

CITY OF WATERTOWN, NEW YORK
AGENDA
Monday, May 15, 2017

This shall serve as notice that the next regularly scheduled meeting of the City Council will be held on Monday, May 15, 2017, at 7:00 p.m. in the City Council Chambers, 245 Washington Street, Watertown, New York.

MOMENT OF SILENCE

PLEDGE OF ALLEGIANCE

ROLL CALL

ADOPTION OF MINUTES

COMMUNICATIONS

PRESENTATION

- Western Boulevard Update
- Mark Budosh, Barton & Loguidice
- Justin L. Wood, City Engineer

PRIVILEGE OF THE FLOOR

RESOLUTIONS

- Resolution No. 1 - Reappointment to the Empire Zone Administrative Board – Robert Lawlor
- Resolution No. 2 - Appointment to the Roswell P. Flower Memorial Library Board of Trustees, Paul J. DiFabion
- Resolution No. 3 - Finding that the Proposed Western Boulevard Construction Project is an Unlisted Action and Will Not Have a Significant Adverse Impact on the Environment
- Resolution No. 4 - Approving Change Order No. 1 for Flower Memorial Library HVAC System Replacement Project, General Contract, Continental Construction, LLC
- Resolution No. 5 - Approving Change Order No. 1 for Flower Memorial Library HVAC System Replacement Project, Mechanical Contract, Lawman Heating & Cooling, Inc.

- Resolution No. 6 - Approving Change Order No. 1 for Flower Memorial Library HVAC System Replacement Project, Electrical Contract, J&R Electric Inc.
- Resolution No. 7 - Approving the Contract with Davey Resource Group for the City of Watertown Street Tree and Planting Site Inventory Project
- Resolution No. 8 - Authorizing the Sale of Surplus Parks and Recreation Pickup
- Resolution No. 9 - Authorizing the Sale of Surplus Police Car

ORDINANCES

- Ordinance No. 1 - Amending Section 310-56, of the Zoning Ordinance and Section A322-4 of the Subdivision Regulations to Require Consistency With the Standards of the City of Watertown Stormwater Management and Erosion and Sediment Control Law

LOCAL LAW

PUBLIC HEARING

- 7:30 p.m. 2017-18 Operating Budgets
- 7:30 p.m. 2017-18 through 2021-22 Capital Budget
- 7:30 p.m. Local Law No. 2 of 2017 – A Local Law Overriding the Tax Levy Limit Established by New York General Municipal Law §3-c

OLD BUSINESS

STAFF REPORTS

1. NYSDEC Municipal Separate Storm Sewer System (MS4) Annual Report
2. Request for Waiver of Fees for Use of the City Stage for 2017 Block Parties
3. Sale of Surplus Hydro-electricity – April 2017
4. NYS Office of the State Comptroller – Fiscal Stress Monitoring System
5. Public Meeting Notice – Long Range Transportation Plan

NEW BUSINESS

EXECUTIVE SESSION

Pending, threatened, or proposed litigation

WORK SESSION

ADJOURNMENT

Adjourn meeting to June 5, 2017 at 6:30 p.m. to vote on budget resolutions

**NEXT REGULARLY SCHEDULED CITY COUNCIL MEETING IS MONDAY,
JUNE 5, 2017.**

Res No. 1

May 10, 2017

To: The Honorable Mayor and City Council
From: Sharon Addison, City Manager
Subject: Reappointment to the Empire Zone Administrative Board

The terms of James Fitzpatrick, Robert Lawlor and Peter Sovie on the Empire Zone Administrative Board expire on May 31, 2017. Robert Lawlor has expressed an interest in being reappointed.

Attached for City Council consideration is a Resolution reappointing Mr. Lawlor to a three-year term, such term expiring on May 31, 2020.

RESOLUTION

Page 1 of 1

Reappointment to the Empire Zone
Administrative Board – Robert Lawlor

Council Member HORBACZ, Cody J.
 Council Member JENNINGS, Stephen A.
 Council Member MACALUSO, Teresa R.
 Council Member WALCZYK, Mark C.
 Mayor BUTLER, Jr., Joseph M.

Total

YEA	NAY

Introduced by

RESOLVED that the following individual is reappointed to the Empire Zone Administrative Board for a three-year term, such term expiring on May 31, 2020:

Robert Lawlor
 1006 Holcomb Street
 Watertown, NY 13601

Seconded by

Res No. 2

May 8, 2017

To: Members of City Council

From: Joseph M. Butler, Jr., Mayor

Subject: Appointment to the Roswell P. Flower Memorial Library Board,
Paul J. DiFabion

After consultation with the Roswell P. Flower Memorial Library Board President Keith Caughlin and Library Director Yvonne Reff, I respectfully submit to you Mr. Paul J. DiFabion in nomination to the City Council for its consideration. Mr. DiFabion will make an excellent addition to this Board and has agreed to fill the unexpired term of Robert Dalton, such term expiring on December 31, 2022. Mr. Dalton resigned this past January 31.

A Resolution is attached for City Council consideration.

RESOLUTION

Page 1 of 1

Appointment to the Roswell P. Flower Memorial Library Board of Trustees, Paul J. DiFabion

- Council Member HORBACZ, Cody J.
- Council Member JENNINGS, Steven A.
- Council Member MACALUSO, Teresa R.
- Council Member WALCZYK, Mark C.
- Mayor BUTLER, Jr., Joseph M.

Total

YEA	NAY

Introduced by

BE IT RESOLVED that the following individual is hereby appointed to the Roswell P. Flower Memorial Library Board of Trustees to fill the unexpired term of Robert Dalton, such term expiring on December 31, 2022:

Paul J. DiFabion
328 Bugbee Drive
Watertown, NY 13601

Seconded by

Res No. 3

May 10, 2017

To: The Honorable Mayor and City Council

From: Sharon Addison, City Manager

Subject: Finding that the Proposed Western Boulevard Construction Project is an Unlisted Action and Will Not Have a Significant Adverse Impact on the Environment

The Western Boulevard Construction Project is progressing. As stated in the attached report of CE2 Thomas Maurer, the City Council as Lead Agency must respond to the questions in Part 2, and Part 3 if necessary, before it may vote on the attached resolution. The resolution states that the Project will not have a significant adverse impact on the environment.

RESOLUTION

Page 1 of 2

Finding that the Proposed Western Boulevard Construction Project is an Unlisted Action and Will Not Have a Significant Adverse Impact on the Environment

Council Member HORBACZ, Cody J.
 Council Member JENNINGS, Stephen A.
 Council Member MACALUSO, Teresa R.
 Council Member WALCZYK, Mark C.
 Mayor BUTLER, Jr., Joseph M.

Total

YEA	NAY

Introduced by

WHEREAS the City of Watertown (City) is progressing the Western Boulevard Construction (Project), and

WHEREAS the Project has been classified as an “Unlisted Action” as determined in accordance with the State Environmental Quality Review Act (SEQRA) in 6 NYCRR Part 617.2 (ak), and

WHEREAS the City caused a letter and Part 1 of a Short Environmental Assessment Form (SEAF) to be sent to other potentially “Interested” and “Involved Agencies” (as this term is defined in the SEQRA Regulations found at 6 NYCRR Part 617), indicating the City’s desire to serve as the “Lead Agency” (as this quoted term is defined in the SEQRA Regulations) and to complete a coordinated review of the Project (in accordance with 6 NYCRR Part 617.6 (b)), and

WHEREAS a minimum of 30 calendar days were provided, and each of the potentially Interested and Involved Agencies has agreed to, or raised no objections to, the City Council serving as Lead Agency for the Project, and

WHEREAS pursuant to the SEQRA Regulations, the City Council has considered the significance of the potential environmental impacts of the Project by (a) using the criteria specified in Section 617.7 of the SEQRA Regulations, and (b) examining the SEAF for the Project, including the facts and conclusions in Parts 1, 2 and 3 of the SEAF, together with other available supporting information, including an Asbestos Survey Report (Barton & Loguidice, D.P.C. (B&L) 2017), Phase I Environmental Site Assessment (B&L, 2017), and a Threatened and Endangered Species Habitat Assessment (B&L, 2017), to identify the relevant areas of environmental concern,

RESOLUTION

Page 2 of 2

Finding that the Proposed Western Boulevard Construction Project is an Unlisted Action and Will Not Have a Significant Adverse Impact on the Environment

Council Member HORBACZ, Cody J.
 Council Member JENNINGS, Stephen A.
 Council Member MACALUSO, Teresa R.
 Council Member WALCZYK, Mark C.
 Mayor BUTLER, Jr., Joseph M.
 Total

YEA	NAY

NOW THEREFORE BE IT RESOLVED that the City Council hereby establishes itself as Lead Agency for the Project, and

BE IT FURTHER RESOLVED that based upon an examination of the SEAF and other supporting information, and considering both the magnitude and importance of each relevant area of environmental concern, and based further upon the City’s knowledge of the area surrounding the Project, and such further investigation of the Project and its potential environmental impacts as the City has deemed appropriate, the City Council makes the following findings and determinations:

1. The Project is accurately described in the SEAF, and
2. The Project constitutes an “Unlisted Action” (as the quoted term is defined in the SEQRA Regulations), and
3. No significant adverse environmental impacts are noted in the SEAF for the Project and none are known to the City Council, and

BE IT FURTHER RESOLVED that the City Council hereby determines that the Project will not have a significant adverse environmental impact, and will not require the preparation of a Draft Environmental Impact Statement with respect to the Project, and

BE IT FURTHER RESOLVED that as a consequence of such findings and declaration, and in compliance with the requirements of SEQRA, the City Council, as Lead Agency, hereby directs Justin Wood P.E., City Engineer, to sign the SEAF Part 3 – Determination of Significance indicating that a Negative Declaration has been issued for the Project, and

BE IT FURTHER RESOLVED that the City Council, together with the City’s Attorney and B&L, are hereby authorized to take all actions, serve all notices and complete and execute all documents required to give full force and effect to this determination, and

BE IT FURTHER RESOLVED that this Resolution shall take effect immediately.

Seconded by

Project:

Date:

***Short Environmental Assessment Form
Part 2 - Impact Assessment***

Part 2 is to be completed by the Lead Agency.

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

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

Project:

Date:

Short Environmental Assessment Form Part 3 Determination of Significance

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

The proposed project consists of the construction of a new connector road from the Western Boulevard entrance road into Stateway Plaza to the intersection of Gaffney Drive and Commerce Park Drive. The proposed improvements include full depth reconstruction for the installation of a new asphalt pavement structure, curbing, drainage improvements, sidewalks/pedestrian infrastructure, bicycle infrastructure, street lighting, rain gardens and appropriate shrub and tree plantings.

The project will improve the access and the safety of the existing Western Boulevard travel corridor. This may result in increases in traffic volumes due to a safer, more efficient and formalized travel route. The improved roadway will be built to service the anticipated traffic levels. The goal of the project is to improve access and traffic to the businesses and provide a safer travel route. The project will not result in any adverse environmental impacts.

Check this box if you have determined, based on the information and analysis above, and any supporting documentation, that the proposed action may result in one or more potentially large or significant adverse impacts and an environmental impact statement is required.

Check this box if you have determined, based on the information and analysis above, and any supporting documentation, that the proposed action will not result in any significant adverse environmental impacts.

City of Watertown

Name of Lead Agency

Date

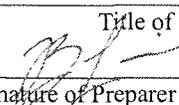
Joseph Butler

Mayor

Print or Type Name of Responsible Officer in Lead Agency

Title of Responsible Officer

Signature of Responsible Officer in Lead Agency



Signature of Preparer (if different from Responsible Officer)

PRINT FORM



CITY OF WATERTOWN
ENGINEERING DEPARTMENT
MEMORANDUM

DATE: 08 May 2017

TO: Sharon Addison, City Manager

FROM: Thomas Maurer, CE 2

SUBJECT: SEQRA Negative Declaration - Western Boulevard

As Lead Agency for the Western Boulevard Project, City Council must consider a resolution that states the Project will not have a significant adverse impact on the environment. Council must also complete Parts 2 and 3 of the Short Environmental Assessment Form.

Cc:
Justin Wood, City Engineer
Elaine Giso

Res Nos. 4, 5, 6

May 8, 2017

To: The Honorable Mayor and City Council
From: Sharon Addison, City Manager
Subject: Change Orders for the Flower Memorial Library HVAC System Replacement Project

On February 6, 2017, City Council approved several bids for the HVAC System Replacement at the Flower Memorial Library, for a total bid award of \$1,121,270. Work is continuing on this project.

As detailed in City Engineer Justin L. Wood's attached report, three Change Orders have been submitted for a total increase of \$41,516.27, bringing the total of all three contracts to \$1,162,786.27.

Attached for Council consideration are the three Resolutions for these Change Orders as described in Mr. Wood's report. Funding for this project was approved on February 6, 2017 through a Bond Ordinance in the amount of \$1,200,000. As the project is still within budget, no additional action is needed to provide funding for these Change Orders.



CITY OF WATERTOWN
ENGINEERING DEPARTMENT
MEMORANDUM

DATE: May 5, 2017

TO: Sharon Addison, City Manager

FROM: Justin Wood, City Engineer

SUBJECT: Flower Memorial Library HVAC Project – Change Order 1

The following memorandum summarizes a series of change orders (CO) which have affected the contract price of the FML HVAC project, and require City Council approval. The CO's being presented at this time result in a net increase of \$41,516.27 bringing the total contract amount to \$1,162,786.27 from \$1,121,270.00 (an increase of 3.7%). These changes cover a time period from the start of construction in early March to May 2017, during which an immense amount of work was completed including demolition work on all three floors, and installation of a majority of the new mechanical system.

A summary of the changes affecting each contract are as follows:

<u>General Contract – Continental Construction</u>	<u>Original Contract = \$335,770.00</u>
GC-001 Net Increase \$14,909.70	Current Contract = \$350,679.70

- Work includes a \$958.00 credit for Value Engineering, and add's for asbestos abatement related to relocated duct work penetrations and pipe supports, and reinforcement of the concrete floor slabs at ductwork penetrations due to the poor condition of the slab.

<u>Mechanical Contract – Lawman Heating and Cooling</u>	<u>Original Contract = \$549,000.00</u>
MC-001 Net Increase \$17,871.57	Current Contract = \$566,871.57

- Work includes a \$3,330.00 credit for Value Engineering, and add's for replacement of a poor condition cast iron sewer line exposed when the ceiling grid was removed, relocation of domestic hot water piping and electrical conduits due to a conflict with duct work, and utilization of heavier duty floor grills.

<u>Electrical Contract – J & R Electric, Inc.</u>	<u>Original Contract = \$236,500.00</u>
EC-001 Net Increase \$8,735.00	Current Contract = \$245,235.00

- Work includes a \$824.00 credit for Value Engineering, and add's for additional electrical work necessary to replace an existing electric heater in the entrance vestibule which recently failed, modify how new lights above the reception desk are installed to minimize extensive asbestos abatement costs, relocate unforeseen electrical conduits and wiring in the concrete floor slab which were discovered during floor penetrations.

cc: Amy Pastuf, Purchasing Manager
Yvonne Reff, Library Director
Jim Mills, City Comptroller

RESOLUTION

Page 1 of 1

Approving Change Order No. 1 for Flower Memorial Library HVAC System Replacement Project, General Contract, Continental Construction, LLC

Council Member HORBACZ, Cody J.
 Council Member JENNINGS, Stephen A.
 Council Member MACALUSO, Teresa R.
 Council Member WALCZYK, Mark C.
 Mayor BUTLER, Jr., Joseph M.
 Total

YEA	NAY

Introduced by

WHEREAS on February 6, 2017, the City Council of the City of Watertown approved the General Contract Agreement with Continental Construction, LLC, in the amount of \$335,770 for the general contract work for the Flower Memorial Library HVAC System Replacement Project, and

WHEREAS Continental Construction, LLC, has now submitted Change Order No. 1 for a credit of \$958 for Value Engineering and add's for asbestos abatement related to relocated duct work penetrations and pipe supports in the amount of \$14,909.70,

NOW THEREFORE BE IT RESOLVED that the City Council of the City of Watertown approves Change Order No. 1, a copy of which is attached and made part of this Resolution, to the General Contract Agreement with Continental Construction, LLC, in the amount of \$14,909.70, bringing the total contract amount to \$350,679.70, and

BE IT FURTHER RESOLVED that City Manager Sharon Addison is hereby authorized and directed to execute the Change Order No. 1 document on behalf of the City of Watertown.

Seconded by



AIA®

Document G701™ – 2001

Change Order

PROJECT (Name and address): Flower Memorial Library HVAC Reno 229 Washington Street Watertown, NY 13601	CHANGE ORDER NUMBER: 001 DATE: 2017-05-05	OWNER: <input checked="" type="checkbox"/> ARCHITECT: <input checked="" type="checkbox"/> CONTRACTOR: <input checked="" type="checkbox"/> FIELD: <input checked="" type="checkbox"/> OTHER: <input type="checkbox"/>
TO CONTRACTOR (Name and address): Continental Construction, LLC PO Box 358 2125 St Hwy 812 Gouverneur, NY 13642	ARCHITECT'S PROJECT NUMBER: 2016-090 CONTRACT DATE: 02/09/2017 CONTRACT FOR: General Construction	

THE CONTRACT IS CHANGED AS FOLLOWS:

(Include, where applicable, any undisputed amount attributable to previously executed Construction Change Directives)

ADD \$6,325.00 per proposal dated 04/27/17:

- (2) penetrations through asbestos containing plaster on the Second Floor.
- Removal of approximately 2'x2' of asbestos containing sheet rock in Basement electrical room.
- Hanging of (2) unistruts into asbestos containing sheet rock as laid out by electrical contractor.

ADD \$9,542.70 per proposal dated 05/04/17:

- Provide additional steel reinforcing at (8) penetration locations through the first floor slab.
- Provide additional steel reinforcing at (2) penetration locations through the second floor slab.

CREDIT \$958.00 per proposal dated 03/07/17:

- Delete HUM-2 Roof penetration.

The original Contract Sum was	\$ 335,770.00
The net change by previously authorized Change Orders	\$ 0.00
The Contract Sum prior to this Change Order was	\$ 335,770.00
The Contract Sum will be increased by this Change Order in the amount of	\$ 14,909.70
The new Contract Sum including this Change Order will be	\$ 350,679.70

The Contract Time will be unchanged by Zero (0) days.

The date of Substantial Completion as of the date of this Change Order therefore is

NOTE: This Change Order does not include changes in the Contract Sum, Contract Time or Guaranteed Maximum Price which have been authorized by Construction Change Directive until the cost and time have been agreed upon by both the Owner and Contractor, in which case a Change Order is executed to supersede the Construction Change Directive.

NOT VALID UNTIL SIGNED BY THE ARCHITECT, CONTRACTOR AND OWNER.

Aubertine and Currier Architects, Engineers & Land Surveyors, PLLC ARCHITECT (Firm name)	Continental Construction, LLC CONTRACTOR (Firm name)	City of Watertown OWNER (Firm name)
522 Bradley Street, Watertown, NY 13601 ADDRESS	PO Box 358, 2125 St Hwy 812, Gouverneur, NY 13642 ADDRESS	245 Washington St, Watertown, NY 13601 ADDRESS
 BY (Signature)	 BY (Signature)	 BY (Signature)
Patrick J. Currier Sr. <i>(Typed name)</i>	Jake Schiszler <i>(Typed name)</i>	Justin Wood <i>(Typed name)</i>
5/5/17 DATE	DATE	DATE



CITY OF WATERTOWN
ENGINEERING DEPARTMENT
MEMORANDUM

DATE: May 5, 2017

TO: Sharon Addison, City Manager

FROM: Justin Wood, City Engineer

SUBJECT: Flower Memorial Library HVAC Project – Change Order 1

The following memorandum summarizes a series of change orders (CO) which have affected the contract price of the FML HVAC project, and require City Council approval. The CO's being presented at this time result in a net increase of \$41,516.27 bringing the total contract amount to \$1,162,786.27 from \$1,121,270.00 (an increase of 3.7%). These changes cover a time period from the start of construction in early March to May 2017, during which an immense amount of work was completed including demolition work on all three floors, and installation of a majority of the new mechanical system.

A summary of the changes affecting each contract are as follows:

<u>General Contract – Continental Construction</u>	<u>Original Contract = \$335,770.00</u>
GC-001 Net Increase \$14,909.70	Current Contract = \$350,679.70

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cc: Amy Pastuf, Purchasing Manager
Yvonne Reff, Library Director
Jim Mills, City Comptroller



AIA Document G701™ – 2001

Change Order

PROJECT (Name and address): Flower Memorial Library HVAC Reno 229 Washington Street Watertown, NY 13601	CHANGE ORDER NUMBER: 001 DATE: 2017-05-05	OWNER: <input checked="" type="checkbox"/> ARCHITECT: <input checked="" type="checkbox"/> CONTRACTOR: <input checked="" type="checkbox"/> FIELD: <input checked="" type="checkbox"/> OTHER: <input type="checkbox"/>
TO CONTRACTOR (Name and address): Continental Construction, LLC PO Box 358 2125 St Hwy 812 Gouverneur, NY 13642	ARCHITECT'S PROJECT NUMBER: 2016-090 CONTRACT DATE: 02/09/2017 CONTRACT FOR: General Construction	

THE CONTRACT IS CHANGED AS FOLLOWS:

(Include, where applicable, any undisputed amount attributable to previously executed Construction Change Directives)

ADD \$6,325.00 per proposal dated 04/27/17:

- (2) penetrations through asbestos containing plaster on the Second Floor.
- Removal of approximately 2'x2' of asbestos containing sheet rock in Basement electrical room.
- Hanging of (2) unistruts into asbestos containing sheet rock as laid out by electrical contractor.

ADD \$9,542.70 per proposal dated 05/04/17:

- Provide additional steel reinforcing at (8) penetration locations through the first floor slab.
- Provide additional steel reinforcing at (2) penetration locations through the second floor slab.

CREDIT \$958.00 per proposal dated 03/07/17:

- Delete HUM-2 Roof penetration.

The original Contract Sum was	\$ 335,770.00
The net change by previously authorized Change Orders	\$ 0.00
The Contract Sum prior to this Change Order was	\$ 335,770.00
The Contract Sum will be increased by this Change Order in the amount of	\$ 14,909.70
The new Contract Sum including this Change Order will be	\$ 350,679.70

The Contract Time will be unchanged by Zero (0) days.

The date of Substantial Completion as of the date of this Change Order therefore is

NOTE: This Change Order does not include changes in the Contract Sum, Contract Time or Guaranteed Maximum Price which have been authorized by Construction Change Directive until the cost and time have been agreed upon by both the Owner and Contractor, in which case a Change Order is executed to supersede the Construction Change Directive.

NOT VALID UNTIL SIGNED BY THE ARCHITECT, CONTRACTOR AND OWNER.

Aubertine and Currier Architects, Engineers & Land Surveyors, PLLC ARCHITECT (Firm name)	Continental Construction, LLC CONTRACTOR (Firm name)	City of Watertown OWNER (Firm name)
522 Bradley Street, Watertown, NY 13601 ADDRESS	PO Box 358, 2125 St Hwy 812, Gouverneur, NY 13642 ADDRESS	245 Washington St, Watertown, NY 13601 ADDRESS
 BY (Signature)	 BY (Signature)	 BY (Signature)
Patrick J. Currier Sr. (Typed name)	Jake Schiszler (Typed name)	Justin Wood (Typed name)
DATE 5/5/17	DATE	DATE

AIA® Document G709™ – 2001

Work Changes Proposal Request

PROJECT (Name and address):
Flower Memorial Library HVAC
Reno
229 Washington Street
Watertown, NY 13601

PROPOSAL REQUEST NUMBER: 001

DATE OF ISSUANCE: 02/28/2017

CONTRACT FOR: General Construction

CONTRACT DATE:

OWNER:

ARCHITECT:

CONSULTANT:

CONTRACTOR:

FIELD:

OTHER:

OWNER (Name and address):
City of Watertown
245 Washington St
Watertown, NY 13601

FROM ARCHITECT (Name and address):
Aubertine and Currier Architects,
Engineers & Land Surveyors, PLLC
522 Bradley Street
Watertown, NY 13601

ARCHITECT'S PROJECT NUMBER:
2016-090

TO CONTRACTOR (Name and address):
Continental Construction, LLC
PO Box 358
2125 St Hwy 812
Gouverneur, NY 13642

Please submit an itemized proposal for changes in the Contract Sum and Contract Time for proposed modifications to the Contract Documents described herein. Within Three (3) days, the Contractor must submit this proposal or notify the Architect, in writing, of the date on which proposal submission is anticipated.

THIS IS NOT A CHANGE ORDER, A CONSTRUCTION CHANGE DIRECTIVE OR A DIRECTION TO PROCEED WITH THE WORK DESCRIBED IN THE PROPOSED MODIFICATIONS.

DESCRIPTION (Insert a written description of the Work):

DELETE all roof penetrations and patching associated with HUM-2. Mechanical Contractor to install HUM-2 in basement mechanical room (001). See attached RFI 001 Humidifier Value Engineering for equipment details.

ATTACHMENTS (List attached documents that support description):

RFI 001 Humidifier Value Engineerin

REQUESTED BY THE ARCHITECT:



(Signature)

Patrick J. Currier Sr., Registered Architect, Partner

(Printed name and title)

CITY OF WATERTOWN, NEW YORK

FLOWER MEMORIAL LIBRARY HVAC RENOVATION

REQUEST FOR INFORMATION

**Send RFI to Brian Krueger, Clerk of the Works, by email, fax, or mail.

Phone: (315) 782-2005 Fax: (315) 782-1472

Email: bmk@aubertinecurrier.com

Contact Name: Andy Liendecker	RFI #: 001
Contractor: Lawman Heating & Cooling, Inc.	Date: 02/17/2017
Address:	Phone: 315-646-2919
206 Ambrose Street	Fax: 315-646-2920
Sackets Harbor, NY 13685	Email: Andy@Lawmanhc.com

Specification No.: 23 8415	Page No.:
Plan Sheet No.:	Detail:

REQUEST: We are proposing as a Value Engineering item that the Humidifiers be changed to an electrode type and that HUM-2 be relocated from the roof to the basement. Please see attached supporting documentation.

- Cut Sheets
- proposal letter

Proposed Solution (if applicable): Review and advise of how you would like to proceed.

By: Andrew Liendecker **Signature:** *Andy Liendecker*

RESPONSE:

By: **Signature:**

After reviewing the response, does the contractor anticipate:

That a change order will be required? Yes No

That there will be an increase in the cost of the project? Yes No

PROPOSAL

CONTINENTAL CONSTRUCTION, LLC.

P.O. BOX 358, 2125 STATE HIGHWAY 812

GOUVERNEUR, NY, 13642

PHONE: (315) 287-3622

FAX: (315) 287-4007

Proposal Submitted to: Aubertine & Currier	Phone: 782-2005	Fax: 782-1427	Date: 3/7/17
Street: 522 Bradley Street	Project Name: Flower Memorial Library		
City, State, & Zip Code: Watertown, NY 13601	Project Location: Watertown		
Attention: Brian Krueger	CC Project No.: 17004		

We propose to furnish labor, materials, equipment, and our standard insurance to:

Provide a credit to delete HUM -2 roof penetration in accordance with PR-1.

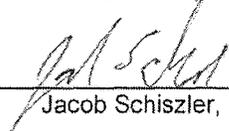
Labor	\$325
Material	\$121
Subcontract	\$512
Total	\$958

We propose to furnish material and labor - complete in accordance with the specifications for the approximate sum of:

\$ 958.00 \$Nine hundred fifty eight dollars and zero cents

Invoiced monthly with payment to be Net 30 days based upon work completed and materials stored on-site.

Respectfully submitted,
Continental Construction, LLC



Jacob Schizler, Project Manager

All materials are guaranteed to be as specified. All work to be completed in a workman like manner according to standard practices. Any alteration or deviation from specifications involving extra cost will be executed only upon written orders and will become an extra charge over and above the amount quoted herein. All agreements contingent upon strikes, accidents, or delays beyond our control. Owner to carry fire, tornado, and other necessary insurance. Our workers are fully covered by workmen's compensation insurance.
Acceptance of Proposal -- The above prices, specifications, and conditions are satisfactory and are hereby accepted. You are authorized to do the work as specified. Payment will be made in accordance with the terms above.

Authorized
Signature _____

Date of Acceptance: _____

Note: This proposal may be withdrawn by us if not accepted within 15 days from the date shown above.

Jacob Schiszler

From: ddesormeaux@riversideiw.com
Sent: Thursday, March 02, 2017 10:55 AM
To: 'Jacob Schiszler'
Subject: Flower Memorial Library

Per your request to deduct Humidifier Roof Supports, we offer a credit of \$121.00, no tax included.
Supports located between Columns D & F and 1 & 2.
Please advise as to how we are to proceed.

David Desormeaux

Sales and Estimating

Riverside Iron

26 Water Street
Gouverneur, NY 13642

Phone: 315-535-4864

Fax: 315-535-4936

<http://www.riversideiw.com>

No virus found in this message.

Checked by AVG - www.avg.com

Version: 2016.0.7998 / Virus Database: 4756/14048 - Release Date: 03/02/17



44 County Route 9, Gouverneur, New York 13642 Phone (315) 287-3665, Fax (315) 287-3672
www.rsroofing.com info@rsroofing.com

March 3, 2017

Continental Construction
PO Box 358
2125 State Highway 812
Gouverneur, New York 13642

Attn: Jacob Schiszler

Ref: Flower Memorial Library
Request for Change Order

As requested we are providing the following pricing to delete flashing of 1 each roof curb (humidifier).

Labor	\$ 335.00
Material	<u>\$ 177.00</u>
Total Credit	\$ 512.00

Please contact our office with any questions or concerns.

Sincerely,

Randy Bushaw
Vice-President

RB: klb

17004



● SECTION 7 CONTRACTOR ●



NATIONAL
ROOFING
CONTRACTORS
ASSOCIATION
MEMBER

 **Document G709™ – 2001**

Work Changes Proposal Request

PROJECT (Name and address):
Flower Memorial Library HVAC
Reno
229 Washington Street
Watertown, NY 13601

PROPOSAL REQUEST NUMBER: 006

DATE OF ISSUANCE: 2017-04-04

OWNER (Name and address):
City of Watertown
245 Washington St
Watertown, NY 13601

CONTRACT FOR: General Construction

CONTRACT DATE:

FROM ARCHITECT (Name and address):
Aubertine and Currier Architects,
Engineers & Land Surveyors, PLLC
522 Bradley Street
Watertown, NY 13601

ARCHITECT'S PROJECT NUMBER:
2016-090

TO CONTRACTOR (Name and address):
Continental Construction, LLC
PO Box 358
2125 St Hwy 812
Gouverneur, NY 13642

OWNER:
ARCHITECT:
CONSULTANT:
CONTRACTOR:
FIELD:
OTHER:

Please submit an itemized proposal for changes in the Contract Sum and Contract Time for proposed modifications to the Contract Documents described herein. Within Two (2) days, the Contractor must submit this proposal or notify the Architect, in writing, of the date on which proposal submission is anticipated.

