proper documentation was filed with the NYSDEC.
  - Municipal water treatment plants operated by the Authority had one violation; proper documentation was filed with the NYSDOH.

## Meet or exceed federal, state and local safety requirements.

- Despite the COVID-19 pandemic, the Authority continued to serve all of its customers, providing essential services for communities, while implementing increased safety measures warranted by the pandemic.
- The Authority had a reportable incident rate of 0 in calendar year 2021, down from 1.1 in calendar year 2020 and a significant decrease from 6.5 in 2019.
- The Authority completed 503 of 503 Safety Compliance items for calendar year 2021.
- The Authority hosted the South Jefferson Rescue Squad and other local emergency response volunteers at the regional landfill for an emergency drill to familiarize local responders with the facility and the types of potential incidents that could occur there.
- The Authority coordinated and implemented a safety training program for Authority and municipal partners that included 32 sessions with 511 attendees. All required Authority personnel attended training to meet OSHA safety requirements.
- The Authority maintained a Board-Certified Safety Professional on staff to facilitate monthly Safety Committee meetings and complete internal safety compliance audits for confined space and respiratory protection.
- Authority employees completed Vehicle Safety Training and Defensive Driving and received a Guide to Preventing Lyme Disease.
- CPR training, respirator fit testing and annual employee physicals were not completed on schedule due to delays resulting from COVID-19.

## Manage the Authority's assets in a prudent and fiscally responsible manner.

- A Telecommunication Business Plan was completed by staff to provide the Board of Directors with an update on the current status of the open Access Telecom Network and to discuss potential strategies for optimizing the network.
- The integrity of the Army Water Line was assessed using federal grant funds to allow the Authority to be proactive with any needed repairs rather than reactive. The comprehensive inspection indicated that the replacement of certain sections of pipeline is necessary. The Authority is working to minimize disruptions in service by proceeding with a planned capital replacement project in the next fiscal year.
- The Authority used federal funding from the Office of Local Defense Community Cooperation to complete the integrity assessment of the Army Water Line and to create a query tool on the Authority's IMA.
- Materials Management managed landfill operations to reduce leachate production by 45%.
- The Water Quality Division operated the Army Water Line and Regional Water Line with less than 3% and less than 7% water loss, respectively.
- The Authority completed a study to evaluate the feasibility of establishing a Materials Recovery Facility (MRF) at the Regional Recycling Transfer Station. Although the analysis concluded that building a MRF would not be financially feasible, the Authority determined that the closure of the RTS facility and the transfer of some equipment to St. Lawrence County will reduce costs for the Authority and its partners.

- An Asset Management Plan was developed for the Telecommunications Division and the Materials Management and Water Quality Asset Management Plans were updated. Asset management planning is key to efficiently managing equipment to extend its usable life.
- The Authority established bad debt reserves for questionable loans in order to manage loan portfolio risk.
- Information Technology implemented several security measures to protect the Authority's digital information: installed a network access system; conducted an ongoing audit of file and software permissions; installed a web application firewall to mitigate Log4J security vulnerability and; updated operating systems to ensure supportability and security from Microsoft.
- Information Technology completed quarterly phishing testing and yearly cybersecurity training for employees.
- The Authority publicly accepts bids for all used equipment and assets, using a public electronic auction site.
- Regional Development staff assisted Water Quality staff in moving historic information on the Army Water and Sewer Lines into the Authority's water/wastewater software to assist the Water Quality Division with decision-making.

### **Operate transparently and with accountability to partners and general public.**

- Regional Development created a query tool on the Fort Drum Compatibility website which allows users of the GIS portal to better identify encroachment or other issues relating to specific parcel data. This increases the communication between Fort Drum and developers/community leaders pertaining to encroachment.
- Communications issued 11 Authority press releases to inform the public about its activities and events. Media stories numbered 84.
- The Authority's primary website was enhanced and updated to be more user-friendly; the North Country Recycles website, which functions to assist the public with recycling, is being updated to contain more educational resources.
- The Fort Drum Compatibility Committee met twice over the past year, increasing interaction between Fort Drum and communities regarding compatible land use planning. This included a symposium held on Fort Drum to allow for discussion between Fort Drum Garrison staff and community leaders.
- The Materials Management Division maintained a Facebook page to provide information about recycling to the public.
- Annual partner letters summarizing the Authority's services in general and particular to each, were sent to county partners of Jefferson, Lewis and St. Lawrence, and to the City of Watertown.
- The Authority provided its annual newsletter to Rodman residents, to keep residents updated on landfill activities.
- The Materials Management Division conducted virtual periodic meetings with haulers and its county solid waste division partners to obtain feedback and discuss operational changes at the landfill, as well as waste diversion activities.
- The Water Quality Division conducted regular scheduled meetings with the Route 3 Sewer municipalities, Regional Waterline municipalities, and the U.S. Army for fiscal and operations review, and discussion and review of proposed budget and capital improvements.
- Finance completed annual PARIS reporting for staff, board of directors, and benefits information for the state ABO.

- The Authority retained the Bonadio Group to complete a Financial Statement Audit, Agreed Upon Procedures for the Regional Waterline, Report on Investments and a Single Audit. All audits were completed without findings and were approved by the Authority's Board of Directors.
- Water Quality and Engineering staff routinely participated in municipal board meetings.

## Encourage environmental stewardship and advance as a more sustainable organization.

- The Authority completed 929 of 929 Environmental Compliance items for calendar year 2021.
- The Authority conducted a study to evaluate the feasibility of installing solar arrays at the Warneck Pump Station, Recycling Transfer Station or Materials Management Facility. The study concluded that a solar array may be feasible at MMF but additional information is required from National Grid. The Authority is working with National Grid to obtain additional details.
- Lights at Warneck Pump Station were replaced with LEDs, which will result in \$6,955 in annual energy savings.
- In FYE 2022, through February, the Authority purchased 23.45% of its power from renewable sources.
- Information Technology created and implemented an electronic accident investigation form which has reduced the need for printing this form by 100%.
- Regional Development staff are participating on the United Way of Northern New York's Food Policy Council, which is developing a plan for food security in Jefferson County.
- The Finance Division electronically distributed employee paystubs and used a direct deposit program for expense reimbursement, continuing the Authority's conversion to electronic paperless transactions.
- Human Resources used an HR software system (BambooHR) to onboard new hires, process acknowledgement forms for electronic signature, and electronically file all personnel records, resulting in a reduction in paper usage.
- Human Resources used the Employee Navigator software system to process annual employee open enrollment for health, dental, and vision insurances, and onboarding new hires, resulting in a reduction in paper usage.
- Human Resources and Finance used the NYS Employees' Retirement System Employer Online system to enroll new hires, update employee information, and submit reports electronically, resulting in a reduction in paper usage.
- Human Resources used OnBase to store and share all Authority job descriptions and internal audit results, resulting in a reduction in paper usage.
- Human Resources conducted several internal and human resources audits using information stored electronically in Authority software systems, resulting in both a reduction in paper usage and travel costs.
- The Authority used a file share software system (ShareBase) to enhance file sharing capabilities and reduce the need for printing internally and externally.
- Telecommunications performed room integrity testing on all Central Offices to ensure fire suppression systems operate properly.

## Provide regional initiatives and partnerships that provide value added services to communities.

- The Development Authority partnered with Jefferson, Lewis, and St. Lawrence counties to conduct broadband user surveys and broadband facility inventories to better understand where gaps in broadband coverage exist. The Authority mapped the data in its GIS system so its partners can develop geographic and funding strategies for addressing needs, and presented results to each county legislature. Authority staff are working with individual county broadband committees that were developed by the counties to determine priority areas for infrastructure build-out as well as potential technical solutions. The Authority received funding from the Northern Border Regional Commission to assist with the planning associated with broadband deployment. Over the past fiscal year, planning and funding efforts have resulted in two projects to expand service in Lewis County, which will be completed in 2022. As part of these projects, the Authority worked with Lewis County to secure grants for the installation of three wireless towers.
- On behalf of its regional partners, Authority staff advocated for rural broadband solutions with various state agencies, by articulating issues and potential solutions in public hearings and at roundtable discussions with state leaders and with the president of the NY Federal Reserve.
- The Authority enhanced regional recycling education by creating four new television ads, a digital recycling marketing campaign using 15-second video clips, and the placement of two billboards promoting northcountryrecycles.com in high-traffic areas in Jefferson and St. Lawrence counties. The digital ads garnered 214,877 impressions with a 78% average completion rate for viewing the entire video.
- The Authority launched the Drum County NY regional marketing initiative, a partnership between the economic development organizations of Jefferson, Lewis and St. Lawrence counties, the Authority and National Grid. The new initiative is focused on the attraction and retention of workers and businesses to/in the North Country.
- The Engineering Division successfully coordinated and submitted a Local Government Efficiency Grant application to develop GIS data for highway and public works assets for 25 municipal partners in Franklin and St. Lawrence counties. Implementation of the three-year project begins in 2022.
- The Authority hosted five Household Hazardous Waste collection days in the tri-county area, allowing residents to dispose of hazardous waste for free, resulting in 56,664 pounds of material from 1,130 households being diverted from the landfill.
- Telecommunications worked with the Olympic Regional Development Authority to design the communications network that will support the World University Games in 2023.
- The Engineering Division provided technical support services for water/sewer capital improvement projects in the villages of Alexandria Bay, Clayton, Clifton, Heuvelton, Theresa, and Tupper Lake, the City of Ogdensburg, and the towns of DeKalb, Diana, Louisville, Morristown and Pitcairn. These multi-year projects total approximately \$125 million in investment in North Country infrastructure that will help support existing and future economic development.
- The Telecommunications Division worked with the Town of Tupper Lake to implement a broadband expansion project partially funded by a Northern Border Regional Commission Grant.
- Regional Development staff is working with the Village of Turin to develop a comprehensive plan for the village.
- Telecommunications was awarded contracts to continue to provide services to 82 telemedicine sites throughout the region.
- The Authority's GIS system hosted data for 66 customers in six counties and the IMA website received an average of 10,000 visits each month.

- Regional Development staff participated on the planning committee for the NYS Coastal Lakeshore Economy and Resiliency (CLEAR) Initiative and continues to seek ways to partner with state and local entities to identify programs to support resiliency along the coastlines in Jefferson and St. Lawrence counties.
- The Engineering Division is assisting the villages of Alexandria Bay and Clayton with the design and implementation of several Resiliency and Economic Development Initiative projects totaling over \$12.6 million, which will upgrade public waterfront assets and enhance resiliency to changing water levels.
- The Engineering Division provided project management services to the Village of Lyons Falls to oversee the fifth and final phase of hazardous material abatement and demolition of the Lyons Falls Paper Mill brownfield site.
- The Engineering Division assisted the Town of DeKalb, Town of Clifton, and Village of Theresa with Water Quality Improvement Project Act grant applications to move wastewater disinfection projects forward. All three communities were awarded grants estimated to total \$2.3 million, pending final agreements.
- The Engineering Division assisted the villages of Alexandria Bay and Theresa, as well as the towns of Clifton, DeKalb, Diana and Louisville with NYS Water Infrastructure and Improvement Act grant applications for water/sewer capital improvement projects.
- The Engineering Division assisted the Village of Malone and towns of Rutland and Tupper Lake with municipal facility improvement projects estimated to total more than \$7 million.
- The Authority, as a Local Development District designated by the Northern Border Regional Commission for St. Lawrence, Jefferson, Lewis, and Franklin counties, provided project management/grant administration for three projects.
- The Telecommunications Division was awarded a contract by the New York Power Authority to deliver dark fiber between Plattsburgh and Albany.
- The Telecommunications Division upgraded its DWDM network between Syracuse, Watertown, Fort Drum, Lowville and Utica to allow up to forty 100 Gbps waves.
- Regional Development staff assisted Lewis County in development of an RFP for the Lewis County Public Transportation System.
- The Telecommunications Division upgraded its Ethernet service to 100 Gbps in Syracuse, Watertown, Potsdam, Plattsburgh and Albany.
- Regional Development provided grant administration and program delivery services for housing programs in the Town of Gouverneur, villages of Massena and Tupper Lake, and St. Lawrence County.
- Regional Development staff participated on the Jefferson County Comprehensive Economic Development Strategy (CEDS) planning committee.

### **Develop internal analytic data to improve assessment and decision-making.**

- Information Technology programmed the water/wastewater software in order to properly record and track information for the Carthage/West Carthage wastewater treatment plant.
- Operating divisions are using the Authority's Computerized Maintenance Management System (Nexgen) to more effectively maintain assets and to assist with asset management planning.
- The Telecommunications Division developed an off-net circuit report and strategy that will help the team determine when services can be renegotiated for more competitive rates.

- The Telecommunications Division updated its fiber and circuit tracking system to include off-net circuits, construction prints and customer premise pictures, providing “one-touch” access when trouble-shooting and reducing the time required for customer assistance.
- The Telecommunications Division developed a fiber management system for its new fiber deployment in Tupper Lake. The system is very different than systems the Authority has deployed in the past and the fiber management required a brand new process.



# Mission Statement and Performance Measurements

## Our Mission

The mission of the Development Authority is to serve the common interests of Jefferson, Lewis and St. Lawrence Counties by providing technical services and infrastructure, which will enhance economic opportunities in the region and promote the health and well-being of its communities.

## Performance Measurements

April 1, 2022 – March 31, 2023

Meet or exceed Federal, State and local regulatory requirements.

Meet or exceed Federal, State and local safety requirements.

Manage the Authority's assets in a prudent and fiscally responsible manner.

Operate transparently and with accountability to partners and general public.

Encourage environmental stewardship and advance as a more sustainable organization.

Provide regional initiatives and partnerships that provide value added services to communities.

Develop internal analytic data to improve assessment and decision making.

**DEVELOPMENT AUTHORITY OF THE NORTH COUNTRY**  
**For the Ten Months Ending Monday, January 31, 2022**

	<u>YTD ACTUAL</u>	<u>3/31/2021 Total</u>
<b>STATEMENT OF NET POSITION</b>		
<b>ASSETS</b>		
Cash and Cash Equivalents	\$4,280,672.59	\$5,555,064.63
Accounts Receivable	3,566,991.45	2,619,156.57
Unbilled Revenue	300,295.31	506,780.75
Interest Receivable	106,137.37	106,871.43
Loans Receivable, net	31,158,165.96	34,183,499.90
Inventory	466.14	466.14
Prepaid Expense	609,297.95	481,698.37
Investments	17,106,194.97	28,935,377.58
Funds Held In Trust	808,955.13	798,343.58
OPEB Reserve Fund	5,666,424.56	5,630,540.54
Restricted Assets	83,725,376.71	70,903,955.70
Leased Property	43,893.82	57,206.32
Capital Assets, net	82,618,172.51	83,774,236.42
<b>Total Assets</b>	<b>229,991,044.47</b>	<b>233,553,197.93</b>
<b>DEFERRED OUTFLOWS OF RESOURCES</b>		
Pension	4,001,942.00	4,001,942.00
OPEB	171,716.00	171,716.00
Total Deferred Outflows of Resources	4,173,658.00	4,173,658.00
<b>TOTAL ASSETS PLUS DEFERRED OUTFLOWS</b>	<b>234,164,702.47</b>	<b>237,726,855.93</b>
<b>LIABILITIES</b>		
Accounts Payable	737,598.09	2,002,687.69
Grants & Passthroughs Payable	383,795.53	424,191.11
Community Benefits Payable	55,655.68	150,564.88
Interest Payable	216,594.77	122,660.42
Accrued Expenses	468,291.10	527,754.84
OPEB Liability	5,343,129.50	4,950,122.00
Net Pension Liability	5,248,617.00	5,248,617.00
Unearned Income	6,374,072.80	7,696,474.95
Lease Obligation	43,893.82	57,206.32
Funds Held for Others	10,479,115.48	10,479,115.48
Due to US ARMY	749,985.00	749,985.00
Landfill Closure & Post Closure	15,053,188.04	15,815,479.62
Long-term Liabilities	22,325,042.75	22,903,266.69
Total Liabilities	67,478,979.56	71,128,126.00
<b>DEFERRED INFLOWS OF RESOURCES</b>		
Pension	115,996.00	115,996.00
OPEB	898,478.00	898,478.00
Total Deferred Inflows of Resources	1,014,474.00	1,014,474.00
<b>TOTAL LIABILITIES PLUS DEFERRED INFLOWS</b>	<b>68,493,453.56</b>	<b>72,142,600.00</b>
<b>NET POSITION</b>		
Invested In Capital Assets, Net	61,807,219.72	62,385,059.69
Restricted for:		
Community Rental Housing Program	13,167,554.29	13,253,803.57
Community Development Loan Fund	9,807,488.43	8,810,966.03
Affordable Housing Program	22,673,044.65	22,681,752.60
Army Water & Sewer	1,800,000.00	1,800,000.00
Regional Waterline	532,056.89	532,056.89
Reserve For Liner	10,201,581.23	7,000,000.00
Reserve for Replacement	5,536,279.46	5,359,373.92
Reserve For Wetland Mitigation	318,362.18	1,312,332.49
OATN Reserve	6,839,566.27	6,801,099.79
Landfill Closure & Post Closure Prefunding	8,543,625.71	0.00
Total Restricted	79,419,559.11	67,551,385.29
Board Designated for:		
Infrastructure Development	223,107.42	223,107.42
Capital Reserve	1,309,748.58	9,063,945.81
Tip Fee Stabilization	4,421,287.09	4,415,142.41
Landfill Gas Reserve	1,632,487.84	1,648,014.07
Economic Development Fund	5,411,227.71	5,486,722.55
Affordable Housing Program	3,000,000.00	3,000,000.00
Supplemental Insurance / Admin. Reserve	4,000,000.00	4,000,000.00
Total Board Designated	19,997,858.64	27,836,932.26
Undesignated	4,446,611.44	7,810,878.69
Total Net Position	165,671,248.91	165,584,255.93
<b>Total Liabilities, Deferred Outflows &amp; Net Position</b>	<b>234,164,702.47</b>	<b>237,726,855.93</b>

**DEVELOPMENT AUTHORITY OF THE NORTH COUNTRY**  
**For the Ten Months Ending Monday, January 31, 2022**

	<u>YTD ACTUAL</u>	<u>3/31/2021 Total</u>
<b><u>CHANGE IN NET POSITION</u></b>		
<b>OPERATING REVENUE:</b>		
Customer Billings	19,636,979.77	21,519,985.21
Waste Diversion Revenue	168,410.80	254,298.72
Grant Revenue	2,230,365.92	1,110,679.35
Loan Interest Income	534,429.17	478,171.51
Other Income	771,822.79	803,348.68
<b>Total Operating Revenue</b>	<b>23,342,008.45</b>	<b>24,166,483.47</b>
<b>OPERATING EXPENSES</b>		
Depreciation & Amortization	6,707,183.32	7,732,197.28
Salaries	5,131,714.38	6,068,235.76
Fringe Benefits	2,416,113.32	3,511,393.35
Operation & Maintenance	1,964,767.67	2,385,740.84
Recycling Transfer Station	297,112.52	361,610.55
Waste Diversion	566,947.17	968,153.06
Wastewater Treatment	1,417,031.17	1,243,888.09
Closure & Post Closure Costs	406,557.60	723,478.00
Community Benefits	816,735.49	823,176.82
Water Purchases	546,095.73	620,885.73
Office & Administration	367,269.78	424,438.22
Insurance	360,833.40	434,325.68
Utilities	129,878.62	144,680.63
Bad Debt Expense	12,404.13	(24,042.38)
Materials & Supplies	269,559.13	229,977.06
Professional Fees	403,042.53	467,026.10
Repairs & Maintenance	86,593.53	177,029.64
Automobile	282,301.41	317,544.35
Computer Expenses	216,741.76	286,038.57
Grants	296,215.05	1,162,315.66
NYS Administrative Assessment	0.00	122,000.00
<b>Total Operating Expenses</b>	<b>22,695,097.71</b>	<b>28,180,093.01</b>
<b>Total Operating Income</b>	<b>646,910.74</b>	<b>(4,013,609.54)</b>
<b>NON-OPERATING REVENUE (EXPENSE)</b>		
Interest Income	(77,083.52)	599,600.86
Gain on Sale of Fixed Assets	13,500.00	81,466.14
Interest Expense	(496,334.24)	(659,482.06)
<b>Total Non-Operating Expense, Net</b>	<b>(559,917.76)</b>	<b>21,584.94</b>
<b>CHANGE IN NET ASSETS</b>	<b>86,992.98</b>	<b>(3,992,024.60)</b>