THIS IS NOT A CHANGE ORDER, A CONSTRUCTION CHANGE DIRECTIVE OR A DIRECTION TO PROCEED WITH THE WORK DESCRIBED IN THE PROPOSED MODIFICATIONS.

DESCRIPTION (Insert a written description of the Work):

Provide pricing for the abatement of (2) penetrations required at Second Floor wall in room Passage 201 as indicated in detail 2/A503. The sum of the (2) penetrations is approximately 5 sf of disturbance, coordinate size of penetrations with Mechanical contractor.

ATTACHMENTS (List attached documents that support description):

REQUESTED BY THE ARCHITECT:


(Signature)

Brian Krueger, Senior Architectural Project Manager
(Printed name and title)

Jacob Schizler

From: Brian Krueger <bmk@aubertinecurrier.com>
Sent: Monday, April 24, 2017 9:42 AM
To: Jacob Schizler
Subject: FML Asbestos

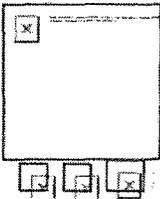
Jake,

On the FRP for the asbestos penetrations for the second floor, could we have them adjust the prices to include an additional location where a 24"x24" removal of sheet rock and hanging of an electrical panel to existing rock.

This is in the basement where the new electrical panel is going. Abatement team will remove sheetrock and EC will core drill the holes as needed in that space.

Let me know if you have questions.

Thanks,
BK



Brian Krueger | Architectural Senior Project Manager
NYS WBE/DBE Certified | SBA Woman Owned Small Business (WOSB)
Aubertine and Currier Architects, Engineers, and Land Surveyors, PLLC
522 Bradley Street | Watertown, NY 13601 | www.aubertinecurrier.com
Office: (315) 782-2005 | Fax: (315) 782-1472 | bmk@aubertinecurrier.com

PROPOSAL

CONTINENTAL CONSTRUCTION, LLC.

P.O. BOX 358, 2125 STATE HIGHWAY 812

GOUVERNEUR, NY, 13642

PHONE: (315) 287-3622

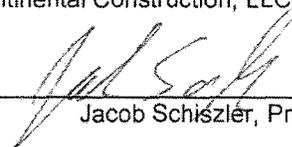
FAX: (315) 287-4007

Proposal Submitted to: Aubertine & Currier	Phone: 782-2005	Fax:	Date: 4/27/17
Street: 522 Bradley Street	Project Name: Flower Memorial Library		
City, State, & Zip Code: Watertown, NY 13601	Project Location: Watertown		
Attention: Pat Currier	CC Project No.: 17004		

We propose to furnish labor, materials, equipment, and our standard insurance to:

Complete all work associated with Proposal Request 006 and email dated 4/24/17 from Brian Krueger.

Subcontract	\$5,750
OH&P 10%	\$575
Total	\$6,325

We propose to furnish material and labor - complete in accordance with the specifications for the approximate sum of: <u>\$6,325.00</u> (Six thousand three hundred twenty five dollars and zero cents)	
Invoiced monthly with payment to be Net 30 days based upon work completed and materials stored on-site.	
Respectfully submitted, Continental Construction, LLC  _____ Jacob Schiszler, Project Manager	All materials are guaranteed to be as specified. All work to be completed in a workman like manner according to standard practices. Any alteration or deviation from specifications involving extra cost will be executed only upon written orders and will become an extra charge over and above the amount quoted herein. All agreements contingent upon strikes, accidents, or delays beyond our control. Owner to carry fire, tornado, and other necessary insurance. Our workers are fully covered by workmen's compensation insurance. Acceptance of Proposal -- The above prices, specifications, and conditions are satisfactory and are hereby accepted. You are authorized to do the work as specified. Payment will be made in accordance with the terms above.
Note: This proposal may be withdrawn by us if not accepted within 15 days from the date shown above.	Authorized Signature _____ Date of Acceptance: _____

Jacob Schiszler

From: Thomas Bronson <bronzecontractingllc@yahoo.com>
Sent: Wednesday, April 26, 2017 8:29 PM
To: Jacob Schiszler
Subject: Re: FML Asbestos

\$5750 to remobilize build the two minor tents come back to tear tents down and demobe.

THANK YOU!!

NYS Certified WBE (PENDING)

Thomas Bronson

Vice President

Phone: 315-896-5084

Fax: 315-896-5092

Cell: 315-368-7353

"Honesty & Integrity Backed By Competitive Pricing"

Mailing Address: 9106 PLANK RD Remsen, NY 13438

www.BRONZEContracting.com

BRONZE Contracting, LLC

Honesty & Integrity Backed By Competitive Pricing



On Tuesday, April 25, 2017 9:49 AM, Jacob Schiszler <jschiszler@continentalconstructionllc.com> wrote:

Yes.

Jacob Schiszler
Project Manager

Continental Construction LLC

 **AIA** Document G709™ – 2001

Work Changes Proposal Request

PROJECT (Name and address):
Flower Memorial Library HVAC
Reno
229 Washington Street
Watertown, NY 13601

PROPOSAL REQUEST NUMBER: 009

OWNER:

DATE OF ISSUANCE: 2017-05-01

ARCHITECT:

CONSULTANT:

CONTRACTOR:

OWNER (Name and address):
City of Watertown
245 Washington St
Watertown, NY 13601

CONTRACT FOR: General Construction

FIELD:

CONTRACT DATE: 2017-02-09

OTHER:

FROM ARCHITECT (Name and address):
Aubertine and Currier Architects,
Engineers & Land Surveyors, PLLC
522 Bradley Street
Watertown, NY 13601

ARCHITECT'S PROJECT NUMBER:
2016-090

TO CONTRACTOR (Name and address):
Continental Construction, LLC
PO Box 358
2125 St Hwy 812
Gouverneur, NY 13642

Please submit an itemized proposal for changes in the Contract Sum and Contract Time for proposed modifications to the Contract Documents described herein. Within Three (3) days, the Contractor must submit this proposal or notify the Architect, in writing, of the date on which proposal submission is anticipated.

THIS IS NOT A CHANGE ORDER, A CONSTRUCTION CHANGE DIRECTIVE OR A DIRECTION TO PROCEED WITH THE WORK DESCRIBED IN THE PROPOSED MODIFICATIONS.

DESCRIPTION (Insert a written description of the Work):

Provide cost to complete work indicated in Supplemental Drawings 9 through 13 (attached).

ATTACHMENTS (List attached documents that support description):

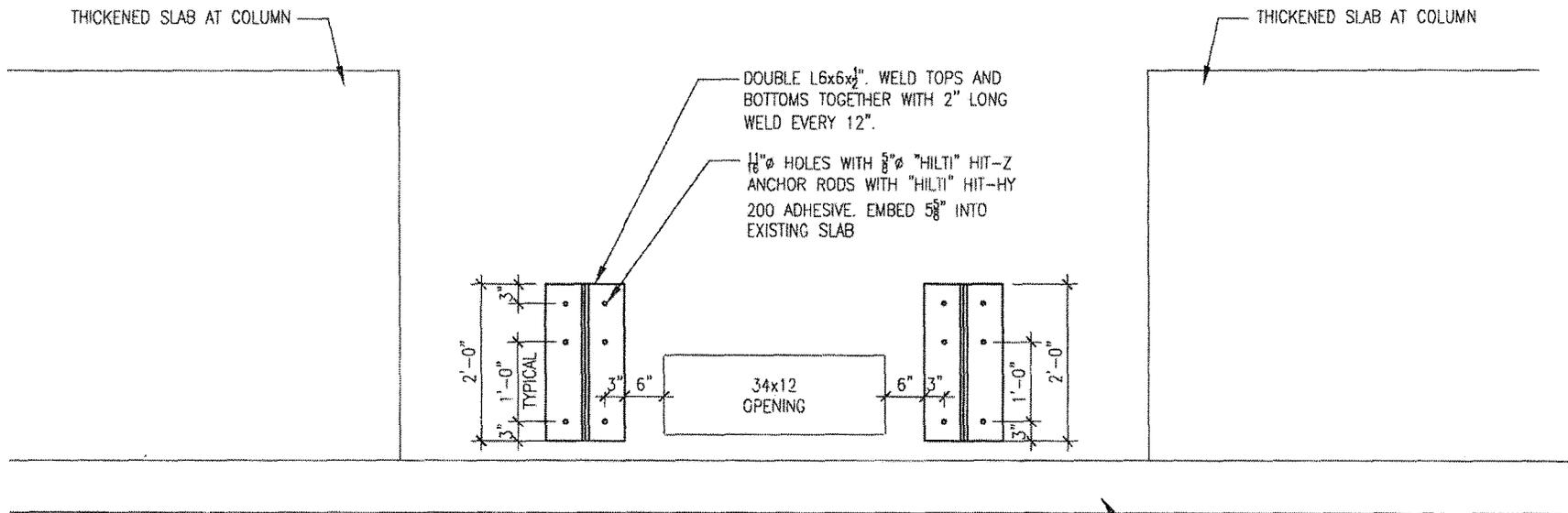
- SD-9 Slab Support Details
- SD-10 Slab Support Details
- SD-11 Slab Support Details
- SD-12 Slab Support Details
- SD-13 Slab Support Details

REQUESTED BY THE ARCHITECT:



(Signature)

Bran Krueger, Senior Architectural Project Manager
(Printed name and title)

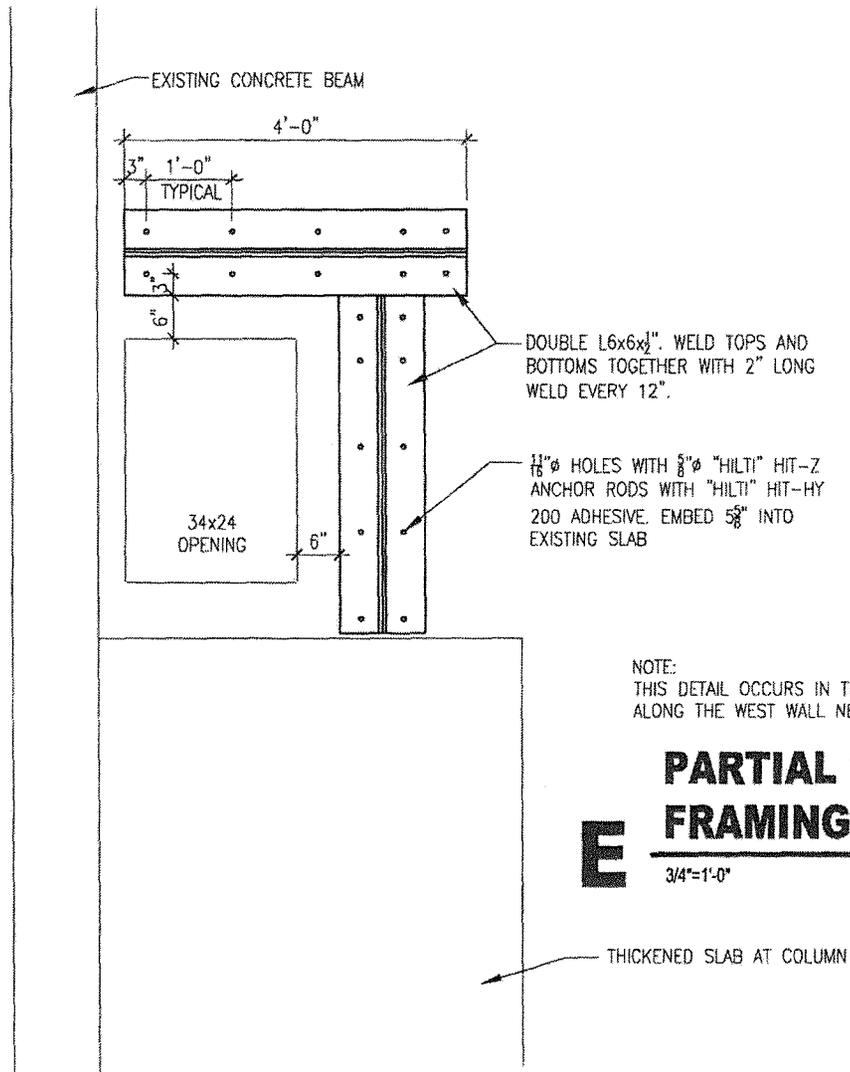


NOTE:
THIS DETAIL OCCURS IN THE TWO-WAY SLAB ALONG
THE SOUTH WALL BELOW THE GENEALOGY ROOM.

PARTIAL 1st FLOOR FRAMING PLAN

F 3/4"=1'-0"

<p>ISSUE DATES: 04-29-2017</p>	<p>SLAB SUPPORT DETAILS</p>	<p>522 Bradley Street Watertown, New York 13601 Phone: (315)782-2005 Fax: (315)782-1472</p>	
<p>PROJECT NO: 2016-090</p>	<p>FLOWER MEMORIAL LIBRARY BUILDING HVAC REPL. SYSTEM WASHINGTON STREET CITY OF WATERTOWN JEFFERSON COUNTY, NEW YORK</p>	<p>The above Architect, Engineer or Land Surveyor states that to the best of his or her knowledge, information and belief, the plans and specifications are in accordance with applicable requirements of New York State. It is a violation of New York State Law for any person, unless acting under the direct supervision of a Registered Architect, Licensed Professional Engineer or Licensed Land Surveyor to alter this document in any way. If altered, such licensee shall affix his or her seal and the notification "altered by" followed by his or signature, date and a specific description of the alteration. © COPYRIGHT 2011 AUBERTINE and CURRIER ARCHITECTS, ENGINEERS & LAND SURVEYORS, PLLC</p>	
<p>SD-13</p>			



NOTE:
THIS DETAIL OCCURS IN THE TWO-WAY SLAB
ALONG THE WEST WALL NEAR THE ELEVATOR.

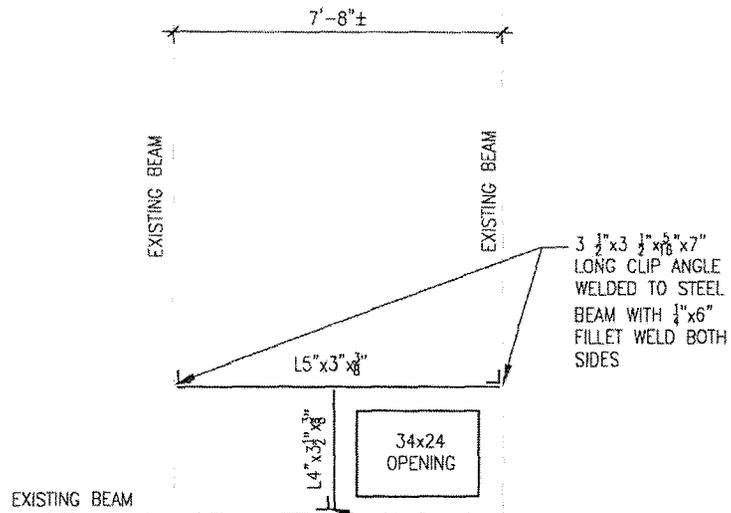
**E PARTIAL 1st FLOOR
FRAMING PLAN**

3/4"=1'-0"



THICKENED SLAB AT COLUMN

<p>ISSUE DATES: 04-29-2017</p>	<p>SLAB SUPPORT DETAILS</p>	<p>522 Bradley Street Watertown, New York 13601 Phone: (315)782-2005 Fax: (315)782-1472</p>	
<p>PROJECT NO: 2016-090</p>	<p>FLOWER MEMORIAL LIBRARY BUILDING HVAC REPL. SYSTEM WASHINGTON STREET CITY OF WATERTOWN JEFFERSON COUNTY, NEW YORK</p>	<p><small>The above Architect, Engineer or Land Surveyor states that to the best of his or her knowledge, information and belief, the plans and specifications are in accordance with applicable requirements of New York State. It is a violation of New York State Law for any person, unless acting under the direct supervision of a Registered Architect, Licensed Professional Engineer or Licensed Land Surveyor, to alter this document in any way. If altered, such licensee shall affix his or her seal and the notification "Altered by" followed by his or signature, date and a specific description of the alteration. © COPYRIGHT 2011 AUBERTINE and CURRIER ARCHITECTS, ENGINEERS & LAND SURVEYORS, PLLC</small></p>	
<p>SD-12</p>			



NOTES:

1. REMOVE & PATCH FIREPROOFING AS REQUIRED TO FASTEN NEW ANGLES TO EXISTING BEAM (TYPICAL (3) LOCATIONS)
2. COPE STEEL ANGLES AT TOP FLANGE OF EXISTING STEEL BEAMS AS NECESSARY. WELD TO CLIP ANGLES WITH 1/4" FILLET WELD ALL AROUND.

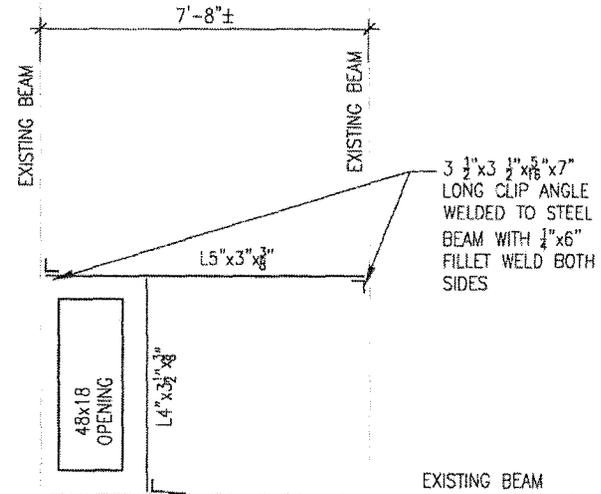
3 1/2" x 3 1/2" x 5/8" x 7" LONG CLIP ANGLE WELDED TO STEEL BEAM WITH 1/4" x 6" FILLET WELD BOTH SIDES

NOTE:
THIS DETAIL OCCURS IN THE SOUTHEAST CORNER OF THE BUILDING

PARTIAL 2ND FLOOR FRAMING PLAN

C

1/4"=1'-0"



NOTES:

1. REMOVE & PATCH FIREPROOFING AS REQUIRED TO FASTEN NEW ANGLES TO EXISTING BEAM (TYPICAL (3) LOCATIONS)
2. COPE STEEL ANGLES AT TOP FLANGE OF EXISTING STEEL BEAMS AS NECESSARY. WELD TO CLIP ANGLES WITH 1/4" FILLET WELD ALL AROUND.

3 1/2" x 3 1/2" x 5/8" x 7" LONG CLIP ANGLE WELDED TO STEEL BEAM WITH 1/4" x 6" FILLET WELD BOTH SIDES

NOTE:
THIS DETAIL OCCURS APPROXIMATELY 8 FEET SOUTH OF THE ELEVATOR SHAFT ALONG THE WEST WALL

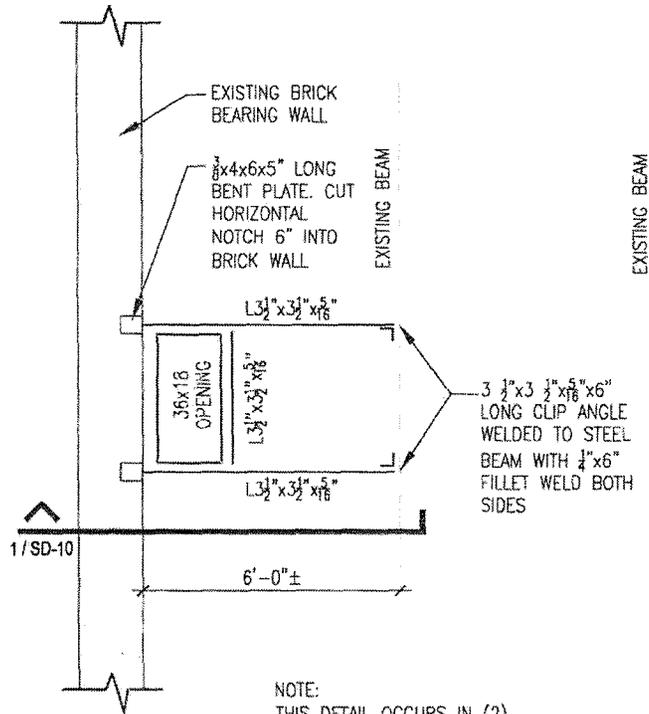
PARTIAL 2ND FLOOR FRAMING PLAN

D

1/4"=1'-0"



<p>ISSUE DATES: 04-29-2017</p>	<p>SLAB SUPPORT DETAILS</p>	<p>522 Bradley Street Watertown, New York 13601 Phone: (315)782-2005 Fax: (315)782-1472</p>	
<p>PROJECT NO: 2016-090</p>		<p>FLOWER MEMORIAL LIBRARY BUILDING HVAC REPL. SYSTEM WASHINGTON STREET CITY OF WATERTOWN JEFFERSON COUNTY, NEW YORK</p>	
<p>SD-11</p>			

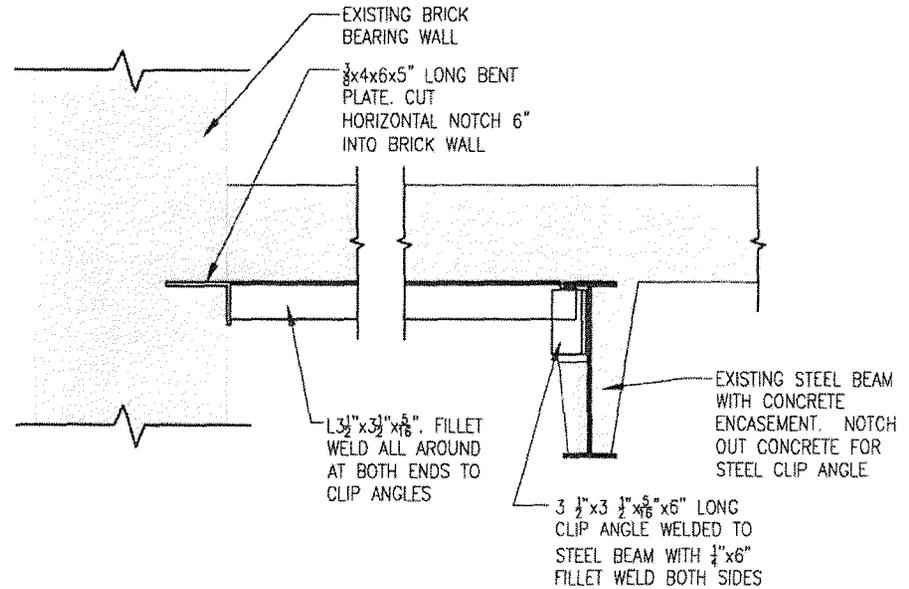


NOTE:
THIS DETAIL OCCURS IN (2)
LOCATIONS ON THE WEST WALL

PARTIAL 1ST FLOOR FRAMING PLAN

B

1/4"=1'-0"

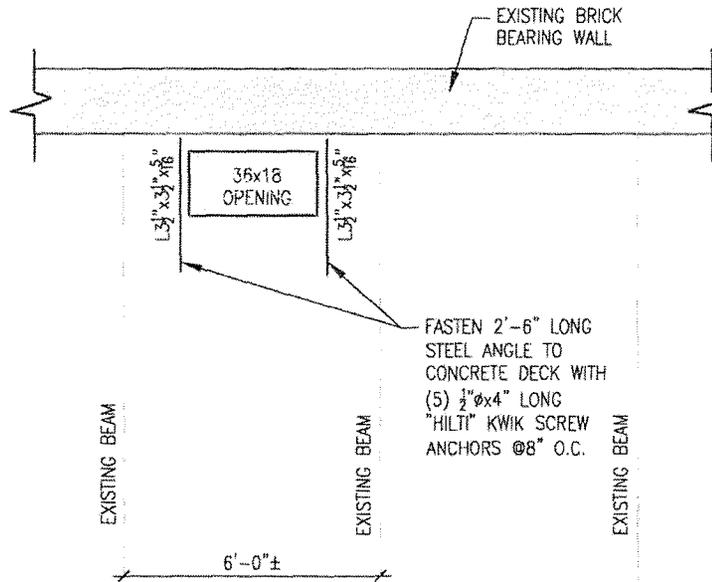


1

SECTION DETAIL

3/4"=1'-0"

<p>ISSUE DATES: 04-29-2017</p>	<p>SLAB SUPPORT DETAILS</p>	<p>522 Bradley Street Watertown, New York 13601 Phone: (315)782-2005 Fax: (315)782-1472</p>	
<p>PROJECT NO: 2016-090 SD-10</p>	<p>FLOWER MEMORIAL LIBRARY BUILDING HVAC REPL. SYSTEM WASHINGTON STREET CITY OF WATERTOWN JEFFERSON COUNTY, NEW YORK</p>	<p><small>The above Architect, Engineer or Land Surveyor swears that to the best of his or her knowledge, information and belief, the plans and specifications are in accordance with applicable requirements of New York State. It is a violation of New York State Law for any person, unless acting under the direct supervision of a Registered Architect, Licensed Professional Engineer or Licensed Land Surveyor to alter this document in any way. If altered, such licenses shall affix his or her seal and the notification "altered by" followed by his or signature, date and a specific description of the alteration. © COPYRIGHT 2017 AUBERTINE and CURRIER ARCHITECTS, ENGINEERS & LAND SURVEYORS, PLLC</small></p>	



NOTE:
 THIS DETAIL OCCURS IN (4)
 LOCATIONS TOTAL, (2) LOCATIONS ON
 THE NORTH WALL AND (2) LOCATIONS
 ON THE SOUTH WALL

PARTIAL 1ST FLOOR FRAMING PLAN

A

1/4"=1'-0"



<p><u>ISSUE DATES:</u> 04-29-2017</p>	<p>SLAB SUPPORT DETAILS</p>	<p>522 Bradley Street Watertown, New York 13601 Phone: (315)782-2005 Fax: (315)782-1472</p>	
<p><u>PROJECT NO.:</u> 2016-090</p>	<p>FLOWER MEMORIAL LIBRARY BUILDING HVAC REPL. SYSTEM WASHINGTON STREET CITY OF WATERTOWN JEFFERSON COUNTY, NEW YORK</p>	<p><small>The above Architect, Engineer or Land Surveyor states that to the best of his or her knowledge, information and belief, the plans and specifications are in accordance with applicable requirements of New York State. It is a violation of New York State Law for any person, unless acting under the direct supervision of a Registered Architect, Licensed Professional Engineer or Licensed Land Surveyor to alter this document in any way. If altered, each licensee shall affix his or her seal and the notification "altered by" followed by his or signature, date and a specific description of the alteration.</small></p> <p>© COPYRIGHT 2017 AUBERTINE and CURRIER ARCHITECTS, ENGINEERS & LAND SURVEYORS, PLLC</p>	

SD-9

PROPOSAL

CONTINENTAL CONSTRUCTION, LLC.

P.O. BOX 358, 2125 STATE HIGHWAY 812

GOUVERNEUR, NY, 13642

PHONE: (315) 287-3622

FAX: (315) 287-4007

Proposal Submitted to: Aubertine & Currier	Phone: 782-2005	Fax: 782-1427	Date: 5/4/17
Street: 522 Bradley Street	Project Name: Flower Memorial Library		
City, State, & Zip Code: Watertown, NY 13601	Project Location: Watertown		
Attention: Brian Krueger	CC Project No.: 17004		

We propose to furnish labor, materials, equipment, and our standard insurance to:

All work associated with work change proposal request 009.

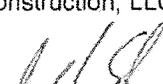
Labor	\$5,200
Material	\$3,098
OH&P %15	\$1,244.70
Total	\$9,542.70

We propose to furnish material and labor - complete in accordance with the specifications for the approximate sum of:

\$9,542.70 \$Nine thousand five hundred forty two dollars and zero cents

Invoiced monthly with payment to be Net 30 days based upon work completed and materials stored on-site.

Respectfully submitted,
Continental Construction, LLC



Jacob Schiszler, Project Manager

All materials are guaranteed to be as specified. All work to be completed in a workman like manner according to standard practices. Any alteration or deviation from specifications involving extra cost will be executed only upon written orders and will become an extra charge over and above the amount quoted herein. All agreements contingent upon strikes, accidents, or delays beyond our control. Owner to carry fire, tornado, and other necessary insurance. Our workers are fully covered by workmen's compensation insurance.
Acceptance of Proposal -- The above prices, specifications, and conditions are satisfactory and are hereby accepted. You are authorized to do the work as specified. Payment will be made in accordance with the terms above.

Authorized
Signature _____

Date of Acceptance: _____

Note: This proposal may be withdrawn by us if not accepted within 15 days from the date shown above.



Steel Sales Inc. - WBE / DBE Certified
 P.O Box 539
 8085 State Highway 12
 Sherburne, NY 13460
 Phone: 607-674-6363 Fax: 607-674-9706
 Website: www.SteelSalesInc.com

May 03, 2017
 12:48:05PM
 Page 1 of 2

Quotation No. 503201701

Bill To Continental Construction, LLC
 PO Box 358
 Gouverneur, NY 13642

Ship To Continental Construction LLC
 245 Washington Street
 Watertown, NY 13601
 Phone: 315.287.3622

ATTN:

Customer P.O. #: Flower Memorial HVAC
 Contract:
 Sales 1: House Account
 Terms: 1%10-NET30

Quote Date: 05/03/2017
 F.O.B.: Origin
 Sales 2: Scott Masewicz

Due Date: 05/04/2017
 Ship Via: Our Truck

Pcs	Description	Width	Length	Weight	Price UM	Extension Tax
1	6 X 6 X 1/2 HOT ROLLED ANGLE ASTM - A36		20' 0"	392.00	\$246.70 E	\$246.70 T
1	6 X 6 X 1/2 HOT ROLLED ANGLE ASTM - A36		5' 0"	98.00	\$133.10 E	\$133.10 T
1	5 X 3 X 3/8 HOT ROLLED ANGLE ASTM - A36		20' 0"	196.00	\$121.86 E	\$121.86 T
1	*** 4 X 3-1/2 X 3/8 HOT ROLLED ANGLE ASTM - A36		20' 0"	182.00	\$110.11 E	\$110.11 T
3	*** 3-1/2 X 3-1/2 X 5/16 HOT ROLLED ANGLE ASTM - A36		20' 0"	432.00	\$74.92 E	\$224.76 T
1	1 QUART PRIMER GRAY PAINT INDUSTRIAL			1.00	\$5.74 E	\$5.74 T
50	Screw anc KH 1/2" x 4 HILTI KWIK Screw Anchors			0.50	\$1.45 E	\$72.50 T
36	Anchor Rod HILTI HIT-Z 5/8" x 8"			0.36	\$3.80 E	\$136.80 T
5	Hybrid Adhesive HY 200-R 11.1oz/330ml			0.05	\$50.99 E	\$254.95 T
1	3/8 HOT ROLLED PLATE ASTM - A36	12"	24"	30.64	\$27.80 E	\$27.80 T
1	Fabrication & Processing			0.01	\$1,420.00 E	\$1,420.00 T
1	"We appreciate your business, there is no delivery charge for this order"			0.01	\$0.00 E	\$0.00 E

Total Weight 1,332.57

Subtotal Non taxable \$0.00
 Subtotal taxable \$2,754.32

Add sales tax if applicable



Call us 7 days a week
1.888.978.7759
 Click to Chat

Log In | View Cart | Contact Us | Track Order | Quick Order

2 Items - (\$343.90)

Shop Categories

Help

Welcome Log In
 Account Tools

(0)
 Lists

All

Shopping Cart

Item	Item Number	Price	Quantity	Add-ons	Print Cart	Email Cart	Save Cart
 10' X 12' Acrylic Coated Fiberglass Welding Curtain, Gold - BGS-24-1012 Sold By: globalindustrial.com Shipping: Usually ships in 12 to 15 days	T9AB430400	\$171.95	2				
<p>Delete Keep for Later</p>					<p>Subtotal (2 Items) \$343.90</p> <p>Calculate shipping</p>		

Please note: When using PayPal, the shipping address selected in PayPal will override the one selected on the Global Industrial website.



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When using Amex Express Checkout, American Express will share the following personal information with us, your first name, last name, email address and postal address, including city, state, country and postal code. The use of this information by us is subject to our privacy policy.

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Shipping Charges *

Shipping charges are based upon weight, dimensions, distance traveled and type of shipping service you specify (ground, next day, second day).

All shipments are F.O.B. shipping point. Shipping method is determined by size and weight of each item. Items of differing size and weight may ship independently, by different methods, even if ordered together. Items that are too large or too heavy for UPS will be shipped motor freight. Someone must be present to accept truck deliveries. Standard truck delivery is to a facility with a dock designed to receive freight. Twenty-four hour notification, residential deliveries, lift gate, or inside deliveries are available each with an additional charge.

To view shipping charges, use the Shipping Calculator featured in the Shopping Cart. Unless otherwise stated, freight and shipping fees will be charged for shipments to anywhere in the contiguous United States, using a carrier of our choice. Other terms apply to Alaska, Hawaii, Puerto Rico, and export orders. Any extra charges incurred for additional services, such as customer's carrier or special handling by the carrier, must be paid by the consignee. Items backordered from an order qualifying for prepaid shipping charges will be shipped prepaid. Title and risk of loss pass to the customer upon tender of shipment to the carrier. Certain restrictions apply to Free Shipping promotions. These include use of our choice of carriers and shipping methods as well as other limitations.

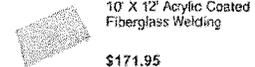
Collect Shipments - We will gladly ship via your specified carrier however, we will not ship with certain carriers due to poor experience.

TRANSIT TIME: *

UPS Ground: 3 - 8 Business Days
 UPS Second Day: 2 Business Days
 UPS Next Day Air: 1 Business Day
 Truck: 3-3 Business Days

* Not applicable to products purchased from a Marketplace Seller. Each Marketplace Seller's shipping information can be found on that Marketplace Seller's profile page.

Recently Viewed Items



\$171.95

Qty: [Add](#)

RESOLUTION

Page 1 of 1

Approving Change Order No. 1 for Flower Memorial Library HVAC System Replacement Project, Mechanical Contract, Lawman Heating & Cooling, Inc.

Council Member HORBACZ, Cody J.
 Council Member JENNINGS, Stephen A.
 Council Member MACALUSO, Teresa R.
 Council Member WALCZYK, Mark C.
 Mayor BUTLER, Jr., Joseph M.
 Total

YEA	NAY

Introduced by

WHEREAS on February 6, 2017, the City Council of the City of Watertown approved the Mechanical Contract Agreement with Lawman Heating & Cooling, Inc., in the amount of \$549,000 for the mechanical contract work for the Flower Memorial Library HVAC System Replacement Project, and

WHEREAS Lawman Heating & Cooling, Inc., has now submitted Change Order No. 1 for a credit of \$3,330 for Value Engineering and add's for replacement of a poor condition cast iron sewer line exposed and other work in the amount of \$17,871.57,

NOW THEREFORE BE IT RESOLVED that the City Council of the City of Watertown approves Change Order No. 1, a copy of which is attached and made part of this Resolution, to the Mechanical Contract Agreement with Lawman Heating & Cooling, Inc., in the amount of \$17,871.57, bringing the total contract amount to \$566,871.57, and

BE IT FURTHER RESOLVED that City Manager Sharon Addison is hereby authorized and directed to execute the Change Order No. 1 document on behalf of the City of Watertown.

Seconded by

AIA[®] Document G701[™] – 2001

Change Order

PROJECT (Name and address):	CHANGE ORDER NUMBER: 001	OWNER: <input checked="" type="checkbox"/>
Flower Memorial Library HVAC Reno	DATE: 05/03/2017	ARCHITECT: <input checked="" type="checkbox"/>
229 Washington Street		CONTRACTOR: <input checked="" type="checkbox"/>
Watertown, NY 13601		FIELD: <input checked="" type="checkbox"/>
TO CONTRACTOR (Name and address):	ARCHITECT'S PROJECT NUMBER: 2016-090	OTHER: <input type="checkbox"/>
Lawman Heating & Cooling Inc	CONTRACT DATE: 02/17/2017	
23791 Lawler Drive	CONTRACT FOR: Mechanical Construction	
Watertown, NY 13601		

THE CONTRACT IS CHANGED AS FOLLOWS:

(Include, where applicable, any undisputed amount attributable to previously executed Construction Change Directives)

ADD \$3,567.19 per proposal #002 dated 04/05/2017:

-Remove existing CUH and provide new electric CUH in vestibule.

ADD \$5,844.30 per proposal #003 dated 04/28/2017:

-Remove existing cast iron sanitary line and replace with new schedule 40 PVC. Install cleanout on second floor.

-Remove abandoned sections cast iron pipe and connect to existing.

-Repitch existing sanitary line for positive flow.

ADD \$9,150.08 per proposal #004 dated 05/02/2017:

-Remove section of existing domestic water piping and to provide new piping and reconnect existing fixtures as indicated in Proposal Request #004. Remove existing abandoned cast iron piping in basement where new ducts will be located.

ADD \$2,640.00 per RFI 003 and proposal 17-0039-FLOWER MEMORIAL LIBRARY WATERTOW dated 04/25/2017:

-Provide alternate floor grilles with custom colors.

CREDIT \$3,330.00 per RFI 001 dated 02/17/2017:

-Install HUM-2 in basement in lieu of roof top installation.

The original Contract Sum was	\$	<u>549,000.00</u>
The net change by previously authorized Change Orders	\$	<u>0.00</u>
The Contract Sum prior to this Change Order was	\$	<u>549,000.00</u>
The Contract Sum will be increased by this Change Order in the amount of	\$	<u>17,871.57</u>
The new Contract Sum including this Change Order will be	\$	<u>566,871.57</u>

The Contract Time will be unchanged by Zero (0) days.

The date of Substantial Completion as of the date of this Change Order therefore is

NOTE: This Change Order does not include changes in the Contract Sum, Contract Time or Guaranteed Maximum Price which have been authorized by Construction Change Directive until the cost and time have been agreed upon by both the Owner and Contractor, in which case a Change Order is executed to supersede the Construction Change Directive.

NOT VALID UNTIL SIGNED BY THE ARCHITECT, CONTRACTOR AND OWNER.

Aubertine and Currier Architects,
Engineers & Land Surveyors, PLLC

ARCHITECT (Firm name)

522 Bradley Street, Watertown, NY
13601

ADDRESS

BY (Signature)

Patrick J. Currier Sr.

(Typed name)

DATE

5/3/17

Lawman Heating & Cooling Inc

CONTRACTOR (Firm name)

23791 Lawler Drive, Watertown, NY
13601

ADDRESS

BY (Signature)

Andy Liendecker

(Typed name)

DATE

City of Watertown

OWNER (Firm name)

245 Washington St, Watertown, NY 13601

ADDRESS

BY (Signature)

Justin Wood

(Typed name)

DATE

CITY OF WATERTOWN, NEW YORK

FLOWER MEMORIAL LIBRARY HVAC RENOVATION

REQUEST FOR INFORMATION

**Send RFI to Brian Krueger, Clerk of the Works, by email, fax, or mail.

Phone: (315) 782-2005 Fax: (315) 782-1472

Email: bmk@aubertinecurrier.com

Contact Name: Andy Liendecker	RFI #: 001	WLP R001
Contractor: Lawman Heating & Cooling, Inc.	Date:	02/17/2017
Address:	Phone:	315-646-2919
206 Ambrose Street	Fax:	315-646-2920
Sackets Harbor, NY 13685	Email:	Andy@Lawmanhc.com

Specification No.: 23 8416	Page No.:
Plan Sheet No.:	Detail:

REQUEST: We are proposing as a Value Engineering item that the Humidifiers be changed to an electrode type and that HUM-2 be relocated from the roof to the basement. Please see attached supporting documentation.

- Cut Sheets
- proposal letter

Proposed Solution (if applicable): Review and advise of how you would like to proceed.

By: Andrew Liendecker Signature: *Andy Liendecker*

RESPONSE:

By: Signature:

After reviewing the response, does the contractor anticipate:

- That a change order will be required? Yes No
- That there will be an increase in the cost of the project? Yes No

LAWMAN HEATING & COOLING, INC.

HVAC, PLUMBING, ELECTRICAL CONTRACTING

206 AMBROSE STREET P.O. BOX 599 SACKETS HARBOR, NY 13685

(315) 646-2919 FAX (315) 646-2920

Date: February 17, 2017

Attn: Brian M. Krueger

We would like to propose installing HUM-2 in the basement vs. the roof as well as change the type of Humidifiers from the resistive type specified to electrode type.

By installing HUM-2 in the basement will have the following benefits to the owner:

- No roof penetration needed reducing potential for future leaks.
- Credit for less roofing and curb installation (General Contractor)
- Credit for no #3/0 wire from basement to roof. (Electrician)
- Less time on roof for Maintenance.

By switching to electrode steam humidifiers with disposable cylinders we can lower costs further. The reduced cleaning maintenance labor required by the resistive steam humidifiers specified will more than offset the replacement cylinder costs of the electrode steam version presented here. (Replacement cylinders will be about \$160 ea.)

Also, the drain coolers specified on the design are not required with electrode humidifiers as they include internal drain water cooling to 140F to comply with plumbing code.

The electrode steam humidifier capacity breaks are slightly different than the resistive units:

HUM-1

Specified as 44.76 lb. /hr., 44.4 A at 208/3
Proposed: Nortec EL-050, rated 55 #/hr., 51.9A at 208/3
Electrical Impact: none, since electrical is 60A breaker with (3) #6 conductors rated at 75A

HUM-2

Specified as 109.5 lb. /hr., 133.2A at 208/3
Proposed: Nortec EL-150, rated 165#/hr., 155A
Electrical impact: circuit size is oversized with (3) #3/0 rated 225A. Breaker may need to jump one size from 175A specified

By installing HUM-2 in the basement there will be (2) 1-1/2" insulated copper pipes routed up through the existing chase, which does offset set some of the equipment savings.

If this value engineering is accepted the savings to the owner from the HVAC contract will be ~~\$32,000~~

We have attached cut sheets for the electrode humidifiers for your reference, if you have any technical questions concerning the electrode steam vs. resistive please contact:

Steve Brandt, P.E.
D.F.Brandt, Inc.
8152 Kirkville Road
Kirkville, NY 13082
PH (315)656-3884
FAX (315)656-8078
www.dfbrandt.com

All other questions can be directed to the undersigned.

Sincerely,

Lawman Heating & Cooling, Inc.



Andrew Liendecker
Senior HVAC Project Manager

Submittal Package

Project Name: Watertown Library EL Option

Project Number:

Preparation Date: 2017/02/14

Locally Represented By: D.F.Brandt, Inc.
8152 Kirkville Road
Kirkville
New York
13082

Salesperson: Steve Brandt

LAWMAN HEATING & COOLING, INC.

HVAC, PLUMBING, ELECTRICAL CONTRACTING

206 AMBROSE STREET P.O. BOX 599 SACKETS HARBOR, NY 13685

(315) 646-2919 FAX (315) 646-2920

05 April 2017

Aubertine & Currier Architects, Inc.
522 Bradley Street
Watertown, New York 13601

Attn:

Re: Flower Memorial Library HVAC Renovations
Watertown, NY
LHC #02-590 - HVAC

Gentlemen:

We present for your consideration our price quote for all materials, labor and equipment to perform the following additional work:

Cost to complete work on basement, first, and second floors as discussed and illustrated in the attached sketches. Work to include but is not limited to: alternate location of supply vertical at first and second floors, revised ductwork layout to accommodate new vertical duct locations and resolve conflicts on all floors, and revised orientation and location of the roof top unit.

Also, cost to demolish and dispose of existing CUH located at the Entry (125) and to provide new unit as specified in the attached schedule. New unit to include all required mounting equipment and hardware as well as all required controls.

PR # 002

Materials:	\$1,800.00	Subcontractor: \$600
Fittings, etc.		
Labor:		
Foreman	\$133.30	
hr. @ 66.65		
Pipefitter	\$568.60	
hrs. @ 56.86		
Subtotal	\$3,101.90	
15% OH & P		
Total	\$3,567.19	

If you should have any further questions, please contact the undersigned.

Sincerely,

Lawman Heating & Cooling, Inc.


Andy Liendecker
Project Manager



AIA[®] Document G709[™] – 2001

Work Changes Proposal Request

PROJECT *(Name and address):*
Flower Memorial Library HVAC
Reno
229 Washington Street
Watertown, NY 13601

PROPOSAL REQUEST NUMBER: 002

OWNER:

ARCHITECT:

DATE OF ISSUANCE: 03/17/2017

CONSULTANT:

CONTRACTOR:

OWNER *(Name and address):*
City of Watertown
245 Washington St
Watertown, NY 13601

CONTRACT FOR: Mechanical Construction

FIELD:

CONTRACT DATE:

OTHER:

FROM ARCHITECT *(Name and address):*
Aubertine and Currier Architects,
Engineers & Land Surveyors, PLLC
522 Bradley Street
Watertown, NY 13601

ARCHITECT'S PROJECT NUMBER:
2016-090

TO CONTRACTOR *(Name and address):*

Lawman Heating and Cooling
206 Ambrose Street
Sackets Harbor, NY 13685

Please submit an itemized proposal for changes in the Contract Sum and Contract Time for proposed modifications to the Contract Documents described herein. Within Three (3) days, the Contractor must submit this proposal or notify the Architect, in writing, of the date on which proposal submission is anticipated.

THIS IS NOT A CHANGE ORDER, A CONSTRUCTION CHANGE DIRECTIVE OR A DIRECTION TO PROCEED WITH THE WORK DESCRIBED IN THE PROPOSED MODIFICATIONS.

DESCRIPTION *(Insert a written description of the Work):*

Provide cost to complete work on basement, first, and second floors as discussed and illustrated in the attached PDF. Work to include but is not limited to: alternate location of supply vertical at first and second floors, revised ductwork layout to accommodate new vertical duct locations and resolve conflicts on all floors, and revised orientation and location of the roof top unit.

Provide cost to demolish and dispose of existing CUH located at the Entry (125) and to provide new unit as specified in the attached schedule. New unit to include all required mounting equipment and hardware as well as all required controls. Mechanical contractor responsible for coordinating and installing controls for new unit.

Cost breakdowns shall be provided separately.

ATTACHMENTS *(List attached documents that support description):*

- Additional CUH Schedule
- Basement Ductwork Redesign Sketch

REQUESTED BY THE ARCHITECT:



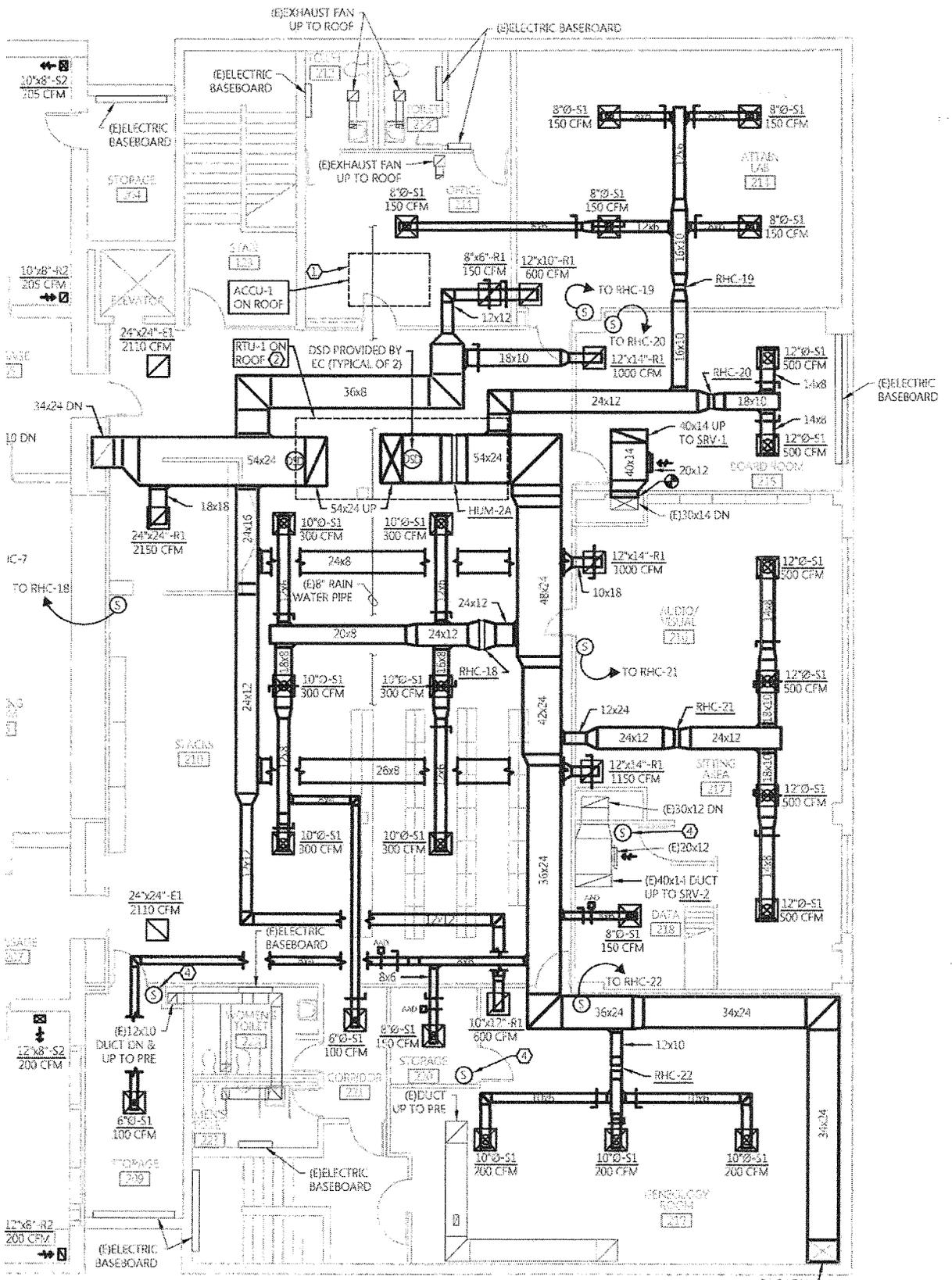
(Signature)

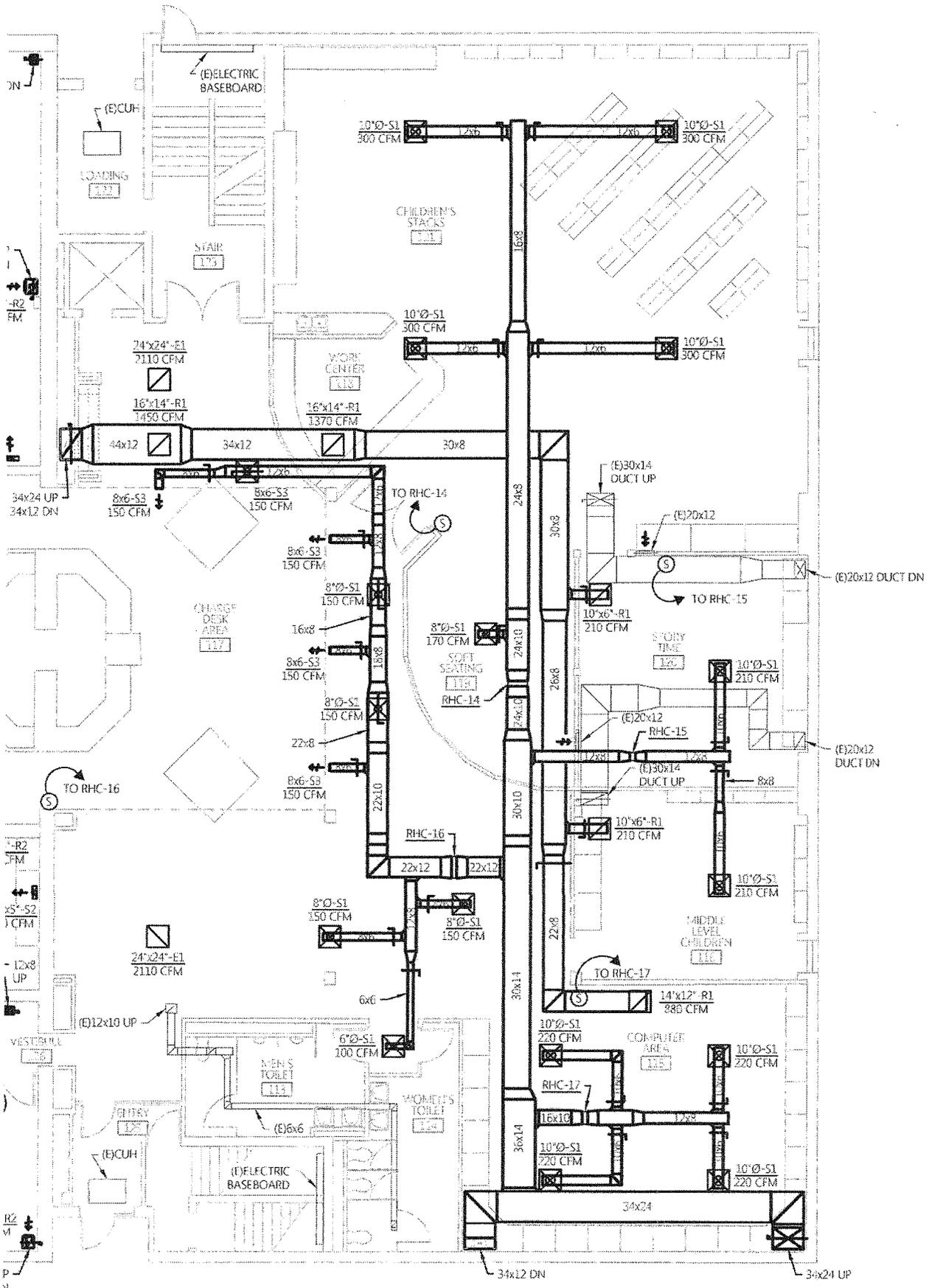
Brian Krueger, Senior Project Manager

(Printed name and title)

ELECTRIC CABINET UNIT HEATER SCHEDULE

UNIT TAG	LOCATION	MOUNTING ARRANGEMENT	KW	SUPPLY CFM	ELECTRICAL			BASIS OF DESIGN MANUFACTURER	BASIS OF DESIGN MODEL NUMBER	REMARKS
					VOLTS	PHASE	AMPS			
CUH-1	ENTRY 125	HORIZONTAL	2		208	1		TRANE	FORCE-FLO	①
① WITH BOTTOM STAMPED INLET AND OUTLET										





4/25/2017

CSI	Item Description	Takeoff Qty	Unit	Labor Hours	Mat Total	Equip Total	Subs Total
	Demo existing CUH	1.0	EA	5.00	1,800.00		
	Install New CUH	1.0	EA	5.00			
	Siemens Controls	1.0					600
	Cost for Ductwork Revisions on all 3 floors	1.0					
	Foreman/ Superintendant	1.0	EA	2.00			
	Grand Total			12.00	1,800.00		600

LABOR RATE WORKSHEET

Flower Memorial Library HVAC Renovations

Time & Material

[] Field Order • Change Order

Contractor Name:	LAWMAN HEATING & COOLING, INC	Date:	4/5/2017
Address:	206 AMBROSE STREET	Project No.:	
	SACKETS HARBOR, NEW YORK 13685	CO/FO/T&M:	Add'l Work
Telephone No:	315/646-2919	County:	Jefferson

LABOR RATE BREAKDOWN (For T & M Only, Use a separate sheet for each Employee)	Trade:	Superintendent
{T&M Only} Item No. _____		
{T&M Only} Employee Name: _____		REGULAR PREMIUM TIME BASE RATE BASE RATE
{T&M Only} Soc. Sec. No. _____		

A. WAGE RATE PER HOUR	\$34.19	\$51.28
-----------------------	----------------	----------------

BENEFITS	* (* Identifies benefits paid) (directly to the Employee)	% per hour	\$ per hour	
Vacation & Holiday				
Health & Welfare				
Pension				
Annuity				
Education / Apprentice Training				
Supplemental Unemployment				
Security Fund				

B. TOTAL BENEFITS PER HOUR	\$20.61	\$20.61
----------------------------	----------------	----------------

PAYROLL TAXES AND INSURANCE		
F.I.C.A. / Social Security (Up to the Maximum required by law.)	.0765	%
Medicare		%
Federal Unemployment (Up to a Maximum of \$56.00 per Employee per year.)	.008	%
State Unemployment (Up to 1st \$8,500 of base salary paid per Employee per year.)	.091	%
Workman's Compensation Code: _____	.170	%
Disability	.001	%

C. TOTAL TAXES AND INSURANCE PER HOUR		
All benefits are paid directly to Employee.		
Only benefits identified by * above are paid directly to Employee.	\$34.19 times	34.65 % =
	\$11.85	\$17.77

D. TOTAL LABOR RATE (A + B + C) =	\$66.65	\$89.66
-------------------------------------	----------------	----------------

E. CONTRACTOR'S CERTIFICATION

I certify that the labor rates, insurance enumerations, labor fringe enumerations and expenses are correct and in accordance with actual and true cost incurred.

Signature

Andy Liendecker

Print Title

Project Manager

Sworn before me

Notary Public

BDC 125 (Sep06) (Combines BDC 125 and BDC 273)

LABOR RATE WORKSHEET

Flower Memorial Library HVAC Renovations

Time & Material

[] Field Order • Change Order

Contractor Name:	LAWMAN HEATING & COOLING, INC	Date:	4/5/2017
Address:	206 AMBROSE STREET	Project No.:	
	SACKETS HARBOR, NEW YORK 13665	CO/FO/T&M:	Add'l Work
Telephone No:	315/646-2919	County:	Jefferson

LABOR RATE BREAKDOWN (For T & M Only, Use a separate sheet for each Employee)	Trade:	Sheetmetal
{T&M Only} Item No. _____		
{T&M Only} Employee Name: _____		REGULAR BASE RATE
{T&M Only} Soc. Sec. No. _____		PREMIUM TIME BASE RATE

A. WAGE RATE PER HOUR	\$27.46	\$41.19
-----------------------	---------	---------

BENEFITS <small>(* Identifies benefits paid directly to the Employee)</small>	*	% per hour	\$ per hour		
Vacation & Holiday					
Health & Welfare					
Pension					
Annuity					
Education / Apprentices Training					
Supplemental Unemployment					
Security Fund					

B. TOTAL BENEFITS PER HOUR	\$19.89	\$19.89
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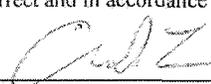
PAYROLL TAXES AND INSURANCE		
F.I.C.A. / Social Security <small>(Up to the Maximum required by law.)</small>	.0765	%
Medicare		%
Federal Unemployment <small>(Up to a Maximum of \$56.00 per Employee per year.)</small>	.008	%
State Unemployment <small>(Up to 1st \$8,500 of base salary paid per Employee per year.)</small>	.091	%
Workman's Compensation Code: _____	.170	%
Disability	.001	%

C. TOTAL TAXES AND INSURANCE PER HOUR	\$9.51	\$14.27
<small>All benefits are paid directly to Employee. Only benefits identified by * above are paid directly to Employee.</small>		
\$27.46 times	34.65	% =

D. TOTAL LABOR RATE (A + B + C) =	\$56.86	\$75.35
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E. CONTRACTOR'S CERTIFICATION

I certify that the labor rates, insurance enumerations, labor fringe enumerations and expenses are correct and in accordance with actual and true cost incurred.



Signature

 Andy Liendecker
Print Name

 Project Manager
Print Title

Sworn before me

Notary Public

SIEMENS

Siemens Industry, Inc.
Building Automation

Quotation:

Page 1 of 2

Address : 26 Market St

City State Zip : Potsdam NY 13676

FAX Number :

Contact : Brian Martin

Contact Phone : 315-430-2446

Email : brian.martin@siemens.com

Flower Memorial Library - CUH Attention: Andy Liendecker Quote ID:7c25fc033-435c-412a-abbb-2c93693fc19e	Date	4-4-17
	Payment Terms	Net 30
	Base Job Name	Flower Memorial Library
	Base Job Number	440P-212520

Statement of Work:

Siemens proposes to provide labor and material for replacement of existing CUH.

This work includes:

- Disconnect existing controls from CUH before removal.
- Reconnect controls after new CUH is installed and verify operation.
-

Please note that this assumes that the rewiring of the unit will not void warranty. Siemens will not be responsible for any warranty issues related to mechanical equipment.

Please note that Siemens will require the assistance of factory startup rep to identify and label factory wiring and relays.

--

System Quote Price : \$600.00

Applicable sales taxes are not included in this proposal. Sales tax will be billed at the time of invoicing as required by state law.

Siemens standard Terms & Conditions are applicable to this proposal. If this proposal addresses a Change Order to an existing project, the Terms & Conditions in effect for the existing Contract & Project (referenced above) are applicable to work covered by this proposal. Any modifications to either Terms & Conditions format, or project related circumstances effecting Siemens ability to efficiently execute this work as planned, that become evident after the date of this proposal, will cause us to re-evaluate our costs of implementation. If that exercise indicates a cost change to Siemens, we reserve the right to re-quote this work to reflect the impact of those altered job conditions.

CUSTOMER REPRESENTATIVE

ACCEPTED:

Siemens Industry, Inc.