**DEVELOPMENT AUTHORITY OF THE NORTH COUNTRY**  
**For the Ten Months Ending Monday, January 31, 2022**

	<b>ADMIN</b>	<b>MATERIALS MGMT</b>	<b>TELECOM</b>	<b>ARMY SEWER</b>	<b>ARMY WATER</b>	<b>REGIONAL WATER</b>	<b>WQ CONTRACTS</b>	<b>ENGINEERING</b>	<b>REGIONAL DEVELOPMENT</b>	<b>TOTAL</b>
<b>STATEMENT OF NET POSITION</b>										
<b>ASSETS</b>										
Cash and Cash Equivalents	\$4,280,672.59									\$4,280,672.59
Accounts Receivable	(2,996.50)	1,186,133.27	1,508,953.68	389,839.71	289,393.01	70,029.90	51,500.64	52,788.59	21,349.15	3,566,991.45
Unbilled Revenue				58,983.23	12,354.05	30,549.50	79,221.98	111,086.33	8,100.22	300,295.31
Interest Receivable	3,257.32	21,519.62	6,038.30						75,322.13	106,137.37
Loans Receivable, net									31,158,165.96	31,158,165.96
Inventory		466.14								466.14
Prepaid Expense	572,821.78		36,476.17							609,297.95
Investments	4,323,940.49	7,242,435.62	2,004,370.19						3,535,448.67	17,106,194.97
Funds Held In Trust		808,955.13								808,955.13
OPEB Reserve Fund	5,666,424.56									5,666,424.56
Restricted Assets		39,924,936.91	9,789,373.79	1,803,803.24	983,892.68	489,561.58			30,733,808.51	83,725,376.71
Leased Property									43,893.82	43,893.82
Capital Assets, net	331,390.04	47,862,368.28	24,265,344.62	3,292,091.75	3,878,775.22	2,970,821.23		17,381.37		82,618,172.51
<b>Total Assets</b>	<b>15,175,510.28</b>	<b>97,046,814.97</b>	<b>37,610,556.75</b>	<b>5,544,717.93</b>	<b>5,164,414.96</b>	<b>3,560,962.21</b>	<b>130,722.62</b>	<b>181,256.29</b>	<b>65,576,088.46</b>	<b>229,991,044.47</b>
<b>DEFERRED OUTFLOWS OF RESOURCES</b>										
Pension	4,001,942.00									4,001,942.00
OPEB	171,716.00									171,716.00
Total Deferred Outflows of Resources	4,173,658.00									4,173,658.00
<b>TOTAL ASSETS PLUS DEFERRED...</b>	<b>19,349,168.28</b>	<b>97,046,814.97</b>	<b>37,610,556.75</b>	<b>5,544,717.93</b>	<b>5,164,414.96</b>	<b>3,560,962.21</b>	<b>130,722.62</b>	<b>181,256.29</b>	<b>65,576,088.46</b>	<b>234,164,702.47</b>
<b>LIABILITIES</b>										
Accounts Payable	140,323.32	55,377.25	152,230.10	284,614.89	74,236.55	26,984.55	742.43	375.49	2,713.51	737,598.09
Grants & Passthroughs Payable			377,950.85						5,844.68	383,795.53
Community Benefits Payable		55,655.68								55,655.68
Interest Payable		216,594.77								216,594.77
Accrued Expenses	189,247.10	96,366.12	95,044.32	18,457.15	18,457.15			50,719.26		468,291.10
OPEB Liability	5,343,129.50									5,343,129.50
Net Pension Liability	5,248,617.00									5,248,617.00
Unearned Income			6,109,945.71						264,127.09	6,374,072.80
Lease Obligation									43,893.82	43,893.82
Funds Held for Others									10,479,115.48	10,479,115.48
Due to US ARMY				749,985.00						749,985.00
Landfill Closure & Post Closure		15,053,188.04								15,053,188.04
Long-term Liabilities	914,000.00	18,496,519.36			708,461.33	1,606,062.06			600,000.00	22,325,042.75
Internal: Due To/Due From	1,075,107.73	(522,799.51)	951,703.91	(1,095,305.07)	(113,364.44)	(203,643.42)	(330,902.07)	147,118.71	92,084.16	
Total Liabilities	12,910,424.65	33,450,901.71	7,686,874.89	(42,248.03)	687,790.59	1,429,403.19	(330,159.64)	198,213.46	11,487,778.74	67,478,979.56
<b>DEFERRED INFLOWS OF RESOURCES</b>										
Pension	115,996.00									115,996.00
OPEB	898,478.00									898,478.00
Total Deferred Inflows of Resources	1,014,474.00									1,014,474.00
<b>TOTAL LIABILITIES PLUS DEFERR...</b>	<b>13,924,898.65</b>	<b>33,450,901.71</b>	<b>7,686,874.89</b>	<b>(42,248.03)</b>	<b>687,790.59</b>	<b>1,429,403.19</b>	<b>(330,159.64)</b>	<b>198,213.46</b>	<b>11,487,778.74</b>	<b>68,493,453.56</b>
<b>NET POSITION</b>										
Invested In Capital Assets, Net	331,390.04	29,365,938.88	24,265,344.62	3,292,091.75	3,170,313.89	1,364,759.17		17,381.37		61,807,219.72
Restricted for:										
Community Rental Housing Program									13,167,554.29	13,167,554.29
Community Development Loan Fund									9,807,488.43	9,807,488.43
Affordable Housing Program									22,673,044.65	22,673,044.65
Army Water & Sewer				900,000.00	900,000.00					1,800,000.00
Regional Waterline						532,056.89				532,056.89
Reserve For Liner		10,201,581.23								10,201,581.23
Reserve for Replacement		5,536,279.46								5,536,279.46
Reserve For Wetland Mitigation		318,362.18								318,362.18
OATN Reserve			6,839,566.27							6,839,566.27
Landfill Closure & Post Closure Prefund...		8,543,625.71								8,543,625.71
Total Restricted		24,599,848.58	6,839,566.27	900,000.00	900,000.00	532,056.89			45,648,087.37	79,419,559.11
Board Designated for:										
Infrastructure Development				223,107.42						223,107.42
Capital Reserve		1,214,073.58			95,675.00					1,309,748.58
Tip Fee Stabilization		4,421,287.09								4,421,287.09
Landfill Gas Reserve		1,632,487.84								1,632,487.84
Economic Development Fund								5,411,227.71		5,411,227.71
Affordable Housing Program								3,000,000.00		3,000,000.00
Supplemental Insurance / Admin. Reser...	4,000,000.00									4,000,000.00
Total Board Designated	4,000,000.00	7,267,848.51		223,107.42	95,675.00				8,411,227.71	19,997,858.64
Undesignated	1,092,879.59	2,362,277.29	(1,181,229.03)	1,171,766.79	310,635.48	234,742.96	460,882.26	(34,338.54)	28,994.64	4,446,611.44
Total Net Position	5,424,269.63	63,595,913.26	29,923,681.86	5,586,965.96	4,476,624.37	2,131,559.02	460,882.26	(16,957.17)	54,088,309.72	165,671,248.91

**DEVELOPMENT AUTHORITY OF THE NORTH COUNTRY**  
**For the Ten Months Ending Monday, January 31, 2022**

	<u>ADMIN</u>	<u>MATERIALS MGMT</u>	<u>TELECOM</u>	<u>ARMY SEWER</u>	<u>ARMY WATER</u>	<u>REGIONAL WATER</u>	<u>WQ CONTRACTS</u>	<u>ENGINEERING</u>	<u>REGIONAL DEVELOPMENT</u>	<u>TOTAL</u>
Total Liabilities, Deferred Outflows...	19,349,168.28	97,046,814.97	37,610,556.75	5,544,717.93	5,164,414.96	3,560,962.21	130,722.62	181,256.29	65,576,088.46	234,164,702.47

**DEVELOPMENT AUTHORITY OF THE NORTH COUNTRY**  
**For the Ten Months Ending Monday, January 31, 2022**

	<u>ADMIN</u>	<u>MATERIALS MGMT</u>	<u>TELECOM</u>	<u>ARMY SEWER</u>	<u>ARMY WATER</u>	<u>REGIONAL WATER</u>	<u>WQ CONTRACTS</u>	<u>ENGINEERING</u>	<u>REGIONAL DEVELOPMENT</u>	<u>TOTAL</u>
<b><u>CHANGE IN NET POSITION</u></b>										
<b>OPERATING REVENUE:</b>										
Customer Billings		7,922,989.46	5,592,005.77	2,278,884.35	1,742,582.53	315,384.34	779,687.35	918,264.02	87,181.95	19,636,979.77
Waste Diversion Revenue		168,410.80								168,410.80
Grant Revenue	3,952.50	43,946.70			789,674.50				1,392,792.22	2,230,365.92
Loan Interest Income									534,429.17	534,429.17
Other Income	171,304.00	471,848.20	5,730.99	6,800.78					116,138.82	771,822.79
<b>Total Operating Revenue</b>	<b>175,256.50</b>	<b>8,607,195.16</b>	<b>5,597,736.76</b>	<b>2,285,685.13</b>	<b>2,532,257.03</b>	<b>315,384.34</b>	<b>779,687.35</b>	<b>918,264.02</b>	<b>2,130,542.16</b>	<b>23,342,008.45</b>
<b>OPERATING EXPENSES</b>										
Depreciation & Amortization	191,738.03	2,879,298.42	2,968,804.86	249,505.00	271,633.56	134,985.80		11,217.65		6,707,183.32
Salaries	987,667.02	1,225,782.21	1,058,897.03	370,254.26	298,182.97	24,332.27	382,639.95	515,404.18	268,554.49	5,131,714.38
Fringe Benefits	439,916.99	663,100.61	387,995.71	198,224.20	151,462.83	12,550.74	192,127.45	245,236.99	125,497.80	2,416,113.32
Operation & Maintenance	6,861.74	649,878.32	1,173,613.46	61,083.70	2,745.00	4,598.00	15,938.53	48,978.92	1,070.00	1,964,767.67
Recycling Transfer Station		297,112.52								297,112.52
Waste Diversion		566,947.17								566,947.17
Wastewater Treatment		321,511.31		1,095,519.86						1,417,031.17
Closure & Post Closure Costs		406,557.60								406,557.60
Community Benefits		683,324.03							133,411.46	816,735.49
Water Purchases				2,154.00	457,902.27	86,039.46				546,095.73
Office & Administration	179,541.66	59,316.98	46,513.94	40,439.34		28.56	406.56	38,846.45	2,176.29	367,269.78
Insurance	16,000.00	142,250.00	108,500.00	28,416.70	24,333.30	4,166.70	15,250.00	21,916.70		360,833.40
Utilities		51,423.36	4,373.69	39,760.64	14,256.75	20,064.18				129,878.62
Bad Debt Expense			31,611.70						(19,207.57)	12,404.13
Materials & Supplies		269,559.13								269,559.13
Professional Fees	115,327.98	40,173.27	57,239.51	1,068.97	6,375.59			1,883.75	180,973.46	403,042.53
Repairs & Maintenance		10,106.79		47,228.10	25,231.91	4,026.73				86,593.53
Automobile	355.47	9,599.99	75,531.16	185,368.55				11,446.24		282,301.41
Computer Expenses	136,353.76	15,893.46	20,779.80	13,767.70				29,947.04		216,741.76
Grants									296,215.05	296,215.05
Admin Allocation	(1,806,646.58)	764,753.50	480,387.30	219,146.26	128,452.56	13,549.86	28,906.35	43,901.58	127,549.17	
Engineering Allocation		24,044.71	9,754.49	8,311.28	8,918.96	1,671.45	5,622.91	(59,924.20)	1,600.40	
Water Quality Allocation				(131,512.75)	51,433.58	3,628.65	76,450.52			
<b>Total Operating Expenses</b>	<b>267,116.07</b>	<b>9,080,633.38</b>	<b>6,424,002.65</b>	<b>2,428,735.81</b>	<b>1,440,929.28</b>	<b>309,642.40</b>	<b>717,342.27</b>	<b>908,855.30</b>	<b>1,117,840.55</b>	<b>22,695,097.71</b>
<b>Total Operating Income</b>	<b>(91,859.57)</b>	<b>(473,438.22)</b>	<b>(826,265.89)</b>	<b>(143,050.68)</b>	<b>1,091,327.75</b>	<b>5,741.94</b>	<b>62,345.08</b>	<b>9,408.72</b>	<b>1,012,701.61</b>	<b>646,910.74</b>
<b>NON-OPERATING REVENUE (EX...</b>										
Interest Income	51,381.60	(108,839.54)	46,822.37	(7,497.07)	(4,089.31)	1,859.78			(56,721.35)	(77,083.52)
Gain on Sale of Fixed Assets	5,300.00	8,200.00								13,500.00
Interest Expense		(487,310.60)				(9,023.64)				(496,334.24)
<b>Total Non-Operating Expense, Net</b>	<b>56,681.60</b>	<b>(587,950.14)</b>	<b>46,822.37</b>	<b>(7,497.07)</b>	<b>(4,089.31)</b>	<b>(7,163.86)</b>			<b>(56,721.35)</b>	<b>(559,917.76)</b>
<b>CHANGE IN NET ASSETS</b>	<b>(35,177.97)</b>	<b>(1,061,388.36)</b>	<b>(779,443.52)</b>	<b>(150,547.75)</b>	<b>1,087,238.44</b>	<b>(1,421.92)</b>	<b>62,345.08</b>	<b>9,408.72</b>	<b>955,980.26</b>	<b>86,992.98</b>

**Summary of All Units  
Change In Net Position  
For the Ten Months Ending Monday, January 31, 2022**

GL	Account Description	Annual Budget	YTD Budget	Actual YTD	YTD Variance Over (Under)
<b>OPERATING REVENUE:</b>					
	Customer Billings	\$22,777,737.50	\$18,981,459.60	\$19,636,979.77	\$655,520.17
	Waste Diversion Revenue	214,500.00	178,750.00	168,410.80	(10,339.20)
	Grant Revenue	2,363,111.00	1,969,260.00	2,230,365.92	261,105.92
	Loan Interest Income	564,000.00	469,990.00	534,429.17	64,439.17
	Other Income	773,083.00	644,240.00	771,822.79	127,582.79
	<b>Total Operating Revenue</b>	<b>26,692,431.50</b>	<b>22,243,699.60</b>	<b>23,342,008.45</b>	<b>1,098,308.85</b>
<b>OPERATING EXPENSES</b>					
	Depreciation & Amortization	8,388,800.00	6,990,670.00	6,707,183.32	(283,486.68)
	Salaries	6,549,630.50	5,458,013.80	5,131,714.38	(326,299.42)
	Fringe Benefits	3,029,387.47	2,524,529.50	2,416,113.32	(108,416.18)
	Operation & Maintenance	3,036,085.44	2,530,104.30	1,979,543.17	(550,561.13)
	Waste Diversion	813,264.00	677,718.40	566,947.17	(110,771.23)
	Recycling Transfer Station	490,798.00	408,970.00	297,112.52	(111,857.48)
	Wastewater Treatment	1,837,029.00	1,530,860.00	1,402,255.67	(128,604.33)
	Closure & Post Closure Costs	744,157.00	620,130.00	406,557.60	(213,572.40)
	Water Purchases	846,831.00	705,702.50	546,095.73	(159,606.77)
	Community Benefits	896,583.00	747,160.00	816,735.49	69,575.49
	Office & Administration	628,447.66	523,745.70	367,269.78	(156,475.92)
	Insurance	433,000.00	360,840.00	360,833.40	(6.60)
	Utilities	175,125.00	145,936.70	129,878.62	(16,058.08)
	Bad Debt Expense	0.00	0.00	12,404.13	12,404.13
	Materials & Supplies	293,207.90	244,333.20	269,559.13	25,225.93
	Professional Fees	623,366.00	519,498.30	403,042.53	(116,455.77)
	Repairs & Maintenance	150,600.00	125,503.20	86,593.53	(38,909.67)
	Automobile	382,090.00	318,390.10	282,301.41	(36,088.69)
	Computer Expenses	345,332.00	287,796.70	216,741.76	(71,054.94)
	Grants	304,570.00	253,806.70	296,215.05	42,408.35
	Admin Allocation	0.00	20.00	0.00	(20.00)
	Engineering Allocation	1.00	10.00	0.00	(10.00)
	NYS Administrative Assessment	125,049.00	104,210.00	0.00	(104,210.00)
	Contingency	74,800.00	62,326.60	0.00	(62,326.60)
	<b>Total Operating Expenses</b>	<b>30,168,153.97</b>	<b>25,140,275.70</b>	<b>22,695,097.71</b>	<b>(2,445,177.99)</b>
	<b>Total Operating Income</b>	<b>(3,475,722.47)</b>	<b>(2,896,576.10)</b>	<b>646,910.74</b>	<b>3,543,486.84</b>
<b>NON-OPERATING REVENUE...</b>					
	Interest Income	898,401.00	748,660.00	(77,083.52)	(825,743.52)
	Gain on Sale of Fixed Assets	66,000.00	55,000.00	13,500.00	(41,500.00)
	Interest Expense	(714,950.00)	(595,790.00)	(496,334.24)	99,455.76
	<b>Total Non-Operating Expe...</b>	<b>249,451.00</b>	<b>207,870.00</b>	<b>(559,917.76)</b>	<b>(767,787.76)</b>
	<b>CHANGE IN NET POSITION</b>	<b>(3,226,271.47)</b>	<b>(2,688,706.10)</b>	<b>86,992.98</b>	<b>2,775,699.08</b>

**Summary of All Units  
Change In Net Position  
For the Ten Months Ending Monday, January 31, 2022**

<u>GL</u>	<u>Account Description</u>	<u>Annual Budget</u>	<u>YTD Budget</u>	<u>Actual YTD</u>	<u>YTD Variance Over (Under)</u>
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**Administration**  
**Change In Net Position**  
**For the Ten Months Ending Monday, January 31, 2022**

GL	Account Description	Annual Budget	YTD Budget	Actual YTD	YTD Variance Over (Under)
<b>OPERATING REVENUE:</b>					
	Grant Revenue	\$4,000.00	\$3,330.00	\$3,952.50	\$622.50
	Other Income	211,300.00	176,080.00	171,304.00	(4,776.00)
	<b>Total Operating Revenue</b>	<b>215,300.00</b>	<b>179,410.00</b>	<b>175,256.50</b>	<b>(4,153.50)</b>
<b>OPERATING EXPENSES</b>					
	Depreciation & Amortization	279,900.00	233,250.00	191,738.03	(41,511.97)
	Salaries	1,213,691.00	1,011,410.00	987,667.02	(23,742.98)
	Fringe Benefits	559,809.00	466,500.00	439,916.99	(26,583.01)
	Operation & Maintenance	14,466.00	12,063.30	6,861.74	(5,201.56)
	Office & Administration	251,091.00	209,240.00	179,541.66	(29,698.34)
	Insurance	19,200.00	16,000.00	16,000.00	0.00
	Professional Fees	145,700.00	121,420.00	115,327.98	(6,092.02)
	Automobile	2,090.00	1,736.70	355.47	(1,381.23)
	Computer Expenses	235,630.00	196,363.40	136,353.76	(60,009.64)
	Admin Allocation	(2,332,132.00)	(1,943,440.00)	(1,806,646.58)	136,793.42
	Contingency	19,800.00	16,496.60	0.00	(16,496.60)
	<b>Total Operating Expenses</b>	<b>409,245.00</b>	<b>341,040.00</b>	<b>267,116.07</b>	<b>(73,923.93)</b>
	<b>Total Operating Income</b>	<b>(193,945.00)</b>	<b>(161,630.00)</b>	<b>(91,859.57)</b>	<b>69,770.43</b>
<b>NON-OPERATING REVENUE...</b>					
	Interest Income	98,400.00	82,000.00	51,381.60	(30,618.40)
	Gain on Sale of Fixed Assets	21,000.00	17,500.00	5,300.00	(12,200.00)
	<b>Total Non-Operating Expe...</b>	<b>119,400.00</b>	<b>99,500.00</b>	<b>56,681.60</b>	<b>(42,818.40)</b>
	<b>CHANGE IN NET POSITION</b>	<b>(74,545.00)</b>	<b>(62,130.00)</b>	<b>(35,177.97)</b>	<b>26,952.03</b>

**Materials Management  
Change In Net Position  
For the Ten Months Ending Monday, January 31, 2022**

GL	Account Description	Annual Budget	YTD Budget	Actual YTD	YTD Variance Over (Under)
<b>OPERATING REVENUE:</b>					
	Customer Billings	\$8,964,350.00	\$7,470,290.00	\$7,922,989.46	\$452,699.46
	Waste Diversion Revenue	214,500.00	178,750.00	168,410.80	(10,339.20)
	Grant Revenue	81,319.00	67,770.00	43,946.70	(23,823.30)
	Other Income	487,054.00	405,880.00	471,848.20	65,968.20
	<b>Total Operating Revenue</b>	<b>9,747,223.00</b>	<b>8,122,690.00</b>	<b>8,607,195.16</b>	<b>484,505.16</b>
<b>OPERATING EXPENSES</b>					
	Depreciation & Amortization	3,537,500.00	2,947,920.00	2,879,298.42	(68,621.58)
	Salaries	1,631,019.00	1,359,190.00	1,225,782.21	(133,407.79)
	Fringe Benefits	877,304.00	731,100.00	663,100.61	(67,999.39)
	Operation & Maintenance	933,845.44	778,227.70	664,653.82	(113,573.88)
	Waste Diversion	813,264.00	677,718.40	566,947.17	(110,771.23)
	Recycling Transfer Station	490,798.00	408,970.00	297,112.52	(111,857.48)
	Wastewater Treatment	603,000.00	502,500.00	306,735.81	(195,764.19)
	Closure & Post Closure Costs	744,157.00	620,130.00	406,557.60	(213,572.40)
	Community Benefits	763,172.00	635,980.00	683,324.03	47,344.03
	Office & Administration	91,156.66	75,970.60	59,316.98	(16,653.62)
	Insurance	170,700.00	142,250.00	142,250.00	0.00
	Utilities	65,000.00	54,160.00	51,423.36	(2,736.64)
	Materials & Supplies	293,207.90	244,333.20	269,559.13	25,225.93
	Professional Fees	93,900.00	78,246.70	40,173.27	(38,073.43)
	Repairs & Maintenance	15,000.00	12,503.30	10,106.79	(2,396.51)
	Automobile	14,400.00	12,000.00	9,599.99	(2,400.01)
	Computer Expenses	26,200.00	21,830.00	15,893.46	(5,936.54)
	Admin Allocation	993,394.00	827,830.00	764,753.50	(63,076.50)
	Engineering Allocation	30,524.00	25,440.00	24,044.71	(1,395.29)
	NYS Administrative Assessment	51,147.00	42,620.00	0.00	(42,620.00)
	Contingency	30,000.00	25,000.00	0.00	(25,000.00)
	<b>Total Operating Expenses</b>	<b>12,268,689.00</b>	<b>10,223,919.90</b>	<b>9,080,633.38</b>	<b>(1,143,286.52)</b>
	<b>Total Operating Income</b>	<b>(2,521,466.00)</b>	<b>(2,101,229.90)</b>	<b>(473,438.22)</b>	<b>1,627,791.68</b>
<b>NON-OPERATING REVENUE...</b>					
	Interest Income	462,499.00	385,420.00	(108,839.54)	(494,259.54)
	Gain on Sale of Fixed Assets	45,000.00	37,500.00	8,200.00	(29,300.00)
	Interest Expense	(658,144.00)	(548,450.00)	(487,310.60)	61,139.40
	<b>Total Non-Operating Expe...</b>	<b>(150,645.00)</b>	<b>(125,530.00)</b>	<b>(587,950.14)</b>	<b>(462,420.14)</b>
	<b>CHANGE IN NET POSITION</b>	<b>(2,672,111.00)</b>	<b>(2,226,759.90)</b>	<b>(1,061,388.36)</b>	<b>1,165,371.54</b>