By: _____
Name: _____
Title: _____
Date: _____

By: _____
Name: _____
Title: _____
Date: _____

SiemenQuotation Expires on 5-23-17

Andy Liendecker

From: Ken Light <klight@mcsmms.com>
Sent: Friday, March 31, 2017 11:45 AM
To: Andy Liendecker
Subject: RE: FML Alternate Duct Layout

\$1,800.00

From: Andy Liendecker [mailto:andy@lawmanhc.com]
Sent: Thursday, March 30, 2017 3:12 PM
To: Ken Light <klight@mcsmms.com>
Subject: RE: FML Alternate Duct Layout

Ken, I need a price for this.

Andrew P. Liendecker LEED GA
Senior HVAC Project Manager
Lawman Heating and Cooling
PH: 315-646-2919
Fax: 315-646-2920
Cell: 315-955-3609

From: Andy Liendecker [mailto:andy@lawmanhc.com]
Sent: Wednesday, March 29, 2017 2:46 PM
To: Ken Light <klight@mcsmms.com>
Subject: FW: FML Alternate Duct Layout

Go ahead and give me a price

Andrew P. Liendecker LEED GA
Senior HVAC Project Manager
Lawman Heating and Cooling
PH: 315-646-2919
Fax: 315-646-2920
Cell: 315-955-3609

From: Andy Liendecker [mailto:andy@lawmanhc.com]
Sent: Wednesday, March 29, 2017 10:28 AM
To: 'Ken Light' <klight@mcsmms.com>
Subject: RE: FML Alternate Duct Layout

Looks like the ceiling mount version will.

Andrew P. Liendecker LEED GA
Senior HVAC Project Manager
Lawman Heating and Cooling
PH: 315-646-2919
Fax: 315-646-2920

LAWMAN HEATING & COOLING, INC.

HVAC, PLUMBING, ELECTRICAL CONTRACTING

206 AMBROSE STREET P.O. BOX 599 SACKETS HARBOR, NY 13685

(315) 646-2919 FAX (315) 646-2920

Aubertine & Currier Architects, Inc.
522 Bradley Street
Watertown, New York 13601

Attn:

Re: Flower Memorial Library HVAC Renovations
Watertown, NY
LHC #02-590 - HVAC

Gentlemen:

We present for your consideration our price quote for all materials, labor and equipment to perform the following additional work:

PR #003

Item #1 – Remove existing cast iron sanitary line and replace with new schedule 40 PVC

Materials:

Pipe, fittings, etc.	1,245.00
Pipefitter	
40 hrs. @ 63.95	<u>2,558.00</u>
Subtotal	3,803.00
15% OH & P	<u>570.45</u>
Total	\$ 4,373.45

Item #2 – Remove abandoned sections cast iron pipe and connect to existing

Pipefitter

4 hrs. @ 63.95	255.80
15% OH & P	<u>38.37</u>
Total	\$ 294.17

Item #3 – Repitch existing sanitary line

Pipefitter

16 hrs. @ 63.95	1,023.20
15% OH & P	<u>153.48</u>
Total	\$ 1,176.68

If you should have any further questions, please contact the undersigned.

Sincerely,

Lawman Heating & Cooling, Inc.

Andy Liendecker

Andy Liendecker
Project Manager

AL/rdr

Cc: Accounting / File

LABOR RATE WORKSHEET

Flower Memorial Library HVAC Renovations

Time & Material

Field Order

Change Order

Contractor Name:	<u>LAWMAN HEATING & COOLING, INC</u>	Date:	<u>4/28/2017</u>
Address:	<u>206 AMBROSE STREET</u>	Project No.:	_____
	<u>SACKETS HARBOR, NEW YORK 13685</u>	CO/FO/T&M:	<u>Add'l Work</u>
Telephone No:	<u>315/645-2919</u>	County:	<u>Jefferson</u>

LABOR RATE BREAKDOWN (For T & M Only. Use a separate sheet for each Employee)	Trade:	<u>Pipefitter</u>
{T&M Only} Item No. _____		
{T&M Only} Employee Name: _____		REGULAR BASE RATE
{T&M Only} Soc. Sec. No. _____		PREMIUM TIME BASE RATE

A. WAGE RATE PER HOUR	\$32.19	\$48.28
-----------------------	----------------	----------------

BENEFITS <small>(* Identifies benefits paid directly to the Employee)</small>	*	% per hour	\$ per hour	
Vacation & Holiday				
Health & Welfare				
Pension				
Annuity				
Education / Apprentice Training				
Supplemental Unemployment				
Security Fund				

B. TOTAL BENEFITS PER HOUR	\$20.61	\$20.61
----------------------------	----------------	----------------

PAYROLL TAXES AND INSURANCE			
F.I.C.A. / Social Security <small>(Up to the Maximum required by law.)</small>		.0765	%
Medicare			%
Federal Unemployment <small>(Up to a Maximum of \$50.00 per Employee per year.)</small>		.008	%
State Unemployment <small>(Up to the \$8,900 of base salary paid per Employee per year.)</small>		.091	%
Workman's Compensation Code: _____		.170	%
Disability		.001	%

C. TOTAL TAXES AND INSURANCE PER HOUR		
All benefits are paid directly to Employee.		
Only benefits identified by * above are paid directly to Employee.	<u>\$32.19</u> times	<u>34.65</u> %
	\$11.15	\$16.73

D. TOTAL LABOR RATE (A + B + C) =	\$63.95	\$85.62
-----------------------------------	----------------	----------------

E. CONTRACTOR'S CERTIFICATION

I certify that the labor rates, insurance enumerations, labor fringe enumerations and expenses are correct and in accordance with actual and true cost incurred.

Signature

Andy Liendecker
Project Manager

Sworn before me

Notary Public

ND 125 (Supp 06) (Combined) BDC 125 and BEC 273

AIA Document G709™ – 2001

Work Changes Proposal Request

PROJECT (Name and address):
 Flower Memorial Library HVAC
 Reno
 229 Washington Street
 Watertown, NY 13601

PROPOSAL REQUEST NUMBER: 005

OWNER:

ARCHITECT:

CONSULTANT:

CONTRACTOR:

FIELD:

OTHER:

DATE OF ISSUANCE: 2017-04-04

OWNER (Name and address):
 City of Watertown
 245 Washington St
 Watertown, NY 13601

CONTRACT FOR: Mechanical Construction

CONTRACT DATE:

FROM ARCHITECT (Name and address):
 Albertine and Corrier Architects,
 Engineers & Land Surveyors, PLLC
 322 Bradley Street
 Watertown, NY 13601

ARCHITECT'S PROJECT NUMBER:
 2016-090

TO CONTRACTOR (Name and address):
 Lawman Heating and Cooling
 206 Ambrose Street
 Sackets Harbor, NY 13685

Please submit an itemized proposal for changes in the Contract Sum and Contract Time for proposed modifications to the Contract Documents described herein. Within Three (3) days, the Contractor must submit this proposal or notify the Architect, in writing, of the date on which proposal submission is anticipated.

THIS IS NOT A CHANGE ORDER, A CONSTRUCTION CHANGE DIRECTIVE OR A DIRECTION TO PROCEED WITH THE WORK DESCRIBED IN THE PROPOSED MODIFICATIONS.

DESCRIPTION (Insert a written description of the Work)

Provide cost to:

1) Remove section of existing cast iron sanitary line above First Floor Men's Toilet 113 and replace with new schedule 40 PVC sanitary pipe with proper pitch for drainage. New pipe size to match existing sanitary pipe to be removed. Remove horizontal, above ceiling clean out in existing sanitary pipe. Core drill and provide in floor clean out on the second floor in corridor adjacent to toilet rooms. *material = \$1,245⁰⁰ Labor = 40 hrs*

2) Remove abandoned sections of cast iron pipe connected to existing ~84 FT sanitary line running North-South. *4 hrs*

3) Repitch existing ~84 FT sanitary line running North-South to allow proper 1/8" per foot pitch as required. *1/16 hrs*
 Contractor to verify required change in existing sanitary line.

Provide cost break down for all (3) items listed above including labor and material hours.

ATTACHMENTS (List attached documents that support this proposal)

REQUESTED BY THE ARCHITECT:



(Signature)

Brian Krueger, Senior Project Manager
(Printed name and title)

LAWMAN HEATING & COOLING, INC.

HVAC, PLUMBING, ELECTRICAL CONTRACTING

206 AMBROSE STREET P.O. BOX 599 SACKETS HARBOR, NY 13685
02 May 2017

(315) 646-2919 FAX (315) 646-2920

Aubertine & Currier Architects, Inc.
522 Bradley Street
Watertown, New York 13601

Attn: Brian Krueger

Re: Flower Memorial Library HVAC Renovations
Watertown, NY
LHC #02-590 - HVAC

Gentlemen:

We present for your consideration our price quote for all materials, labor and equipment to perform the following additional work:

PR #004

Item #1 – Remove section of existing domestic water piping in basement, etc.

Item #2 – Remove existing abandoned cast iron piping in basement, etc.

Materials:

Pipe, fittings, etc.	2,211.48
Foreman	
4 hrs. @ 66.65	266.60
Pipefitter	
56.4 hrs. @ 63.95	<u>3,606.78</u>
Subtotal	6,084.86
15% OH & P	<u>912.72</u>
Total	\$ 6,997.58

Subcontractor:

Siemens	2,050.00
5% OH & P	<u>102.50</u>
Total	\$ 2,152.50

Grand Total \$9,150.08

If you should have any further questions, please contact the undersigned.

Sincerely,

Lawman Heating & Cooling, Inc.

Andy Liendecker
Andy Liendecker
Project Manager

AL/rdr

Cc: Accounting / File

5/2/2017

Item CSI	Description	Takeoff Qty	Unit	Mat \$/Unit	Mat Waste	Mat Unit	Mat Conv	Mat Quantity	Mat Price	Mat Link	Mat Total	Mat Supplier
15107420	Pipe, copper, tubing, solder, 3/4" diameter, type L, inc	140.0	LF	3.51		LF		140.00	3.51		491.40	
15107420	Pipe, copper, tubing, solder, 1" diameter, type L, inclu	60.0	LF	5.10		LF		60.00	5.10		306.00	
15107420	Pipe, copper, tubing, solder, 2" diameter, type L, inclu	60.0	LF	14.05		LF		60.00	14.05		843.00	
15107470	PC607 3/4 Press x Press 90° Elbow	15.0	Each	2.25		Each		15.00	2.25		33.75	
15107470	PC607 1 Press x Press 90° Elbow	6.0	Each	4.50		Each		6.00	4.50		27.00	
15107470	PC607 2 Press x Press 90° Elbow	6.0	Each	24.90		Each		6.00	24.90		149.40	
15107470	PC611 3/4 Press Tee	2.0	Each	3.57		Each		2.00	3.57		7.14	
15107470	PC611 1 Press Tee	1.0	Each	6.45		Each		1.00	6.45		6.45	
15107470	PC611 1 x 3/4 x 1 Press Tee	1.0	Each	14.51		Each		1.00	14.51		14.51	
15107470	PC611 1 x 1 x 3/4 Press Tee	1.0	Each	9.57		Each		1.00	9.57		9.57	
15107470	PS58570NS 3/4 BV 2 PRESS STUB NIB-SEAL	6.0	Each	52.21		Each		6.00	52.21		313.26	
	Demo of existing Domestic pipe	1.0	Each	10.00				1.00	10.00		10.00	
Grand Total											2,211.48	

5/2/2017

Item CSI	Description	Takeoff Qty	Unit	Labor Mix	Labor Prod	Labor Prod Unit	Labor Hours
15107420	Pipe, copper, tubing, solder, 3/4" diameter, type L, incl	140.0	LF	Crew PLUM	0.1054	hour / LF	14.7
15107420	Pipe, copper, tubing, solder, 1" diameter, type L, inclu	60.0	LF	Crew PLUM	0.1178	hour / LF	7.1
15107420	Pipe, copper, tubing, solder, 2" diameter, type L, inclu	60.0	LF	Crew PLUM	0.1906	hour / LF	11.4
15107470	PC607 3/4 Press x Press 90° Elbow	15.0	Each	Crew PLUM	0.3440	hour / Each	5.2
15107470	PC607 1 Press x Press 90° Elbow	6.0	Each	Crew PLUM	0.3600	hour / Each	2.2
15107470	PC607 2 Press x Press 90° Elbow	6.0	Each	Crew PLUM	0.4600	hour / Each	2.8
15107470	PC611 3/4 Press Tee	2.0	Each	Crew PLUM	0.3500	hour / Each	0.7
15107470	PC611 1 Press Tee	1.0	Each	Crew PLUM	0.4000	hour / Each	0.4
15107470	PC611 1 x 3/4 x 1 Press Tee	1.0	Each	Crew PLUM	0.5000	hour / Each	0.5
15107470	PC611 1 x 1 x 3/4 Press Tee	1.0	Each	Crew PLUM	0.5000	hour / Each	0.5
15107470	PS58570NS 3/4 BV 2 PRESS STUB NIB-SEAL	6.0	Each	Crew PLUM	0.5000	hour / Each	3.0
	Demo of existing Domestic pipe	1.0	Each	Crew PLUM	8.0000	hour / Each	8.0
	Foremen / Supervision	1.0	Each	Crew PLUM	4.0000	hour / Each	4.0
	Grand Total						60.4

LABOR RATE WORKSHEET

Flower Memorial Library HVAC Renovations

Time & Material

Field Order

Change Order

Contractor Name:	LAWMAN HEATING & COOLING, INC	Date:	5/2/2017
Address:	206 AMBROSE STREET	Project No.:	
	SACKETS HARBOR, NEW YORK 13685	CO/FO/T&M:	Add'l Work
Telephone No:	315/646-2919	County:	Jefferson

LABOR RATE BREAKDOWN (For T & M Only, Use a separate sheet for each Employee)	Trade:	Superintendent
{T&M Only} Item No. _____		
{T&M Only} Employee Name: _____		REGULAR BASE RATE
{T&M Only} Soc. Sec. No. _____		PREMIUM TIME BASE RATE

A. WAGE RATE PER HOUR	\$34.19	\$51.28
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BENEFITS <small>(* Identifies benefits paid) (directly to the Employee)</small>	*	% per hour	\$ per hour	
Vacation & Holiday				
Health & Welfare				
Pension				
Annuity				
Education / Apprentice Training				
Supplemental Unemployment				
Security Fund				

B. TOTAL BENEFITS PER HOUR	\$20.61	\$20.61
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PAYROLL TAXES AND INSURANCE		
F.I.C.A. / Social Security <small>(Up to the Maximum required by law)</small>	.0765	%
Medicare		%
Federal Unemployment <small>(Up to a Maximum of \$56.00 per Employee per year)</small>	.008	%
State Unemployment <small>(Up to 1st, \$8,590 of base salary paid per Employee per year.)</small>	.091	%
Workman's Compensation Code: _____	.170	%
Disability	.001	%

C. TOTAL TAXES AND INSURANCE PER HOUR		
All benefits are paid directly to Employee.		
Only benefits identified by * above are paid directly to Employee.	\$34.19 times	34.65 % =
	\$11.85	\$17.77

D. TOTAL LABOR RATE (A + B + C) =	\$66.65	\$89.66
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E. CONTRACTOR'S CERTIFICATION

I certify that the labor rates, insurance enumerations, labor fringe enumerations and expenses are correct and in accordance with actual and true cost incurred.

Sworn before me

Signature: _____
 Andy Liendecker

Project Manager _____
Print Title

Notary Public

BDC 125 (Sept96) (Combines BDC 125 and BDC 273)

LABOR RATE WORKSHEET

Flower Memorial Library HVAC Renovations

Time & Material

Field Order Change Order

Contractor Name:	LAWMAN HEATING & COOLING, INC	Date:	5/2/2017
Address:	206 AMBROSE STREET	Project No.:	
	SACKETS HARBOR, NEW YORK 13685	CO/FO/T&M:	Add'l Work
Telephone No:	315/646-2919	County:	Jefferson

LABOR RATE BREAKDOWN: (For T & M Only, Use a separate sheet for each Employee)	Trade:	Pipefitter
{T&M Only} Item No. _____		
{T&M Only} Employee Name: _____	REGULAR	PREMIUM TIME
{T&M Only} Soc. Sec. No. _____	BASE RATE	BASE RATE

A. WAGE RATE PER HOUR	\$32.19	\$48.28
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BENEFITS <small>(* Identifies benefits paid) (directly to the Employee)</small>	*	% per hour	\$ per hour	
Vacation & Holiday				
Health & Welfare				
Pension				
Annuity				
Education / Apprentice Training				
Supplemental Unemployment				
Security Fund				

B. TOTAL BENEFITS PER HOUR	\$20.61	\$20.61
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PAYROLL TAXES AND INSURANCE			
F.I.C.A. / Social Security <small>(Up to the Maximum required by law.)</small>		.0765	%
Medicare			
Federal Unemployment <small>(Up to a Maximum of \$56.09 per Employee per year.)</small>		.008	%
State Unemployment <small>(Up to 1st, \$8,500 of base salary paid per Employee per year.)</small>		.091	%
Workman's Compensation Code: _____		.170	%
Disability		.001	%

C. TOTAL TAXES AND INSURANCE PER HOUR		
All benefits are paid directly to Employee.		
Only benefits identified by * above are paid directly to Employee.	\$32.19	times 34.65 % =
	\$11.15	\$16.73

D. TOTAL LABOR RATE (A + B + C) =	\$63.95	\$85.62
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E. CONTRACTOR'S CERTIFICATION

I certify that the labor rates, insurance enumerations, labor fringe enumerations and expenses are correct and in accordance with actual and true cost incurred.

Signature
Andy Liendecker

Project Manager

Sworn before me

Notary Public

BDC 125 (Sep196) (Combines BDC 125 and BDC 275)

5/2/2017

Item CSI Description	Takeoff Qty	Unit	Subs Prod	Subs Prod Unit	Subs Hours	Subs \$/Unit	Subs Total	Subs Name	ITB Code
Siemens	1.0					2,050.00	2,050.00		
Grand Total							2,050.00		

AIA Document G709™ – 2001

Work Changes Proposal Request

PROJECT (Name and address):
Flower Memorial Library HVAC
Reno
229 Washington Street
Watertown, NY 13601

PROPOSAL REQUEST NUMBER: 004

OWNER:

ARCHITECT:

DATE OF ISSUANCE: 04/25/2017

CONSULTANT:

CONTRACTOR:

OWNER (Name and address):
City of Watertown
245 Washington St
Watertown, NY 13601

CONTRACT FOR: Mechanical Construction

FIELD:

CONTRACT DATE: 02/17/2017

OTHER:

FROM ARCHITECT (Name and address):
Aubertine and Currier Architects,
Engineers & Land Surveyors, PLLC
522 Bradley Street
Watertown, NY 13601

ARCHITECT'S PROJECT NUMBER:
2016-090

TO CONTRACTOR (Name and address):
Lawman Heating and Cooling
206 Ambrose Street
Sackets Harbor, NY 13685

Please submit an itemized proposal for changes in the Contract Sum and Contract Time for proposed modifications to the Contract Documents described herein. Within Three (3) days, the Contractor must submit this proposal or notify the Architect, in writing, of the date on which proposal submission is anticipated.

THIS IS NOT A CHANGE ORDER, A CONSTRUCTION CHANGE DIRECTIVE OR A DIRECTION TO PROCEED WITH THE WORK DESCRIBED IN THE PROPOSED MODIFICATIONS.

DESCRIPTION (Insert a written description of the Work):

1) Remove section of existing domestic water piping in basement from water entrance/meter in room Mechanical 001 to exterior walls of Storage room as shown on attached sketch. Remove branch piping where needed in basement rooms/corridor area associated with main lines to accommodate new ductwork installation. Verify sizes of existing lines in field. New domestic water pipe (type L copper tube) routing to accommodate new ductwork installation and shall be sized based on the attached new work sketch. New piping to reconnect to existing fixtures/existing pipe at locations shown on attached sketch. New valves to be installed at same location of existing.

2) Remove existing abandoned cast iron steam piping in basement storage room ceilings (old bathroom locations) next to stairs to accommodate installation of new ductwork.

ATTACHMENTS (List attached documents that support description):

Basement Demolition Sketch
Basement New Work Sketch

REQUESTED BY THE ARCHITECT:

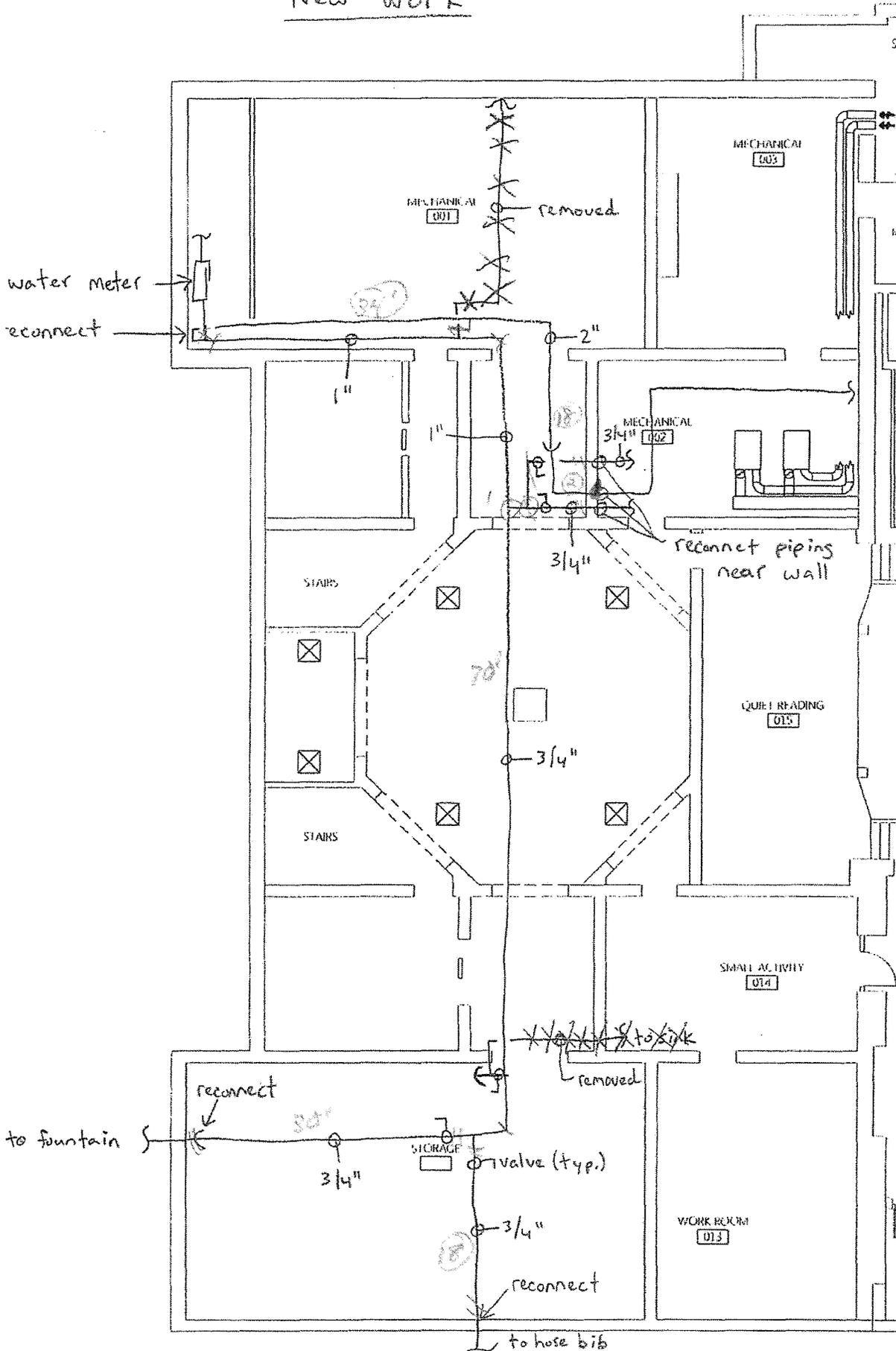


(Signature)

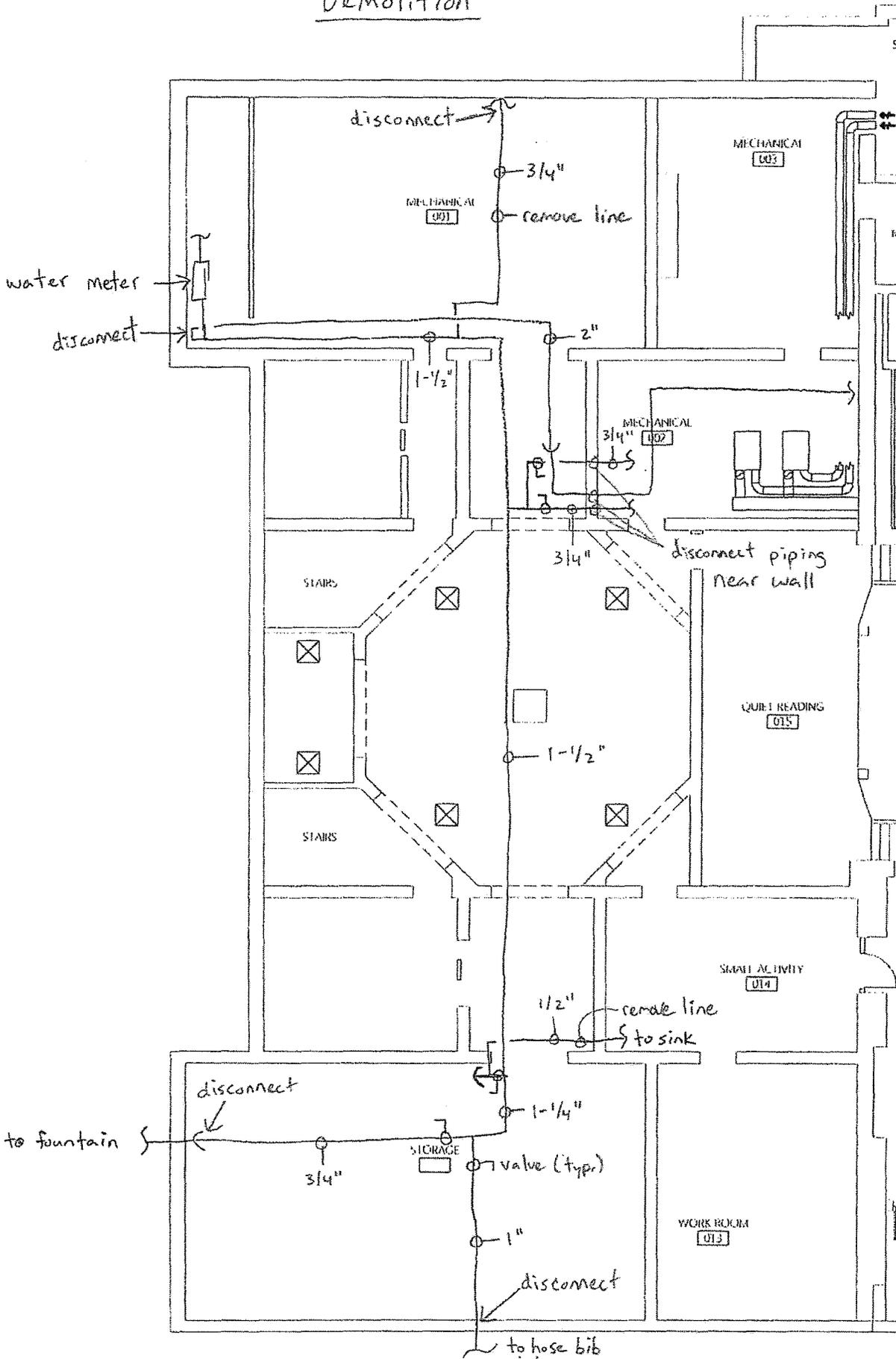
Brian Krueger, Senior Project Manager

(Printed name and title)

New Work



Demolition



CITY OF WATERTOWN, NEW YORK

FLOWER MEMORIAL LIBRARY HVAC RENOVATION

REQUEST FOR INFORMATION

**Send RFI to Brian Krueger, Clerk of the Works, by email, fax, or mail.

Phone: (315) 782-2005 Fax: (315) 782-1472

Email: bmk@aubertinecurrier.com

Contact Name: Andrew Liendecker	RFI #:	003
Contractor: Lawman Heating and Cooling	Date:	03/13/2017
Address:	Phone:	315-646-2919
206 Ambrose Street	Fax:	315-646-2920
Sackets Harbor, NY 13685	Email:	Andy@lawmanhc.com

Specification No.: 23 3700	Page No.:
Plan Sheet No.:	Detail:

REQUEST: Specifications call for Type S2 grilles to be Price Model 520D, which we have submitted. We are concerned that this style grill will not hold up well under floor traffic as these are typically used in a wall or hard ceiling.

Proposed Solution (if applicable): See attachment for proposed floor style grill and grill schedule. The added cost for these will be +/- \$1000.

By: _____ **Signature:** _____

RESPONSE:

By: _____ **Signature:** _____

After reviewing the response, does the contractor anticipate:

That a change order will be required?

Yes

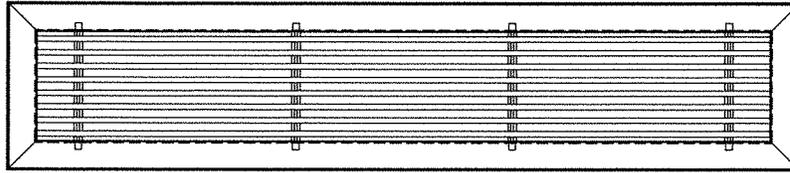
No

That there will be an increase in the cost of the project?

Yes

No

LBPH - LINEAR BAR GRILLES (PRESSED CORE)



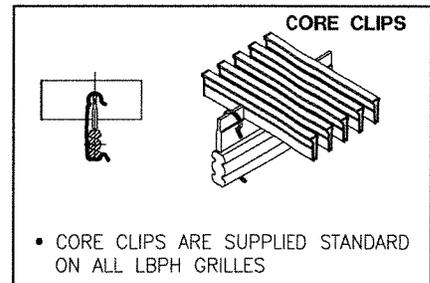
CORE STYLES

1/4" SPACING	1/2" SPACING	7/16" SPACING PENCIL PROOF
<input type="checkbox"/> 15A 3/32"(2) BARS <p>0° DEFLECTION</p>	<input type="checkbox"/> 15B 3/32"(2) BARS <p>0° DEFLECTION</p>	<input type="checkbox"/> 25C 3/16"(5) BARS <p>0° DEFLECTION</p>
<input type="checkbox"/> 16A 1/8"(3) BARS <p>15° DEFLECTION</p>	<input type="checkbox"/> 16B 1/8"(3) BARS <p>15° DEFLECTION</p>	<input type="checkbox"/> 26C 3/16"(5) BARS <p>15° DEFLECTION</p>
		<input type="checkbox"/> 27B 3/16"(5) BARS <p>30° DEFLECTION</p>
		<input type="checkbox"/> 27C 3/16"(5) BARS <p>30° DEFLECTION</p>

NOTES:

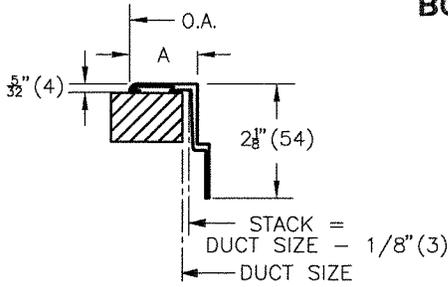
- EXTRUDED ALUMINUM CONSTRUCTION.
- B12 WHITE (STANDARD)
(OPTIONAL FINISHES AVAILABLE)
- BARS ARE FIXED AND PARALLEL TO LONG DIMENSION.
- MAXIMUM LENGTH ONE PIECE CONSTRUCTION = 72" (1829).
- 1 1/2" (38) MINIMUM WIDTH FOR FRAMES 750, 1000, 1000S, 1250 & CORE ONLY.
- 2" (51) MINIMUM WIDTH FOR FRAMES 125, 187 & CPF.
- SECTIONS CAN BE JOINED FOR CONTINUOUS APPEARANCE.
- SCREW MOUNTING HOLES PER FACTORY STANDARD.
- FACTORY TOLERANCE: ± 1/32" (1) PER GRILLE SECTION.
- UNITS WIDER THAN 12" (305) ARE NOT RECOMMENDED FOR FLOOR APPLICATIONS. IF USED, ADDITIONAL STRUCTURAL SUPPORT MUST BE DESIGNED, SUPPLIED AND INSTALLED BY OTHERS.
- UNITS WIDER THAN 24" (610) ARE SUPPLIED IN MULTIPLE SECTIONS WITH MOUNTING CHANNEL(S).
- REMOVABLE CORE.
- CORE STYLES 15B, 16B, 25B, 26B, AND 27B NOT FOR FLOOR APPLICATIONS.
- CORE ONLY REQUIRES ADDITIONAL SUPPORT BY OTHERS.

ALL METRIC DIMENSIONS () ARE SOFT CONVERTED. IMPERIAL DIMENSIONS ARE CONVERTED TO METRIC AND ROUNDED TO THE NEAREST MILLIMETER.

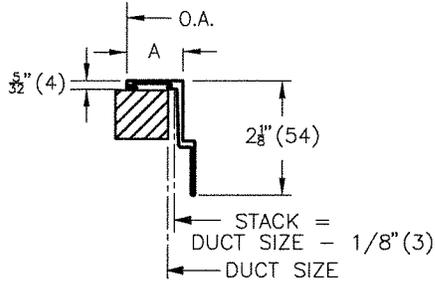


PROJECT:		PRICE [®]	
ENGINEER:		<i>MG</i>	LBPH HEAVY DUTY LINEAR BAR GRILLES PRESSED CORE
CUSTOMER:		210582	
SUBMITTAL DATE:	SPEC. SYMBOL:	2014/12/11	

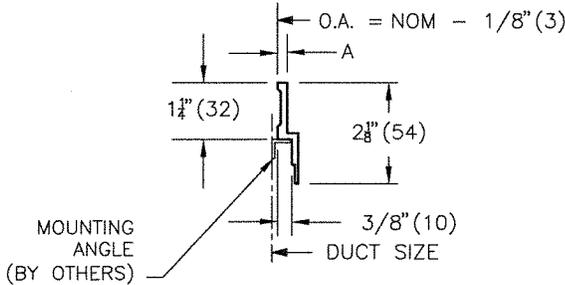
BORDER OPTIONS



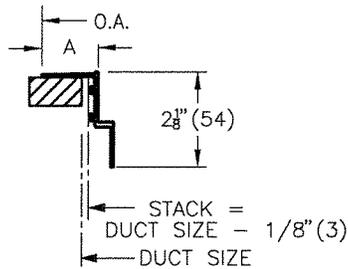
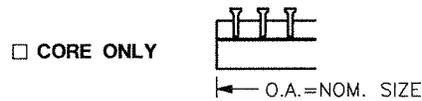
BORDER STYLE	BORDER WIDTH (A)	OVERALL (O.A.)
<input type="checkbox"/> 1250	1 1/4" (32)	D + 2 1/8" (54)
<input checked="" type="checkbox"/> 1000	1" (25)	D + 1 5/8" (41)
<input type="checkbox"/> 750	3/4" (19)	D + 1 1/8" (29)



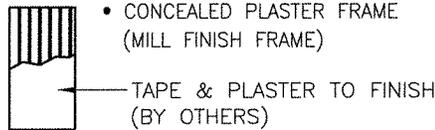
BORDER STYLE	BORDER WIDTH (A)	OVERALL (O.A.)
<input type="checkbox"/> 1000S	1" (25)	D + 1 5/8" (41)



BORDER STYLE	BORDER WIDTH (A)	OVERALL (O.A.)
<input type="checkbox"/> 125	1/8" (3)	D - 1/8" (3)
<input type="checkbox"/> 187	3/16" (5)	D - 1/8" (3)
<input type="checkbox"/> CORE ONLY	N/A	D

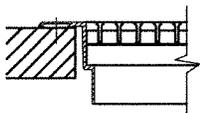


BORDER STYLE	BORDER WIDTH (A)	OVERALL (O.A.)
<input type="checkbox"/> CPF	1 1/4" (32)	D + 2" (51)



FASTENING

A - COUNTERSUNK SCREW

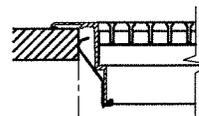


- FOR CEILING, WALL, & SILL APPLICATIONS AVAILABLE WITH BORDERS 1000, 1250 & CPF

H - STRAIGHT HOLES

AVAILABLE ON 750 FRAME.

B - SPRING CLIP



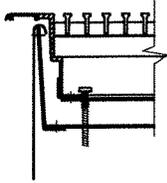
- FOR SILL APPLICATIONS ONLY, NOT TO BE USED FOR CEILING OR WALL INSTALLATION.
- NOT AVAILABLE FOR 125, 187 & CPF BORDER STYLES

ALL METRIC DIMENSIONS () ARE SOFT CONVERTED. IMPERIAL DIMENSIONS ARE CONVERTED TO METRIC AND ROUNDED TO THE NEAREST MILLIMETER.

PROJECT:		PRICE [®]	
ENGINEER:		<i>MG</i>	LBPH HEAVY DUTY LINEAR BAR GRILLES PRESSED CORE
CUSTOMER:		210582	
SUBMITTAL DATE:	SPEC. SYMBOL:	2014/12/11	

FASTENING

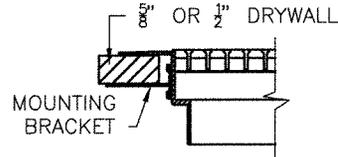
C - CONCEALED MTG BRKT



- FOR CEILING, SIDEWALL, FLOOR OR SILL APPLICATIONS. WITH CORE STYLES 15A, 16A, 26C, OR 27C REMOVE CORE FOR ACCESS TO CONCEALED BRACKET
- MAXIMUM WIDTH - FLOOR 12" (305) OR SILL 18" (457)

MP-DR

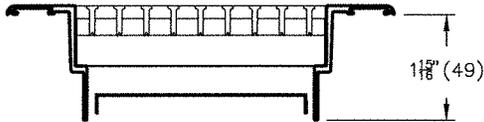
REVERSIBLE MOUNTING BRACKET



- FOR DRYWALL APPLICATION. AVAILABLE ONLY WITH CPF BORDERS

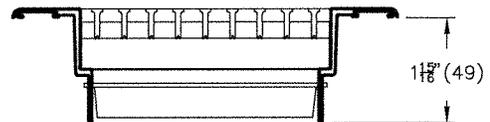
ACCESSORIES

BOS - BLANK OFF SECTIONS



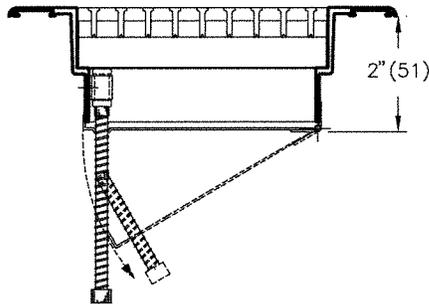
- INACTIVE SECTION c/w BLANK OFF STRIPS

DV1 - DIRECTIONAL VANES



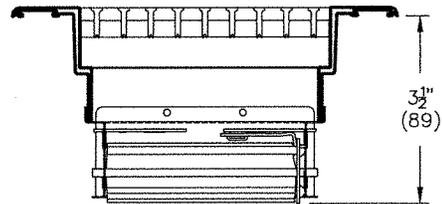
- DIRECTIONAL VANES SPACED 1" (25) o/c.
- MIN. NOM. WIDTH 2" (51)
- MAX. NOM. WIDTH 12" (305)

VCS2



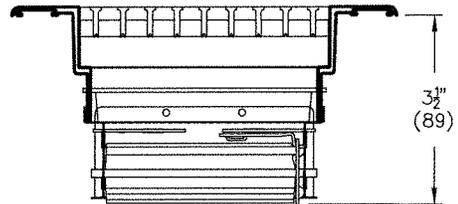
- VCS2 FLAP DAMPER SCREW DRIVER OPERATOR ON 3" (76) THROUGH 8" (203) NOM. WIDTHS. FRICTION HINGE ON 1 1/2" (38) THROUGH 2 1/2" (64) NOM. WIDTHS.

VCS3



- VCS3 OPPOSED BLADE DAMPER
- MIN. DAMPER WIDTH = 2 1/2" (64)
- MIN. WIDTH = 3" (76) FOR 125, 187 & CPF FRAMES

DV1/VCS3



- DV DIRECTIONAL VANES AND VCS3 OPPOSED BLADE DAMPER
- MIN. DAMPER WIDTH = 2 1/2" (64)
- MIN. WIDTH = 3" (76) FOR 125, 187 & CPF FRAMES

ALL METRIC DIMENSIONS () ARE SOFT CONVERTED. IMPERIAL DIMENSIONS ARE CONVERTED TO METRIC AND ROUNDED TO THE NEAREST MILLIMETER.

PROJECT:		PRICE [®]	
ENGINEER:		<i>MG</i> 210582	LBPH HEAVY DUTY LINEAR BAR GRILLES PRESSED CORE
CUSTOMER:			
SUBMITTAL DATE:	SPEC. SYMBOL:	2014/12/11	



6412 Baird Avenue • Syracuse, NY 13206 • Phone (315) 471-0105

To: **LAWMAN**
Attn: **Andy Liendecker**

Date: **1/26/2017**
Quotation valid for 60 days
Salesperson: **Jim Walker**
Estimator: **Elizabeth DeSacia**

Job: **17-0039 - FLOWER MEMORIAL LIBRARY**
WATERTOWN

Addendum: **0**

Base Bid

126 **PRICE: REGISTER, DIFFUSERS AND GRILLES (S1,S2,R1,R2,E1) WITH WHITE FINISH, DAMPERS ON REGISTERS ONLY, EXCLUDES PLASTER FRAMES AND SQUARE TO ROUNDS**

ADD \$200 FOR ANTIQUE BRASS FINISH ON 12 REGISTERS IN EXSTING BENCHES

48 **NAILOR: FIRE DAMPERS STATIC TYPE B, 12" 20GA SLEEVE, RETAINING ANGLES, FUSIBLE LINK**

1 **AWV: LOUVER (LV-1) WITH KYNAR COLOR TO MATCH AND BACKDRAFT DAMPER**

2 **TWIN CITY FAN: GRAVITY VENT(SRV-1-2) WITH BIRDSCREEN, BACKDRAFT DAMPER AND 18" INSUALTED CURB**

Net Lot... \$8,390.00

3 **NAILOR: CONTROL DAMPER LOW LEAK V BLADE, 120V ACTUATOR, SIDE MOUNTING PLATE**

Net Lot... \$610.00

Add to change 520D's mounted in the floor to LBPH linear bar grilles for floor mount.....Net Add \$ 805.00

Room schedule for the areas affected attached.

4-25-17

Add to change Lines 16-20, 22-26, 40-49 and 51-53 to LBPH bar grilles with custom color

Add to change line 32 from double deflection registers to 48" long x 3 slot with insulated plenums

.....Net Add \$ 2,640.00

THANK YOU FOR YOUR BUSINESS

TERMS: Net 30; Sales Tax is NOT included;

Unless otherwise indicated all quotations are freight allowed F.O.B. Factory.

Product warranties are for parts ONLY unless noted otherwise. Standard ship

LAWMAN HEATING & COOLING, INC.

HVAC, PLUMBING, ELECTRICAL CONTRACTING

206 AMBROSE STREET P.O. BOX 599 SACKETTS HARBOR, NY 13685

(315) 646-2919 FAX (315) 646-2920

Date: February 17, 2017

Attn: Brian M. Krueger

We would like to propose installing HUM-2 in the basement vs. the roof as well as change the type of Humidifiers from the resistive type specified to electrode type.

By installing HUM-2 in the basement will have the following benefits to the owner:

- No roof penetration needed reducing potential for future leaks.
- Credit for less roofing and curb installation (General Contractor)
- Credit for no #3/0 wire from basement to roof. (Electrician)
- Less time on roof for Maintenance.

By switching to electrode steam humidifiers with disposable cylinders we can lower costs further. The reduced cleaning maintenance labor required by the resistive steam humidifiers specified will more than offset the replacement cylinder costs of the electrode steam version presented here. (Replacement cylinders will be about \$160 ea.)

Also, the drain coolers specified on the design are not required with electrode humidifiers as they include internal drain water cooling to 140F to comply with plumbing code.

The electrode steam humidifier capacity breaks are slightly different than the resistive units:

HUM-1

Specified as 44.76 lb. /hr., 44.4 A at 208/3

Proposed: Nortec EL-050, rated 55 #/hr., 51.9A at 208/3

Electrical impact: none, since electrical is 60A breaker with (3) #6 conductors rated at 75A

HUM-2

Specified as 109.5 lb. /hr., 133.2A at 208/3

Proposed: Nortec EL-150, rated 165#/hr., 155A

Electrical impact: circuit size is oversized with (3) #3/0 rated 225A. Breaker may need to jump one size from 175A specified

By installing HUM-2 in the basement there will be (2) 1-1/2" insulated copper pipes routed up through the existing chase, which does offset set some of the equipment savings.

If this value engineering is accepted the savings to the owner from the HVAC contract will be \$3300.00

We have attached cut sheets for the electrode humidifiers for your reference, if you have any technical questions concerning the electrode steam vs. resistive please contact:

Steve Brandt, P.E.
D.F.Brandt, Inc.
8152 Kirkville Road
Kirkville, NY 13082
PH (315)656-3884
FAX (315)656-8078
www.dfbrandt.com

All other questions can be directed to the undersigned.

Sincerely,

Lawman Heating & Cooling, Inc.



Andrew Liendecker
Senior HVAC Project Manager

Submittal Package

Project Name: Watertown Library EL Option

Project Number:

Preparation Date: 2017/02/14

Locally Represented By: D.F.Brandt, Inc.
8152 Kirkville Road
Kirkville
New York
13082

Salesperson: Steve Brandt

1.0 Bill of Materials

Zone Tag	Item	Part Number	Quantity
HUM-1	EL 050/208/3	EL Series	1
HUM-2	EL 150/208/3	EL Series	1

2.0 Product Browser Parts

2.1 Humidifiers

EL Series Electrode Steam Humidifiers

An electrode humidifier that produces sterile steam at atmospheric pressure from potable water. To generate steam an electrical current is passed through the dissolved minerals in potable water. The result; the water heats itself offering the highest energy efficiency of any steam humidifier. Utilizing the patented P+I Auto-Adaptive Control, the system automatically adjusts to incoming potable water conditions optimizing water usage. In turn, energy is conserved due to low hot water drain rates.

Minerals removed during steam generation process accumulate in a disposable cylinder. Replacing the cylinder is quick, easy and does not require any scraping or descaling chemicals. The intelligent control system maintains steam generation efficiency until the end of the cylinder life. Replacing the cylinder returns the humidifier to a like new condition.

Steam produced by the EL can be introduced into a duct or air handler using a short absorption manifold (SAM-e) or single tube distributor (ASD, BSD, CSD) with the EL DUCT model. For direct space applications steam can be distributed by using a built-on blower pack (EL SPACE model) or a remote mounted blower pack. A remote mounted blower pack may be powered by the humidifier itself (EL RMBP model).

FEATURES

- Touchscreen controller with intuitive color user interface.
- Standard BMS communication protocols BACnet IP, BACnet MSTP (Slave) and Modbus. Lonworks and BACnet BTL options available.
- Standard embedded web interface for easy configuration and remote monitoring from any computer with a web browser.
- USB interface for new software/feature upload and download of operational information.
- Modulating steam output of 20%-100% from any control signal type: Single or dual analog demand, single or dual analog relative humidity sensor input, or digital control from a BMS.
- Internal Drain Water tempering to 140°F (60°C) or less and 1 inch internal air gap for backflow prevention to meet plumbing codes.

- Auto-Adaptive Control for accurate steam output ($\pm 5\%$ RH), efficient water use and peak energy efficiency until end of cylinder life.
- Packaged unit in durable, corrosion resistant, powder coated cabinet with all service connections conveniently located for easy installation.
- Zero right and left hand side clearance requirement for minimal installation footprint.
- Disposable cylinder for easy and economical maintenance.
- Two year limited warranty or 30 months from ship date. Extended warranty available.
- UL/CUL Listed.

OSHPD (seismic) certification of the EL

Note that the whole EL product line is certified for the seismic regulations covered by OSHPD. This includes successful testing to ICC-ES AC156, valid up to an S_{DS} (g) value of 2.77, and a z/h value of 1. In order for the OSHPD certification to be valid, the EL humidifiers must be mounted as per the details in the Installation Manual (2582302).

Documentation can be found online, available to the public at <http://www.oshpd.ca.gov/fdd/Pre-Approval/OSP-0225-10.pdf>

For more information, please contact the factory at 1.866.NORTEC1.

Data Sheet

Product Name: EL 050/208/3

Product Number: EL Series



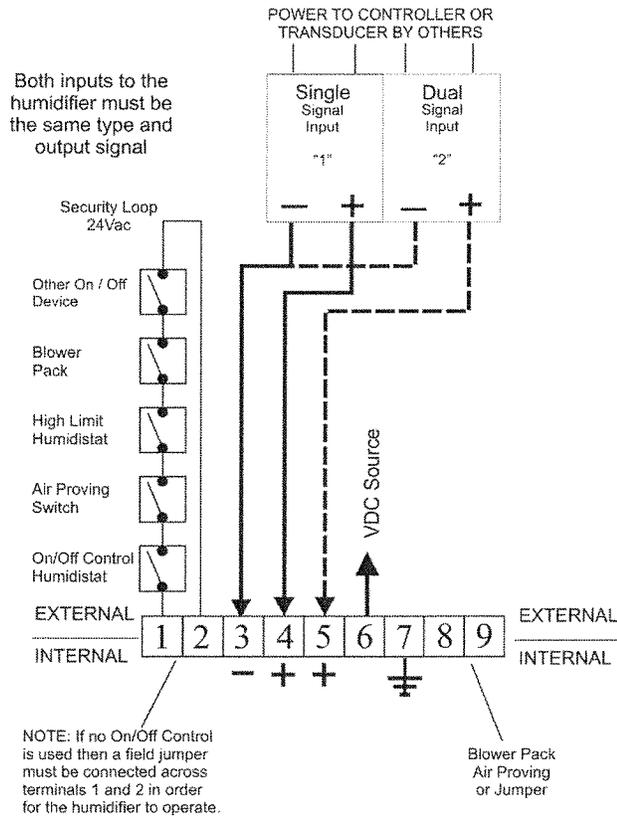
Performance		Dimensions	
Nominal Capacity	50.00 lbs/h	Height	30.70 in.
Rated Capacity	55.00 lbs/h	Width	20.90 in.
Output Range Minimum	10.00 lbs/h	Depth	15.80 in.
Rated Power	18.70 kW	Net Weight	85.0 lbs
Power Circuit	208/3/60 V/(phase)/Hz	Full Weight	150.0 lbs
Rated Current	51.90 A	Front Clearance	36.00 in.
Maximum Current	70.00 A	Left Clearance	0.00 in.
Min. Water Pressure	30.00 psig	Right Clearance	0.00 in.
Max. Water Pressure	80.00 psig	Ceiling Clearance	12.00 in.
Controlled Circuits	1	Floor Clearance	24.00 in.
Cylinders	1	Supply Water O D	0.5 in.
Fill Rate	0.50 GPM	Drain Water O D	1 in.
Drain Rate	2.00 GPM	Steam Outlet O D	1.75 in.
		Qty Steam Outlets	1
		Condensate Return	0.38 in.

Installation

NORTEC SERIES EXTERNAL CONTROLS WIRING CONNECTIONS LOW VOLTAGE TERMINAL STRIP

For all controller and transducer signals by others

WARNING: Failure to wire the controller in accordance with the wiring diagram supplied with the unit could permanently damage the electronics. Such errors will void the unit warranty.



Transducers:

To be complete with sensing element, power source and 2 wire varying output signal. RH set point adjustment is made at unit keypad. RH set point and % RH sensed are viewed on display

Output signal across 3 - 4 and 3 - 5 increase on RH rise

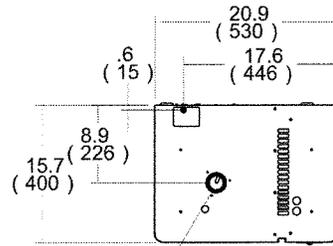
Controllers (Humidistat):

To be complete with RH set point adjustment, sensor circuit, sensing element, power source and 2 wire varying output signal. RH demand are viewed on display

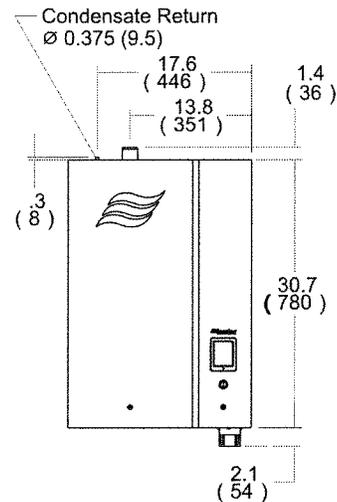
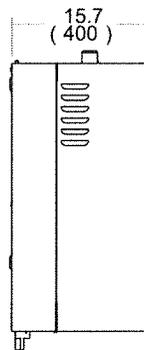
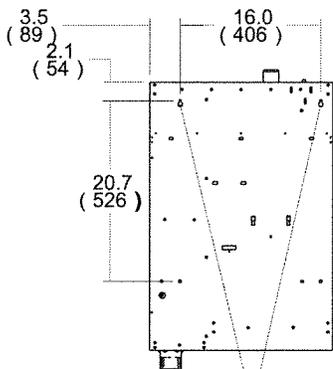
Output signal across 3 - 4 and 3 - 5 decrease on RH rise

Schematics

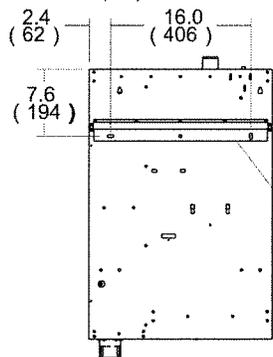
Empty Weight	85 lbs
Full Weight	150 lbs
Front Clearance	36 in.
Ceiling Clearance	12 in.
Left/Right Clearance	0 in.
Floor Clearance	24 in.
Water Inlet Pressure	30-80 psig



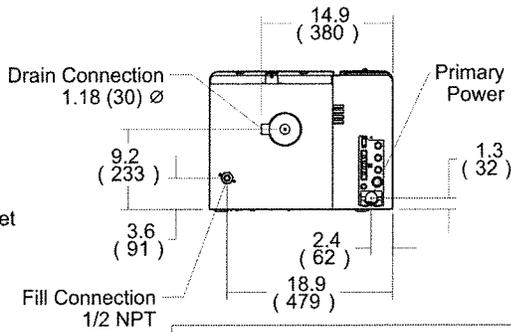
Optional, Steam Outlet (Cylinder)
Ø 1.75 (45)



Mounting Keyhole
2x0.25 (6.5) Ø

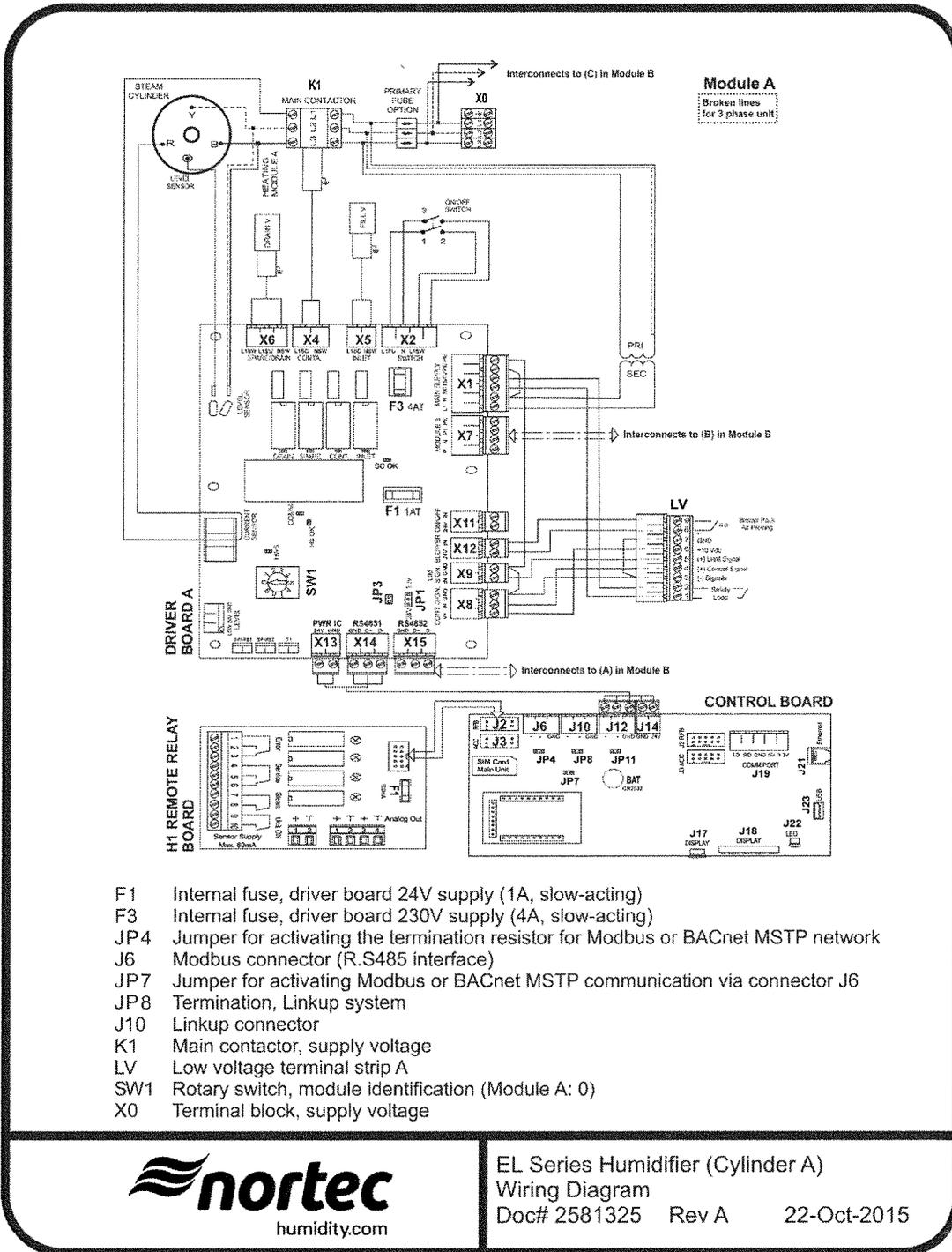


Optional Mounting Bracket



ALL UNITS IN INCHES (mm)

Wiring



EL Series Electrode Steam Humidifiers

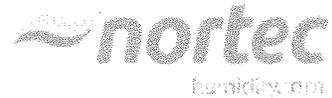
An electrode humidifier that produces sterile steam at atmospheric pressure from potable water. To generate steam an electrical current is passed through the dissolved minerals in potable water. The result; the water heats itself offering the highest energy efficiency of any steam humidifier. Utilizing the patented P+I Auto-Adaptive Control, the system automatically adjusts to incoming potable water conditions optimizing water usage. In turn, energy is conserved due to low hot water drain rates.

Minerals removed during steam generation process accumulate in a disposable cylinder. Replacing the cylinder is quick, easy and does not require any scraping or descaling chemicals. The intelligent control system maintains steam generation efficiency until the end of the cylinder life. Replacing the cylinder returns the humidifier to a like new condition.

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FEATURES

- Touchscreen controller with intuitive color user interface.
- Standard BMS communication protocols BACnet IP, BACnet MSTP (Slave) and Modbus. Lonworks and BACnet BTL options available.
- Standard embedded web interface for easy configuration and remote monitoring from any computer with a web browser.
- USB interface for new software/feature upload and download of operational information.
- Modulating steam output of 20%-100% from any control signal type: Single or dual analog demand, single or dual analog relative humidity sensor input, or digital control from a BMS.
- Internal Drain Water tempering to 140°F (60°C) or less and 1 inch internal air gap for backflow prevention to meet plumbing codes.
- Auto-Adaptive Control for accurate steam output ($\pm 5\%$ RH), efficient water use and peak energy efficiency until end of cylinder life.
- Packaged unit in durable, corrosion resistant, powder coated cabinet with all service connections conveniently located for easy installation.



- Zero right and left hand side clearance requirement for minimal installation footprint.
- Disposable cylinder for easy and economical maintenance.
- Two year limited warranty or 30 months from ship date. Extended warranty available.
- UL/CUL Listed.

OSHPD (seismic) certification of the EL

Note that the whole EL product line is certified for the seismic regulations covered by OSHPD. This includes successful testing to ICC-ES AC156, valid up to an S_{DS} (g) value of 2.77, and a z/h value of 1. In order for the OSHPD certification to be valid, the EL humidifiers must be mounted as per the details in the Installation Manual (2582302).

Documentation can be found online, available to the public at <http://www.oshpd.ca.gov/fdd/Pre-Approval/OSP-0225-10.pdf>

For more information, please contact the factory at 1.866.NORTEC1.