**Telecommunications  
Change In Net Position  
For the Ten Months Ending Monday, January 31, 2022**

GL	Account Description	Annual Budget	YTD Budget	Actual YTD	YTD Variance Over (Under)
<b>OPERATING REVENUE:</b>					
	Customer Billings	\$6,255,686.00	\$5,213,070.00	\$5,592,005.77	\$378,935.77
	Grant Revenue	200,000.00	166,670.00	0.00	(166,670.00)
	Other Income	47,050.00	39,210.00	5,730.99	(33,479.01)
	<b>Total Operating Revenue</b>	<b>6,502,736.00</b>	<b>5,418,950.00</b>	<b>5,597,736.76</b>	<b>178,786.76</b>
<b>OPERATING EXPENSES</b>					
	Depreciation & Amortization	3,732,600.00	3,110,500.00	2,968,804.86	(141,695.14)
	Salaries	1,300,279.00	1,083,560.00	1,058,897.03	(24,662.97)
	Fringe Benefits	432,104.00	360,090.00	387,995.71	27,905.71
	Operation & Maintenance	1,851,724.00	1,543,096.70	1,173,613.46	(369,483.24)
	Office & Administration	136,620.00	113,846.60	46,513.94	(67,332.66)
	Insurance	130,200.00	108,500.00	108,500.00	0.00
	Utilities	5,000.00	4,170.00	4,373.69	203.69
	Bad Debt Expense	0.00	0.00	31,611.70	31,611.70
	Professional Fees	140,734.00	117,276.70	57,239.51	(60,037.19)
	Automobile	104,100.00	86,740.00	75,531.16	(11,208.84)
	Computer Expenses	28,250.00	23,550.00	20,779.80	(2,770.20)
	Admin Allocation	617,820.00	514,850.00	480,387.30	(34,462.70)
	Engineering Allocation	11,730.00	9,780.00	9,754.49	(25.51)
	NYS Administrative Assessment	34,901.00	29,080.00	0.00	(29,080.00)
	Contingency	25,000.00	20,830.00	0.00	(20,830.00)
	<b>Total Operating Expenses</b>	<b>8,551,062.00</b>	<b>7,125,870.00</b>	<b>6,424,002.65</b>	<b>(701,867.35)</b>
	<b>Total Operating Income</b>	<b>(2,048,326.00)</b>	<b>(1,706,920.00)</b>	<b>(826,265.89)</b>	<b>880,654.11</b>
<b>NON-OPERATING REVENUE...</b>					
	Interest Income	94,559.00	78,800.00	46,822.37	(31,977.63)
	<b>Total Non-Operating Expe...</b>	<b>94,559.00</b>	<b>78,800.00</b>	<b>46,822.37</b>	<b>(31,977.63)</b>
	<b>CHANGE IN NET POSITION</b>	<b>(1,953,767.00)</b>	<b>(1,628,120.00)</b>	<b>(779,443.52)</b>	<b>848,676.48</b>

**Water Quality  
Change In Net Position  
For the Ten Months Ending Monday, January 31, 2022**

GL	Account Description	Annual Budget	YTD Budget	Actual YTD	YTD Variance Over (Under)
<b>OPERATING REVENUE:</b>					
	Customer Billings	\$6,194,554.50	\$5,162,136.30	\$5,116,538.57	(\$45,597.73)
	Grant Revenue	900,000.00	750,000.00	789,674.50	39,674.50
	Other Income	7,129.00	5,940.00	6,800.78	860.78
	<b>Total Operating Revenue</b>	<b>7,101,683.50</b>	<b>5,918,076.30</b>	<b>5,913,013.85</b>	<b>(5,062.45)</b>
<b>OPERATING EXPENSES</b>					
	Depreciation & Amortization	826,100.00	688,420.00	656,124.36	(32,295.64)
	Salaries	1,313,340.50	1,094,443.80	1,075,409.45	(19,034.35)
	Fringe Benefits	670,320.47	558,626.20	554,365.22	(4,260.98)
	Operation & Maintenance	140,000.00	116,683.30	84,365.23	(32,318.07)
	Wastewater Treatment	1,234,029.00	1,028,360.00	1,095,519.86	67,159.86
	Water Purchases	846,831.00	705,702.50	546,095.73	(159,606.77)
	Office & Administration	66,631.00	55,516.70	40,874.46	(14,642.24)
	Insurance	86,600.00	72,170.00	72,166.70	(3.30)
	Utilities	105,125.00	87,606.70	74,081.57	(13,525.13)
	Professional Fees	9,763.00	8,143.30	7,444.56	(698.74)
	Repairs & Maintenance	135,600.00	112,999.90	76,486.74	(36,513.16)
	Automobile	246,100.00	205,086.70	185,368.55	(19,718.15)
	Computer Expenses	18,102.00	15,093.30	13,767.70	(1,325.60)
	Admin Allocation	500,817.00	417,350.00	390,055.03	(27,294.97)
	Engineering Allocation	33,536.00	27,940.00	24,524.60	(3,415.40)
	NYS Administrative Assessment	31,828.00	26,530.00	0.00	(26,530.00)
	<b>Total Operating Expenses</b>	<b>6,264,722.97</b>	<b>5,220,672.40</b>	<b>4,896,649.76</b>	<b>(324,022.64)</b>
	<b>Total Operating Income</b>	<b>836,960.53</b>	<b>697,403.90</b>	<b>1,016,364.09</b>	<b>318,960.19</b>
<b>NON-OPERATING REVENUE...</b>					
	Interest Income	44,900.00	37,420.00	(9,726.60)	(47,146.60)
	Interest Expense	(56,806.00)	(47,340.00)	(9,023.64)	38,316.36
	<b>Total Non-Operating Expe...</b>	<b>(11,906.00)</b>	<b>(9,920.00)</b>	<b>(18,750.24)</b>	<b>(8,830.24)</b>
	<b>CHANGE IN NET POSITION</b>	<b>825,054.53</b>	<b>687,483.90</b>	<b>997,613.85</b>	<b>310,129.95</b>

**Army Sewer  
Change In Net Position  
For the Ten Months Ending Monday, January 31, 2022**

GL	Account Description	Annual Budget	YTD Budget	Actual YTD	YTD Variance Over (Under)
<b>OPERATING REVENUE:</b>					
	Customer Billings	\$2,779,184.00	\$2,315,990.00	\$2,278,884.35	(\$37,105.65)
	Other Income	7,129.00	5,940.00	6,800.78	860.78
	<b>Total Operating Revenue</b>	<b>2,786,313.00</b>	<b>2,321,930.00</b>	<b>2,285,685.13</b>	<b>(36,244.87)</b>
<b>OPERATING EXPENSES</b>					
	Depreciation & Amortization	303,500.00	252,920.00	249,505.00	(3,415.00)
	Salaries	438,880.00	365,730.00	370,254.26	4,524.26
	Fringe Benefits	222,920.00	185,760.00	198,224.20	12,464.20
	Operation & Maintenance	76,000.00	63,330.00	61,083.70	(2,246.30)
	Wastewater Treatment	1,234,029.00	1,028,360.00	1,095,519.86	67,159.86
	Water Purchases	3,200.00	2,670.00	2,154.00	(516.00)
	Office & Administration	64,500.00	53,736.70	40,439.34	(13,297.36)
	Insurance	34,100.00	28,420.00	28,416.70	(3.30)
	Utilities	54,980.00	45,820.00	39,760.64	(6,059.36)
	Professional Fees	1,197.00	1,000.00	1,068.97	68.97
	Repairs & Maintenance	80,000.00	66,663.30	47,228.10	(19,435.20)
	Automobile	246,100.00	205,086.70	185,368.55	(19,718.15)
	Computer Expenses	18,102.00	15,093.30	13,767.70	(1,325.60)
	Admin Allocation	281,576.00	234,650.00	219,146.26	(15,503.74)
	Engineering Allocation	10,490.00	8,740.00	8,311.28	(428.72)
	Water Quality Allocation	(205,362.00)	(171,130.00)	(131,512.75)	39,617.25
	NYS Administrative Assessment	13,401.00	11,170.00	0.00	(11,170.00)
	<b>Total Operating Expenses</b>	<b>2,877,613.00</b>	<b>2,398,020.00</b>	<b>2,428,735.81</b>	<b>30,715.81</b>
	<b>Total Operating Income</b>	<b>(91,300.00)</b>	<b>(76,090.00)</b>	<b>(143,050.68)</b>	<b>(66,960.68)</b>
<b>NON-OPERATING REVENUE...</b>					
	Interest Income	27,800.00	23,170.00	(7,497.07)	(30,667.07)
	<b>Total Non-Operating Expe...</b>	<b>27,800.00</b>	<b>23,170.00</b>	<b>(7,497.07)</b>	<b>(30,667.07)</b>
	<b>CHANGE IN NET POSITION</b>	<b>(63,500.00)</b>	<b>(52,920.00)</b>	<b>(150,547.75)</b>	<b>(97,627.75)</b>

**Army Water Line  
Change In Net Position  
For the Ten Months Ending Monday, January 31, 2022**

GL	Account Description	Annual Budget	YTD Budget	Actual YTD	YTD Variance Over (Under)
<b>OPERATING REVENUE:</b>					
	Customer Billings	\$2,081,756.00	\$1,734,795.00	\$1,742,582.53	\$7,787.53
	Grant Revenue	900,000.00	750,000.00	789,674.50	39,674.50
	<b>Total Operating Revenue</b>	<b>2,981,756.00</b>	<b>2,484,795.00</b>	<b>2,532,257.03</b>	<b>47,462.03</b>
<b>OPERATING EXPENSES</b>					
	Depreciation & Amortization	354,600.00	295,500.00	271,633.56	(23,866.44)
	Salaries	384,091.00	320,070.00	298,182.97	(21,887.03)
	Fringe Benefits	194,562.00	162,160.00	151,462.83	(10,697.17)
	Operation & Maintenance	6,200.00	5,173.30	2,745.00	(2,428.30)
	Water Purchases	730,681.00	608,905.00	457,902.27	(151,002.73)
	Office & Administration	1,081.00	900.00	0.00	(900.00)
	Insurance	29,200.00	24,330.00	24,333.30	3.30
	Utilities	21,250.00	17,710.00	14,256.75	(3,453.25)
	Professional Fees	8,066.00	6,723.30	6,375.59	(347.71)
	Repairs & Maintenance	29,000.00	24,163.30	25,231.91	1,068.61
	Admin Allocation	165,070.00	137,560.00	128,452.56	(9,107.44)
	Engineering Allocation	9,964.00	8,300.00	8,918.96	618.96
	Water Quality Allocation	85,061.00	70,880.00	51,433.58	(19,446.42)
	NYS Administrative Assessment	11,458.00	9,550.00	0.00	(9,550.00)
	<b>Total Operating Expenses</b>	<b>2,030,284.00</b>	<b>1,691,924.90</b>	<b>1,440,929.28</b>	<b>(250,995.62)</b>
	<b>Total Operating Income</b>	<b>951,472.00</b>	<b>792,870.10</b>	<b>1,091,327.75</b>	<b>298,457.65</b>
<b>NON-OPERATING REVENUE...</b>					
	Interest Income	15,100.00	12,580.00	(4,089.31)	(16,669.31)
	<b>Total Non-Operating Expe...</b>	<b>15,100.00</b>	<b>12,580.00</b>	<b>(4,089.31)</b>	<b>(16,669.31)</b>
	<b>CHANGE IN NET POSITION</b>	<b>966,572.00</b>	<b>805,450.10</b>	<b>1,087,238.44</b>	<b>281,788.34</b>

**Regional Water Line  
Change In Net Position  
For the Ten Months Ending Monday, January 31, 2022**

GL	Account Description	Annual Budget	YTD Budget	Actual YTD	YTD Variance Over (Under)
<b>OPERATING REVENUE:</b>					
	Customer Billings	\$391,537.00	\$326,287.50	\$315,384.34	(\$10,903.16)
	<b>Total Operating Revenue</b>	<b>391,537.00</b>	<b>326,287.50</b>	<b>315,384.34</b>	<b>(10,903.16)</b>
<b>OPERATING EXPENSES</b>					
	Depreciation & Amortization	168,000.00	140,000.00	134,985.80	(5,014.20)
	Salaries	34,063.00	28,390.00	24,332.27	(4,057.73)
	Fringe Benefits	17,007.00	14,180.00	12,550.74	(1,629.26)
	Operation & Maintenance	6,800.00	5,670.00	4,598.00	(1,072.00)
	Water Purchases	112,950.00	94,127.50	86,039.46	(8,088.04)
	Office & Administration	250.00	210.00	28.56	(181.44)
	Insurance	5,000.00	4,170.00	4,166.70	(3.30)
	Utilities	28,895.00	24,076.70	20,064.18	(4,012.52)
	Professional Fees	500.00	420.00	0.00	(420.00)
	Repairs & Maintenance	26,600.00	22,173.30	4,026.73	(18,146.57)
	Admin Allocation	17,426.00	14,520.00	13,549.86	(970.14)
	Engineering Allocation	2,531.00	2,110.00	1,671.45	(438.55)
	Water Quality Allocation	6,665.00	5,550.00	3,628.65	(1,921.35)
	NYS Administrative Assessment	1,987.00	1,660.00	0.00	(1,660.00)
	<b>Total Operating Expenses</b>	<b>428,674.00</b>	<b>357,257.50</b>	<b>309,642.40</b>	<b>(47,615.10)</b>
	<b>Total Operating Income</b>	<b>(37,137.00)</b>	<b>(30,970.00)</b>	<b>5,741.94</b>	<b>36,711.94</b>
<b>NON-OPERATING REVENUE...</b>					
	Interest Income	2,000.00	1,670.00	1,859.78	189.78
	Interest Expense	(56,806.00)	(47,340.00)	(9,023.64)	38,316.36
	<b>Total Non-Operating Expe...</b>	<b>(54,806.00)</b>	<b>(45,670.00)</b>	<b>(7,163.86)</b>	<b>38,506.14</b>
	<b>CHANGE IN NET POSITION</b>	<b>(91,943.00)</b>	<b>(76,640.00)</b>	<b>(1,421.92)</b>	<b>75,218.08</b>

**Water Sewer Contracts  
Change In Net Position  
For the Ten Months Ending Monday, January 31, 2022**

GL	Account Description	Annual Budget	YTD Budget	Actual YTD	YTD Variance Over (Under)
	<b>OPERATING REVENUE:</b>				
	Customer Billings	\$942,077.50	\$785,063.80	\$779,687.35	(\$5,376.45)
	<b>Total Operating Revenue</b>	<b>942,077.50</b>	<b>785,063.80</b>	<b>779,687.35</b>	<b>(5,376.45)</b>
	<b>OPERATING EXPENSES</b>				
	Salaries	456,306.50	380,253.80	382,639.95	2,386.15
	Fringe Benefits	235,831.47	196,526.20	192,127.45	(4,398.75)
	Operation & Maintenance	51,000.00	42,510.00	15,938.53	(26,571.47)
	Office & Administration	800.00	670.00	406.56	(263.44)
	Insurance	18,300.00	15,250.00	15,250.00	0.00
	Admin Allocation	36,745.00	30,620.00	28,906.35	(1,713.65)
	Engineering Allocation	10,551.00	8,790.00	5,622.91	(3,167.09)
	Water Quality Allocation	113,636.00	94,700.00	76,450.52	(18,249.48)
	NYS Administrative Assessment	4,982.00	4,150.00	0.00	(4,150.00)
	<b>Total Operating Expenses</b>	<b>928,151.97</b>	<b>773,470.00</b>	<b>717,342.27</b>	<b>(56,127.73)</b>
	<b>Total Operating Income</b>	<b>13,925.53</b>	<b>11,593.80</b>	<b>62,345.08</b>	<b>50,751.28</b>
	<b>NON-OPERATING REVENUE...</b>				
	<b>CHANGE IN NET POSITION</b>	<b>13,925.53</b>	<b>11,593.80</b>	<b>62,345.08</b>	<b>50,751.28</b>

**Engineering**  
**Change In Net Position**  
**For the Ten Months Ending Monday, January 31, 2022**

GL	Account Description	Annual Budget	YTD Budget	Actual YTD	YTD Variance Over (Under)
<b>OPERATING REVENUE:</b>					
	Customer Billings	\$1,228,271.00	\$1,023,563.30	\$918,264.02	(\$105,299.28)
	<b>Total Operating Revenue</b>	<b>1,228,271.00</b>	<b>1,023,563.30</b>	<b>918,264.02</b>	<b>(105,299.28)</b>
<b>OPERATING EXPENSES</b>					
	Depreciation & Amortization	12,700.00	10,580.00	11,217.65	637.65
	Salaries	704,088.00	586,740.00	515,404.18	(71,335.82)
	Fringe Benefits	315,884.00	263,243.30	245,236.99	(18,006.31)
	Operation & Maintenance	84,050.00	70,033.30	48,978.92	(21,054.38)
	Office & Administration	60,849.00	50,710.10	38,846.45	(11,863.65)
	Insurance	26,300.00	21,920.00	21,916.70	(3.30)
	Professional Fees	2,000.00	1,670.00	1,883.75	213.75
	Automobile	15,400.00	12,826.70	11,446.24	(1,380.46)
	Computer Expenses	36,400.00	30,330.00	29,947.04	(382.96)
	Admin Allocation	55,784.00	46,490.00	43,901.58	(2,588.42)
	Engineering Allocation	(79,552.00)	(66,290.00)	(59,924.20)	6,365.80
	NYS Administrative Assessment	7,173.00	5,980.00	0.00	(5,980.00)
	<b>Total Operating Expenses</b>	<b>1,241,076.00</b>	<b>1,034,233.40</b>	<b>908,855.30</b>	<b>(125,378.10)</b>
	<b>Total Operating Income</b>	<b>(12,805.00)</b>	<b>(10,670.10)</b>	<b>9,408.72</b>	<b>20,078.82</b>
<b>NON-OPERATING REVENUE...</b>					
	<b>CHANGE IN NET POSITION</b>	<b>(12,805.00)</b>	<b>(10,670.10)</b>	<b>9,408.72</b>	<b>20,078.82</b>

**Regional Development  
Change In Net Position  
For the Ten Months Ending Monday, January 31, 2022**

GL	Account Description	Annual Budget	YTD Budget	Actual YTD	YTD Variance Over (Under)
<b>OPERATING REVENUE:</b>					
	Customer Billings	\$134,876.00	\$112,400.00	\$87,181.95	(\$25,218.05)
	Grant Revenue	1,177,792.00	981,490.00	1,392,792.22	411,302.22
	Loan Interest Income	564,000.00	469,990.00	534,429.17	64,439.17
	Other Income	20,550.00	17,130.00	116,138.82	99,008.82
	<b>Total Operating Revenue</b>	<b>1,897,218.00</b>	<b>1,581,010.00</b>	<b>2,130,542.16</b>	<b>549,532.16</b>
<b>OPERATING EXPENSES</b>					
	Salaries	387,213.00	322,670.00	268,554.49	(54,115.51)
	Fringe Benefits	173,966.00	144,970.00	125,497.80	(19,472.20)
	Operation & Maintenance	12,000.00	10,000.00	1,070.00	(8,930.00)
	Community Benefits	133,411.00	111,180.00	133,411.46	22,231.46
	Office & Administration	22,100.00	18,461.70	2,176.29	(16,285.41)
	Bad Debt Expense	0.00	0.00	(19,207.57)	(19,207.57)
	Professional Fees	231,269.00	192,741.60	180,973.46	(11,768.14)
	Computer Expenses	750.00	630.00	0.00	(630.00)
	Grants	304,570.00	253,806.70	296,215.05	42,408.35
	Admin Allocation	164,317.00	136,940.00	127,549.17	(9,390.83)
	Engineering Allocation	3,763.00	3,140.00	1,600.40	(1,539.60)
	<b>Total Operating Expenses</b>	<b>1,433,359.00</b>	<b>1,194,540.00</b>	<b>1,117,840.55</b>	<b>(76,699.45)</b>
	<b>Total Operating Income</b>	<b>463,859.00</b>	<b>386,470.00</b>	<b>1,012,701.61</b>	<b>626,231.61</b>
<b>NON-OPERATING REVENUE...</b>					
	Interest Income	198,043.00	165,020.00	(56,721.35)	(221,741.35)
	<b>Total Non-Operating Expe...</b>	<b>198,043.00</b>	<b>165,020.00</b>	<b>(56,721.35)</b>	<b>(221,741.35)</b>
	<b>CHANGE IN NET POSITION</b>	<b>661,902.00</b>	<b>551,490.00</b>	<b>955,980.26</b>	<b>404,490.26</b>



**Board Resolution No. 2022-03-22**  
**March 24, 2022**

**AUTHORIZING THE WRITE-OFF OF CERTAIN LOAN RECEIVABLES  
AS BAD DEBTS**

Whereas, the Development Authority of the North Country (“Authority”) reviews its receivables using Generally Accepted Accounting Principal guidelines to determine the collectability of all accounts on the Authority’s Statement of Net Position, and

Whereas, based on such review, the following loan receivable has been deemed uncollectable and recommended for write-off by Management:

NORTH COUNTRY REDEVELOPMENT LOAN FUND:

MCM Development Malone, LLC \$213,825.69

**RESOLVED**, the Authority authorizes the write-off of the above identified receivables and further directs the Chief Financial Officer to make adjustments to the Authority’s financial statements to reflect this transaction.



**Board Resolution No. 2022-03-23**  
**March 24, 2022**

**AUTHORIZING THE WRITE-OFF OF CERTAIN ACCOUNTS  
RECEIVABLE AS BAD DEBTS**

Whereas, the Development Authority of the North Country (“Authority”) reviews its receivables using Generally Accepted Accounting Principal guidelines to determine the collectability of all accounts on the Authority’s Statement of Net Position, and

Whereas, based on such review, the following accounts receivable has been deemed uncollectable and recommended for write-off by Management:

Champlain Valley Physicians Hospital Specialty Clinics at ECH      \$6,337.50

**RESOLVED, the Authority authorizes the write-off of the above identified receivable and further directs the Chief Financial Officer to make adjustments to the Authority’s financial statements to reflect this transaction.**



**Board Resolution No. 2022-03-24  
March 24, 2022**

**APPROVING MODIFICATIONS TO PERSONNEL POLICY**

Whereas, the Development Authority of the North Country operates according to Board policies that are adopted and/or amended by the Board of Directors, as appropriate, and

Whereas, the Personnel Policy of the Development Authority of the North Country is posted on the Development Authority's website, and

Whereas, Executive Management has recommended modifications to the Personnel Policy with the major changes reflected in the following sections:

Add:

- Employment Policies B. Prohibition of Discrimination based on Reproductive Health Decision Making
- Employment Policies N. Workplace Violence Prevention Program
- Employment Policies P. Tape Recording Policy
- Employment Policies Q. Nursing Mother Policy
- Employment Policies R. Telecommuting Policy
- Benefits P. Return to Work / Inability to Work Procedure

Modify:

- Employment Policies A. Equal Employment Opportunity
- Employment Policies F. Physical Evaluation/Alcohol & Substance Abuse
- Employment Policies O. Smoking Policy
- Benefits H. Sick Leave
- Benefits L. Vacation
- Benefits N. Bereavement Leave

Delete:

- Appendix A. Employees' Standard Work Day
- Appendix B. Report of Personnel Changes
- Appendix C. Non-Exempt Pay Grade Chart

Now, therefore be it

**RESOLVED, that the Development Authority of the North Country does hereby approve the Personnel Policy, attached hereto and incorporated in this Resolution.**

# Development Authority of the North Country Governance Policies



**Subject: Personnel Policy**

**Adopted:**

**Resolution:**



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## **SECTION 1 - INTRODUCTION**

### **A. Welcome to the Development Authority of the North Country**

An interesting and challenging experience awaits you as an employee of the Development Authority of the North Country (Authority). To answer some of the questions you may have concerning the Authority and its policies, we have written this Personnel Policy. Its purpose is to establish guidelines for fair, consistent and legal treatment of Authority employees. Please read it thoroughly and retain it for future reference. The Personnel Policy is subject to change at the sole discretion of the Authority and supersede any prior written or unwritten policies. The Personnel Policy may also be modified, as deemed necessary, to accommodate individual employment circumstances. From time to time, you may receive updated information concerning changes in the policy. Should you have any questions regarding any policies, please ask your supervisor.

The purpose of this Personnel Policy is to provide a general guide to the Authority's policies, programs, and benefits. As with all Authority communications, this Personnel Policy is provided to employees for their general information. This Personnel Policy does not include all the information employees will need during the course of their employment; therefore, employees are encouraged to contact their supervisors for additional information when necessary, and to review other Authority policies and procedures as applicable.

This Personnel Policy is not a contract guaranteeing employment, and nothing in it, or any other policy or communication, changes the fact that employment with the Authority is at-will. At-will employment means you can leave the Development Authority at any time, and the Authority can terminate your employment at any time, for any reason.

We wish you the best of luck and success in your position and hope that your employment relationship with the Authority will be a rewarding experience.

### **B. Authority Mission**

The mission of the Development Authority of the North Country is to serve the common

interests of Jefferson, Lewis and St. Lawrence Counties by providing technical services and infrastructure, which will enhance economic opportunities in the region and promote the health and well-being of its communities.

### **C. Authority Principles**

We will measure our achievements against these standards in all our activities.

#### **Integrity**

We will be honest and responsible in dealing with customers, suppliers, partners and coworkers.

#### **Environment**

We will strive to protect, conserve and enhance the health and well-being of our region, for current and future generations.

#### **Quality and Excellence**

We will provide services that meet or exceed the needs and expectations of our customers. We will listen to our customers and pursue improvement and innovation in all our operations.

#### **People**

People are the key to our success and our most important resource. Our employees will have equal opportunity in an environment that fosters communications and continuous improvement through employee involvement. We will treat our employees the way we expect them to treat our customers.

#### **Leadership and Accountability**

We will identify opportunities that will benefit our customers and partners, and will focus our resources to take advantage of those opportunities. We will be accountable and responsible - individually and as an organization - for our actions and results.

#### **Partnership**

We will work collectively and cooperatively with our coworkers and customers to achieve together what we could not achieve alone.

#### **Stewardship**

We will maintain the highest level of fiscal responsibility and trust in our dealings.

## **SECTION 2 - EMPLOYMENT POLICIES**

### **A. Equal Employment Opportunity**

The Authority is an equal opportunity Employer and does not discriminate against any applicant or employee because of race, color, creed, religion, national origin, age, sex, sexual preference, sexual orientation, marital status, domestic violence victim status, gender identity or expression, familial status, military status, veteran's status, disability, genetic predisposition or carrier status, a known disability or any other characteristics protected by law. This policy applies to all terms and conditions of recruitment and employment, including, but not limited to, hiring, placement, promotion, working conditions, termination, layoff, recall, transfer, leave of absence, discipline, compensation, and training.

To further the principles of equal employment opportunity for all, the Authority has developed affirmative action practices for minorities, women, handicapped individuals, and Vietnam-era special disabled veterans. The Executive Director is responsible for administering and assuring compliance with these policies.

Any employees with questions or concerns about any type of discrimination in the workplace are encouraged to bring these issues to the attention of their immediate supervisor, the Human Resources Department or Executive Director. Employees can raise concerns and make reports without fear of reprisal. Every effort will be made to maintain the confidentiality of the matter consistent with the Authority's need to thoroughly investigate the allegations. Complete confidentiality cannot however be guaranteed. Anyone found to be engaging in any type of unlawful discrimination will be subject to disciplinary action, up to and including termination of employment.

### **B. Prohibition of Discrimination Based on Reproductive Health Decision Making**

The Authority will not access an employee's personal information regarding the employee's or the employee's dependent's reproductive health decision making, discriminate or take any retaliatory action against any employee with respect to compensation, terms, conditions, or privileges of employment because of or on the basis of the employee's or their dependent's reproductive health decision making, or

require an employee to sign a waiver or other document which purports to deny an employee the right to make their own reproductive health care decisions. For purposes of this policy “reproductive health decision making” includes, but is not limited to, a decision to use or access a particular drug, device, or medical service. In addition to reporting any alleged violations of this policy to the Authority, employees may also choose to pursue legal remedies by initiating a civil action in court for damages, injunctive relief, reinstatement, and/or liquidated damages.

No employee will be subject to retaliation or discipline by the Authority as a result of making or threatening to make a complaint against the Authority, a co-worker, or a public body, with respect to rights guaranteed under applicable law that have been violated; causing to be instituted any proceeding alleging violations of applicable law; or providing information to, or testifying before, any public body conducting an investigation, hearing, or inquiry into any alleged violation by the Authority of applicable law, rule, or regulation.

Any employee who believes that he or she has been subject to discriminatory or retaliatory behavior in violation of this policy should report it immediately to Human Resources or the Executive Director.

### **C. Personal Privacy Protection and Employee Access to Personnel Records**

1. Personnel files are the property of the Authority.
2. The Authority complies with Article 6A of the Public Officers Law with respect to the privacy of personnel records.
3. Upon request, each employee of the Authority will be allowed to inspect his/her personnel records in the presence of their supervisor or Human Resources. An employee may request inaccurate information be corrected and/or may submit corrections to the records. If a request to correct records is denied, the employee may file a written appeal with the Executive Director.

### **D. Employee Complaint Process**

The Authority has an internal complaint and right of appeal process to enable an employee to request assistance, report sexual harassment or other discrimination, or

address any perceived unfairness. Through this process, the Authority can eliminate conditions, which may be discriminatory or detrimental to an employee or the Authority's efficiency and reputation.

Misunderstandings or conflicts can arise in any organization. To ensure effective working relations, it is important that such matters be resolved before serious problems develop. Most incidents resolve themselves naturally; however, should a situation persist that you believe is detrimental to you or to the Authority, you should follow the procedure described here for bringing your complaint to management's attention.

Step One: Discussion of the problem with your immediate supervisor or Division Director is encouraged as a first step. If, however, you don't believe a discussion with your supervisor is appropriate, you may proceed directly to Step Two.

Step Two: If your problem is not resolved after discussion with your supervisor or if you feel discussion with your supervisor is inappropriate, you are encouraged to request a meeting with Human Resources. In an effort to resolve the problem, the Authority will consider the facts, conduct an investigation, and will normally respond within five working days.

Step Three: If you are not satisfied with this decision and wish to pursue the problem or complaint further, you may prepare a written summary of your concerns and request that the matter be reviewed by the Executive Director and/or Governance Committee. If the Executive Director has already been consulted during Step Two, the issue will be reviewed by the Governance Committee.

The committee, after a full examination of the facts (which would include a review of the written summary of your statement, and may include discussions with all individuals concerned, and a further investigation if necessary), will normally advise you of its decision within fifteen working days. The decision of the committee shall be final.

All requests will be reviewed as quickly and thoroughly as possible. The concern or complaint will be treated with complete respect and confidentiality, except as may be otherwise required by law.

## **E. Employee Assistance Program**

1. The Authority recognizes that a wide range of problems — such as marital or family distress, alcoholism, and drug abuse — not directly associated with an individual's job function can nonetheless be detrimental to an employee's performance on the job. Consequently, we believe it is in the interest of employees and the Authority to provide an effective program to assist employees and their families in resolving problems such as these as the need arises.
2. Pivot Employee Assistance Services (EAP), is a confidential referral service available to all employees. The program provides crisis intervention and pretreatment counseling and referral to appropriate professional services for any employee with a personal problem that is adversely affecting job performance. Employees wishing this confidential service may call 315-788-4790.
3. Participation in EAP does not excuse employees from complying with normal Authority policies or from meeting normal job requirements during or after receiving EAP assistance. Nor will participation in our EAP prevent the Authority from taking disciplinary action against any employee for performance problems that occur before, during, or after the employee's seeking assistance through the EAP.

## **F. Physical Evaluation/Alcohol and Substance Abuse**

Drug and alcohol dependency is an illness and a major health problem, which effects employee job performance. Furthermore, such abuse creates potential safety and security problems. For these reasons, the Authority has developed this policy.

1. As part of the Authority's employment procedures, all job applicants offered a position with the Authority will be required to have a pre-employment medical examination and drug screen conducted by a physician designated by the Authority. Any offer of employment by the Authority is contingent upon, among other things, satisfactory completion of these examinations, and a determination by the Authority and its examining physicians that the applicant is capable of performing the responsibilities of the position that has been offered.

2. Further, as a condition of continued employment, employees may also be required to undergo periodic medical examinations, at times specified by the Authority. Examinations may be required post-job injury or incident/accident. In connection with these examinations, employees are required to provide the Authority with access to their medical records, if requested. Further, it should be understood that the Authority receives a full medical report from its examining physicians regarding the applicant's or employee's state of health. Questions about medical examinations or alcohol and drug screening should be directed to Human Resources.
3. The Authority is required to comply with the Omnibus Transportation Employee Testing Act of 1991 (the "Act") and the U.S. Department of Transportation Regulation 49 CFR Part 40 (the "Regulation"). Job applicants for a position that requires a CDL will be required to have a pre-employment alcohol and controlled substance screening. Procedures for compliance with the Act and Regulation have been adopted by the Authority and communicated to covered employees.
4. All Authority-required medical examinations and alcohol and drug screenings are paid by the Authority.
5. Employees are expected and required to report to work on time and in mental and physical condition for work. Reporting to work under the influence of alcohol or a controlled substance is prohibited.
6. The manufacture, distribution, dispensation, possession, or use of alcohol, marijuana or any controlled substance on Authority premises or while conducting Authority business off premises is prohibited. Violations of this policy will result in disciplinary action, which may include termination of employment.
7. The Authority encourages employees needing help in dealing with such problems to use the Pivot Employee Assistance Services, 315-788-4790.

## **G. Conflicts of Interest**

1. Authority employees may not have any interest, direct or indirect, financial or otherwise, or engage in any business activity or transaction which is in conflict or creates the appearance of a conflict with the proper discharge of the employee's duties for the Authority. All personnel will sign an annual certification, declaring any conflicts of interest, or affirming none exist.
2. All business of the Authority must be conducted on an objective basis, solely on its merits and in accordance with Section 74 of the Public Officers Law, "Code of Ethics", and the Authority's Ethics Policy.

## **H. Confidential Information**

1. Employees may not use their knowledge gained in the course of employment with the Authority in any way except to serve the authorized purposes of the Authority.
2. All of the business transacted by the Authority and all records, correspondence and general information is to be considered confidential except as specifically identified otherwise by the Executive Director, in accordance with the Authority's Public Access to Records policy.
3. Employees found to be violating this policy are subject to disciplinary action, up to and including termination, and may be subject to civil and/or criminal penalties for violations of, among other things, applicable securities laws.

## **I. Outside Employment**

1. No Authority employee may engage in outside employment of the same nature, or provide similar services as provided by the Authority. An employee may engage in unrelated employment outside the Authority during hours that do not interfere with his/her work schedule or performance.
2. Authority employees who serve as directors, owners, employees or agents of companies seeking to do business with the Authority shall disclose in writing

such interest to the Executive Director, who shall determine whether a prohibited conflict exists. The Executive Director shall update and review such relationships on an annual basis.

3. This guideline does not apply to volunteer, civic and humanitarian organizations.

## **J. Personal Conduct and Disciplinary Procedures**

1. Each Authority employee is expected to be aware of and personally exemplify the highest standards of professional, ethical and moral conduct.
2. Whether you are on duty or off, your conduct reflects on the Authority. You are, consequently, encouraged to observe the highest standards of professionalism at all times.
3. Types of behavior and conduct that the Authority considers inappropriate include, but are not limited to, the following:
  - a. Falsifying employment or other Authority records
  - b. Violating the Authority's nondiscrimination and/or sexual harassment policy
  - c. Excessive absenteeism or tardiness
  - d. Excessive, unnecessary, or unauthorized use of supplies, particularly for personal purposes
  - e. Reporting to work intoxicated or under the influence of non-prescribed drugs, and illegal manufacture, possession, use, sale, distribution or transportation of drugs
  - f. Bringing or using alcoholic beverages, marijuana or any illegal drug on Authority property or using alcoholic beverages, marijuana or any illegal drug while engaged in Authority business
  - g. Fighting or using obscene, abusive, or threatening language or gestures
  - h. Theft of property
  - i. Possession of firearms on Authority premises or while on Authority business
  - j. Disregarding safety or security regulations

k. Insubordination

l. Failing to maintain required confidentiality

4. Violations of the Authority's work rules, instances of unacceptable behavior or misconduct, or continued poor performance will generally be subject to progressive discipline. Progressive discipline means that employees will be assessed penalties that become increasingly severe each time an offense is repeated or a performance improvement is not forthcoming. However, some types of misconduct and/or job performance are so serious that they may result further discipline to include an immediate dismissal from employment.

#### **K. Solicitations**

1. Solicitation or distribution of literature of any kind by or of Authority employees is not permitted during working time or in working areas. Employees who are not on working time, such as during meal periods, break time, or other non-working time, may not solicit employees who are on working time. The intent of this prohibition is not to preclude supporting the fundraising efforts of adjudged community benefit organizations. All such proposed solicitations shall be approved, and conditions of approval detailed, by the soliciting employee's supervisor.
2. Non-employees are not permitted to solicit or distribute literature at any time on Authority property.

#### **L. Personal Business and Use of Authority Equipment**

1. The Authority expects all of its employees to perform Authority work during their normal work hours. Employees are expected to use discretion with regard to incoming and outgoing personal calls and the carrying out of personal business during normal work hours.
2. Employee work areas, desks, lockers, and office equipment are provided by the Authority. The control of these areas and equipment remains with the Authority and the Authority reserves the right to enter these work spaces and monitor the

use of other equipment when deemed appropriate.

3. The Authority's computer system provides e-mail capabilities. The system is subject to monitoring by the Authority and the use of electronic mail program amounts to employee consent of such monitoring. Employees using Authority computers may, from time to time, find it necessary to use a password to protect confidential material. When a confidential password is used, it must also be given to the employee's supervisor as needed. The Authority's computer system is governed by the Authority's Information Technology and Security Policy and associated IT procedures.
4. The Authority also reserves the right to open all mail delivered to the Authority; therefore, employees are encouraged to have personal mail delivered to their homes.
5. Personal use of Authority equipment or supplies, including, but not limited to, copying machines, fax machines, computers, and office supplies, is generally prohibited. The intent of this policy is not to preclude reasonable use of such equipment by the employee when the employee's supervisor shall determine that such use is in the interest of the Authority given specific circumstances. Use of Authority equipment or supplies for outside employment is strictly prohibited.
6. Personal use of Authority automobiles and other equipment is prohibited.

## **M. Safety and Wellness**

Providing you with safe working conditions is a primary concern of the Authority. To this end, the Authority makes every effort to comply with relevant Federal and State Occupational Health and Safety Laws, but the prevention of injuries and accidents cannot be accomplished without the continuous sincere effort of all employees. We encourage you to be constantly on the alert for incidents of human error and mechanical failure. Report any condition or employee practice that is likely to cause an accident to your supervisor immediately. For more information regarding safety and health, refer to the Health and Safety manual located on the Authority website.

## **N. Workplace Violence Prevention Program**

The Authority is a New York State public benefit corporation and therefore, is required to follow NYCRR Part 800.6 Workplace Violence Prevention regulations. The requirements of the regulation mandates annual training for all employees at time of hire and annually thereafter of what workplace violence is, conduct a risk evaluation to identify possible danger before they happen and provide a written workplace violence prevention program for employee review. For more information regarding the Authority's Workplace Violence Prevention Program, refer to the program details in the Authority's Health & Safety Manual.

## **O. Smoking Policy**

The purpose of this policy is to establish guidelines whereby the Authority provides a smoke-free work environment for our employees and complies with all federal and state indoor Clean Air Acts. This policy applies to all employees, vendors, visitors and contractors. Any use of tobacco must be 25 foot away from Authority buildings.

1. **Discipline:** All employees share in the responsibility for adhering to and enforcing the Smoking Policy. In all cases, the right of the non-smoker to protect his/her health and comfort will take precedence over an employee desiring to smoke. Employees who violate this policy may receive a written safety violation notice and may be disciplined, up to and including termination of employment, based on the severity of the violation.
2. **Employee Assistance:** The Authority provides an Employee Assistance Program for its employees. This program includes assistance with smoking cessation. In addition, community-based programs are available and the Authority will assist any interested employees (Reference Personnel Policy Section 2.E., Employee Assistance Program).

## **P. Tape Recording Policy**

The Authority prohibits its employees from secretly recording or directing others to secretly record, by audio or video tape or other electronic means, discussions or meeting between or among employees, vendors, visitors and contractors while on

Authority premises, and/or between or among employees while outside the Authority on Authority business without the prior express written approval by the Executive Director. Anyone violating this policy will be disciplined up to and including termination from employment.

#### **Q. Nursing Mothers Policy**

The Authority will provide a reasonable amount of break time to accommodate a female employee's need to express breast milk for the employee's infant child. The break time should, if possible, be taken concurrently with other break periods already provided. The Authority will also make a reasonable effort to provide the employee with the use of a room or other location in close proximity to the employee's work area, for the employee to express milk in private.

Employees should notify their supervisor, or a member of Human Resources to request time to express breast milk under this policy. The Authority reserves the right to delay or postpone an employee's request for a lactation break by up to 30 minutes if the additional break time will seriously disrupt operations and in accordance with applicable law.

No provision of this policy applies or is enforced if it conflicts with or is superseded by any requirement or prohibition contained in a federal, state or local law or regulation. Anyone with knowledge of such a conflict or potential conflict should contact Human Resources.

#### **R. Telecommuting Policy**

The Authority has a Telecommuting policy which establishes guidelines for telecommuting arrangements for employees. Telecommuting arrangements are not a right or entitlement of employment; they are discretionary and subject to operational needs. Telecommuting arrangements can be rescinded at any time with appropriate notice. There is no appeals process when a telecommuting arrangement has been denied or rescinded.

Telecommuting allows employees to work at home, on the road or in a satellite location for all or part of their workweek. The Authority considers telecommuting to

be a viable, flexible work option when both the employee and the job are suited to such an arrangement. Telecommuting may be appropriate for some employees and jobs, but not for others. Telecommuting is not an entitlement, it is not an Authority-wide benefit, and it in no way changes the terms and conditions of employment between the employee and the Authority. It is important to note that Telecommuting approved on a one-off or otherwise irregular basis is not a telecommuting arrangement as defined under the policy.

Telecommuting arrangements require the initial and ongoing approval of the employee's Division Director, Human Resources, and the Executive Director. For more information regarding the policy, refer to the program on the Authority website.

## SECTION 3 - COMPENSATION POLICIES

### A. Salary Administration Definitions

#### 1. Employees

- a. **Regular** - Any employee who is regularly scheduled to work 30 hours or more per week. Regular employees are eligible for the benefits detailed by Section 4.
- b. **Temporary** - Any employee who is hired for a special project or period of time and works fewer than 12 months or less than 1,560 hours, in any fiscal year.

Temporary employees are not eligible for benefits as described in Section 4, except for optional benefits on a case-by-case basis and participation in the New York State Employees' Retirement System. Temporary employees receive workers' compensation as mandated by law. Temporary employees working a minimum of 20 hours per week receive short term disability coverage.

- c. **Workers provided by a third party contractor, or a consultant who is retained as an independent contractor** by the Authority, are not covered under these Personnel Policies.

#### 2. Orientation Period

- a. Newly hired employees will have a 180 calendar-day orientation period. The orientation period provides both the employee and the Authority an opportunity to get to know one another. At the end of the period, the employee will receive a review by his/her supervisor.
- b. Successful completion of the orientation period should not be construed as creating a contract guaranteeing any special privileges.

#### 3. Basic Work Week

- a. Each work week begins Sunday and ends Saturday midnight, and is considered individually. Work schedules are as established by management. Standard work days can be changed from time to time by management to meet changing operating requirements.

4. Base Salary

- a. Base salary is compensation regularly paid to each employee as remuneration for work performed. Base salary does not include overtime pay.

5. Employee Status and Overtime Pay

- a. Exempt - Exempt employees are those employees whose duties meet the standards for exemption from the U.S. Fair Labor Standards Act (FLSA), the New York Labor Law and the implementing regulations, including the exemptions for executive (managerial and supervisory), administrative, and professional employees, and computer-related occupations. Exempt employees do not receive overtime compensation for hours worked in excess of 40 hours in a work week.
- b. Non-Exempt - Non-Exempt employees are those employees covered by the minimum wage and overtime provisions of the Fair Labor Standards Act (FLSA) and the New York Labor Law, and include all non-salaried (hourly) workers and those salaried employees whose duties do not meet the standards for the statutory exemptions. Non-exempt employees, who work more than 40 hours in a work week, will receive compensation at the rate of 1 and ½ times their regular hourly rate for all hours worked in excess of 40 in a work week.
- c. Overtime hours should be approved in advance by the Division Director or Supervisor.
- d. Solely for overtime pay purposes, hours worked include designated holidays, vacation, personal and sick leave hours.
- e. Employees will be informed of their status at the time of hire and when a change occurs due to a promotion or transfer.

6. Call In Pay

Any regular, full-time, permanent, hourly employee who is called in to work unscheduled hours shall be paid a minimum of two (2) hours pay.