Data Sheet

Product Name: EL 150/208/3

Product Number: EL Series



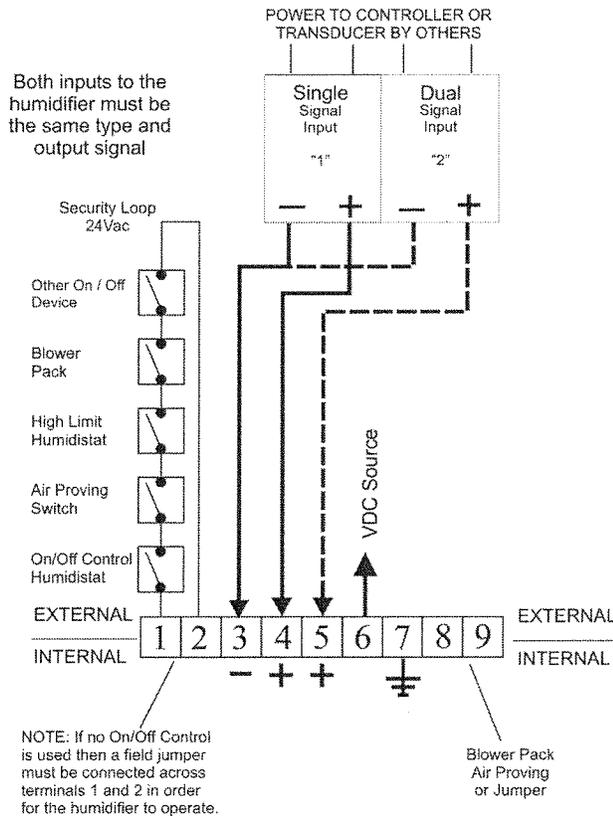
Performance		Dimensions	
Nominal Capacity	150.00 lbs/h	Height	30.70 in.
Rated Capacity	165.00 lbs/h	Width	39.40 in.
Output Range Minimum	30.00 lbs/h	Depth	15.80 in.
Rated Power	56.10 kW	Net Weight	120.0 lbs
Power Circuit	208/3/60 V/(phase)/Hz	Full Weight	245.0 lbs
Rated Current	155.70 A	Front Clearance	36.00 in.
Maximum Current	200.00 A	Left Clearance	0.00 in.
Min. Water Pressure	30.00 psig	Right Clearance	0.00 in.
Max. Water Pressure	80.00 psig	Ceiling Clearance	12.00 in.
Controlled Circuits	2	Floor Clearance	24.00 in.
Cylinders	2	Supply Water O D (A)	0.5
Fill Rate	2x0.50 GPM	Supply Water O D (B)	0.5
Drain Rate	2x2.00 GPM	Steam Outlet O D (A)	1.75 in.
		Steam Outlet O D (B)	1.75 in.
		Qty Steam Outlets	2
		Condensate Return (A)	0.38 in.
		Condensate Return (B)	0.38 in.

Installation

**NORTEC SERIES
EXTERNAL CONTROLS WIRING CONNECTIONS
LOW VOLTAGE TERMINAL STRIP**

For all controller and transducer signals by others

WARNING: Failure to wire the controller in accordance with the wiring diagram supplied with the unit could permanently damage the electronics. Such errors will void the unit warranty.



Transducers:
To be complete with sensing element, power source and 2 wire varying output signal. RH set point adjustment is made at unit keypad. RH set point and % RH sensed are viewed on display

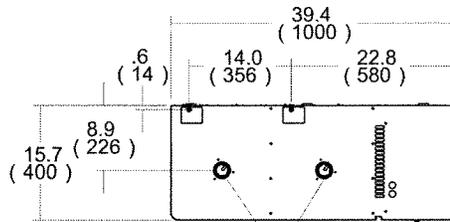
Output signal across 3 - 4 and 3 - 5 increase on RH rise

Controllers (Humidistat):
To be complete with RH set point adjustment, sensor circuit, sensing element, power source and 2 wire varying output signal. RH demand are viewed on display

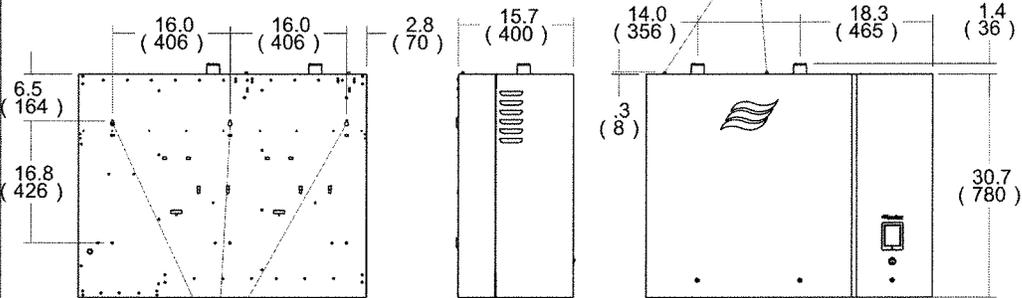
Output signal across 3 - 4 and 3 - 5 decrease on RH rise

Schematics

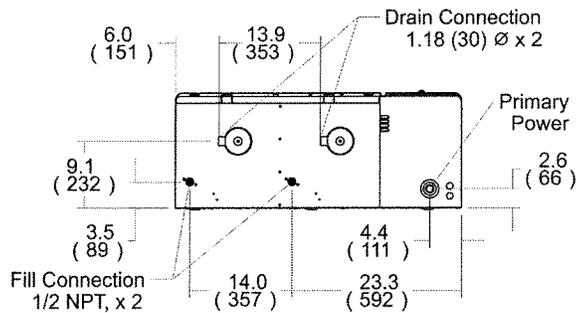
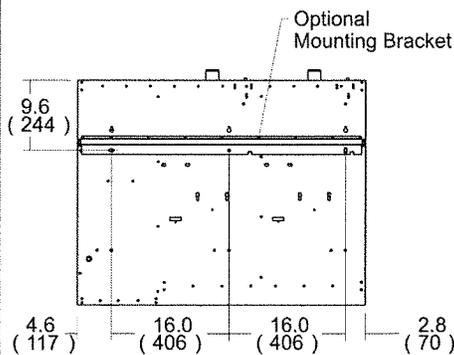
Empty Weight	120 lbs
Full Weight	245 lbs
Front Clearance	36 in.
Ceiling Clearance	12 in.
Left/Right Clearance	0 in.
Floor Clearance	24 in.
Water Inlet Pressure	30-80 psig



Condensate Return
Ø 0.375 (9.5) x 2

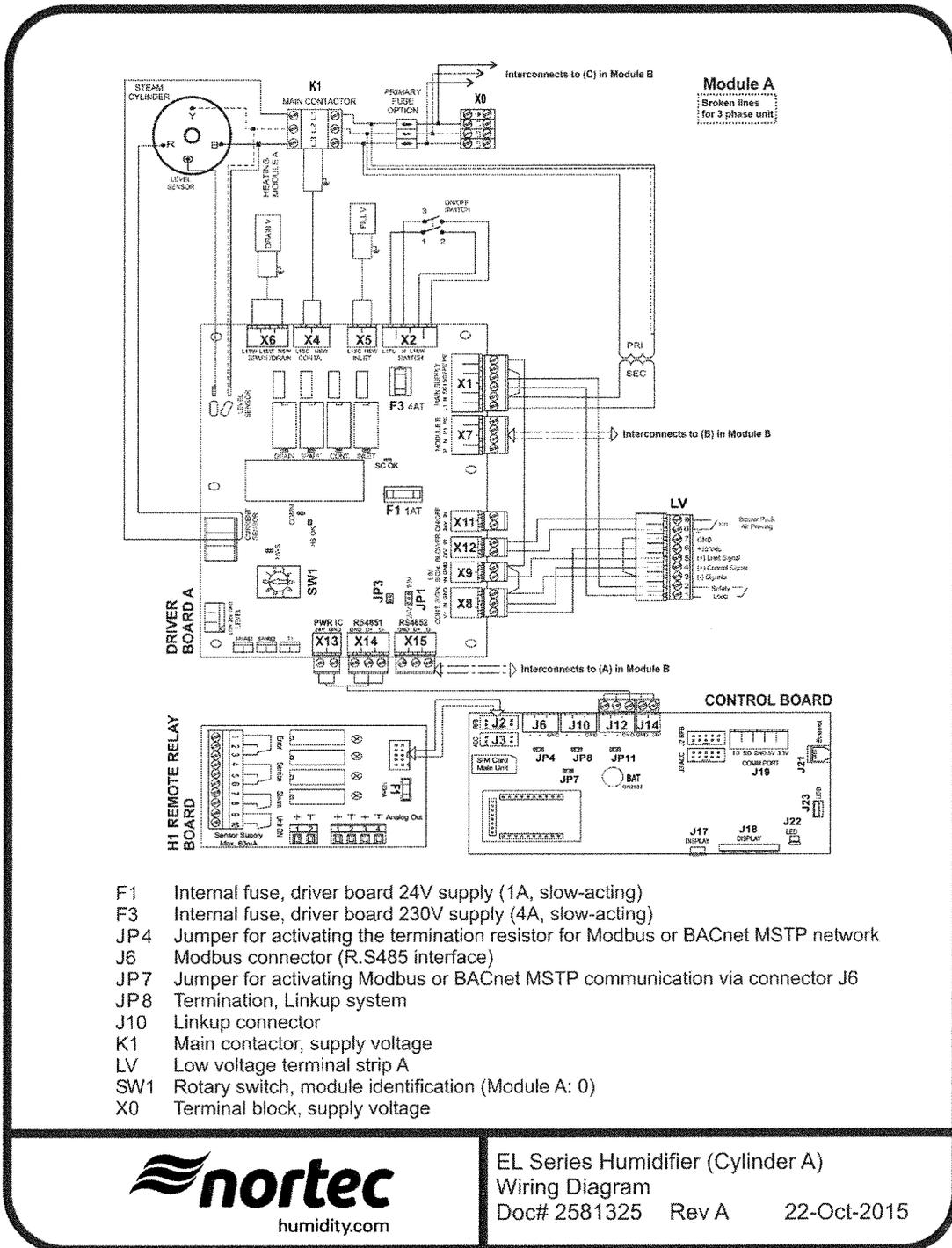


Mounting Keyhole
3x0.25 (6.5) Ø



ALL UNITS IN INCHES (mm)

Wiring



RESOLUTION

Page 1 of 1

Approving Change Order No. 1 for
Flower Memorial Library HVAC System
Replacement Project, Electrical Contract,
J&R Electric Inc.

Council Member HORBACZ, Cody J.
 Council Member JENNINGS, Stephen A.
 Council Member MACALUSO, Teresa R.
 Council Member WALCZYK, Mark C.
 Mayor BUTLER, Jr., Joseph M.

Total

YEA	NAY

Introduced by

WHEREAS on February 6, 2017, the City Council of the City of Watertown approved the Electrical Contract Agreement with J&R Electric Inc. in the amount of \$236,500 for the electrical contract work for the Flower Memorial Library HVAC System Replacement Project, and

WHEREAS J&R Electric Inc. has now submitted Change Order No. 1 for a credit of \$824 for Value Engineering and add's for additional electrical work necessary to replace an existing electric heater in the entrance vestibule and other work in the amount of \$8,735,

NOW THEREFORE BE IT RESOLVED that the City Council of the City of Watertown approves Change Order No. 1, a copy of which is attached and made part of this Resolution, to the Electrical Contract Agreement with J&R Electric Inc. in the amount of \$8,735, bringing the total contract amount to \$245,235, and

BE IT FURTHER RESOLVED that City Manager Sharon Addison is hereby authorized and directed to execute the Change Order No. 1 document on behalf of the City of Watertown.

Seconded by



AIA®

Document G701™ – 2001

Change Order

PROJECT (Name and address): Flower Memorial Library HVAC Reno 229 Washington Street Watertown, NY 13601	CHANGE ORDER NUMBER: 001 DATE: 2017-05-03	OWNER: <input checked="" type="checkbox"/> ARCHITECT: <input checked="" type="checkbox"/> CONTRACTOR: <input checked="" type="checkbox"/> FIELD: <input checked="" type="checkbox"/> OTHER: <input type="checkbox"/>
TO CONTRACTOR (Name and address): J & R Electric, Inc. 15685 County Route 91 PO Box 767 Pierrepont Manor, NY 13674	ARCHITECT'S PROJECT NUMBER: 2016-090 CONTRACT DATE: 02/15/2017 CONTRACT FOR: Electrical Construction	

THE CONTRACT IS CHANGED AS FOLLOWS:

(Include, where applicable, any undisputed amount attributable to previously executed Construction Change Directives)

ADD \$769.00 per proposal 3607 dated 03/22/2017:

-Disconnect power to existing CUH in the Vestibule and provide new power supply connection to new CUH to be installed by Mechanical Contractor

ADD \$1,900.00 per option #1 on proposal 3612 dated 03/29/2017:

-Remove existing light fixtures and install 3/4" finished plywood (4'x4') enclosure for light backer. Install fixtures as specified in Construction Documents.

ADD \$6,890.00 per proposal 3612 received on 04/28/2017:

-Provide additional work regarding the removal and relocation of electrical conduits/circuits and fire alarm conduits.

CREDIT \$824.00 per proposal 3590Rev1 dated 03/13/2017:

-Delete electrical connection to HUM-2 on roof top. Provide electrical connection in mechanical room (001) to proposed HUM-2

The original Contract Sum was	\$	<u>236,500.00</u>
The net change by previously authorized Change Orders	\$	<u>0.00</u>
The Contract Sum prior to this Change Order was	\$	<u>236,500.00</u>
The Contract Sum will be increased by this Change Order in the amount of	\$	<u>8,735.00</u>
The new Contract Sum including this Change Order will be	\$	<u>245,235.00</u>

The Contract Time will be unchanged by Zero (0) days.

The date of Substantial Completion as of the date of this Change Order therefore is

NOTE: This Change Order does not include changes in the Contract Sum, Contract Time or Guaranteed Maximum Price which have been authorized by Construction Change Directive until the cost and time have been agreed upon by both the Owner and Contractor, in which case a Change Order is executed to supersede the Construction Change Directive.

NOT VALID UNTIL SIGNED BY THE ARCHITECT, CONTRACTOR AND OWNER.

Aubertine and Currier Architects,
Engineers & Land Surveyors, PLLC

ARCHITECT (Firm name)

522 Bradley Street, Watertown, NY
13601

ADDRESS

BY (Signature)

Patrick J. Currier Sr.

(Typed name)

5/3/17
DATE

J & R Electric, Inc.

CONTRACTOR (Firm name)

15685 County Route 91, PO Box 767,
Pierrepont Manor, NY 13674

ADDRESS

Joel Bovec
BY (Signature)

Joel Bovec

(Typed name)

DATE

City of Watertown

OWNER (Firm name)

245 Washington St, Watertown, NY 13601

ADDRESS

Justin Wood
BY (Signature)

Justin Wood

(Typed name)

DATE



PO BOX 767
 PIERREPONT MANOR, NY 13674
 jrelectricinc.com

TELEPHONE 315 465-4163
 FAX 315 465-4241
 MOBILE 315 523-2803
 E-mail joel@jrelectricinc.com

****PROUD EMPLOYER OF A DRUG FREE WORK FORCE****

PROPOSAL

To: Aubertine & Currier
 Attn: Brian Krueger

Prop. 3607
 3/22/17

Project: Flower Memorial Library RFP002

J&R ELECTRIC, INC. has been engaged in applications like this project for over 25 years, and exceeds the qualifications required for this project. We are affiliated with the IBEW (International Brotherhood of Electrical Workers) and NECA (National Electrical Contractors Association), which results in a highly skilled drug free work force. We are pleased to provide a quote for the referenced project, for your review and consideration.

We hereby propose to furnish all the material and perform all the labor necessary for the electrical work associated with the above referenced project. All work will be done in a timely manner; Installed per the National Electric Code and the following Scope of Work

Scope of Work:

Disconnect power supply to CUH located at entry 125. Make circuit safe for the installation of a new CUH (by Others). Install new breaker sufficient for new CUH electrical load.

Exclusions:

OUR PRICE FOR THE ABOVE WORK IS:		
	Material	\$110.00
	Labor	\$659.00

General Conditions:

1. All applicable taxes are included in our submission
2. The contractor shall not be held liable for errors or omissions in designs by others, nor inadequacies of materials and equipment specified or supplied by others
3. Equipment and materials supplied by the contractor are warranted only to the extent that the same are warranted by the manufacturer.
4. The contractor shall not be liable for indirect loss or damage
5. Unless included in this proposal, all bonding and/or special insurance requirements are supplied at additional cost.
6. If a formal contract is required, its conditions must not deviate from this proposal without contractor's consent.
7. Anything (verbal or written), express or implied elsewhere, which is contrary to these conditions shall be null and void.
8. Any alteration or deviation from the above proposal involving extra costs will be executed only upon written orders, and will become an extra charge over and above the proposal
9. Our employees are fully covered by Worker's compensation insurance.
10. This proposal is valid for 90 days.

Thank you for the opportunity to quote you on this project. Please call me with any questions you may have.
315 523-2803

Respectfully,

Joel Bovee

Vice president
J&R Electric, Inc.



PO BOX 767
 PIERREPONT MANOR, NY 13674
 jrelectricinc.com

TELEPHONE 315 465-4163
 FAX 315 465-4241
 MOBILE 315 523-2803
 E-mail joel@jrelectricinc.com

****PROUD EMPLOYER OF A DRUG FREE WORK FORCE****

PROPOSAL

To: Aubertine and Currier
 Attn: Brian Krueger

Prop. 3590Rev1
 3/13/17

PROJECT: Flower Memorial Library RFPOO1, Value Engineering for HUM 1 and 2

J&R ELECTRIC, INC. has been engaged in applications like this project for over 25 years, and exceeds the qualifications required for this project. We are affiliated with the IBEW (International Brotherhood of Electrical Workers) and NECA (National Electrical Contractors Association); *we are also registered with the Federal CCR as a Women Owned Business*. We are pleased to provide a quotation for the referenced project, for your review and consideration.

We hereby propose to furnish all the material and perform all the labor necessary for the electrical work associated with the above referenced project. All work will be done in a timely manner; Installed per the National Electric Code and the following Scope of Work

Scope of Work:

~~DELETE electrical connection to HUM-2 on roof top. Mechanical Contractor to install HUM-2 in basement mechanical room (001). Electrical contractor to provide electrical connection in mechanical room (001) to proposed HUM-2. See attached RFI 001 Humidifier Value Engineering for equipment specs.~~

HUM-1

Specified as 44.76 lb. /hr., 44.4 A at 208/3
 Proposed: Nortec EL-050, rated 55 #/hr., 51.9A at 208/3
 Electrical impact: none, since electrical is 60A breaker with (3) #6 conductors rated at 75A

We recommend replacing the 60A breaker with a 70A breaker for HUM-1. Specifications provided indicate Maximum Current Rating is 70.00 A. Raceway and Conductors shall remain as specified. There will be no cost impact for this change

HUM-2

Specified as 109.5 lb. /hr., 133.2A at 208/3

Proposed: Nortec EL-150, rated 165#/hr., 155A

Electrical impact: circuit size is oversized with (3) #3/0 rated 225A. Breaker may need to jump one size from 175A specified

We recommend replacing the 175A breaker with a 200 A breaker for Hum-2. Specifications provided indicate Maximum Current rating is 200.00 A. Raceway and Conductors shall remain as specified, original circuit was oversized.

Overall footage for raceway and conductors remains the same as designed.

Cost Impact for this RFP is roof work. Final electrical connections will be done inside with non-weather tight material, compared to weather tight material and additional labor for roof installation.

Cost savings for this RFP will be \$824.00

Please advise asap if this RFP is accepted, will need to get gear ordered soon.

OUR PRICE FOR THE ABOVE WORK IS:	Cost breakdown	
	Material	\$208.00
	Labor	\$616.00

General Conditions:

1. All applicable taxes are included in our submission
2. The contractor shall not be held liable for errors or omissions in designs by others, nor inadequacies of materials and equipment specified or supplied by others
3. Equipment and materials supplied by the contractor are warranted only to the extent that the same are warranted by the manufacturer.
4. The contractor shall not be liable for indirect loss or damage
5. Unless included in this proposal, all bonding and/or special insurance requirements are supplied at additional cost.
6. If a formal contract is required, its conditions must not deviate from this proposal without contractor's consent.
7. Anything (verbal or written), express or implied elsewhere, which is contrary to these conditions shall be null and void.
8. Any alteration or deviation from the above proposal involving extra costs will be executed only upon written orders, and will become an extra charge over and above the proposal
9. Our employees are fully covered by Worker's compensation insurance.
10. This proposal is valid for 90 days.

Thank you for the opportunity to quote you on this project. Please call me with any questions you may have.
315 523-2803

Respectfully,

Joel Bovee

Vice president
J&R Electric, Inc.



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 PIERREPONT MANOR, NY 13674
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 MOBILE 315 523-2803
 E-mail joel@jrelectricinc.com

****PROUD EMPLOYER OF A DRUG FREE WORK FORCE****

PROPOSAL

To: Aubertine & Currier
 Attn: Brian Krueger

Prop. 3607Rev1
 4/10/17

Project: Flower Memorial Library RFP002

J&R ELECTRIC, INC. has been engaged in applications like this project for over 25 years, and exceeds the qualifications required for this project. We are affiliated with the IBEW (International Brotherhood of Electrical Workers) and NECA (National Electrical Contractors Association), which results in a highly skilled drug free work force. We are pleased to provide a quote for the referenced project, for your review and consideration.

We hereby propose to furnish all the material and perform all the labor necessary for the electrical work associated with the above referenced project. All work will be done in a timely manner; Installed per the National Electric Code and the following Scope of Work

Scope of Work:

Disconnect power supply to CUH located at entry 125. Make circuit safe for the installation of a new CUH (by Others). Install new breaker sufficient for new CUH electrical load.

Labor Breakdown: Journeyman Wiremen for 8.56 hours @ \$77.00 per hour

Exclusions:

OUR PRICE FOR THE ABOVE WORK IS:		
	Material	\$110.00
	Labor	\$659.00

General Conditions:

1. All applicable taxes are included in our submission
2. The contractor shall not be held liable for errors or omissions in designs by others, nor inadequacies of materials and equipment specified or supplied by others
3. Equipment and materials supplied by the contractor are warranted only to the extent that the same are warranted by the manufacturer.
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6. If a formal contract is required, its conditions must not deviate from this proposal without contractor's consent.
7. Anything (verbal or written), express or implied elsewhere, which is contrary to these conditions shall be null and void.
8. Any alteration or deviation from the above proposal involving extra costs will be executed only upon written orders, and will become an extra charge over and above the proposal
9. Our employees are fully covered by Worker's compensation insurance.
10. This proposal is valid for 90 days.

Thank you for the opportunity to quote you on this project. Please call me with any questions you may have.
315 523-2803

Respectfully,

Joel Bovee

Vice president
J&R Electric, Inc.



PO BOX 767
PIERREPONT MANOR, NY 13674
jrelectricinc.com

TELEPHONE 315 465-4163
FAX 315 465-4241
MOBILE 315 523-2803
E-mail joel@jrelectricinc.com

****PROUD EMPLOYER OF A DRUG FREE WORK FORCE****

PROPOSAL

To: Aubertine & Currier
Attn: Brian Krueger

Prop. 3612
3/29/17

Project: Flower Memorial Library RFP003

J&R ELECTRIC, INC. has been engaged in applications like this project for over 25 years, and exceeds the qualifications required for this project. We are affiliated with the IBEW (International Brotherhood of Electrical Workers) and NECA (National Electrical Contractors Association), which results in a highly skilled drug free work force. We are pleased to provide a quote for the referenced project, for your review and consideration.

We hereby propose to furnish all the material and perform all the labor necessary for the electrical work associated with the above referenced project. All work will be done in a timely manner; Installed per the National Electric Code and the following Scope of Work

Scope of Work:

3 Options for the Charge Desk/Reception Area Lighting

Option #1

Remove existing light fixtures and install ¾ finished plywood (4'x4') over opening, plug fastening holes. Install the specified L71/L72 fixtures to plywood

Option #2

Remove existing light fixtures and install ¾ finished plywood (4'x4') over opening
Install a 4'x4' surface mount enclosure with 2 specified type L2 fixtures inside
(see cut sheets on pages 3-5)

Option #3

Leave existing light fixtures in place and install an 8-lamp retrofit kit

Exclusions:

Painting of any kind

OUR PRICE FOR THE ABOVE WORK IS:

Option #1	Cost add of \$1,900.00
Option #2	Cost add of \$1,092.00
Option #3	Cost savings of \$3,800.00

General Conditions:

1. All applicable taxes are included in our submission
2. The contractor shall not be held liable for errors or omissions in designs by others, nor inadequacies of materials and equipment specified or supplied by others
3. Equipment and materials supplied by the contractor are warranted only to the extent that the same are warranted by the manufacturer.
4. The contractor shall not be liable for indirect loss or damage
5. Unless included in this proposal, all bonding and/or special insurance requirements are supplied at additional cost.
6. If a formal contract is required, its conditions must not deviate from this proposal without contractor's consent.
7. Anything (verbal or written), express or implied elsewhere, which is contrary to these conditions shall be null and void.
8. Any alteration or deviation from the above proposal involving extra costs will be executed only upon written orders, and will become an extra charge over and above the proposal
9. Our employees are fully covered by Worker's compensation insurance.
10. This proposal is valid for 90 days.

Thank you for the opportunity to quote you on this project. Please call me with any questions you may have.
315 523-2803

Respectfully,

Joel Bovee

Vice president
J&R Electric, Inc.

Metalux

DESCRIPTION

The Metalux® universal field install surface mount kits allow for numerous recessed fixture families from Eaton's Cooper Lighting business to be installed in plenum-less spaces. Ideal for retrofits, remodel projects, or where a recessed fixture is preferred but plenum space is not available. The surface mount kit works with 2' x 2', 2' x 4', 1' x 4' and 1' x 2' Metalux, Fail-Safe, Corelite and Neo-ray product lines. See chart and ordering information for specific availability.

Catalog #		Type
Project		
Comments		Date
Prepared by		

SPECIFICATION FEATURES

Construction

The field install universal surface mount kits feature snap-together frame design constructed of die-formed 20 gauge cold rolled steel. Both 2' x 2' and 2' x 4' kits are offered in two depths, a Shallow (4-15/16") and Tall (5-1/16") to accommodate an array of fixture types and options. The 1' x 4' and 1' x 2' are only offered in a Tall (5-1/16") version. Composite end caps provide simple snap on attachment to housing for convenience. For additional safety #10 screws can be used if necessary at pre-tap locations. Four access plate knockouts provide flexible

installation and supply connection. A set of four mounting points are provided for surface mounting, for pendant mount six mounting points are provided for either two or four point suspension. Eaton SCA (1/2" O.D.) suspension sets (#SCA-48-B) are recommended for stem mounting.

Finish

Durable cold rolled steel housing is finished in high reflectance white using electrostatically applied polyester powder coat paint to ensure maximum rust inhibition. End caps provide matching matte white finish.

Compliance

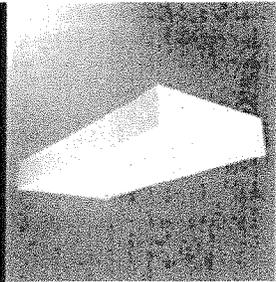
Field install universal surface mount kits are UL recognized accessories.

Mounting

Both versions are designed to provide a means for surface or pendant mounting.

Warranty

One year warranty.



SK-12
SK-14
SK-22
SK-24

2' X 2', 2' X 4', 1' X 4' AND
1' X 2' SURFACE MOUNT KITS

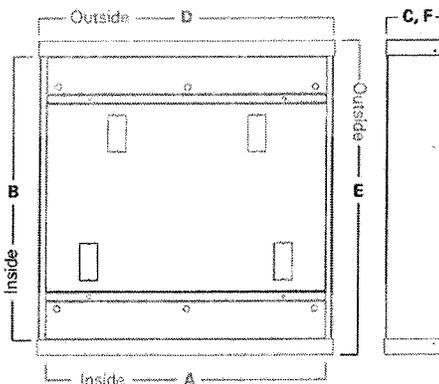
Field Install Version

Inside

		SK-24-WS	SK-24-WT	SK-22-WS	SK-22-WT
A	Width	24"	24"	24"	24"
B	Length	48-1/16"	48-1/16"	24-1/16"	24-1/16"
C	Height	4-15/16"	6-3/8"	4-15/16"	6-3/8"

Outside

		SK-24-WS	SK-24-WT	SK-22-WS	SK-22-WT
D	Width	24-1/4"	24-3/4"	24-1/4"	24-1/4"
E	Length	49-1/2"	49-1/2"	25-1/2"	25-1/2"
F	Height	5-1/16"	6-9/8"	5-1/16"	6-5/8"

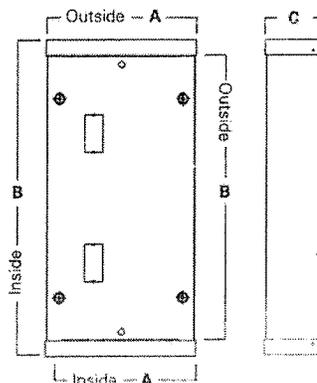


Inside

		SK-14-WT	SK-12-WT
A	Width	12"	12"
B	Length	48-1/16"	24-1/16"
C	Height	6-1/4"	6-1/4"

Outside

		SK-14-WT	SK-12-WT
A	Width	12-3/16"	12-3/16"
B	Length	49-7/16"	25-7/16"
C	Height	6-9/16"	6-9/16"



CERTIFICATION DATA

cULus
Damp Location Listed

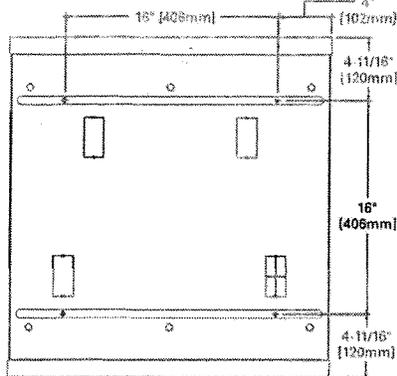
SHIPPING DATA

Catalog No.	Wt.
SK-22-WS	12 lbs.
SK-24-WS	21 lbs.
SK-22-WT	14 lbs.
SK-24-WT	24 lbs.
SK-14-WT	13 lbs.
SK-12-WT	7 lbs.