7. On Call Pay

Any regular, full-time, permanent, hourly employee who is on call to work unscheduled hours shall be paid a weekly stipend for the on-call period. The

amount of such stipends shall be established by the Authority on an annual basis.

**B. Longevity Incentive Pay**

Any regular, full time, hourly or salaried employee shall be eligible for a single non-recurring payment upon completion of five, ten, fifteen, twenty and twenty-five years of continuous service with the Authority. The amount of the longevity incentive shall be as follows:

<b>Years of Service:</b>	<b>Dollar Amount</b>
5	\$500
10	\$1,000
15	\$1,500
20	\$2,000
25	\$2,000

The payment shall be issued upon the anniversary day of the employment with the Authority or the next payday, to be determined by Finance.

The payment shall not be incorporated in the annual salary, but shall be a one-time payment.

The payment may be withheld by the Executive Director for issues of performance or just cause.

**C. Salary Administration Policy**

1. Job Description

a. All positions have a written job description. Employees receive a copy of their job description at the time of hire and when a change occurs due to a promotion or transfer.

2. Salaries and Wages

a. Newly hired employees will start at a competitive rate commensurate with their job function and experience.

b. Salaries and wages will be reviewed periodically to determine overall competitiveness.

c. As needed, reviews will compare the Authority's salaries with available resources such as private industry, state, county, and city salary ranges, and job descriptions.

3. Performance Appraisal

To ensure that you perform your job to the best of your abilities, it is important that you be recognized for good performance and that you receive appropriate suggestions for improvement when necessary. Consistent with this goal, your performance will be evaluated by your supervisor on an ongoing basis. You will also receive periodic written evaluations of your performance. Such evaluations will normally occur at the completion of the Orientation Period, and annually thereafter.

Annual evaluations will become the basis for annual salary adjustments. Your Supervisor will develop a schedule each year for completion of your annual evaluation.

In addition, if you are promoted or transferred to a new position, your performance may be evaluated in writing after you have been in your new job for ninety days.

All written performance reviews will be based on your overall performance in relation to your job responsibilities and will also take into account your conduct, demeanor, and record of attendance.

In addition to the regular performance evaluations described above, special written performance evaluations may be conducted by your supervisor at any time to advise you of the existence of performance or disciplinary problems. Completed performance review forms will be maintained in a confidential employee file.

4. Annual Adjustment Pool

An annual adjustment pool system has been established for all employees. Each fiscal year, prior to April 1, the pool shall be reviewed by management and the Board to determine if an annual adjustment should be implemented based on cost

of living, wage comparability and other factors. Any such adjustments will be made as part of the annual budget adoption process. The total of all pay adjustments shall not exceed the pool established in a given year.

On the first pay period on or after April 1 of each year, all employees may be eligible for a pay adjustment, subject to the following conditions:

- a. The employee must have worked for six (6) months in a full-time, capacity.
- b. The employee must have a satisfactory performance appraisal for the current rating period.
- c. The employees' immediate supervisor must recommend the employee for such adjustment, which must be approved by the appropriate Manager and Executive Director. Individual performance is the key criterion in determining increases in an employee's pay.

5. Executive Director Compensation

**Executive Director** – The Governance Committee recommends and submits to the Board for review and approval (may be subject to an employment contract).

6. Promotions, Change of Title and Organizational Changes

- a. The Executive Director submits to the Governance Committee and/or Finance and Budget Committee recommendations with supporting documentation, if required by the Authority's By-Laws.
- b. Upon Committee approval, recommended action(s) are submitted to the Board for approval, if required.
- c. When a regular, full-time, hourly employee is promoted to a new position, he/she will advance to a pay rate that is equal to or greater than the rate in the previous position.

7. Salary Advances

Employee salary advances are not permitted.

8. Employee Garnishments

- a. The Authority complies with employee wage garnishment and levynotices.
- b. The employee's employment position is not jeopardized as a result of a garnishment or levy.

**D. Employee Payroll**

- a. The Authority requests all newly hired employees to enroll in direct deposit for payroll purposes. The Authority will provide, by email, an electronic copy of payroll and deductions to each employee for each payroll period.

## **SECTION 4 - BENEFITS**

### **A. Benefit Policies**

Benefit policies are established for the health and welfare of Authority employees. All regular employees receive benefits. Some benefits are the same for all employees. Some are accrued based upon hours worked or length of service.

This Section contains a brief description of the various benefits provided to eligible employees by the Authority. For the actual descriptions of the benefits available, reference must be made to the individual benefit plans. Where benefits are governed by formal plan documents or master policies, the exact terms of the plans or policies will govern. The Authority has discretionary authority to construe all benefit plans and policies and the provisions of this Personnel Policy, including discretionary authority to interpret any disputed provisions and to resolve all issues that arise under such plans and policies.

The Authority has no plans at this time to discontinue its current benefit plans and policies. However, the Authority expressly reserves the unqualified right, by action of the Board of Directors, to modify, amend or terminate any plan or policy at any time and for any reason, including changes that may increase the contributions required for employees and/or retired employees for a benefit beyond the levels stated in this Personnel Policy and/or the benefit plans and policies.

Retirement does not confer upon any person any irrevocable right to continued benefits under any Plan or policy of the Authority. The Authority makes no promise to continue any particular benefits in the future and rights to future benefits do not vest.

### **B. Medical**

The Authority currently provides medical insurance plans to eligible Authority employees and their spouses and dependent children (collectively, “dependents”). Effective January 1, 2016, employees will continue to contribute a fixed amount of employee contribution as established annually by the Governance Committee of the Authority Board.

An employee who opts NOT to participate in the Authority’s medical insurance

plan before the beginning of the year will receive an additional cash stipend. The amount of the stipend will be established annually by the Governance Committee of the Authority Board, and is paid over the course of the year, as part of the employee taxable compensation.

The Authority intends this to be a benefit for an employee who has coverage from another source. The employee will be required to provide proof of alternative coverage to be eligible to receive the stipend. The stipend will stop if the employee chooses to enroll in the plan part way through the year, (assuming this enrollment is permitted by the plan).

A retiring employee may choose to continue medical coverage if they are employed by the Development Authority of the North Country, at the time of retirement and meet one of the following conditions: 1) employees who have retired prior to April 1, 2008, must have a minimum of ten (10) years of service; 2) current active employees hired prior to April 1, 2008, must have a minimum of fifteen (15) years of service; 3) employees hired after April 1, 2008, must have a minimum of twenty (20) years of service. When the retiree reaches age 65, Medicare will provide primary coverage, except as otherwise required by law. The Authority may elect to provide an alternative supplemental insurance plan.

Effective January 1, 2016, the rate of retired employees' individual coverage contributions will be established as a fixed amount of contribution as established by the Governance Committee of the Authority Board. If family coverage is elected instead, the Authority will pay for such costs up to the dollar amount provided for individual coverage.

A retiring employee must be a member of the Authority's health insurance plan to continue coverage. If an employee is participating in the "stipend medical insurance alternative", the employee must enroll in the Authority's health insurance plan during the enrollment period prior to the anticipated year of retirement.

If a retired employee does not satisfy the requirements, medical coverage for both the retired employee and any dependents who had medical coverage will terminate at retirement. Both the retired employee and dependents will have the right to

continue coverage for a period of time at their own expense under the “COBRA” rules.

The Consolidated Omnibus Budget Reconciliation Act of 1986, as amended (“COBRA”), requires that previously covered employees and dependents who are considered “qualified beneficiaries” have the opportunity to elect continuing coverage under the medical plan for a specified period, at their own expense, when coverage would otherwise end due to an employee’s termination of employment (or reduction in hours of employment). In addition, dependents that are qualified beneficiaries have the right to elect COBRA coverage upon the occurrence of certain other events that are “qualifying events” under the COBRA rules.

### **C. Workers Compensation**

Employees suffering an injury or illness on the job are eligible for Workers' Compensation Benefits. All payments made by the Authority's insurance carrier for wage reimbursements will be received at the Administrative Office of the NYS Insurance Fund and forwarded to the employee.

The day of occurrence (Day 0) of the injury/illness, where the employee is required to obtain medical attention, will be considered a full day of regular employment at the employee’s usual wage rate. Time lost due to the injury/illness on the day of occurrence will not be charged against accrued sick time.

For the next seven calendar days (Days 1-7), the employee may utilize accrued sick time for the number of regularly scheduled hours of work lost due to the injury/illness. The employee may not claim sick time in excess of the amount accrued.

After seven calendar days, Workers' Compensation benefits become payable to the employee. The employee will not receive compensation from the Authority while eligible for such benefits.

For injuries/illnesses which require the employee to remain away from work for more than fifteen calendar days, Workers' Compensation will begin to pay benefits for wages during the first seven calendar days. Such retroactive benefits will be returned to the Authority by the employee. In return, the Authority will reinstate the employee’s accrued sick time on a prorate basis.

Employees will continue to accrue vacation and sick time during the first seven calendar days of time lost due to injury/illness. Accrual of paid leave will terminate on the eighth calendar day and will be resumed upon the employee's return to work.

For purposes of retirement, the employee will not be considered to be on the Authority payroll while receiving Workers' Compensation benefits. During that time, no contributions will be made on behalf of the employee nor will time of service be credited.

Once an employee has received Workers' Compensation benefits for 30 days, the employee will become responsible for remitting to the Authority their portion of payments for participatory benefits sponsored by the Authority (e.g. Health Insurance).

Alternative or limited duty may be provided by the Authority, as available and/or appropriate, to employees able to return to work on such a basis.

**D. Retirement Plan (New York State Pension)**

The Authority participates in the New York State Employees' Retirement System. In addition, the Authority has elected to provide additional credit toward retirement through an Allowance for Unused Sick Leave [RSSL Sec. 41(j)].

Participation by Authority employees is required under Article 15 of the Retirement and Social Security Law of New York State.

**E. New York State Deferred Compensation Plan (Optional)**

The Authority participates in this optional plan. The New York State Deferred Compensation Plan provides employees with additional retirement savings and investment opportunities. Contributions to the Deferred Compensation Plan are on a pre-tax basis, and the earnings in employee accounts are tax deferred.

**F. Section 125 Flexible Benefits Plan (Optional)**

The Authority participates in this optional plan which allows each employee to establish a pre-tax account to fund: (1) existing medical insurance employee contributions, and a (2) Flexible Spending Account (FSA) to pay qualifying health care and dependent care expenses. Information on the Section 125 Plan is distributed to each employee.

## **G. Other Benefits**

The Authority may from time to time provide for additional benefits, fully paid for by an employee and at no cost to the Authority (e.g., supplemental insurance, dental coverage, vision coverage, etc.).

## **H. Sick Leave**

Sick leave is provided for the benefit of Authority employees. Leave time to care for dependents or family members may be from accrued sick time, personal time and vacation time, or Family and Medical Leave Act time as provided for in Section I, subject to the approval of the Executive Director.

Employees accrue sick leave at the rate of 3.08 hours per pay period or an equivalent of ten (10) workdays per year.

- a. Sick accrual is based upon hire date; accrual begins on the hiredate.
- b. Maximum accrual cannot exceed 200 days or 1600 hours.
- c. The Executive Director is authorized to modify the applicable accruals and accrual rate for the purposes of recruitment and retention of personnel, or other extenuating circumstances.

Employees must notify their manager of an absence due to sickness within two (2) hours of the start of that workday. Failure to properly notify the Authority will result in absence without leave, and may result in pay being reduced accordingly.

Employees who have been on sick leave for three (3) or more consecutive workdays may be requested to provide a medical certificate.

Accrued unused sick leave is not payable upon resignation, retirement, death or other termination of employment. The Authority has elected to provide additional credit toward retirement through an Allowance for Unused Sick Leave [RSSL Sec. 41(j)]. Up to 165 sick days may be so applied for Tiers 1 through 5, and 100 sick days for Tier 6.

Short-Term Disability (STD) benefits provide partial insurance protection to an employee in the event of a non-job related injury or illness that prevents the employee from working. The absence from work must be for more than 8 working

days to be eligible for coverage. The STD benefit is a maximum of 60% of base weekly income for up to 26-weeks. The Authority provides this STD benefit to employees (at no cost to the employee) who works a minimum of 20-hours per week. If an employee becomes disabled, the employee will receive full pay through available accrued sick leave for the first 8 days of disability. In addition, after the first 8 days, employees will receive full pay to the extent that the employee's accrued sick leave covers the un-insured portion of the employee's weekly pay.

Sick time will not be paid beyond the maximum 26-week disability benefit period.

#### **I. Family and Medical Leave Act (FMLA)**

The Development Authority of the North Country is subject to the provisions of the Family and Medical Leave Act (FMLA). The Family and Medical Leave Act provides for unpaid leave for employees under certain circumstances.

For an employee to be eligible for FMLA leave, they must have been employed by the Authority for at least 12 months, and have worked at least 1,250 hours within that 12-month period.

An eligible employee's FMLA leave is limited to 12 weeks of unpaid leave during a 12-month period, for one or more of the following reasons:

- the birth of the employee's son or daughter, and to care for the newborn;
- the placement with the employee of a son or daughter for adoption or foster care, and to care for the newly placed child;
- to care for the employee's spouse, son, daughter, or parent with a serious health condition;
- because of a serious health condition that makes the employee unable to perform one or more of the essential functions of his or her job.
- Military Family Leave Entitlements

Military Caregiver Leave – An eligible employee who is a spouse, son, daughter, parent, or next of kin of a covered service member with a serious injury or illness may take up to a total of 26 weeks of unpaid leave during a single 12-month

period to care for the covered service member. A covered service member is a current member of the Armed Forces, including a member of the National Guard or Reserves, who has a serious injury or illness incurred in the line of duty on active duty that may render the service member medically unfit to perform his or her duties for which the service member is undergoing medical treatment, recuperation, or therapy; or is in outpatient status; or is on the temporary disability retired list.

Qualifying Exigency Leave – An eligible employee with a spouse, son, daughter, or parent on active duty or call to active duty status in the National Guard or Reserves in support of a contingency operation may use their 12-week leave entitlement to address certain qualifying exigencies. Qualifying exigencies may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post- deployment reintegration briefings.

#### Broader Definition of Spouse

Legally married, same-sex couples are ensured to have the same rights under federal law as legally married, opposite sex couples. An employee in a legal same-sex marriage will be entitled to use FMLA leave:

- to care for a same-sex spouse with a serious health condition;
- to care for a stepchild who is the child of a same-sex spouse;
- to care for a stepparent who is the same-sex spouse of the employee's parent;
- due to a qualifying exigency related to the same-sex spouse's covered military service; or
- to care for a covered service member who is a same-sex spouse.

An employee must provide the Authority with at least 30 days advance notice before FMLA leave is to begin. If 30 days' notice is not practical, because of circumstances such as a medical emergency, notice must be given as soon as possible. The Authority requires written notice, with details, prior to the FMLA leave as specified on the FMLA Form prior to the leave. For more information or to obtain a FMLA Form, contact the Human Resources Department.

An employee on FMLA leave does not continue to accrue benefits (retirement credit, vacation, personal and sick time) during the leave period. Health insurance in place at the time of the FMLA leave will remain in effect, although the employee

is responsible for making their required premium contributions.

Employees returning from FMLA leave may be restored to, but are not guaranteed, the same position. Returning employees must be restored to an “equivalent position with equivalent benefits, pay, and other terms and conditions of employment,” per Section 104(a)(13) of the Family and Medical Leave Act. For more information, contact the Human Resources department.

#### **J. Holidays**

Holiday schedules are established on an annual basis and will be posted by Management. Depending on individual requirements, operating departments may have different schedules.

If a holiday falls on a Saturday or Sunday, the Authority holiday is observed on the workday closest to the actual holiday.

#### **K. Personal Days**

All regular employees are eligible for two (2) paid personal days per fiscal year. New employees hired after the start of the fiscal year will receive credit for personal days prorated for the time remaining in the fiscal year. These days may be taken at the convenience of the employee and the Authority for such occasions as religious observances, birthdays or personal business. Personal days may not be carried over to the next fiscal year.

#### **L. Vacations**

1. The Authority provides annual paid vacation to eligible employees for the purpose of rest, recreation, and change in environment. Vacations are administered and scheduled on a fiscal year basis to meet the requirements of the Authority and, whenever possible, the convenience of the employee.
2. Vacations are scheduled with consideration of other employees' requests. If a conflict in scheduling occurs, the employee with the longest continuous service with the Authority has first choice.
3. Vacation accrual is based upon hire date and length of service; accrual begins on the hire date.
4. Eligible employees accrue vacation at the following rates:
  - a. **Hire date through completion of five (5) years of service** - accrual rate

- 3.08 hours per pay period, equivalent to two (2) workweeks per year.
- b. **Five (5) years through completion of fifteen (15) years of service** - accrual rate 4.62 hours per pay period, equivalent to three (3) workweeks per year.
  - c. **Fifteen (15) years through completion of twenty-five (25) years of service** - accrual rate 6.15 hours per pay period, equivalent to four (4) workweeks per year.
  - d. **Twenty-five (25) years or more of service** – accrual rate 7.69 hours per pay period, equivalent to five (5) workweeks per year.
  - e. The Executive Director is authorized to modify the applicable accruals and accrual rates for the purposes of recruitment and retention of personnel, or other extenuating circumstances.
- 5. Employees may accumulate unused vacation up to a maximum of one and one half times (1 and 1/2) the annual entitlement at year-end as long as all other provisions of the vacation policy are met.
  - 6. Employees are not permitted to take paid vacation in excess of hours accrued.
  - 7. Eligible employees will be paid at the then effective rate for any unused accrued vacation (up to 1½ times the annual entitlement) upon resignation, retirement, death, or other termination of employment.
  - 8. Accrued vacation paid upon termination may not be used to extend length of service beyond the last day worked.

#### **M. Excused Leave for Cancer Screenings**

Pursuant to New York State Civil Service Law Section 159-b, effective March 18, 2018, all Authority employees are entitled to take up to a maximum of four (4) hours of paid leave per year for any type of cancer screening without deducting from any other leave time (i.e., sick, personal, or vacation).

#### **N. Bereavement, Jury Duty, and Military Leave**

##### Bereavement:

If a death occurs in an employee's or their spouse's immediate family, defined as mother, father, legal guardian, brother, sister, grandparent, spouse, or child, the employee may be granted bereavement leave with pay for up to five (5) days. Up to three (3) days of paid bereavement leave, may be granted for the death of other relatives. The same bereavement benefits outlined above are provided in a

comparable basis for employees in a committed domestic partner relationship or same-sex domestic partner relationships.

Jury Duty:

Any employee required to serve jury duty will receive an equivalent of his/her full pay for the days absent from work. It is the responsibility of the employee to provide proper documentation of services on the jury and copies will be placed in the confidential employee file.

Military:

Leaves of absence for military or Reserve duty are granted to regular and part time regular employees in accordance with applicable federal and state laws.

**O. Personal Leave of Absence**

1. A personal leave of absence without pay from active employment at the Authority may be granted, in the sole determination of the Executive Director, to regular employees who have completed their orientation period. Prior written approval must be obtained from the Executive Director, except in emergencies. Employees will submit a written request for a personal leave of absence to their immediate supervisor at least two (2) weeks in advance. All paid time off must be used before any time will be granted unpaid.
2. If a leave of absence extends for a period of less than eight (8) weeks, the employee will be returned to the same job at the same rate of pay. If the leave extends for more than eight (8) weeks, the employee will generally be eligible for the first suitable opening for which the employee is qualified.
3. The leave of absence will be an unpaid leave, except to the extent of any disability benefits to which the employee may be entitled to during the leave. During the leave period, the employee does not continue to accrue vacation and sick leave benefits, and retirement plan payments will not be made. The Authority will continue to make contributions on behalf of the employee for health and disability insurance that were made prior to the leave through 60 days of inactive status. The employee is responsible for paying the employee portion of the premium. After 60 days of inactive status, the inactive employee and their covered dependents may elect to continue their health, dental and vision coverage under COBRA.

4. Continuation of Benefits: Provided the employee is not on FMLA leave (Family Medical Leave Act), the portion of health, dental and vision (if applicable) premium paid by the Authority shall cease for any employee absent from active work for a period of 60 days or more. If the employee does not return to work, they will be responsible for the Employer portion of the health premiums paid on their behalf during the unpaid portion of their leave, in addition to premiums for employee voluntary benefits, if applicable.

**P. Return to Work / Inability to Return to Work Procedure**

The Authority strives to assist employees to return to work at the earliest possible date following an injury or illness when the Authority has work that the employee can perform safely given any medical restrictions. A return-to-work program has several benefits for both the Authority and our employees by minimizing time lost from work. For more information, call Human Resources.

## **SECTION 5 - TRAINING AND DEVELOPMENT**

### **A. Training and Development Policies**

1. The Authority provides an orientation session for new employees to acquaint them with the terms and benefits of their employment and to acquaint them with the role and responsibilities of the Authority. This session is part of the new employee orientation period.
2. Training and development policies are established to aid an employee in improving performance and productivity in their current position. The Authority supports training and development as a long-term strategy for improving organizational effectiveness.
3. It is the intent of the Authority that for a period of 24 months from the completion of a college course leading to a degree, or a training program leading to a professional license, for which tuition assistance is provided, the Authority may recover the cost of such training from the employee if the employee chooses to leave the Authority for other employment.

### **B. Tuition Reimbursement**

1. Training and Development
  - a. The Authority will sponsor employees in external programs, non-college programs, workshops and seminars when the training provides a direct benefit to their job function and is required by the Authority.
  - b. All fees will be 100% paid for by the Authority, including related travel, consistent with Authority Travel and Miscellaneous Expense Policy.
  - c. Specific approval of the Executive Director is required prior to enrollment.
2. Continuing Education
  - a. The Authority will reimburse eligible employees tuition only for college credits, non-credits, and credential related individual courses or courses that have been approved by the Executive Director.
  - b. The course or program must be work related or be a required part of degree requirements, and must be offered by an accredited institution of learning.
  - c. The employee must pay for tuition and submit a request for reimbursement

at the end of each term.

- d. The employee will be reimbursed 100% of tuition only for achieving a passing grade of "C" or higher. No reimbursement will occur if the grade is "D" or lower.
  - e. The reimbursement of tuition only shall not exceed the established rates for the graduate and undergraduate levels of the State University of New York tuition schedule.
  - f. In special situations, at the discretion of the Executive Director, the Authority may pay for tuition, in advance, if the course is directly related to job performance and productivity.
  - g. Any employee receiving continuing education reimbursement shall enter into an agreement for a mandatory continued employment or payback schedule established as per the policy Continuing Education Assistance Program.
3. Only regular employees with one year or more years of service are eligible for tuition reimbursement, unless specifically authorized by the Executive Director.