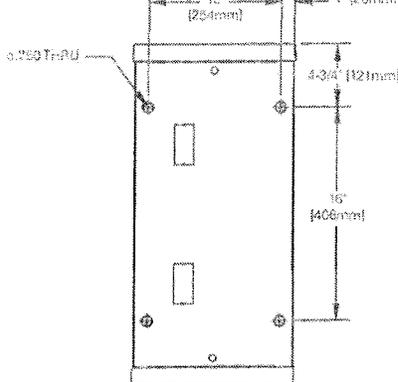
2' X 2', 2' X 4', 1' X 4' AND 1' X 2' SURFACE MOUNT KITS

Mounting Data

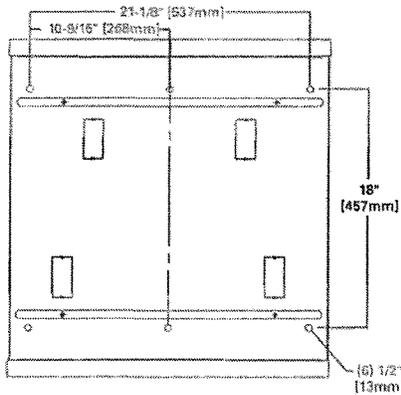
Hole Mounting



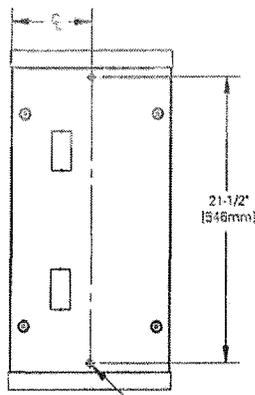
Hole Mounting



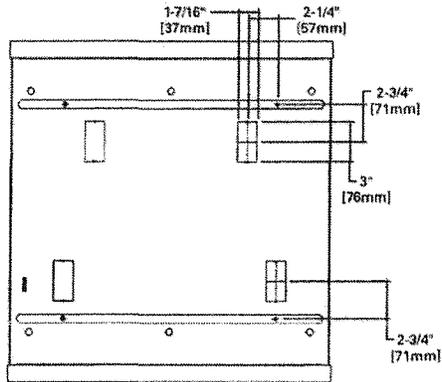
Pendant Mounting



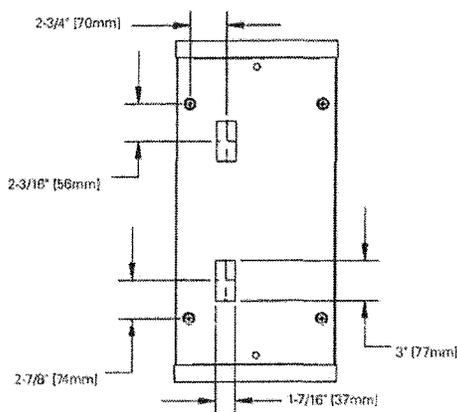
Pendant Mounting



Access Plate Location



Access Plate Location



Ordering Information

Stock or MTO	Size	Catalog Number	Description
Stock	2' x 4'	SK-24-WS	2' x 4' Surface Mount Kit, Shallow
Stock	2' x 4'	SK-24-WT	2' x 4' Surface Mount Kit, Tall
Stock	2' x 2'	SK-22-WS	2' x 2' Surface Mount Kit, Shallow
Stock	2' x 2'	SK-22-WT	2' x 2' Surface Mount Kit, Tall
Stock	1' x 4'	SK-14-WT*	1' x 4' Surface Mount Kit, Tall
Stock	1' x 2'	SK-12-WT	1' x 2' Surface Mount Kit, Tall

NOTES: The weight of the installed luminaire (ONLY) not to exceed 40 lbs.

Flex cables sold separately.

Review Compatibility Matrix before placing order for recessed luminaires.

*SkyRidge 1' x 4' fixture with curved reflector ("C") does not fit the 1' x 4' kit without requirement for special bracket, please submit PDR request for order processing.

COMPATIBILITY MATRIX

	Shallow Design		Tall Design			
	2' x 2'	2' x 4'	2' x 2'	2' x 4'	1' x 4'	1' x 2'
	SK-22-WS	SK-24-WS	SK-22-WT	SK-24-WT	SK-14-WT	SK-12-WT
Standard Version						
Metalux						
Accord	T5, T8, LED	T5, T8, LED			T5, T8, LED	
ArcLine	T5, T8, LED	T6, T8, LED			T5, T8, LED	
Cruza	LED	LED			LED	
Encounter	LED	LED			LED	LED
GR	T5, T8, LED	T5, T8, LED			T5, T8, LED	
GC			T5, T8	T5, T8	T5, T8	
Ovation			T5, T8	T5, T8	T5, T8	
Parabolics*			T5, T8	T5, T8		
SkyRidge**			LED	LED	LED	LED
Fall-Safe						
CFDFA			T5, T8	T5, T8	T5, T8	
CFE-3			T5, T8	T5, T8		
2VRGC			T5, T8	T5, T8	T5, T8	
MAE			T5, T8	T5, T8		
MAO			T5, T8	T5, T8		
Corelite						
Class E3	T5, T8, LED	T5, T8, LED				
Class R1/Z1	T5	T5			T5	
Class R2/Z2	T5	T5			T5	
Class R2X	LED	LED			LED	
Class R3/Z3	T5, LED	T5, LED			T5, LED	
Divide	LED	LED			LED	
Neo-ray						
Fenestra			202, 232, 242, 272, LED	204, 234, 244, 274, LED		
Luminous	T5, LED	T5, LED	T8	T8	T5, T8, LED	
Symbio			292	294		
Emergency Version						
Metalux						
Accord	EL7W, EL14W	EL7W, EL14W			EL7W, EL14W	
ArcLine	EL7W	EL7W	EL14W	EL14W	EL7W, EL14W	
Cruza	EL7W	EL7W	EL14W	EL14W	EL7W, EL14W	
Encounter	EL7W	EL7W	EL14W	EL14W	EL7W, EL14W	EL7W
GR	EL7W	EL7W	EL14W	EL14W	EL7W, EL14W	
GC			EL7W, EL14W	EL7W, EL14W	EL7W, EL14W	
Ovation			EL7W, EL14W	EL7W, EL14W	EL7W, EL14W	
Parabolics*			EL7W, EL14W	EL7W, EL14W		
SkyRidge**			EL7W, EL14W	EL7W, EL14W	EL7W, EL14W	EL7W
Corelite						
Class E3	EL7W, EL14W	EL7W, EL14W				
Class R1/Z1	EL7W, EL14W	EL7W, EL14W			EL7W, EL14W	
Class R2/Z2	EL7W, EL14W	EL7W, EL14W			EL7W, EL14W	
Class R2X	EL7W, EL14W	EL7W, EL14W			EL7W, EL14W	
Class R3/Z3	EL7W, EL14W	EL7W, EL14W			EL7W, EL14W	
Divide	EL7W, EL14W	EL7W, EL14W			EL7W, EL14W	
Neo-ray						
Fenestra			EL7W, EL14W	EL7W, EL14W		
Luminous	EL7W, EL14W	EL7W, EL14W				
Symbio			EL7W, EL14W	EL7W, EL14W	EL7W, EL14W	

*Covers 2P2G, 2EP3, 2HP2, 2HP3, OpticaHP; 2PGAX does not fit kits

**SkyRidge 1' x 4' fixture with curved reflector ("C-") does not fit the 1' x 4' kit without requirement for special bracket, please submit PDR request for order processing.

Note: Fall-Safe fixtures with emergency do not fit either kit size.



PO BOX 767
PIERREPONT MANOR, NY 13674
jrelectricinc.com

TELEPHONE 315 465-4163
FAX 315 465-4241
MOBILE 315 523-2803
E-mail joel@jrelectricinc.com

****PROUD EMPLOYER OF A DRUG FREE WORK FORCE****

PROPOSAL

To: Aubertine & Currier
Attn: Brian Krueger

Prop. 3612
3/29/17

Project: Flower Memorial Library RFP003

J&R ELECTRIC, INC. has been engaged in applications like this project for over 25 years, and exceeds the qualifications required for this project. We are affiliated with the IBEW (International Brotherhood of Electrical Workers) and NECA (National Electrical Contractors Association), which results in a highly skilled drug free work force. We are pleased to provide a quote for the referenced project, for your review and consideration.

We hereby propose to furnish all the material and perform all the labor necessary for the electrical work associated with the above referenced project. All work will be done in a timely manner; Installed per the National Electric Code and the following Scope of Work

Scope of Work:

1. Contractor to remove/relocate 1" conduit from existing panel 1 within the boiler room that serves the exterior pull box (exterior lights & timer). Circuit breakers within panel 1 are to remain and be labeled as spare. The circuits routed to the exterior pull box are to be re-circuited/relocated to existing panel LP1. Utilize existing circuit breakers made available during demolition for use in powering equipment removed from existing panel 1.
2. Within the boiler room the contractor is to relocate an existing ¾" conduit that is currently preventing the proposed mechanical duct work from being installed. Contractor to cut into circuit, provide junction boxes, new conduit, splice kits, and conductors as required to relocate the existing branch circuitry in conflict with the proposed mechanical systems. Coordinate exact locations/quantities in the field with the mechanical contractor construction observer.
3. Contractor to relocate a fire alarm circuit within the basement that is preventing the proposed mechanical systems from being installed. The existing fire alarm system is to remain operational at all times. All fire alarm circuit modifications are to comply with NEC 760. Upon completion of the fire alarm circuit relocation the fire alarm system is to be tested in accordance with NFPA 70, NFPA 72, local jurisdiction, and all adjustments made for a complete and operable system. Coordinate exact locations/quantities in the field with the mechanical contractor and construction observer.

4. Relocate 3 Existing Light fixtures in basement area that are preventing the proposed mechanical systems from being installed

5. Relocate and existing ¾ conduit that feeds one 120v and one 240 circuit on the first floor, that are preventing the proposed mechanical system from being installed

Exclusions:

Painting of any kind

OUR PRICE FOR THE ABOVE WORK IS:	Item #1	Material	\$497.00
		Labor	\$1,724.00
	Item #2	No Cost Impact	
	Item #3	Material	\$289.00
		NCC	\$587.00
		Labor	\$2,077.00
	Item #4	Material	\$86.00
		Labor	\$616.00
	Item #5	Material	\$251.00
		Labor	\$763.00

General Conditions:

1. All applicable taxes are included in our submission
2. The contractor shall not be held liable for errors or omissions in designs by others, nor inadequacies of materials and equipment specified or supplied by others
3. Equipment and materials supplied by the contractor are warranted only to the extent that the same are warranted by the manufacturer.
4. The contractor shall not be liable for indirect loss or damage
5. Unless included in this proposal, all bonding and/or special insurance requirements are supplied at additional cost.
6. If a formal contract is required, its conditions must not deviate from this proposal without contractor's consent.
7. Anything (verbal or written), express or implied elsewhere, which is contrary to these conditions shall be null and void.
8. Any alteration or deviation from the above proposal involving extra costs will be executed only upon written orders, and will become an extra charge over and above the proposal
9. Our employees are fully covered by Worker's compensation insurance.
10. This proposal is valid for 90 days.

Thank you for the opportunity to quote you on this project. Please call me with any questions you may have.
315 523-2803

Respectfully,

Joel Bovee

Vice president
J&R Electric, Inc.

Res No. 7

May 9, 2017

To: The Honorable Mayor and City Council

From: Michael J. DeMarco, Planner

Subject: Approving the Contract with Davey Resource Group for the City of Watertown Street Tree and Planting Site Inventory Project

The City of Watertown was recently awarded \$25,000.00 from the New York State Department of Environmental Conservation's Urban and Community Forestry Grant Program to conduct a street tree and planting space inventory. The primary inventory efforts will be focused on street trees and potential planting sites within the street rights-of-way and will extend to park trees if funding allows. The objectives of the project include updating the City's existing street tree inventory in order to obtain an accurate understanding of the health of the City's community forest while providing the City with key data about the state of the urban forest. The project will enable the City to better prioritize our maintenance efforts and reduce the potential liability associated with hazardous trees and will identify potential planting sites throughout the City.

On January 25, 2017 staff issued a Request for Proposals (RFP) for the project. The RFP was sent to five (5) interested contractors and was also sent to a state-wide list serve. Four (4) proposals were submitted to the Purchasing Department and were publicly opened on February 27, 2017 at 3:00 pm, local time. Each of the proposer's costs is provided on the attached sheet showing a cost breakdown of services.

A proposal review committee consisting of staff from the City's Planning Department, Purchasing Department and IT Department reviewed the proposals for compliance with the required specifications. All four (4) companies provided acceptable proposals and each provided similar but slightly different pricing structures. However, after considering Davey Resource Group's (DRG) experience, as well as their pricing, it was apparent that they would provide the best value to the City. It should be noted that DRG also conducted the City's last tree inventory in 1999. While DRG initially provided a cost of \$25,447 to conduct the proposed project, they have since agreed to lower their cost to \$25,000 to stay within the overall project budget. Based on these factors, it is the Committee's recommendation that the City Council accept the proposal from DRG and enter into a contract with them for the project.

A contract between the City and Davey Resource Group has been prepared and is attached for City Council consideration. The attached resolution approves the contract and authorizes the City Manager to execute it on behalf of the City.

**City of Watertown Street Tree and planting Site Inventory Project
Summary of Costs**

Proposer	Cost of Inventory	Cost of Report	Total Cost of Project	
Davey Resource Group	\$ 22,347.00	\$ 3,100.00	\$ 25,447.00	DRG will conduct the project for \$25,000.00
Plan-It Geo	\$ 25,875.00	No charge	\$ 25,875.00	
Forecon	\$ 28,470.00	\$ 3,900.00	\$ 32,370.00	
Wendel	\$ 32,625.00	\$ 2,750.00	\$ 35,375.00	

RESOLUTION

Page 1 of 1

Approving the Contract with Davey Resource Group for the City of Watertown Street Tree and Planting Site Inventory Project

Council Member HORBACZ, Cody J.
Council Member JENNINGS, Stephen A.
Council Member MACALUSO, Teresa R.
Council Member WALCZYK, Mark C.
Mayor BUTLER, Jr., Joseph M.

Total

YEA	NAY

Introduced by

WHEREAS the City of Watertown was awarded \$25,000 by the New York State Department of Environmental Conservation through its Urban and Community Forestry Grant Program to conduct Phase 1 of the City of Watertown Street Tree and Planting Site Inventory Project and

WHEREAS on January 25, 2017 the City issued a Request for Proposals (RFP) for the project, and

WHEREAS four (4) proposals were submitted to the City’s Purchasing Department on February 27, 2017, and

WHEREAS City staff reviewed and scored the proposals and found Davey Resource Group (DRG) to have proven ability and competitive pricing to complete the inventory within the project budget, and

WHEREAS a contract has been developed for the project between the City of Watertown and Davey Resource Group, a copy of which is attached and made part of this resolution,

NOW THEREFORE BE IT RESOLVED that the City Council of the City of Watertown, New York approves the contract between Davey Resource Group, a division of The Davey Tree Expert Company, to conduct the Phase 1 of the Street Tree and Planting Site Inventory Project for an amount not to exceed \$25,000, and

BE IT FURTHER RESOLVED that the City Manager, Sharon Addison, is hereby authorized and directed to execute the contract on behalf of the City.

Seconded by

AGREEMENT

THIS CONTRACT, in (3) three copies, is made and entered into this ____ day of May, 2017 by and between the City of Watertown, New York, a municipal corporation of the State of New York, hereinafter referred to as the “Owner” and Davey Resource Group, a division of The Davey Tree Expert Company, hereinafter referred to as the “Contractor”.

Witness: The Owner and the Contractor agree as follows:

Article 1. DESCRIPTION. The Contractor shall supply all labor, materials and equipment necessary to conduct *The City of Watertown Street Tree Inventory Project* as described in the Contract Documents.

Article 2. CONTRACTOR’S OBLIGATIONS. In consideration of the payments to be made as hereinafter provided, and of the performance by the Owner of all of the matters and things to be performed by the Owner, the Contractor agrees, at its sole cost and expense, to perform all the labor and services and to furnish all labor, materials and equipment necessary to complete, and to complete in good, substantial workmanlike and approved manner, the work described in the Contract Documents, within the time specified and in accordance with the terms, conditions and provisions thereof.

Article 3. OWNER’S OBLIGATIONS. The Owner agrees to pay and the Contractor agrees to accept as full compensation for all work done, and materials furnished, if the deliverables called for in the Contract Documents are accepted by the City the amount stipulated in the Proposal made part of the Contract Documents in the total amount of \$25,000.00.

Article 4. CONTRACT DOCUMENTS. The following documents shall constitute the Agreement between the parties:

1. City of Watertown, New York, REQUEST FOR PROPOSALS, Street Tree and Planting Site Inventory, issued on January 25, 2017.
2. Davey Resource Group Proposal for the Street Tree and Planting site Inventory Project, dated February, 2017.
3. Davey Resource Group Agreement for Specification of Work: GIS Based Public Tree Inventory & Associated Services Specifications, Watertown, New York April 4, 2017
4. This Agreement dated, May ____, 2017; and all interpretations of or addenda to the Contract Documents issued by the Owner or its City Manager with the approval of the Owner.

The Table of Contents, Headings and Titles contained herein and in the above listed documents are solely intended to facilitate reference to various provisions of the Contract Documents and in no way effect, limit or cast light on the interpretation of the provision to which they refer.

Article 5. If the Contractor fails to comply with any of the terms, conditions, provisions or stipulations of this Contract, according to the true intent and meaning thereof, then the Owner may make use of any or all remedies available to it under the Contract or at law.

Article 6. The Contractor shall comply at all times with local City codes and New York State Department of Labor and OSHA Regulations.

Article 7. The Work will be substantially completed no later than October 31, 2017 as detailed in the Project Request for Proposals.

IN WITNESS WHEREOF, the parties to this Agreement have hereunto set their hands and seals and have executed, in (3) three copies, the day and year first above written.

CITY OF WATERTOWN

By: _____
Sharon Addison, City Manager

CONTRACTOR

By: _____
Davey Resource Group, a division of The Davey Tree Expert Company
By:

Res No. 8

May 10, 2017

To: The Honorable Mayor and City Council
From: Sharon Addison, City Manager
Subject: Authorizing the Sale of Surplus Parks and Recreation Pickup

The Parks and Recreation Department has a 1997 Ford Pickup that is either no longer useful or beyond repair and therefore no longer of value to the City.

As stated in the attached report of City Purchasing Manager Amy M. Pastuf, the truck could be sold through Auctions International's online website.

A resolution is attached for City Council consideration.

RESOLUTION

Page 1 of 1

Authorizing the Sale of Surplus Parks and Recreation Pickup

Council Member HORBACZ, Cody J.
 Council Member JENNINGS, Stephen A.
 Council Member MACALUSO, Teresa R.
 Council Member WALCZYK, Mark C.
 Mayor BUTLER, Jr., Joseph M.
 Total

YEA	NAY

Introduced by

WHEREAS the City of Watertown has a surplus 1997 Ford F350 Pickup, the description of which is attached and made a part of this resolution, and

WHEREAS this pickup may have some value best determined by on-line auction,

NOW THEREFORE BE IT RESOLVED by the City Council of the City of Watertown, New York, that it hereby authorizes the sale, by on-line auction, of the surplus Parks and Recreation pickup, and

BE IT FURTHER RESOLVED that final acceptance of such bids shall constitute acceptance of the same by the City Council.

Seconded by

SURPLUS ITEMS

The following items are surplus to the City's needs. This vehicle is located at the City DPW Garage.

DESCRIPTION	Department
Fleet #3-12, 1997 Ford F350 Pickup VIN# 1FTHF36H4VED03244, Mileage 53,100	Parks and Recreation





CITY OF WATERTOWN, NEW YORK

ROOM 205, CITY HALL
245 WASHINGTON STREET
WATERTOWN, NEW YORK 13601-3380
E-MAIL APastuf@watertown-ny.gov
☎ (315) 785-7749 📠 (315) 785-7752

Amy M. Pastuf
Purchasing Manager

MEMORANDUM

TO: Sharon Addison, City Manager
FROM: Amy M. Pastuf, Purchasing Manager
SUBJECT: Surplus Sale of Vehicle
DATE: 5/10/2017

The Purchasing Department is requesting City Council's permission to auction a surplus vehicle from Parks and Recreation through the Auctions International on-line website. The Department has determined that the vehicle is either no longer useful or beyond repair and therefore no longer of value to the City. This request is for the City Council to authorize the Purchasing Department to accept the highest offer at time of sale provided the offer meets or exceeds the estimated scrap value.

Thank you for your consideration in this matter.

Copy: Jim Mills, City Comptroller
Erin Gardner, Superintendent of Parks and Recreation

Enclosures

Res No. 9

May 10, 2017

To: The Honorable Mayor and City Council
From: Sharon Addison, City Manager
Subject: Authorizing the Sale of Surplus Police Car

The Police Department has a 2009 Ford Crown Victoria that is either no longer useful or beyond repair and therefore no longer of value to the City.

As stated in the attached report of City Purchasing Manager Amy M. Pastuf, the vehicle could be sold through Auctions International's online website.

A resolution is attached for City Council consideration.

RESOLUTION

Page 1 of 1

Authorizing the Sale of Surplus Police Car

Introduced by

Council Member HORBACZ, Cody J.
 Council Member JENNINGS, Stephen A.
 Council Member MACALUSO, Teresa R.
 Council Member WALCZYK, Mark C.
 Mayor BUTLER, Jr., Joseph M.

Total

YEA	NAY

WHEREAS the City of Watertown has a surplus 2009 Ford Crown Victoria, the description of which is attached and made a part of this resolution, and

WHEREAS this car may have some value best determined by on-line auction,

NOW THEREFORE BE IT RESOLVED by the City Council of the City of Watertown, New York, that it hereby authorizes the sale, by on-line auction, of the surplus Police Car, and

BE IT FURTHER RESOLVED that final acceptance of such bids shall constitute acceptance of the same by the City Council.

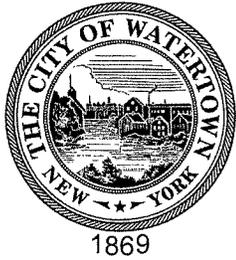
Seconded by

SURPLUS ITEMS

The following item is surplus to the City's needs. This vehicle is located at the City Police Department.

DESCRIPTION	Department
2009 Ford Crown Victoria, VIN# 2FAHP71V119X131525, Mileage 129,050	Police Department





CITY OF WATERTOWN, NEW YORK

ROOM 205, CITY HALL
245 WASHINGTON STREET
WATERTOWN, NEW YORK 13601-3380
E-MAIL APastuf@watertown-ny.gov
☎ (315) 785-7749 📠 (315) 785-7752

Amy M. Pastuf
Purchasing Manager

MEMORANDUM

TO: Sharon Addison, City Manager
FROM: Amy M. Pastuf, Purchasing Manager
SUBJECT: Surplus Sale of Police Car
DATE: 5/10/2017

The Purchasing Department is requesting City Council's permission to auction one surplus vehicle from the Police Department. The Department has determined that the vehicle is no longer useful and beyond repair and therefore no longer of value to the City. This request is for the City Council to authorize the Purchasing Department to accept the highest offer at time of sale provided the offer meets or exceeds the estimated scrap value.

Thank you for your consideration in this matter.

Copy: Jim Mills, City Comptroller
Chief Charles Donoghue

Enclosures

Ord No. 1

May 8, 2017

To: The Honorable Mayor and City Council

From: Jennifer L. Voss, Senior Planner

Subject: Amending Section 310-56, of the Zoning Ordinance and Section A322-4 of the Subdivision Regulations to require Consistency With the Standards of the City of Watertown Stormwater Management and Erosion and Sediment Control Law

As a result of the Stormwater Management and Erosion and Sediment Control Law adopted by the City Council in March, the City Zoning Code and Subdivision law need to be amended to incorporate the new requirements of the law. The Stormwater Law requires all applications for land development activities to include an MS4 Compliance Permit, As-Built information, and a Stormwater Maintenance Agreement. The Site Plan Application has been updated to include the new requirements, along with a copy of the Stormwater Law. Additionally, all subdivision applications that will result in the disturbance of more than one acre, or activities disturbing less than one acre if they are a part of a larger common development, will be required to comply with the standards of the Stormwater Management Law.

At its May 2, 2017 meeting, the City Planning Board adopted a motion recommending that the City Council amend Section 310-56, paragraph A of the Zoning Ordinance and Section A322-4 of the Subdivision Regulations to require consistency with the Stormwater Management and Erosion and Sediment Control Law.

Attached is the report on the zoning text amendment prepared for the Planning Board, along with an excerpt from its meeting minutes.

The attached ordinance adopts the amendments as required. The Council must hold a public hearing on the ordinance before it may vote. It is recommended that a public hearing be scheduled for 7:30 p.m. on Monday, June 5, 2017. A SEQRA resolution will also be presented for City Council consideration at that meeting.

ORDINANCE

Page 1 of 2

Amending Section 310-56, of the Zoning Ordinance and Section A322-4 of the Subdivision Regulations to Require Consistency With the Standards of the City of Watertown Stormwater Management and Erosion and Sediment Control Law

Council Member HORBACZ, Cody J.
 Council Member JENNINGS, Stephen A.
 Council Member MACALUSO, Teresa R.
 Council Member WALCZYK, Mark. C.
 Mayor BUTLER, Jr., Joseph M.
 Total

YEA	NAY

Introduced by

BE IT ORDAINED where on March 6, 2017 the City Council adopted the Stormwater Management and Erosion and Sediment Control Law which requires all applications for land development activities to include an MS4 Compliance Permit, As-Built information, and a Stormwater Maintenance Agreement, and

WHEREAS the City Zoning Code and Subdivision law need to be amended to incorporate the new requirements of the law, and

WHEREAS the Planning Board of the City of Watertown reviewed the proposed zoning text amendments to Section 310-56 of the Zoning Ordinance and Section A322-4 of the Subdivision Regulations at its May 2, 2017 meeting and unanimously adopted a motion recommending that City Council approve the amendments as proposed, and

WHEREAS a public hearing was held on the proposed zoning text amendments on June 5, 2017, after due public notice, and

WHEREAS the City Council has made a declaration of Negative Findings of the impacts of the proposed amendments according to the requirements of SEQRA, and

WHEREAS the City Council deems it in the best interest of the citizens of the City of Watertown to approve the requested amendments,

NOW THEREFORE BE IT ORDAINED by the City Council of the City of Watertown that **§ 310-56 Submission of Site Plan and Supporting Data** of the City Zoning Code is hereby amended to add the following:

- (10). A Stormwater Pollution Prevention Plan (SWPPP) as defined by, and consistent with the standards of Chapter 260, the City of Watertown Municipal Stormwater Sewer System Policy, where required.

ORDINANCE

Page 2 of 2

Amending Section 310-56, of the Zoning Ordinance and Section A322-4 of the Subdivision Regulations to Require Consistency With the Standards of the City of Watertown Stormwater Management and Erosion and Sediment Control Law

Council Member HORBACZ, Cody J.
 Council Member JENNINGS, Stephen A.
 Council Member MACALUSO, Teresa R.
 Council Member WALCZYK, Mark. C.
 Mayor BUTLER, Jr., Joseph M.
 Total

YEA	NAY

BE IT FURTHER ORDAINED that § **A322-4 General Requirements and Principles** of the Subdivision Regulations is hereby amended to add the following:

U. Where required, the subdivider shall provide a Stormwater Pollution Prevention Plan (SWPPP) as defined by, and consistent with the standards of Chapter 260, the City of Watertown Municipal Stormwater Sewer System Policy.

BE IT FURTHER ORDAINED this Amendment to the City Code and Subdivions Regulations of the City of Watertown shall take effect as soon as it is published once in the official newspaper of the City of Watertown, or otherwise printed as the City Manager directs.

Seconded by

Ms. Fields then asked Staff if a special Planning Board meeting on May 16th would allow Mr. Lundy to remain on schedule. Mr. Urda replied that a Planning Board vote on May 16th would allow Mr. Lundy to be on the City Council agenda for June 5th.

Ms. Fields then moved to table the request submitted by Patrick J. Scordo, P.E. of GYMO, DPC on behalf of Mike Lundy of Lundy Development and Property Management for the construction of a 4,280 square foot building addition and associated site improvements at 161 Clinton Street, Parcel Number 10-07-109.000.

Mr. Coburn seconded the motion and all voted in favor.

Mr. Urda then said that the Planning Board had officially scheduled a special meeting for 3 p.m. on Tuesday, May 16th. Mr. Urda then asked Mr. Ross and Mr. Lundy to speak with Staff after the meeting to establish an appropriate deadline for resubmission.

ZONING ORDINANCE TEXT AMENDMENT SECTION 310-56 and SECTION A322-4

The Planning Board then considered a proposal to amend Section 310-56. Submission of Site Plan and Supporting Data, paragraph A to require consistency with the standards of the City of Watertown Stormwater Management and Erosion and Sediment Control Law and to amend Section A322-4 of the Subdivision Regulations to require the subdivider to provide a Stormwater Pollution Prevention Plan (SWPPP) as defined by, and consistent with the standards of the City of Watertown Stormwater Management and Erosion and Sediment Control Law.

Ms. Voss began by saying that the City had to adopt this law because of MS4 requirements and the City made the amendments that it was legally required to make, and now the Planning Board would need to pass the stormwater regulations as part of the Site Plan Approval process. Mr. Neddo asked whether this change affected the site plan for Clinton Street that Mr. Lundy was working on. Ms. Voss replied that a SWPPP was one of the conditions for the Clinton Street site plan.

Mr. Coburn then moved to recommend that City Council approve the proposal to amend Section 310-56. Submission of Site Plan and Supporting Data, paragraph A to require consistency with the standards of the City of Watertown Stormwater Management and Erosion and Sediment Control Law and to amend Section A322-4 of the Subdivision Regulations to require the subdivider to provide a Stormwater Pollution Prevention Plan (SWPPP) as defined by, and consistent with the standards of the City of Watertown Stormwater Management and Erosion and Sediment Control Law.

Ms. Fields seconded the motion and all voted in favor.

Mr. Rowell then moved to adjourn the meeting. Mr. Coburn seconded the motion and all voted in favor. The meeting was adjourned at 3:52 p.m.