## SECTION 6 - EMPLOYEE TRAVEL AND MISCELLANEOUS EXPENSES

1. The Authority's Travel and Miscellaneous Expense Policy is contained in a separate document. The purpose of the policy is to provide for reimbursement of allowable travel expenses incurred when business is conducted away from the Authority official duty station; and for reimbursement of certain other expenses.
2. The policy applies to the Board of Directors and employees of the Authority.
3. Refer to the Travel and Miscellaneous Expense Policy for detailed guidance.

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Revision Date: March 13, 2009

Revision Date: July 2, 2009; Resolution No. 2009-07-03

Revision Date: December 8, 2011; Resolution No. 2011-12-03

Revision Date: March 22, 2012, Resolution No. 2012-03-04

Revision Date: March 21, 2013; Resolution No. 2013-03-04

Revision Date: August 28, 2014; Resolution No. 2014-08-05

Revision Date: March 19, 2015; Resolution No. 2015-03-33

Revision Date: December 10, 2015, Resolution No. 2015-12-118

Revision Date: March 31, 2016, Resolution No. 2016-03-40

Revision Date: May 3, 2016, No Resolution Required (Section 3. B. 9. a. "requests" replaces "requires") Revision Date: March 23, 2017; Resolution No. 2017-03-25

Revision Date: February 22, 2018, Resolution No. 2018-02-02

Revision Date: March 28, 2018, Resolution No. 2018-03-32

Revision Date: December 20, 2018, Resolution No. 2018-12-123

Revision Date: March 28, 2019; Resolution No. 2019-03-32

Revision Date: May 16, 2019; Resolution No. 2019-05-49 (recalculation/financial payroll & human resources reporting)

Revision Date: March 26, 2020; Resolution No. 2020-03-27

Revision Date: August 27, 2020; Resolution No 2020-08-106 (update Organizational Chart)

Revision Date: March 25, 2021; Resolution No. 2021-03-56 (Update Appendix A-D)

Revision Date: March 24, 2022; Resolution No. 2022-02-XX

**PERSONNEL POLICY  
Acknowledgement Form**

This manual (Personnel Policy), dated March 24, 2022, is not a contract guaranteeing employment, and nothing in it, or any other policy or communication, changes the fact that employment with the Authority is at-will. At-will employment means you can leave the Development Authority at any time, and the Authority can terminate your employment at any time, for any reason.

By signing this acknowledgment form, you confirm understanding and acknowledge the contents in the Authority’s Personnel Policy. You further understand that the Personnel Policy can be found on the Authority’s website at [www.danc.org](http://www.danc.org). Furthermore, you acknowledge you can ask your direct supervisor, human resources or the Executive Director, at any time, about the contents within the Personnel Policy.

**The undersigned acknowledges the above statement:**

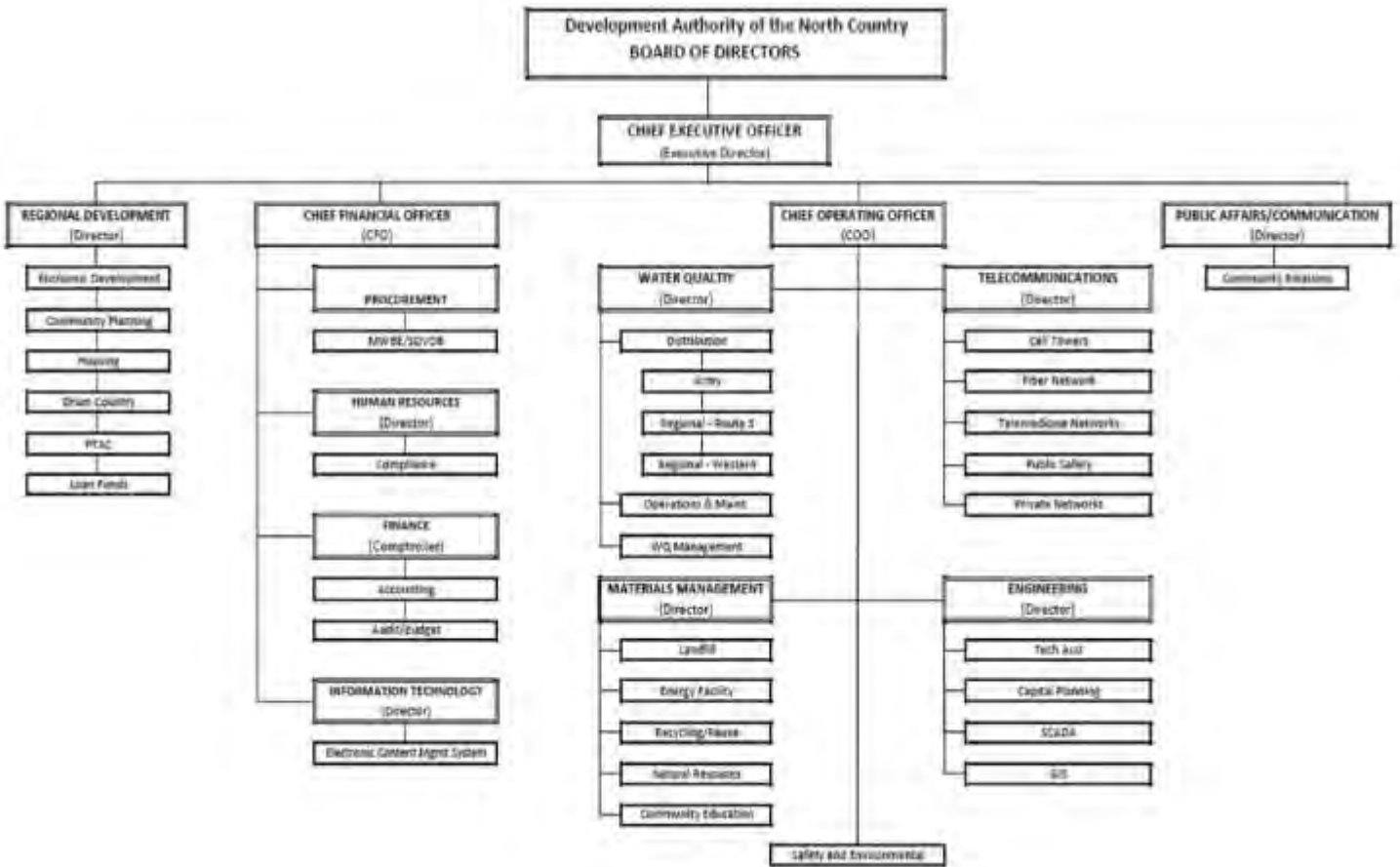
\_\_\_\_\_  
Employee Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Supervisor Name

\_\_\_\_\_  
Date

# APPENDIX A – ORGANIZATION CHART





**Board Resolution No. 2022-03-25**  
**March 24, 2022**

**OFFICE SPACE LEASE**  
**ST. LAWRENCE COUNTY**  
**DEVELOPMENT AUTHORITY OF THE NORTH COUNTRY**

Whereas, **Resolution No. 2019-05-48** authorized the Authority's Executive Director to enter into an agreement with the County of St. Lawrence to lease office space in county facilities, and

Whereas, the Authority's numerous municipal contractual agreements and projects throughout St. Lawrence and Franklin counties support the need for a physical presence in St. Lawrence County and such space has been beneficial to operations, and

Whereas, the Authority's St. Lawrence County workforce has outgrown its current space and needs private space which the county cannot accommodate in its available facilities, and

Whereas, St. Lawrence-Lewis BOCES has private office space that can accommodate the Authority's needs.

Now, therefore be it

**RESOLVED**, the Development Authority of the North Country hereby authorizes the Authority's Executive Director to enter into an agreement with St. Lawrence-Lewis BOCES to lease office space suitable to the Authority's needs and said office will be housed in St. Lawrence-Lewis BOCES facilities located in Canton, New York.



**Board Resolution No. 2022-03-26  
March 24, 2022**

**AUTHORIZING PROFESSIONAL SERVICES CONTRACTS**

Whereas, General Municipal Law Section 103 states that for reasons of efficiency or economy there is need for standardization for a particular type or kind of equipment, material, supplies or services, and

Whereas, the Development Authority of the North Country maintains professional **service contracts with firms that provide specialized expertise, skills, and knowledge** to the Authority, and

Whereas, the professional services firms listed below have direct experiential knowledge of the specialized operations of the Authority, the needed expertise, and a proven record of performance, such that a continued relationship will be a benefit to the Authority, and

Whereas, the fees or rates charged by the professional services firms listed below are commensurate with those charged for such services in their respective professions in this locale, and

Whereas, the Development Authority of the North Country's Procurement Policy requires Board authorizations for professional services contracts on an annual basis,

Now, therefore, be it

**RESOLVED, that the Development Authority of the North Country does hereby authorize professional services contracts, as follows:**

**Legal Services**

Hage and Hage LLC  
Bond, Schoeneck & King  
Victoria A. Ramundo  
Germano & Cahill, PC  
Wladis Law  
Schwerzmann & Wise PC  
Barclay Damon

**Architectural & Engineering Services**

Barton & Loguidice, PC

**Financial Services**

The Bank of New York  
Comerica  
RBC Dain Rauscher  
Community Bank

**Media Production Services**

Fourth Coast Productions

**Computer/Network/Telephone Services**

SVA Consulting  
Optimation Technology  
VHB Engineering  
Waypoint Technology Group  
RTB/Continuum Systems  
Scadatek  
NexGen  
Paradigm Software  
Evo Studios  
ProArch (Formerly IV4)  
HACH  
WEI  
Verizon  
Westelcom  
Creg Systems  
Colibri Solutions  
Brite Computers (aka Upstate Wholesale Supply Inc)  
Cisco WebEx

**Consulting Services**

Converse Laboratories  
CC Environmental & Planning  
DataVal  
Davey Resource Group  
HROne

**Security Services**

Chimera Integrations  
Day Automation  
Alltech Integrations



## Board Resolution No. 2022-03-27

March 24, 2022

### AUTHORIZING STANDARDIZED COMPUTER SOFTWARE PROGRAMS

Whereas, General Municipal Law Section 103 states that for reasons of efficiency or economy there is need for standardization for a particular type or kind of equipment, material, supplies or services, and

Whereas, the Development Authority of the North Country utilizes a variety of computer software programs to provide for efficient operations across multiple Authority Divisions. Such programs track and manage critical data to provide for continuity of operations across the multiple divisions of the Authority, and

Whereas, maintaining standardized software programs provides for economy of scale and is deemed cost effective by 1) assuring compatibility with existing technology and operations, (2) reducing downtime in the event of IT system failure, and 3) providing for common platform for training staff, and

Whereas, the computer software programs listed below provide for a common IT infrastructure across Authority Divisions. The software contains historical data, such that continued use and upgrades will be a benefit to the Authority, and

Whereas, General Municipal Law 103 requires board authorization for standardization of equipment, materials, supplies or services.

Now, therefore, be it

**RESOLVED, that the Development Authority of the North Country does hereby authorize the standardization of computer software programs, as follows:**

#### **DESCRIPTION**

Accounting Software

Purchase Requisition Software

Office Suite Applications

Network Security Software

Antivirus Software

SCADA Alarm Software

SCADA Software/RTU

#### **SOFTWARE PROGRAM**

Microsoft Dynamics SL

eRequester (Paperless Business Systems)

Microsoft Office, Adobe Professional

OpenDNS, Barracuda WAFaaS

Webroot

Specter Instruments: WIN-911

GE Intelligent Platforms: IFix and Historian

SyTech: XLReporter

Emerson Process Mgmt/Bristol: OpenBSI Suite

GIS Software	ESRI
MMF Scale & Billing Software	CompuWeigh (Paradigm Software)
MMF Fuel System	FuelMaster
Water & Sewer Data Collection Software	WIMS/ACO (HACH)
Pipeline Inspection Software	PipeLogix, Pro Pipe
Fiber Management Software	NetDesigner/Enghouse
Fiber Assignment Software	FileMaker
GPS Compaction Software	Geologic Orion
Asset Management Software	NexGen Utility Management
Electronic Content Management System	OnBase (Hyland)
Loan Portfolio Management Software	PIDC
IT Management and Imaging Software	Desktop Central
Network Alarm Software	PRTG Network Monitoring
3-D Draw & Design Software	AutoCad
E-mail Phishing Software	KnowBe4
Two-Factor Authentication Software	Duo, Microsoft Azure
HR Software	Bamboo HR
Secure File Sharing Software	ShareBase
Network Web Filter Software	Barracuda
Backup & Disaster Recovery	Barracuda
Remote Access Software	Team Viewer
E-mail Spam Filter Software	Titan HQ
Video Conferencing Software	Zoom, Cisco WebEx
VPN	Cisco Anyconnect
Amortization Software	Time Value
Server Monitoring Software	Uptime Robot
Email Filtering Software	ORF Fusion
Internet and Intranet Web Host	EVOGOV
Radiation Detection Software	RadComm Controller
Password Management Software	Keeper
Network Access Control	Forescout
Cloud Server	Microsoft Azure



**Board Resolution No. 2022-03-28**  
**March 24, 2022**

**STANDARDIZING UPON CERTAIN EQUIPMENT FOR USE IN  
RELATION TO THE MATERIALS MANAGEMENT DIVISION**

Whereas, General Municipal Law Section 103 states that for reasons of efficiency or economy there is need for standardization for a particular type or kind of equipment, material, supplies or services, and

Whereas, Development Authority of the North Country's Materials Management Division utilizes sophisticated equipment purchased and installed in accordance with the engineered design and construction specifications, and

Whereas, the experience to date with the operation of the Materials Management Division has shown the equipment to be performing in accordance with all expectations and intentions, and

Whereas, staff recommends that the Authority standardize on specific manufacturers for the purchase of certain classes or items of Materials Management Division equipment based upon the following reasons: (1) to assure the best compatibility with the existing technology and operation, and (2) to realize economic benefits through the ability to provide for consistent trouble shooting, the ease of maintaining back-up inventory, and the ease of providing common training for staff, and

Whereas, General Municipal Law 103 requires board authorization for standardization of equipment, materials, supplies or services and

Now, therefore, be it

**RESOLVED, that the Development Authority of the North Country hereby finds that standardization for purchases of certain classes of equipment for use in the Materials Management Division as necessary for construction or operational activities will obtain economic and efficiency benefits, and is therefore in the best interests of the Authority, and further be it**

**RESOLVED, that this Resolution shall take effect immediately.**

## Resolution No. 2022-03-28

### Schedule A

#### MATERIALS MANAGEMENT DIVISION EQUIPMENT STANDARDIZATION

<b>CLASSIFICATION</b>	<b>MANUFACTURER/MODEL</b>
Remote Terminal Units (RTU)	Emerson Process Management/Bristol
Spread Spectrum RTU Radios	GE-MDS, LLC
Surgebuster Swing Check Valves	Val-Matic Valve & Manufacturing Corp.
GPS Locating Equipment	Trimble
Compaction GPS Hardware	Geologic Orion
Variable Frequency Drives	ABB
Full Flow Pipe Flow Meters	Endress-Hauser, Inc.
Open Channel Flow Meters	ISCO, Inc.
Landfill Compactor	Caterpillar (836)
Articulated Hauler (Ejector)	Caterpillar (740)
LFG Wellheads	QED Environmental Systems
LFG Well Pumps	QED Environmental Systems
HDPE Fusion Equipment	McElroy Manufacturing



**Board Resolution No. 2022-03-29**  
**March 24, 2022**

**STANDARDIZING UPON CERTAIN EQUIPMENT FOR USE IN RELATION TO THE OPEN ACCESS TELECOMMUNICATIONS NETWORK**

Whereas, General Municipal Law Section 103 states that for reasons of efficiency or economy there is need for standardization for a particular type or kind of equipment, material, supplies or services, and

Whereas, the construction of the Open Access Telecommunications Network (OATN) by the Development Authority of the North Country involved the use of sophisticated equipment purchased and installed in accordance with the engineered design and construction specifications, and

Whereas, the experience to date with the operation of the OATN has shown the equipment to be performing in accordance with all expectations and intentions, and

Whereas, staff recommends that the Authority standardize on specific manufacturers for the purchase of telecommunications equipment for use in the OATN based upon the following reasons: 1) to assure compatibility with our existing network technology and operation; in addition to being able to transmit data across the network, all network elements must also have the capability to exchange signaling and alarm information, interoperate with similar protocols and features, create data transfer sessions, have a common network management platform, require remote access for diagnostic information, and must be able to interoperate with adjacent nodes, and 2) provide consistent troubleshooting for more rapid repair of customer troubles and 3) to enable replacement of like parts in the event of an equipment failure, and 4) to enable a more efficient upgrade of our network, and 5) to reduce the cost of having multiple vendor maintenance fees, and 6) for providing the most cost-effective means of maintaining spare inventory, and 7) for providing common training for staff and

Whereas, General Municipal Law 103 requires board authorization for standardization of equipment, materials, supplies or services.

Now, therefore, be it

**RESOLVED, that the Board of the Development Authority of the North Country hereby finds that standardization for purchases of certain classes of information technology and telecommunications equipment for use in the OATN as necessary for construction or operational activities will obtain economic and efficiency benefits, and is therefore in the best interests of the Authority, and further be it**

**RESOLVED, that this Resolution shall take effect immediately.**

**Resolution No. 2022-03-29**

**Schedule A**

**OPEN ACCESS TELECOMMUNICATIONS NETWORK  
EQUIPMENT STANDARDIZATION**

<b>CLASSIFICATION</b>	<b>MANUFACTURER/MODEL</b>
Transport/Data/Media Conversion	Cisco Systems Ciena Adtran  Advantage Optics Precision Optics
Monitoring	DPS Telecom Orion/SolarWinds
Electrical/Optical Cross Connect	ADC (TE Connectivity) FIS Multilink Fiberone
Power	Vertiv
Superstructure	Moreng Telecom
DWDM	Infinera Ekinops
GPS Locating Equipment	Trimble
Fiber Panels	Clearfield FDP (CO) FiberOne (Customer Site) Multilink
Splice Case	Comscope Multilink



**Board Resolution No. 2022-03-30**  
**March 24, 2022**

**STANDARDIZING UPON CERTAIN EQUIPMENT FOR USE  
IN RELATION TO THE WATER QUALITY MANAGEMENT DIVISION**

Whereas, General Municipal Law Section 103 states that for reasons of efficiency or economy there is need for standardization for a particular type or kind of equipment, material, supplies or services, and

Whereas, Development Authority of the North Country's Water Quality Management Division utilizes sophisticated equipment purchased and installed in accordance with the engineered design and construction specifications, and

Whereas, the experience to date with the operation of the Water Quality Management Division has shown the equipment to be performing in accordance with all expectations and intentions, and

Whereas, staff recommends that the Authority standardize on specific manufacturers for the purchase of certain classes or items of water/wastewater equipment based upon the following reasons: (1) to assure the best compatibility with the existing technology and operation, and (2) to realize economic benefits through the ability to provide for consistent troubleshooting, the ease of maintaining back-up inventory, and the ease of providing common training for staff, and

Whereas, General Municipal Law 103 requires board authorization for standardization of equipment, materials, supplies or services and

Now, therefore, be it

**RESOLVED** that the Development Authority of the North Country hereby finds that standardization for purchases of certain classes of equipment for use in the Water Quality Management Division as necessary for construction or operational activities will obtain economic and efficiency benefits, and is therefore in the best interests of the Authority, and further be it

**RESOLVED**, that this Resolution shall take effect immediately.

## Resolution No. 2022-03-30

### Schedule A

#### WATER QUALITY MANAGEMENT DIVISION EQUIPMENT STANDARDIZATION

<b>CLASSIFICATION</b>	<b>MANUFACTURER/MODEL</b>
Air Relief Valves	A. R. I. Flow Control Accessories
Chemical Feed Pumps (diaphragm)	Liquid Metronics Incorporated (LMI)
Chemical Feed Pumps (peristaltic)	Blue-White Industries, Ltd.
Chlorine/Turbidity Analyzers	HACH Company
Grinder Pumps	Environmental One Corp. (E-ONE)
Full Flow Pipe Flow Meters	Endress-Hauser Inc.
Open Channel Flow Meters	ISCO, Inc.
pH Analyzers	HACH Company
Pressure Transmitters	Invensys Foxboro
Remote Terminal Units (RTU)	Emerson Process Management/Bristol
Surgebuster Swing Check Valves	Val-Matic Valve & Manufacturing Corp.
Variable Frequency Drives	ABB
Spread Spectrum RTU Radios	GE-MDS, LLC
Regional Water Line Compound Flow Meters	Master Meter, Inc.
Regional Water Line Control Valves	Ross Valve Manufacturing Company, Inc.
GPS Locating Equipment	Trimble
Open Channel Flow Meters	HACH Company

Development Authority of the North Country  
 Board Contract Summary  
 March 2022

NON-LEWIS COUNTY CONTRACTS

Company	Customer	Contract Type	Description of Services/Contract Title	Current Agreement (\$)	New Agreement / Amendment (\$)	Total Agreement	Start Date	End Date	County
11	Village of Potsdam	TSA	Underwriting-DRI Rebuild Downtown Potsdam Fund	\$ -	\$ 20,000.00	\$ 20,000.00	3/1/2022	12/31/2024	St. Lawrence
44	Town of Clifton	O&M	Town of Clifton - Newton Falls Wastewater Services	\$ -	\$ 115,851.00	\$ 115,851.00	4/1/2022	3/31/2027	St. Lawrence
44	Village of Sackets Harbor	SSA	Sackets Harbor SCADA Computer Upgrade SSA	\$ -	\$ 20,000.00	\$ 20,000.00	4/1/2022	12/31/2022	Jefferson
60	Town of Parishville	SSA	Parishville Water Plant Control Panel SCADA Services	\$ -	\$ 46,195.00	\$ 46,195.00	4/1/2022	12/31/2022	St. Lawrence
60	Town of Louisville	TSA	Water System Improvements Amendment 2	\$ 12,000.00	\$ 22,500.00	\$ 34,500.00	3/1/2022	3/31/2023	St. Lawrence
60	Village of Heuvelton	TSA	Water System Improvements Amendment 4	\$ 70,000.00	\$ 12,000.00	\$ 82,000.00	4/1/2022	12/31/2022	St. Lawrence
60	Village of Heuvelton	TSA	Wastewater Treatment Plant Municipal Restructuring Amendment 3	\$ 65,000.00	\$ 40,000.00	\$ 105,000.00	4/1/2022	12/31/2023	St. Lawrence

LEWIS COUNTY CONTRACTS

Company	Customer	Contract Type	Description of Services/Contract Title	Current Agreement (\$)	New Agreement / Amendment (\$)	Total Agreement	Start Date	End Date	County

**Contract Types**

- GIS - GIS Services
- MS - WQ Management Services
- O&M - WQ Operations & Maintenance
- SSA - SCADA Services
- TSA - Technical Services



**Board Resolution No. 2022-03-31  
March 24, 2022**

**TECHNICAL SERVICES AGREEMENT  
TOWN OF TUPPER LAKE  
GIS SERVICES FOR REGIONAL GIS DATA DEVELOPMENT PROJECT**

Whereas, the Town of Tupper Lake has requested Geographic Information Systems (GIS) technical services from the Authority for the Regional GIS Data Development project funded by the Department of State Local Government Efficiency grant program, which will develop data for highway and public works assets, and

Whereas, the Town of Tupper Lake is the lead agency for this Regional GIS Data Development project which includes 25 municipal partners in St. Lawrence and Franklin Counties, the majority of which are existing GIS Hosting customers, and

Whereas, the services requested will be provided for a not to exceed amount of \$384,500 over the three year project.

Now, therefore be it

**RESOLVED**, that the Technical Services Agreement, by and between the Authority and the Town of Tupper Lake, is hereby approved. The Executive Director is hereby authorized and directed to execute said Agreement.

**Resolution #47/2021**  
**DEVELOPMENT AUTHORITY OF THE NORTH COUNTRY**  
**GIS TECHNICAL SERVICES AGREEMENT**  
**WITH TOWN OF TUPPER LAKE**

This Agreement entered into this 30<sup>th</sup> day of December, 2021, by and between:

**TOWN OF TUPPER LAKE**, a New York municipal corporation with offices at 120 Demars Boulevard, Tupper Lake, NY 12986, hereinafter referred to as "Town",

and

**DEVELOPMENT AUTHORITY OF THE NORTH COUNTRY**, a public benefit corporation organized and existing under the laws of the State of New York, having an office and principal place of business located at 317 Washington Street, Watertown, New York 13601, hereinafter referred to as "Authority".

**Recitals**

1. In June 2018, the Town joined the Authority's regional shared services Geographic Information System (GIS) platform to manage its water and sewer infrastructure data. The Town and other municipalities that are utilizing the shared services platform are desirous of developing additional GIS datasets that are useful for asset management, budgeting, and planning purposes, such as municipal-owned bridges and culverts, road signs, Town road centerline striping, sidewalks and curbs, and cemeteries.
2. The Town has since applied for and has been awarded grant funding from the New York State Department of State Local Government Efficiency grant program (LGe) to develop GIS datasets for the Town and its partners.
3. The Town's grant partners have each approved resolutions committing to the project and the 10% match requirement.
4. The Town is desirous of receiving technical assistance with matters related to GIS database development and has an existing agreement with the Authority for GIS hosting services.
5. The Town, acting as lead agency for its Partners, has selected the Authority to provide these services at a meeting held on December 30, 2021. **A Resolution from the Town's board, selecting the Authority to provide these services and authorizing this agreement, is attached as Exhibit A.**
6. This Agreement is authorized under Section 2704(17) of the Public Authorities Law and is contingent upon the Town's receipt of an official grant award from the LGe program.

**Agreement**

The Authority will develop GIS databases comprising Highway, Public Works, Water, and Wastewater infrastructure for the Town and Partners. The scope of services is outlined below.

1. **Data Model Development:** The Authority will develop a GIS data model for applicable infrastructure. This model will be based on Environmental Systems Research Institute’s (ESRI) File Geodatabase. The database will include the following datasets outlined in Table 1.

**Table 1 GIS Dataset**

<b>Dataset Name</b>	<b>Data Type</b>	<b>Comments</b>
Bridges	Point	Bridge location. Details include coordinates, material, measurements, and date installed.
Culverts	Point	Culvert location. Details include coordinates, material, measurements, and date installed.
Road Signs	Point	Road sign location. Details include coordinates, type, and date installed.
Sidewalks	Line	Sidewalk location. Details include condition, material, width, street name.
Curbs	Line	Curb location. Details include condition, material, width, street name.
Cemetery Plot	Point	Cemetery plot location. Details include headstone information, name and dates
Cemetery Lot	Polygon	Cemetery lot location. Outline of cemetery lots.
Cemetery Section	Polygon	Cemetery section location. Outline of cemetery sections.
County Road Centerline Striping	Line	Line file showing the centerline details on County roads. Details include single and double solid line and passing area dotted line
Sanitary Sewer Grinder Pumps	Point	Point locations corresponding to areas where a grinder pump assembly is installed
Sanitary Sewer Pump Stations	Point	Point corresponding to sanitary sewer pump station.
Sewer Cleanouts	Point	Points that correspond to cleanouts which are perpendicular stubs that come off laterals above grade to allow access for cleaning instruments
Water Booster Pump Stations	Point	Points corresponding to water pump station.
District Boundaries	Polygon	Physical boundary of community’s water/sanitary sewer district
Wastewater Lines	Line	Sanitary Sewer/Storm water line, either gravity or force main
Sanitary/Storm Sewer Lines	Line	Sewer lines & laterals, conveying wastewater from customer’s edifice to WWTP. Only extent of community-owned lines.
Wastewater Manholes	Point	Point location of manhole opening to gravity sanitary/storm sewer line
Sanitary Sewer/Water Meters	Point	Points at which water or wastewater is metered
Water Curbstops	Point	Points at which customer water service can be cutoff
Hydrants	Point	Points corresponding to water hydrants
Water Lines/Laterals	Line	Water lines & laterals distributing water from treatment plants to customers. Only extent of community-owned lines
Water Valves	Point	Locations where water mains are isolated
Treatment Plant	Polygon	Water Treatment Plants and Wastewater Treatment Plants
Water Source	Point	Points at well sites, intake pipes, and other water sources

2. **Data Development:** The Authority will populate the GIS data model through field location utilizing GIS and GPS equipment, and conversion of the Partners’ existing infrastructure

records, including maps and engineering drawings. The records will be digitized at a resolution of 400 dots per square inch (DPI) and the Authority will georectify the digital records to the New York State Plane East coordinate system using desktop GIS software and digitize the infrastructure details. Specifications, such as pipe diameter, material, etc., as contained in the records, will be input into the model. Field locating will involve travel to the work area and locating the infrastructure features with high-accuracy GPS so that features are within 3 feet of their actual field-located position. The field work will be completed in each community over the three year project timeline, starting with the partners that require water and wastewater mapping, and continuing data development for bridges, culverts, road signs, road centerline striping, sidewalks, curbs, and cemeteries. The GIS datasets will be reviewed by the partner municipalities for accuracy and approval before they are finalized in the GIS database.

3. Web-based Interface, Hosting & Training – The Authority will upload the datasets as they are completed for each partner to its Internet Mapping Application (IMA), a web-based GIS developed from ESRI’s ArcServer and JavaScript architecture. The Partners each have their own separate portal to access their GIS data and/or public portals for data that the municipalities make publically available. The Partners will continue with their existing GIS hosting agreements with the Authority and pay for GIS hosting services as outlined in their agreements. The Authority provides training sessions for the IMA every year and makes those trainings available to all customers and the public.
4. Grant Administration Services – The Authority will provide grant administration services for the Town’s LGe grant for GIS data development, including preparation of periodic reports, disbursement requests, MWBE reports, and final grant paperwork.
5. The Town shall pay the Authority for such services at the labor hour burdened rates for the specific job classification performing the services as shown in Table 2 below; provided, however, that the total cost of such services shall not exceed \$384,500.00. The Authority shall bill monthly upon invoices properly itemized and supported, and payment thereof shall be made by the Town within 30 days of receipt of each invoice. Rates will be reviewed and may be adjusted on an annual basis consistent with the Authority’s fiscal year (April 1<sup>st</sup> of the present year to March 31<sup>st</sup> of the following year) to account for cost of living adjustments. Mileage to the worksite will be reimbursed at the current Federal Mileage Rate.

**Table 2 Authority Staff Charge-out Rates Fiscal Year Ending 2022**

<b>Employee Wage Rate</b>	<b>Standard</b>	<b>Overtime</b>
Director of Engineering	\$132	NA
GIS Supervisor	\$85	NA
Controls Engineer	\$85	NA
Project Engineer	\$85	NA
GIS Specialist	\$55	NA

6. The Town shall provide the reasonable support services of its staff as appropriate in implementing the project and shall assign a person as the primary point of contact with the Authority.
7. The Authority shall carry general public liability insurance in the customary amounts and coverages maintained on its general operations, and shall name the Town as additional insured on the liability policy.
8. The Town shall carry general liability insurance in the customary amounts and coverages maintained on its general operations, and shall name the Authority as additional insured on the liability policy.
9. The Town will at all times indemnify and save harmless the Authority against all liabilities, judgments, costs, damages, expenses and attorney's fees for loss, damage or injury to persons or property resulting in any manner from this Agreement. The Authority will at all times indemnify and save harmless the Town against all liabilities, judgments, costs, damages, expenses and attorney's fees for loss, damage or injury to persons or property resulting in any manner from this Agreement.
10. The Authority shall use reasonable diligence to provide the services herein required, but shall not be liable to the Town for damages, breach of contract, or otherwise, for failure, suspension, diminution, or other variations of service occasioned by any cause beyond the control of the Authority. The Town will not be liable in the event of a breach beyond their control. Such causes may include, but are not restricted to, acts of God or of the public enemy, acts of the Government in its sovereign or contractual capacity, fires, floods, epidemics, riots, strikes, civil disturbance, quarantine, restrictions, or inability to obtain equipment or supplies.
11. All accounts, reports and other records generated by the Authority or required under this Agreement, in the performance hereof, shall be open to inspection and audit at all reasonable times by the Town. Such records shall be retained by the Authority for a minimum of seven years following the expiration or earlier termination of this Agreement or an extended agreement.
12. The parties acknowledge that the Authority has undertaken and may undertake various projects unrelated to Geographic Information System development. It is the intent of the parties that this Agreement, the service provided hereunder and all payments, accounts receivable and equipment resulting from or required by such service shall be separate from and independent of all unrelated projects and activities of the Authority. The Town shall have no right to, or claim upon, the assets, insurance proceeds or income of the Authority other than those associated with the performance of this Agreement, in satisfaction of any claim by the Town arising hereunder. A similar restrictive clause is contained and will be provided in all service agreements made by the Authority with others.
13. The Authority is an independent contractor with the Town and this Agreement does not create and shall not be construed as creating a relationship of principal and agent, landlord and tenant, or employer and employee.

14. No waiver by Town or Authority of any breach of any term, covenant or condition contained in this Agreement shall operate as a waiver of such term, covenant or condition itself, or of any subsequent breach thereof.
15. This Agreement shall be construed and enforced in accordance with the laws of the State of New York. If any provision of this Agreement shall, to any extent, be held invalid or unenforceable, the remainder of this Agreement shall not be affected thereby and shall continue to be valid and enforceable to the fullest extent permitted by law.
16. This Agreement contains the entire agreement of the parties and may be modified or amended only by the written mutual agreement of the parties.
17. All notices required or permitted to be given under this Agreement shall be in writing and shall be deemed to have been duly given if sent by certified or registered mail, return receipt requested, postage prepaid.
18. The scheduled project completion date is December 31, 2024.

All of the above is established by the signatures of the authority representatives of the parties.

**DEVELOPMENT AUTHORITY  
OF THE NORTH COUNTRY**

**TOWN OF TUPPER LAKE**

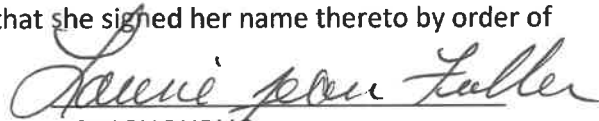
By: \_\_\_\_\_  
Carl E. Farone, Jr.  
Executive Director

By:   
Patricia Littlefield  
Supervisor

ACKNOWLEDGEMENTS

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

On this <sup>sch</sup> 30 day of January, 2024, before me personally came Patricia Littlefield, who being duly sworn, did dispose and says that she resides in Tupper Lake, New York; that she is authorized to sign this Agreement on behalf of the Town described herein, and which executed the foregoing instrument; and that she signed her name thereto by order of said Town.

  
NOTARY PUBLIC Laurie Jean Fuller  
Notary Public, State of New York  
No. 01FU6146853  
Qualified in Franklin County  
Commission Expires June 26, 2022

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

On this \_\_\_\_ day of \_\_\_\_\_, 20\_, before me personally came Carl E. Farone, Jr., who being duly sworn, did dispose and says that he resides in Watertown, New York; that he is the Executive Director of the Development Authority of the North Country, the Authority described herein, and which executed the foregoing instrument; and that he signed his name thereto by order of said Authority.

\_\_\_\_\_  
NOTARY PUBLIC

Date: December 30, 2021

Motion: Councilwoman Fontana

Seconded: Councilman Dechene

Action: Carried 5/0 Littlefield, Quinn, Dechene, Fontana, Luton



**Board Resolution No. 2022-03-32**  
**March 24, 2022**

**FY 2022 ARMY SEWER LINE OPERATING BUDGET  
AMENDMENT**

Whereas, the Development Authority of the North Country adopted an Operating Budget for the Army Sewer Line for FY 2022 pursuant to **Resolution No. 2021-02-44**, and

Whereas, the budget authorized expenditures of \$1,234,029 for the purchase of approximately 676,035 Kgallons of sewer treatment and \$54,980 for utilities, and

Whereas, it is estimated that the additional sewer needs of Army Sewer Line customers will increase the budget for Sewer Purchases to a total cost of \$1,419,711 for 737,324 Kgallons. The additional cost of sewer will be offset by increased customer revenue, which will be adjusted through a fiscal year end settlement process with Fort Drum, and

Whereas, due to increases in fuel prices utility costs for the Army Sewer Line are projected to exceed the initial budget by \$10,000.

Now, therefore be it

**RESOLVED**, that the Development Authority of the North Country does herewith amend the Operating Budget of the Army Sewer Line to increase the budget for Sewer Purchases from \$1,234,029 to \$1,419,711, and be it further

**RESOLVED**, that the Development Authority of the North Country does herewith amend the Operating Budget of the Army Sewer Line to increase the budget for Utilities from \$54,980 to \$64,980, and be it further

**RESOLVED**, that Development Authority of the North Country does herewith amend the Operating Budget of the Army Sewer Line to increase Customer Billings from \$2,779,184 to \$2,974,866.



**Board Resolution No. 2022-03-33**  
**March 24, 2022**

**COMMUNITY DEVELOPMENT LOAN FUND**  
**LEWIS COUNTY DEVELOPMENT CORPORATION**  
**LOAN MODIFICATION**

Whereas, **Resolution No. 2018-05-66** ratified a loan to Lewis County Development Corporation in the amount of \$750,000 from the Community Development Loan Fund, and

Whereas, **Resolution No. 2019-12-123** extended the loan term to March 1, 2021, and

Whereas, **Resolution No. 2021-01-22** extended the loan term to March 1, 2022, and

Whereas, the funds were provided to bridge grant funds to complete phase four of the redevelopment project at the former Lyons Falls Pulp and Paper Mill site, and

Whereas, work at the project site is substantially completed, and

Whereas, the grant funds are disbursed on a reimbursement basis, and

Whereas, the current principal balance is \$35,643.04, and

Whereas, the borrower has requested an extension to repay the loan until October 1, 2022, and

Whereas, the borrower paid accrued interest through March 30, 2022, and

Whereas, all other terms and conditions of the loan remain the same, and

Whereas, the Engineering Division is overseeing the project management on behalf of the Village of Lyons Falls.

Now, therefore be it

**RESOLVED**, the Development Authority of the North Country does hereby approve the loan modification for Lewis County Development Corporation for an additional seven months beginning March 1, 2022 and ending October 1, 2022 and authorizes the Director of Regional Development to execute all necessary documentation.

## TERM SHEET

Borrower: Lewis County Development Corporation

Loan Fund: Community Development Loan Fund

Amount: \$750,000 (paid down to \$35,643.04 as of 2/24/2022)

Loan Term: Original-Revolving line-of-credit; 12 months or upon receipt of final disbursement of funds, whichever occurs first;  
**revised due 10/1/2022**

Loan Rate: 1.5%

Loan Payment: Original-Interest-only due upon receipt of the final payment. All accrued interest and principal due and payable October 1, 2022

Collateral: Assignment of grant proceeds

February 24, 2022

Michelle Capone  
Development Authority of the North Country  
317 Washington Street  
Watertown, NY 13601

Dear Michelle

The Lewis County Development Corporation would request DANC extend the term of our existing \$750,000 short term loan for the Lyons Falls mill project.

We have completed the project and are currently waiting for reimbursement from a SAM grant, which has been delayed by COVID-19 restrictions at the State level. When these funds have been received the LCDC will immediately make final payment on the loan.

I would request the term for the loan be extended 6 months, with the balance due 9/30/2022 to allow for the long delays in the grant reimbursement process. If you need any other information for this request, please let me know.

Sincerely,

A handwritten signature in black ink that reads "Brittany Davis". The signature is written in a cursive, flowing style.

Brittany Davis  
Executive Director



**Board Resolution No. 2022-03-34**  
**March 24, 2022**

**COMMUNITY RENTAL HOUSING PROGRAM**  
**S&J PROPERTIES OF WATERTOWN LLC**  
**LOAN MODIFICATION**

Whereas, **Resolution No. 2022-02-17** approved a loan of up to \$400,000 to S&J Properties of Watertown LLC (“Borrower”) in construction and permanent financing to assist with improvements associated with the construction of 10 market rate rental housing units in downtown Watertown, and

Whereas, **Resolution No. 2016-03-46** approved a loan/grant of up to \$500,000 (\$250,000 loan/\$250,000 grant) from the North Country Redevelopment Fund to renovate commercial space at 138-140 Court Street, Watertown, and

Whereas, **Resolution No. 2018-10-115** approved subordinating the \$250,000 mortgage to \$130,000 in new debt from Watertown Savings Bank as part of the construction financing to bridge a RESTORE NY Grant and for improvements to 150 Court Street, and

Whereas, after approval of the loan, it was determined that through miscommunication that an additional \$100,000 was required to complete the project, and

Whereas, Watertown Savings Bank, Watertown Local Development Corporation, and the Authority are partnering to fill the funding gap to move the project to completion, and

Whereas, all Lenders and the Borrower have agreed to equally split the additional amount needed to complete the project, and

Whereas, the Authority will be the lead lender for a loan of up to \$800,000 with \$425,000 from the Authority’s Community Rental Housing Program and \$375,000 from the Watertown Local Development Corporation formalized by a Participation Agreement between the Lenders, and

Whereas, upon project completion the Authority will enter into an Intercreditor Agreement with the Watertown Local Development Corporation to share in a co-proportional second mortgage position on debt behind Watertown Savings Bank, and

Whereas, the buildings are an integral part of downtown Watertown and will bring 10 new, much needed, market rate apartments to downtown.

Now, therefore be it

**RESOLVED, Development Authority of the North Country does hereby approve a loan of up to \$800,000 to S&J Properties of Watertown, LLC with \$425,000 from the Community Rental Housing Program and \$375,000 from the Watertown Local Development Corporation subject to the terms and conditions in the attached Term Sheet, and further authorizes the Executive Director or the Chief Financial Officer to execute all documents necessary, and be it further**

**RESOLVED, that the Development Authority of the North Country does hereby subordinate its existing debt to an additional \$525,000 in debt by Watertown Savings Bank for construction financing, and be it further**

**RESOLVED, that this is a Type II Unlisted Action taken under the State Environmental Quality Review (SEQRA).**

## TERM SHEET

<b>BORROWER:</b>	S&J Properties of Watertown LLC
<b>AMOUNT:</b>	Up to \$800,000.00 (\$425,000 from Community Rental Housing Program and \$375,000 from Watertown Local Development Corporation; DANC lead lender)
<b>FUND:</b>	Community Rental Housing Program
<b>PURPOSE:</b>	10 new market rate housing units
<b>RATE:</b>	3.25%
<b>TERM:</b>	20 years
<b>PAYMENTS:</b>	12 months interest only during construction; monthly principal and interest payments at conversion to permanent financing
<b>COLLATERAL:</b>	<p>Co-proportional second mortgage position and assignment of leases and rents with Watertown Local Development Corporation behind Watertown Savings Bank debt of \$2,147,120 during construction and \$1,647,120 at permanent financing on property located at 138 Court Street, 150 Court Street, 152-154 Court Street, and 170 Court Street, Watertown, NY 13601</p> <p>Co-proportional second lien position with Watertown Local Development Corporation behind Watertown Savings Bank on all other assets of S&amp;J Properties of Watertown LLC</p>
<b>CONDITIONS:</b>	<ul style="list-style-type: none"><li>• Affidavit from Borrower affirming minimum \$68,500 owner cash contribution and \$531,868 RESTORE NY contribution</li><li>• Watertown Savings Bank funding of additional \$525,000 in construction financing</li><li>• Watertown Local Development Corporation funding of \$375,000</li><li>• Personal guarantees of Stephen J. Bradley and Joyce M. Bradley, Abbey Carpet of Watertown Inc.</li><li>• Loan disbursed as construction loan proportionately with other lenders</li><li>• DANC will inspect work prior to disbursing funds</li><li>• All permits and approvals, including SHPO</li></ul>

Motion-  
Second-

Community Rental Housing Fund  
March 15, 2022

BORROWER: S&J Properties of Watertown, LLC

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BUSINESS ADDRESS: 150 Court Street, Watertown, NY 13601

PROPERTIES: 138-140 Court Street, Watertown, NY 13601  
150 Court Street, Watertown, NY 13601  
152 Court Street, Watertown, NY 13601  
170 Court Street, Watertown, NY 13601

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OWNERSHIP: Stephen J. Bradley – 50%  
Joyce M. Bradley – 50%

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DANC AMOUNT REQUESTED: \$425,000, 20 years, 3.25%

CONSTRUCTION LOAN: up to \$800,000, 20 years, 3.25%; Watertown Local Development Corporation participating with \$375,000. DANC will be lead lender.

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PAYMENTS: construction period 12 months interest only;  
permanent loan principal and interest to amortize over 240 months.

---

PRIMARY COLLATERAL: Co-proportional mortgage behind Watertown Savings Bank construction financing of up to \$2,147,120; Assignment of Rents and Leases  
Co-proportional second mortgage behind Watertown Savings Bank permanent financing of up to \$1,647,000; Assignment of Rents and Leases

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GUARANTORS: Stephen J. Bradley and Joyce M. Bradley; Abbey Carpet of Watertown, Inc.

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JOB CREATION: Existing: 0  
New-Year 1: 0  
New-Year 2: 0  
New-Year 3: 0  
Total Jobs: 0 FTE

---

SOURCES: USES:

**Construction Financing-Final Phase Only**

DANC-CRHP	425,000	170 Court Street	
WLDC	375,000	Renovations	\$682,500
Watertown Savings Bank	525,000	Appliances	\$ 8,000
RESTORE NY	531,868	152-154 Court Street	
Owner Cash	68,500	Renovations	\$630,000
		Appliances	\$ 8,000
		Soft Costs/Cont.	\$ 65,000
		Complete to Date	<u>\$531,868</u>
Total Sources	<u>\$1,925,368</u>	Total Uses	<u>\$1,925,368</u>

S&J Properties of Watertown LLC

RESTORE NY-Total grant \$990,000; credited balance already expended on previous phases of project. WSB waiting for draws to pay down its construction loan.

The Owner Cash has been spent to pay for carrying costs associated with the bank loans.

**Permanent Financing:**

WSB-up to \$1,647,000, 5% over 20 years

DANC-Existing \$250,000 loan at 1% over remaining term; \$425,000 at 3.25% over 20 years

WLDC-Existing/New \$547,715 at 3.25% over 20 years.

\*\*\*\*When we convert to permanent financing, the Bank will consolidate and spread its loans over the 4 buildings. The WLDC and DANC will enter into an Intercreditor Agreement to share in a co-proportional second mortgage position on the buildings. This will include the existing \$250,000 loan that the Authority has which will have its mortgage spread across the other three buildings as well.

An advantage of having the Authority be the lead lender is that there is no mortgage recording tax therefore it reduces the costs to the project.

Consolidating these debts also saves the borrower almost \$23,785 annually in cash between principal and interest.

**PROJECT OVERVIEW:**

The Authority previously approved a North Country Redevelopment Loan Fund grant/loan of \$500,000 (\$250,000 grant/\$250,000 loan) to S&J Properties for renovations at 138 Court Street. As a reminder, the Redevelopment Fund is ESD funding. The project renovated commercial space on the first floor of the former Berowe and Monroe building located on Court Street, Watertown. This project was completed and the loan closed on 11/14/2016. The current balance on the loan is \$206,002.22. The loan is current. The Authority has a second mortgage on the building behind a Watertown Savings Bank mortgage of \$130,000.

Since the time of our project approval, S&J Properties has purchased two other buildings. The company purchased 152-154 Court Street and 170 Court Street. Mr. Bradley already owned 150 Court Street which is home to his business, Abbey Carpet, and 10 market-rate apartments. Mr. Bradley applied for funding through the City of Watertown to the RESTORE NY program to substantially renovate 152-154 Court Street and 170 Court Street. The City was awarded \$990,000 in RESTORE NY funding for this project. Watertown Savings Bank is providing construction financing for the project.



Front L to R: 170 Court Street, 152-154 Court Street, 150 Court Street, 138 Court Street.

Mr. Bradley began work on this project in 2018. His quotes for this new project were pre-COVID and everything has increased substantially. In addition, he had issues with his initial contractor and architect/engineering firm with poor quality work. An exterior stairwell was not completed to code, the architect/engineering firm signed off on it and the contractor was paid, however due to the code deficiencies, it had to be rebuilt. Mr. Bradley is suing the contractor for approximately \$500,000. Watertown Savings Bank would look to collect on any payment received through this transaction, if legally possible. The action is still pending in court.

All in all, the budget for the project was grossly underestimated by the initial contractor. COVID occurred which significantly increased costs. It has taken Mr. Bradley until November 2021 to identify and secure the right contractor to complete the work. Remember, we were in a lockdown for almost 6-8 months in 2020 which effectively put a stop to work on the site. Finally, the state will not reimburse the City for the RESTORE NY grant until the project is completed as it was identified in the application. The City is to release approximately \$146,000 of funds to Mr. Bradley. This in turn would go to Watertown Savings Bank to pay down their construction loan. The budget to complete the final phase of the project is \$1.35 million.

To summarize the grant activity, Mr. Bradley has expended \$531,868 toward the grant and received \$458,132 for work completed on 138, 152-154, and 170 Court Street. He currently has a draw pending with the City for \$146,026.54. The City is holding it until commitment of funding to complete the final phase of the project. Once those funds are released, they will go to pay down the bank construction loan. The balance remaining to be paid from the grant is \$385,788.

The first phase of the project saw environmental reports and architectural work completed by the architect/engineering firm, structural/façade work at 138 Court Street, demolition of the interior at 170 Court Street, window, foundation, and sprinkler work at 170 Court Street, and grading/paving of the parking areas. It also included the completion and rebuild of the exterior second stairway for codes which accounted for almost \$310,000 in funding.

The final phase will result in the construction of 10 market rate, 1 bedroom units. Five units are proposed at 170 Court Street and 5 units are proposed at 152 Court Street. A new contractor has been identified that does extremely good work and provided the quotes to finish the work. The Development Authority will oversee the draws associated with the work completed prior to payment.

These buildings are integral to Watertown's downtown. The City will be using DRI funds to redesign Court Street and the completion of these buildings will play a large part in the cosmetic appeal of that area of downtown. In addition, the project will bring 10 additional units of market S&J Properties of Watertown LLC

rate housing to downtown. Market rate housing is much needed as most of the housing in the downtown area is low income. The units will be right across the street from the proposed new YMCA. Finally, the Authority will be working with Watertown Savings Bank and Watertown Local Development Corporation to see the successful completion of these projects.

**MANAGEMENT:**

Stephen Bradley – Owns and operates Abbey Carpet franchise with his wife Joyce for over 25 years.

**FINANCIAL ANALYSIS:**

**Income Statement**

FYE December 31	Actual	Actual	Actual	Projected	Projected
	2019	2020	2021	Year One	Year Two*
Revenues	\$233,837	\$184,065	\$264,394	\$379,728	\$379,728
Gross Profit	\$233,837	\$184,065	\$264,394	\$379,728	\$379,728
Total Expenses	\$231,560	\$243,128	\$158,879	\$102,526	\$105,602
Other Income/(Expenses)	\$0	\$0	\$0	\$0	\$0
<b>Net Income (Loss)</b>	<b>\$2,277</b>	<b>(\$59,063)</b>	<b>\$105,515</b>	<b>\$277,202</b>	<b>\$274,126</b>
Available Cash					
Add: Interest	\$102,089	\$96,039	\$94,968	\$0	\$0
Add: Depreciation/Amort	\$59,742	\$60,961	\$0	\$0	\$0
Cash Available for Debt	\$164,108	\$97,937	\$200,483	\$277,202	\$274,126
Permanent:					
WSB Perm \$10,869/mo	\$130,434	\$130,434	\$130,434	\$130,434	\$130,434
DANC/WLDCPerm \$4,538	\$54,451	\$54,451	\$54,451	\$54,451	\$54,451
DANC Existing \$1190.21/mo	\$14,283	\$14,283	\$14,283	\$14,283	\$14,283
WLDC Existing #1 \$1588/mo	\$19,056	\$19,056	\$19,056	\$19,056	\$19,056
WLDC Existing #2 \$696/mo	\$8,352	\$8,352	\$8,352	\$8,352	\$8,352
Total Debt	\$226,576	\$226,576	\$226,576	\$226,576	\$226,576
DSC Ratio	.72	.43	.88	1.22	1.21

Ratio Analysis

Sales Growth	---	(21%)	44%	44%	---
Gross Profit	---	---	---	---	---
Operating Exp.	.99	1.32	.60	.27	.28
EBT	.01	(.32)	.40	.73	.72

- Tax returns were provided for FYE 2019 and 2020. Tax returns match year-end financial statements. Internally prepared financial statement provided for year-end 2021. Internal S&J Properties of Watertown LLC

statements have not been reviewed by tax accountant yet and do not reflect depreciation or amortization.

- Projections were provided by the applicant for year one. Staff estimated projections for year two. Staff conservatively assumed no increase in revenues and a 3% increase in expenses.
- Currently primary revenue is being generated by commercial rental income. All commercial space is rented. One tenant is an established business that has been in its location for many years. Two others have been in operation from their locations for a few years and one is a newly signed lease for a café/restaurant. The final tenant in 150 Court Street is also the guarantor, Abbey Carpet, which is established. Currently only 10 apartments at 150 Court Street have been completed. Currently 8 of the 10 units are occupied. It should be noted that in 2021 the commercial tenants, excluding 170 Court Street which was not completed, and the 10 residential rental units were carrying the expenses of all four properties.
- Miscellaneous income of \$60,046 and \$54,416 was received in 2019 and 2021 respectively. Of the amounts in both years, the Borrower received grants of \$50,000 from National Grid in 2019 and 2021.
- It should be noted that it does not appear that the RESTORE NY grant is being recognized as Income.
- Looking at the projections, primary revenue is rental income from apartment units of \$252,600 net of a vacancy rate of 10% is a net amount of \$227,340. This assumes 20, 1-bedroom market rate apartment units across the properties. Rents will range from a high of \$1350/mo to a low of \$650 per month. Secondary income is from rental of commercial space which will be \$152,388 net of a vacancy rate of 10% annually.
- Primary expenses are interest, depreciation, real estate taxes, insurance and repairs. While there appears to be a significant decline in projected expenses, the projected expenses do not include interest, depreciation or amortization. The operating expenses are consistent with historical operating expenses less interest and depreciation.

### Cash Flow Analysis

- Existing Debt as of 12/31/2021 as follows:
  - WSB #1-\$322,157-\$1070/mo
  - WSB #2-\$95,049-\$685/mo
  - WSB #3-\$87,617-\$1316/mo
  - WSB #4-\$297,908-\$2575/mo
  - WSB #5-\$753,994-Interest only (this was \$44,881 in 2021)
  - WLDC #1-\$107,814-\$1588/mo
  - WLDC #2-\$66,450-\$696/mo
  - DANC #1-\$208,037-\$1190/mo

#### New Construction Loans

- WSB \$525,000 – \$3465/mo
- DANC/WLDC \$800,000-\$4538/mo

Total existing debt plus new debt-monthly payments: \$20,863 or \$250,357 annually

- New restructured permanent debt as follows:
  - WSB #1-\$1,647,000-\$10,869/mo
  - DANC/WLDC #1-\$800,000-\$4538/mo
  - DANC #2-\$208,000-\$1190/mo
  - WLDC Existing #1-\$106,676-\$1588/mo
  - WLDC Existing #2-\$66,020-\$696/mo

Total new debt monthly payments \$18,881 or \$226,572 annually

By restructuring the debt the applicant will save about \$23,785 annually.

- The project would not cash flow based upon historical operations, however as noted above, the income from commercial space and 10 apartments have been carrying the operating expenses for all four buildings. The project will cash flow based upon the projections and the restructuring of the debt.

### Balance Sheet

FYE December 31	Actual 2019	Actual 2020	Actual 2021
Current Assets	\$43,478	\$53,117	\$101,505
Capital Assets – Net	\$1,957,877	\$1,966,267	\$1,992,495
Other Assets	\$368,438	\$4,107	\$23,531
<b>Total Assets</b>	<b>\$2,369,793</b>	<b>\$2,023,491</b>	<b>\$2,117,531</b>
Current Liabilities	\$111,245	\$138,135	\$56,689
Long Term Liabilities	\$2,145,606	\$1,764,374	\$1,826,463
<b>Total Liabilities</b>	<b>\$2,256,851</b>	<b>\$1,902,509</b>	<b>\$1,883,152</b>
<b>Total Shareholders Equity</b>	<b>\$112,942</b>	<b>\$120,982</b>	<b>\$234,379</b>
<b>Total Liabilities &amp; Shareholders Equity</b>	<b>\$2,369,793</b>	<b>\$2,023,491</b>	<b>\$2,117,531</b>

### Ratio Analysis

Working Capital	(\$67,767)	(\$85,018)	\$44,817
Current Ratio	.40	.38	1.79
Debt/Worth	20.0	15.73	8.03

- Current assets are entirely cash. The Borrower received a National Grid grant of \$50,000 in 2019 and another \$50,000 grant in 2021 that he can use for expenses.
- Current liabilities include current portion of long term debt, credit card debt, security deposits, and a due to/from Abbey Carpet of \$16,924 as of 12/31/21.
- Long term liabilities decreased in 2020 as the construction loan with Watertown Savings Bank was paid down by a grant disbursement in 2020.
- Long term liabilities for 2021 not adjusted to reflect current portion of long term debt.
- Equity increases due to RESTORE NY grant.
- It does not appear that the Capital Assets have been adjusted for 2021 to reflect the work completed even though the grant revenue has been received. There is no work-in-progress account.

### PERSONAL:

Stephen and Joyce Bradley-Show total assets of \$248,855 and total liabilities of \$15,358. Primary assets comprised of other personal property of \$145,000 which is defined as personal assets and household goods. Primary liability is an installment loan, \$14,607. Steve has a S&J Properties of Watertown LLC

Motion-  
Second-

Community Rental Housing Fund  
March 15, 2022

TransUnion credit score of 751 and Joyce has a TransUnion credit score of 730. Neither has any derogatory comments. Steve shows total credit of \$90,829 comprised primarily of revolving credit of \$39,516 and installment of \$51,313. Joyce shows outstanding debt of \$56,117 entirely in revolving debt. It appears that they share about \$15,628 in revolving debt.

The applicant noted that there are several debts on their personal financial statement that are business debts. One of the vehicle loans on the credit report is for the business van and some of the credit card debt is for the business as well.

The Logic Score for S&J Properties is a low high risk score of 59. The days beyond terms are reported to be 5 or less. It has no derogatory public records, collection accounts, or lawsuits. It has one trade line with no balance owed presently. There are no late payments reported. It has 2 employees and annual sales of \$361,000.00. It has 9 UCC filings, and no OFAC records were found.

The Logic Score for Abbey Carpet of Watertown is much better with a score of 89. The Business Failure Assessment is that of average. The days beyond terms are reported to be 5 or less. It has no derogatory public records, collection accounts, or lawsuits. The accounts are mostly being paid as agreed. It has 3 employees, annual sales of \$753,000.00, and has been in business for 34 years. It has 1 UCC filing, and no OFAC records were found. Abbey Carpet showed \$370,617 in revenue in 2021 with \$149,031 in total expenses with a net income of \$26,795 after interest. As of 2/8/22, the balance sheet showed \$73,290 in current assets and \$5,518 in fixed assets net of depreciation. Total assets were \$87,488. Total liabilities were \$42,409. Equity was (\$41,751).

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**COLLATERAL:**

1. Up to \$800,000 permanent mortgage and assignment of rents and leases behind Watertown Savings Bank debt (\$2,147,120 construction/\$1,647,000 perm) on real estate located at 138-140 Court Street, 150 Court Street, 152-154 Court Street, and 170 Court Street Watertown, NY.
2. Up to \$800,000 permanent security lien on all assets behind Watertown Savings Bank debt (\$2,147,120 construction/\$1,647,000 perm) of S&J Properties of Watertown, LLC.

<b>Construction Phase:</b>	<b>Market</b>
170 Court Street (as completed as of 1/1/2019)	\$675,000
138 Court Street (as completed as of 1/1/2019)	\$380,000
152-154 Court Street (as completed as of 1/1/2019)	\$600,000
150 Court Street (as completed as of 2/3/2022)	<u>\$1,300,000</u>
Total Value	\$2,955,000
Existing Debt:	
Existing WSB Debt/mortgages	\$1,622,120
New WSB Debt/mortgage	\$525,000
<b>Total WSB Debt/mortgages</b>	<b>\$2,147,120</b>
LTV:	72%
Collateral Available after WSB mortgages	\$807,880
Existing DANC/WLDC mortgages	\$378,717
New DANC/WLDC mortgages	\$800,000
Total DANC/WLDC debt	\$1,178,717

S&J Properties of Watertown LLC

**LTV:**

**146%**

- While slightly unsecured during construction phase, the bank will be receiving a draw on the ESD grant of \$146,026 when the funding for this phase to complete the project is committed. That will leave a balance of around \$385,788 on the RESTORE NY grant to be paid to the bank to pay down their construction loan. ESD will retain 10% of the grant amount, or \$99,000, until project completion.
- In order to mitigate risk during construction, all three lenders (Bank, DANC, WLDC) will put their funds in co-proportionately based upon submission of AIA construction draws and inspection of the work completed. DANC staff will complete inspections.

**Permanent Phase:**

	Market
170 Court Street (as completed as of 1/1/2019)	\$675,000
138 Court Street (as completed as of 1/1/2019)	\$380,000
152-154 Court Street (as completed as of 1/1/2019)	\$600,000
150 Court Street (as completed as of 2/3/2022)	<u>\$1,300,000</u>
Total Value	\$2,955,000

Existing Debt:

<b>Consolidated WSB mortgages</b>	<b>\$1,647,120</b>
LTV:	55%

Collateral Available after WSB mortgages	\$1,307,880
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Existing DANC/WLDC mortgages	\$378,717
New DANC/WLDC mortgages	\$800,000
Total DANC/WLDC debt	\$1,178,717
<b>LTV:</b>	<b>90%</b>

- At permanent financing, the Watertown Savings Bank mortgages will be consolidated.
- At permanent financing, the public lenders will enter into an Intercreditor Agreement to share a co-proportional second mortgage position on all buildings behind Watertown Savings Bank.
- Existing DANC mortgage of \$250,000 will stay as the rate is 1%.
- Appraisals have been completed substantiating value.

**CONTINGENCIES:**

1. Affidavit from borrower affirming minimum \$68,500 owner cash contribution and RESTORE NY contribution of \$531,868
2. Watertown Savings Bank commitment of additional \$525,000 in construction financing
3. Watertown Local Development Corporation commitment of additional \$375,000 in construction/permanent financing
4. Personal Guarantees of Stephen Bradley and Joyce Bradley; Abbey Carpet of Watertown Inc.
5. Subordinate to \$525,000 in new construction debt by Watertown Savings Bank
6. Loan will be disbursed as construction loan proportionately with other lenders
7. DANC will inspect work prior to disbursing funds
8. All permits and approvals, including SHPO



**Board Resolution No. 2022-03-35**  
**March 24, 2022**

**NORTH COUNTRY VALUE ADDED AGRICULTURE LOAN FUND  
NORTH COUNTRY REDEVELOPMENT FUND  
NORTH COUNTRY TOURISM COMMUNITY TRANSFORMATIONAL  
LOAN FUND  
AFFIRM LOAN APPROVAL PROCESS**

Whereas, **Resolution No. 2013-08-12** established the North Country Regional Tourism Community Transformational Revolving Loan Fund (Tourism Fund), and

Whereas, **Resolution No. 2014-10-07** established the North Country Value Added Agriculture Revolving Loan Fund (Agriculture Fund), and

Whereas, **Resolution No. 2015-12-127** established the North Country Redevelopment Fund (Redevelopment Fund), and

Whereas, the money to capitalize the Funds was from grants through Empire State Development for the purposes as set forth in the funding applications submitted to Empire State Development, and

Whereas, each Fund has a distinct Loan Review Committee as required by Empire State Development, and

Whereas, the Board, in creating the Tourism Fund and the Agriculture Fund, authorized the respective Loan Review Committee to commit loans of up to \$250,000 on behalf of the Board to be ratified at the next Board Meeting, and

Whereas, in an effort to assist businesses by reducing time to close on such loan commitments, staff recommends that the authority to ratify loans for the funds noted above to the Governance Committee, and

Whereas, to provide consistency across Funds the Board wishes to affirm the loan approval process for each Fund, and

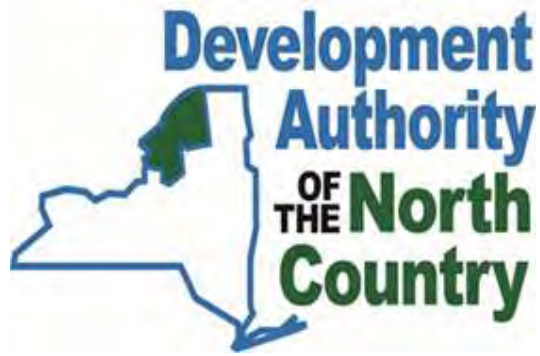
Whereas, all programmatic requirements of these Funds will remain the same.

Now, therefore be it

**RESOLVED, the Development Authority of the North Country does hereby affirm the loan approval process for the North Country Regional Tourism Community Transformational Revolving Loan Fund authorizing the respective Loan Review Committee to commit loans of up to \$250,000 on behalf of the Board to be ratified by the Governance Committee and reported to the Board at the next Board Meeting, and authorizes the Executive Director or Chief Financial Officer to execute all necessary documents to close on the loan, and further be it**

**RESOLVED, the Development Authority of the North Country does hereby affirm the loan approval process for the North Country Value Added Agriculture Revolving Loan Fund authorizing the respective Loan Review Committee to commit loans of up to \$250,000 on behalf of the Board to be ratified by the Governance Committee and reported to the Board at the next Board Meeting, and authorizes the Executive Director or Chief Financial Officer to execute all necessary documents to close on the loan, and further be it**

**RESOLVED, the Development Authority of the North Country does hereby affirm the loan approval process for the North Country Redevelopment Fund authorizing the respective Loan Review Committee to commit loans/grants of up to \$500,000 in total on behalf of the Board to be ratified by the Governance Committee and reported to the Board at the next Board Meeting, and authorizes the Executive Director or Chief Financial Officer to execute all necessary documents to close on the loan.**



**AUTHORITY BOARD MEETING DATES  
Fiscal Year 2022-2023**

May 26, 2022

June 23, 2022  
(Required for Audit Approval)

August 25, 2022

September 22, 2022  
(Strategic Planning)

October 27, 2022

December 15, 2022

February 9, 2023  
(*Budget Work Session*)

February 23, 2023

March 23, 2023  
(Annual Meeting)

**Please mark these dates on your calendar.  
Your presence is essential for a quorum to conduct business.**