Short Environmental Assessment Form

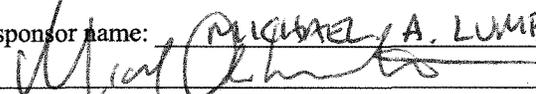
Part 1 - Project Information

Instructions for Completing

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

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

Part 1 - Project and Sponsor Information			
Name of Action or Project: Zoning Ordinance Amendment, Section 310-56 and Subdivision Amendment, Section A322-4			
Project Location (describe, and attach a location map): City of Watertown, Jefferson County, New York			
Brief Description of Proposed Action: The City is proposing to amend Section 310-56, Submission of Site Plan and Supporting Data, Paragraph A of the Zoning Ordinance to require consistency with the standards of the City of Watertown Stormwater Management and Erosion and Sediment Control Law and to amend Section A322-4 of the Subdivision Regulations to require the subdivider to provide a Stormwater Pollution Prevention Plan (SWPP) as defined by, and consistent with the standards of the City of Watertown Stormwater Management and Erosion and Sediment Control Law.			
Name of Applicant or Sponsor: City of Watertown Planning Department		Telephone: 315-785-7730 E-Mail: jvoss@watertown-ny.gov	
Address: 245 Washington Street			
City/PO: Watertown		State: New York	Zip Code: 13601
1. Does the proposed action only involve the legislative adoption of a plan, local law, ordinance, administrative rule, or regulation? If Yes, attach a narrative description of the intent of the proposed action and the environmental resources that may be affected in the municipality and proceed to Part 2. If no, continue to question 2.			NO <input type="checkbox"/>
			YES <input checked="" type="checkbox"/>
2. Does the proposed action require a permit, approval or funding from any other governmental Agency? If Yes, list agency(s) name and permit or approval:			NO <input type="checkbox"/>
			YES <input type="checkbox"/>
3.a. Total acreage of the site of the proposed action? _____ acres			
b. Total acreage to be physically disturbed? _____ acres			
c. Total acreage (project site and any contiguous properties) owned or controlled by the applicant or project sponsor? _____ acres			
4. Check all land uses that occur on, adjoining and near the proposed action.			
<input type="checkbox"/> Urban <input type="checkbox"/> Rural (non-agriculture) <input type="checkbox"/> Industrial <input type="checkbox"/> Commercial <input type="checkbox"/> Residential (suburban)			
<input type="checkbox"/> Forest <input type="checkbox"/> Agriculture <input type="checkbox"/> Aquatic <input type="checkbox"/> Other (specify): _____			
<input type="checkbox"/> Parkland			

<p>18. Does the proposed action include construction or other activities that result in the impoundment of water or other liquids (e.g. retention pond, waste lagoon, dam)? If Yes, explain purpose and size: _____ _____ _____</p>	<p>NO</p> <p><input type="checkbox"/></p>	<p>YES</p> <p><input type="checkbox"/></p>
<p>19. Has the site of the proposed action or an adjoining property been the location of an active or closed solid waste management facility? If Yes, describe: _____ _____ _____</p>	<p>NO</p> <p><input type="checkbox"/></p>	<p>YES</p> <p><input type="checkbox"/></p>
<p>20. Has the site of the proposed action or an adjoining property been the subject of remediation (ongoing or completed) for hazardous waste? If Yes, describe: _____ _____ _____</p>	<p>NO</p> <p><input type="checkbox"/></p>	<p>YES</p> <p><input type="checkbox"/></p>
<p>I AFFIRM THAT THE INFORMATION PROVIDED ABOVE IS TRUE AND ACCURATE TO THE BEST OF MY KNOWLEDGE</p> <p>Applicant/sponsor name: <u>MICHAEL A. LUMBIS</u> Date: <u>5/10/17</u></p> <p>Signature: <u></u></p>		

Project:

Date:

**Short Environmental Assessment Form
Part 2 - Impact Assessment**

Part 2 is to be completed by the Lead Agency.

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

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

Project: _____
 Date: _____

**Short Environmental Assessment Form
 Part 3 Determination of Significance**

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

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

City of Watertown

Name of Lead Agency	Date
Joseph M. Butler, Jr.	Mayor
Print or Type Name of Responsible Officer in Lead Agency	Title of Responsible Officer
Signature of Responsible Officer in Lead Agency	Signature of Preparer (if different from Responsible Officer)

Public Hearings – 7:30 p.m.

May 10, 2017

To: The Honorable Mayor and City Council
From: Sharon Addison, City Manager
Subject: Public Hearings for 2017-18 Operating Budgets and 2017-18 through
2021-22 Capital Budget

As part of the Budget review process, the City provides the public with an opportunity to voice their opinions about the Proposed Budgets, both Operating and Capital. Public Hearings on the Proposed Budgets, as well as the Local Law to override the tax levy limit have been scheduled as follows:

Monday, May 15, 2017

7:30 p.m.	2017-18 Operating Budgets
7:30 p.m.	2017-18 through 2021-22 Capital Budget
7:30 p.m.	Local Law No. 2 of 2017 – A Local Law Overriding the Tax Levy Limit Established by New York General Municipal Law §3-c

LOCAL LAW

Page 1 of 2

A Local Law Overriding the Tax Levy Limit Established by New York General Municipal Law §3-c

Council Member HORBACZ, Cody J.
Council Member JENNINGS, Stephen A.
Council Member MACALUSO, Teresa R.
Council Member WALCZYK, Mark C.
Mayor BUTLER, Jr., Joseph M.
Total

Table with 2 columns: YEA, NAY. Rows for each council member and a total row.

Introduced by

Council Member Stephen A. Jennings

A local law to override the tax levy limits established by New York General Municipal Law §3-c.

WHEREAS the City Council of the City of Watertown desires to override the limit on the amount of real property taxes that may be levied by the City of Watertown pursuant to General Municipal Law §3-c, and to allow the City of Watertown to adopt a budget for the fiscal year beginning July 1, 2017 and ending June 30, 2018 that requires a real property tax levy in excess of the "tax levy limit" as defined by General Municipal Law §3-c, and

WHEREAS such override is authorized by the provisions of subdivision 5 of General Municipal Law §3-c, which expressly authorizes the City Council to override the tax limit by adoption of a local law approved by a vote of at least sixty percent (60%) of the City Council, and

WHEREAS a public hearing on this was held on May 15, 2017, at 7:30 p.m. in the City Council Chambers,

BE IT ENACTED BY THE CITY COUNCIL OF THE CITY OF WATERTOWN, NEW YORK AS FOLLOWS:

Tax Levy Limit Override: The City Council of the City of Watertown, County of Jefferson is hereby authorized to adopt a budget for the fiscal year 2017-2018 that requires a real property tax levy in excess of the amount otherwise prescribed in General Municipal Law §3-c.

Severability: If any clause, sentence, paragraph, subdivision, or part of this Local Law or the application thereof to any person, individual, firm or corporation, or circumstance, shall be adjudicated by any court of competent jurisdiction to be invalid or unconstitutional, such order or judgment shall not affect, impair, or invalidate the remainder thereof, but shall be confined in its operation to the clause, sentence, paragraph, subdivision, or part of this Local Law or in its application to the person, individual, firm or corporation or circumstance, directly involved in the controversy in which such judgment or order shall be rendered.

LOCAL LAW

Page 2 of 2

A Local Law Overriding the Tax Levy Limit Established by New York General Municipal Law §3-c

Council Member HORBACZ, Cody J.
 Council Member JENNINGS, Stephen A.
 Council Member MACALUSO, Teresa R.
 Council Member WALCZYK, Mark C.
 Mayor BUTLER, Jr., Joseph M.
 Total

YEA	NAY

Effective Date: This local law shall take effect immediately upon filing with the Secretary of State.

Seconded by Council Member Teresa R. Macaluso

May 11, 2017

To: The Honorable Mayor and City Council

From: Sharon Addison, City Manager

Subject: NYSDEC Municipal Separate Storm Sewer Systems (MS4) Annual Report

The attached Annual Report has been prepared by the Jefferson County Soil and Water Conservation District on behalf of the Jefferson County Stormwater Coalition. This draft is available for the public to view on our website and at www.jcnystormwater.com.

The public is welcome to comment on this draft annual report until close of business on May 22, 2017. The public is also welcome to comment at the May 15, 2017 Council Meeting.

At the close of the public comment period,, this draft will be signed and returned to the Jefferson County Soil and Water Conservation District with all relevant comments for formal submission to the NYSDEC.

MS4 Municipal Compliance Certification(MCC) Form

MCC form for period ending March 9, 2017

Name of MS4

SPDES ID

N	Y	R	2	0	A	5	6	5
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Section 2 - Contact Information

Important Instructions - Please Read

Contact information must be provided for each of the following positions as indicated below:

1. Principal Executive Officer, Chief Elected Official or other qualified individual (per GP-0-08-002 Part VI.J).
2. Duly Authorized Representative (Information for this contact must only be submitted if a Duly Authorized Representative is signing this form)
3. The Local Stormwater Public Contact (required per GP-0-08-002 Part VII.A.2.c & Part VIII.A.2.c).
4. The Stormwater Management Program (SWMP) Coordinator (Individual responsible for coordination/implementation of SWMP).
5. Report Preparer (Consultants may provide company name in the space provided).

A separate sheet must be submitted for each position listed above unless more than one position is filled by the same individual. If one individual fills multiple roles, provide the contact information once and check all positions that apply to that individual.

If a new Duly Authorized Representative is signing this report, their contact information must be provided and a signature authorization form, signed by the Principal Executive Officer or Chief Elected Official must be attached.

For each contact, select all that apply:

- Principal Executive Officer/Chief Elected Official
- Duly Authorized Representative
- Local Stormwater Public Contact
- Stormwater Management Program (SWMP) Coordinator
- Report Preparer

First Name MI Last Name

Title

Address

City State Zip

eMail

Phone County

MS4 Municipal Compliance Certification(MCC) Form

MCC form for period ending March 9, 2017

Name of MS4

SPDES ID

N	Y	R	2	0	A		
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Section 2 - Contact Information

Important Instructions - Please Read

Contact information must be provided for each of the following positions as indicated below:

1. Principal Executive Officer, Chief Elected Official or other qualified individual (per GP-0-08-002 Part VI.J).
2. Duly Authorized Representative (Information for this contact must only be submitted if a Duly Authorized Representative is signing this form)
3. The Local Stormwater Public Contact (required per GP-0-08-002 Part VII.A.2.c & Part VIII.A.2.c).
4. The Stormwater Management Program (SWMP) Coordinator (Individual responsible for coordination/implementation of SWMP).
5. Report Preparer (Consultants may provide company name in the space provided).

A separate sheet must be submitted for each position listed above unless more than one position is filled by the same individual. If one individual fills multiple roles, provide the contact information once and check all positions that apply to that individual.

If a new Duly Authorized Representative is signing this report, their contact information must be provided and a signature authorization form, signed by the Principal Executive Officer or Chief Elected Official must be attached.

For each contact, select all that apply:

- Principal Executive Officer/Chief Elected Official
- Duly Authorized Representative
- Local Stormwater Public Contact
- Stormwater Management Program (SWMP) Coordinator
- Report Preparer

First Name MI Last Name

Title

Address

City State Zip

eMail

Phone County

MS4 Municipal Compliance Certification (MCC) Form

MCC form for period ending March 9,

2	0	1	7
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Name of MS4

SPDES ID

N	Y	R	2	0	A				
---	---	---	---	---	---	--	--	--	--

Section 3 - Partner Information

Did your MS4 work with partners/coalition to complete some or all permit requirements during this reporting period? Yes No

If Yes, complete information below.

Submit a separate sheet for each partner. Information provided in other formats will not be accepted. If your MS4 cooperated with a coalition, submit one sheet with the name of the coalition. It is not necessary to include a separate sheet for each MS4 in the coalition.

If No, proceed to Section 4 - Certification Statement.

Partner/Coalition Name

J e f f e r s o n C o u n t y S t o r m w a t e r

Partner/Coalition Name (con't.)

C o a l i t i o n

SPDES Partner ID - If applicable

N Y R 2 0

Address

P O B o x 1 3 9

City

W a t e r t o w n

State

N Y

Zip

1 3 6 0 1 -

eMail

c w a t k i n s @ c e n t r a l n y . t w c b c . c o m

Phone

(3 1 5) 7 8 2 - 2 7 4 9

Legally Binding Agreement in accordance with GP-0-08-002 Part IV.G.? Yes No

What tasks/responsibilities are shared with this partner (e.g. MM1 School Programs or Multiple Tasks)?

- MM1 M u l t i p l e T a s k - S e e S W M P
- MM2 M u l t i p l e T a s k - S e e S W M P
- MM3 M u l t i p l e T a s k - S e e S W M P
- MM4 M u l t i p l e T a s k - S e e S W M P
- MM5 M u l t i p l e T a s k - S e e S W M P
- MM6 M u l t i p l e T a s k - S e e S W M P

Additional tasks/responsibilities

- Watershed Improvement Strategy Best Management Practices required for MS4s in impaired watersheds included in GP-0-08-002 Part IX.

--

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9, 2017

If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition: Jefferson County Storm Water Coalition

SPDES ID
N Y R 2 0

3. Web Page con't.: Provide specific web addresses - not home page.

URL

E d u c a t i o n S t r a t e g i e s :
B l a c k R i v e r W a t e r s h e d C o n f e r e n c e
L o c a l G o v t C o n f e r e n c e

URL

E n v i r o t h o n
D A N C R e c y c l e C o m m e r c i a l

URL

4 h r E & S C C o n t r a c t o r T r a i n i n g
B i - m o n t h l y C o a l i t i o n M e e t i n g
M o n t h l y C o a l i t i o n C o o r d i n a t o r M t

URL

S W M P S W P P P T r a i n i n g D u n k l e C l a s s
S W M P f o r M u n i c i p a l i t i e s D u n k l e

URL

URL

URL

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9,

2	0	1	7
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If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition

Jefferson County Storm Water Coalition
--

SPDES ID

N	Y	R	2	0				
---	---	---	---	---	--	--	--	--

4. Evaluating Progress Toward Measurable Goals MCM 1

Use this page to report on your progress and project plans toward achieving measurable goals identified in your Stormwater Management Program Plan (SWMPP), including requirements in Part III.C.1. Submit additional pages as needed.

A. Briefly summarize the Measurable Goal identified in the SWMPP in this reporting period.

Monitor the number of "hits" to the website.
Number of brochures, fact sheets and news letters "developed".
Number of people "trained".

B. Briefly summarize the observations that indicated the overall effectiveness of this Measurable Goal.

The website is showing an increase in use by the public, MS4s have participated in Stormwater training provided by SWCD; and the Tug Hill Commission has updates to stormwater in its newsletter, SWCD has updates on its facebook page, and the coalition website has updates regarding storm water. are handing out newsletters to the public when they stop in.

C. How many times was this observation measured or evaluated in this reporting period?

		0	0
--	--	---	---

(ex.: samples/participants/events)

D. Has your MS4 made progress toward this Measurable Goal during this reporting period?

Yes No

E. Is your MS4 on schedule to meet the deadline set forth in the SWMPP?

Yes No

F. Briefly summarize the stormwater activities planned to meet the goals of this MCM during the next reporting cycle (including an implementation schedule).

The storm-water coalition will continue to add new material to the website. This will include additional printed material with uploaded pdfs. The coalition will continue to host the 4hr contractor training classes for erosion and sediment control. The coalition will work with SUNY JCC to add stormwater questions to their annual survey of JC residents. The results will be used to help determine the level of storm water understanding in JC. The coalition will involve municipalities in more training for the roll out of the SWMPP.

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9, 2017

If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition: Jefferson County Storm Water Coalition

SPDES ID
N Y R 2 0

Minimum Control Measure 2. Public Involvement/Participation

The information in this section is being reported (check one):

- On behalf of an individual MS4
- On behalf of a coalition

How many MS4s contributed to this report? 9

1. What opportunities were provided for public participation in implementation, development, evaluation and improvement of the Stormwater Management Program (SWMP) Plan during this reporting period? Check all that apply:

- Cleanup Events # Events 2
- Comments on SWMP Received # Comments 0
- Community Hotlines
 - Phone # (3 1 5) 6 2 9 - 4 0 5 2 Phone # (3 1 5) 7 7 3 - 5 0 9 3
 - Phone # (3 1 5) 7 8 3 - 8 0 7 7 Phone # (3 1 5) 7 8 8 - 3 4 4 0
 - Phone # () () () - () () () Phone # () () () - () () ()
 - Phone # () () () - () () () Phone # () () () - () () ()
 - Phone # () () () - () () () Phone # () () () - () () ()
- Community Meetings # Attendees 1 1 5
- Plantings Sq. Ft. 4 2 0 0 0
- Storm Drain Markings # Drains
- Stakeholder Meetings # Attendees 4 2
- Volunteer Monitoring # Events
- Other: B R A n n u a l W a t e r s h e d C o n f .

2. Was public notice of availability of this annual report and Stormwater Management Program (SWMP) Plan provided? Yes No

- List-Serve # In List
- Newspaper Advertising # Days Run
- TV/Radio Notices # Days Run
- Other: E a c h m u n i c i p a l i t y M t g A g e n d a

● Web Page URL: Enter URL(s) on the following two pages.

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9, 2017

If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition: Jefferson County Storm Water Coalition

SPDES ID
N Y R 2 0

2. URL(s) con't.:

Please provide specific address(es) where notice(s) can be accessed - not home page.

URL
w w w . j c n y s t o r m w a t e r . c o m

URL

URL

URL

URL

URL

URL

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9, 2017

If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition: SPDES ID:

3. Where can the public access copies of this annual report, Stormwater Management Program SWMP) Plan and submit comments on those documents?

Enter address/contact info and select radio button to indicate which document is available and whether comments may be submitted at that location. Submit additional pages as needed.

- MS4/Coalition Office Annual Report SWMP Plan Comments

Department:
 Address:
 City: Zip: -
 Phone: () -

- Library Annual Report SWMP Plan Comments

Address:
 City: Zip: -
 Phone: () -

- Other Annual Report SWMP Plan Comments

Address:
 City: Zip: -
 Phone: () -

- Web Page URL: Annual Report SWMP Plan Comments

Please provide specific address of page where report can be accessed - not home page.

- eMail Comments

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9,

2	0	1	7
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If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition

Jefferson County Storm Water Coalition

SPDES ID

N	Y	R	2	0				
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4.a. If this report was made available on the internet, what date was it posted?

Leave blank if this report was not posted on the internet.

0	6	/	0	1	/	2	0	1	7
---	---	---	---	---	---	---	---	---	---

4.b. For how many days was/will this report be posted?

3	6	5
---	---	---

If submitting a report for single MS4, answer 5.a.. If submitting a joint report, answer 5.b..

5.a. Was an Annual Report public meeting held in this reporting period?
 Yes No

If Yes, what was the date of the meeting?

		/			/				
--	--	---	--	--	---	--	--	--	--

If No, is one planned?

 Yes No
5.b. Was an Annual Report public meeting held for all MS4s contributing to this report during this reporting period?
 Yes No

If No, is one planned for each?

 Yes No
6. Were comments received during this reporting period?
 Yes No

If Yes, attach comments, responses and changes made to SWMP in response to comments to this report.

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9,

2	0	1	7
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If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition

Jefferson County Storm Water Coalition
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SPDES ID

N	Y	R	2	0				
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7. Evaluating Progress Toward Measurable Goals MCM 2

Use this page to report on your progress and project plans toward achieving measurable goals identified in your Stormwater Management Program Plan (SWMP), including requirements in Part III.C.1. Submit additional pages as needed.

A. Briefly summarize the Measurable Goal identified in the SWMP in this reporting period.

- Number of comments received from the public regarding the SWMP.
- Number of comments received from the public regarding the Annual Report.
- Number of attendees at bi-monthly coalition meetings.
- Number of Calls to the Hotline.

B. Briefly summarize the observations that indicated the overall effectiveness of this Measurable Goal.

The Jefferson County Storm Water Coalition prepared an annual report with public comments and responses. Through stake holder meetings (coalition bi-monthly and coordinator meetings), newsletters, and the web site the public has been informed and allowed to participate in the SWMP process. The Annual report and SWMP are posted on the website. There were no comments during this reporting period. The number of attendees at coalition meetings is increasing and at the coordinator meetings. The coordinator developed stormwater hotline and will begin documentation.

C. How many times was this observation measured or evaluated in this reporting period?

			9
--	--	--	---

(ex.: samples/participants/events)

D. Has your MS4 made progress toward this measurable goal during this reporting period?

Yes No

E. Is your MS4 on schedule to meet the deadline set forth in the SWMP?

Yes No

F. Briefly summarize the stormwater activities planned to meet the goals of this MCM during the next reporting cycle (including an implementation schedule).

The Jefferson County Storm Water Coalition will continue to prepare an annual report with public comments and responses. The report will be available on the website.
The Jefferson County Storm Water Coalition will continue to prepare and implement the SWMP with public comments and responses. The report will be available on the website.
The Jefferson County Storm Water Coalition will continue to hold bi-monthly coalition meetings where the public is welcome and comments and questions can be documented.

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9, 2017

If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition: Jefferson County Storm Water Coalition

SPDES ID: NYR20

Minimum Control Measure 3. Illicit Discharge Detection and Elimination

The information in this section is being reported (check one):

- On behalf of an individual MS4
- On behalf of a coalition

How many MS4s contributed to this report? 9

1. Enter the number and approx. percent of outfalls mapped: 114 # 100%

2. How many of these outfalls have been screened for dry weather discharges during this reporting period (outfall reconnaissance inventory)? 0

3.a. What types of generating sites/sewersheds were targeted for inspection during this reporting period?

- Auto Recyclers
- Building Maintenance
- Churches
- Commercial Carwashes
- Commercial Laundry/Dry Cleaners
- Construction Vehicle Washouts
- Cross-Connections
- Distribution Centers
- Food Processing Facilities
- Garbage Truck Washouts
- Hospitals
- Improper RV Waste Disposal
- Industrial Process Water
- Other:
- Landscaping (Irrigation)
- Marinas
- Metal Plateing Operations
- Outdoor Fluid Storage
- Parking Lot Maintenance
- Printing
- Residential Carwashing
- Restaurants
- Schools and Universities
- Septic Maintenance
- Swimming Pools
- Vehicle Fueling
- Vehicle Maint./Repair Shops
- None

All outfalls were recon in 2014

Sewersheds:

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9,

2	0	1	7
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If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition

Jefferson County Storm Water Coalition

SPDES ID

N	Y	R	2	0				
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12. Evaluating Progress Toward Measurable Goals MCM 3

Use this page to report on your progress and project plans toward achieving measurable goals identified in your Stormwater Management Program Plan (SWMPP), including requirements in Part III.C.1. Submit additional pages as needed.

A. Briefly summarize the Measurable Goal identified in the SWMPP in this reporting period.

Percent of outfalls mapped. Percent of sewersheds mapped. Percent of total storm sewer system mapped. Percent of outfalls for which an outfall reconnaissance inventory has been performed. Adoption and enforcement of local IDDE law or ordinance. Utilization of GIS based data collection and reconnaissance procedures.

B. Briefly summarize the observations that indicated the overall effectiveness of this Measurable Goal.

The Coalition has identified and mapped 100% of the outfalls for the MS4 coalition. The coalition has mapped 100% of the storm sewer-sheds for the MS4 coalition. The Coalition has identified and mapped 100% of the Total storm sewer systems for the coalition. The Coalition has re-conned 100% of the outfalls in 2014. Many of the municipalities have adopted laws and procedures to deal with IDDE.

C. How many times was this observation measured or evaluated in this reporting period?

			0
--	--	--	---

(ex.: samples/participants/events)

D. Has your MS4 made progress toward this measurable goal during this reporting period?
 Yes No
E. Is your MS4 on schedule to meet the deadline set forth in the SWMPP?
 Yes No
F. Briefly summarize the stormwater activities planned to meet the goals of this MCM during the next reporting cycle (including an implementation schedule).

The remaining municipalities will develop a regulatory mechanism equivalent to NYS IDE model law, and procedures to follow that law. Each municipality will train their employees with regard to IDDE laws, policies, and procedures.
--

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9,

2	0	1	7
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If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition

Jefferson County Storm Water Coalition
--

SPDES ID

N	Y	R	2	0				
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Minimum Control Measures 4 and 5.
Construction Site and Post-Construction Control

The information in this section is being reported (check one):

- On behalf of an individual MS4
- On behalf of a coalition

How many MS4s contributed to this report?

		9
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1a. Has each MS4 contributing to this report adopted a law, ordinance or other regulatory mechanism that provides equivalent protection to the NYS SPDES General Permit for Stormwater Discharges from Construction Activities? Yes No

1b. Has each Town, City and/or Village contributing to this report documented that the law is equivalent to a NYSDEC Sample Local Law for Stormwater Management and Erosion and Sediment Control through either an attorney certification or using the NYSDEC Gap Analysis Workbook? Yes No NT

If Yes, Towns, Cities and Villages provide date of equivalent NYS Sample Local Law.
 09/2004 03/2006 NT

2. Does your MS4/Coalition have a SWPPP review procedure in place? Yes No

3. How many Construction Stormwater Pollution Prevention Plans (SWPPPs) have been reviewed in this reporting period?

		0
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4. Does your MS4/Coalition have a mechanism for receipt and consideration of public comments related to construction SWPPPs? Yes No NT

If Yes, how many public comments were received during this reporting period?

--	--	--

5. Does your MS4/Coalition provide education and training for contractors about the local SWPPP process? Yes No

6. Identify which of the following types of enforcement actions you used during the reporting period for construction activities, indicate the number of actions, or note those for which you do not have authority:

- | | | | | | | | | |
|--|---|---|--|---|--|--|---|------------------------------------|
| <input type="radio"/> Notices of Violation | # | <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> | | | | | | <input type="radio"/> No Authority |
| | | | | | | | | |
| <input type="radio"/> Stop Work Orders | # | <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> | | | | | | <input type="radio"/> No Authority |
| | | | | | | | | |
| <input type="radio"/> Criminal Actions | # | <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> | | | | | | <input type="radio"/> No Authority |
| | | | | | | | | |
| <input type="radio"/> Termination of Contracts | # | <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> | | | | | | <input type="radio"/> No Authority |
| | | | | | | | | |
| <input type="radio"/> Administrative Fines | # | <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> | | | | | | <input type="radio"/> No Authority |
| | | | | | | | | |
| <input type="radio"/> Civil Penalties | # | <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> | | | | | | <input type="radio"/> No Authority |
| | | | | | | | | |
| <input type="radio"/> Administrative Orders | # | <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> | | | | | | <input type="radio"/> No Authority |
| | | | | | | | | |
| <input type="radio"/> Enforcement Actions or Sanctions | # | <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> | | | | | | |
| | | | | | | | | |
| <input checked="" type="radio"/> Other | # | <table border="1" style="display: inline-table; vertical-align: middle;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px; text-align: center;">0</td></tr></table> | | | | | 0 | <input type="radio"/> No Authority |
| | | | | 0 | | | | |

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9,

2	0	1	7
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If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition

Jefferson County Storm Water Coalition
--

SPDES ID

N	Y	R	2	0					
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Minimum Control Measure 4. Construction Site Stormwater Runoff Control

The information in this section is being reported (check one):

- On behalf of an individual MS4
- On behalf of a coalition

How many MS4s contributed to this report?

		9
--	--	---

1. How many construction projects have been authorized for disturbances of one acre or more during this reporting period?

		0
--	--	---

2. How many construction projects disturbing at least one acre were active in your jurisdiction during this reporting period?

		0
--	--	---

3. What percent of active construction sites were inspected during this reporting period? NT

		0
--	--	---

 %

4. What percent of active construction sites were inspected more than once? NT

		0
--	--	---

 %

5. Do all inspectors working on behalf of the MS4s contributing to this report use the NYS Construction Stormwater Inspection Manual? Yes No NT

6. Does your MS4/Coalition provide public access to Stormwater Pollution Prevention Plans (SWPPPs) of construction projects that are subject to MS4 review and approval? Yes No NT

If your MS4 is Non-Traditional, are SWPPPs of construction projects made available for public review? Yes No

If Yes, use the following page to identify location(s) where SWPPPs can be accessed.

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9,

2	0	1	7
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If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition

Jefferson County Storm Water Coalition
--

SPDES ID

N	Y	R	2	0				
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7. Evaluating Progress Toward Measurable Goals MCM 4

Use this page to report on your progress and project plans toward achieving measurable goals identified in your Stormwater Management Program Plan (SWMP), including requirements in Part III.C.1. Submit additional pages as needed.

A. Briefly summarize the Measurable Goal identified in the SWMP in this reporting period.

- Development of procedures, activities and identify personnel to educate and train construction site operators about requirements to develop and implement a SWPPP and any other requirements that must be met within the Town's jurisdiction.
 - A description of procedures for the receipt and consideration of information submitted by the public and identify responsible personnel.

B. Briefly summarize the observations that indicated the overall effectiveness of this Measurable Goal.

The MS4 has completed all measurable goals above except adoption of the Local Law.

C. How many times was this observation measured or evaluated in this reporting period?

			0
--	--	--	---

(ex.: samples/participants/events)

D. Has your MS4 made progress toward this measurable goal during this reporting period?

Yes No

E. Is your MS4 on schedule to meet the deadline set forth in the SWMP?

Yes No

F. Briefly summarize the stormwater activities planned to meet the goals of this MCM during the next reporting cycle (including an implementation schedule).

The MS4 communities will develop and adopt a model local law for MCM4.

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9,

2	0	1	7
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If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition

Jefferson County Storm Water Coalition
--

SPDES ID

N	Y	R	2	0				
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- 4a. Are the MS4s contributing to this report involved in a regional/watershed wide planning effort?
 Yes No
- 4b. Does the MS4 have a banking and credit system for stormwater management practices?
 Yes No
- 4c. Do the SWMP Plans for each MS4 contributing to this report include a protocol for evaluation and approval of banking and credit of alternative siting of a stormwater management practice?
 Yes No
- 4d. How many stormwater management practices have been implemented as part of this system in this reporting period?

		0
--	--	---
- 5. What percent of municipal officials/MS4 staff responsible for program implementation attended training on Low Impace Development (LID), Better Site Design (BSD) and other Green Infrastructure principles in this reporting period?

	5	0
--	---	---

 %

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9,

2	0	1	7
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If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition

Jefferson County Storm Water Coalition

SPDES ID

N	Y	R	2	0					
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6. Evaluating Progress Toward Measurable Goals MCM 5

Use this page to report on your progress and project plans toward achieving measurable goals identified in your Stormwater Management Program Plan (SWMP), including requirements in Part III.C.1. Submit additional pages as needed.

A. Briefly summarize the Measurable Goal identified in the SWMP in this reporting period.

- Develop and certify a regulatory mechanism equivalent to the NYS DEC Sample Local Laws for Storm-water Management and Erosion and Sediment Control.
 - Initiate procedures for SWPPP review to ensure that post-construction storm-water management practices meet the most current version of the state technical standards, for the inspection and maintenance of post-construction management practices, for the enforcement and penalization of

B. Briefly summarize the observations that indicated the overall effectiveness of this Measurable Goal.

The Coalition members have completed all measurable goals with exception to adoption of a local law.

C. How many times was this observation measured or evaluated in this reporting period?

			0
--	--	--	---

(ex.: samples/participants/events)

D. Has your MS4 made progress toward this measurable goal during this reporting period?
 Yes No
E. Is your MS4 on schedule to meet the deadline set forth in the SWMP?
 Yes No
F. Briefly summarize the stormwater activities planned to meet the goals of this MCM during the next reporting cycle (including an implementation schedule).

The MS4 will develop and adopt a local law.

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9,

2	0	1	7
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If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition

Jefferson County Storm Water Coalition
--

SPDES ID

N	Y	R	2	0				
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Minimum Control Measure 6. Stormwater Management for Municipal Operations

The information in this section is being reported (check one):

- On behalf of an individual MS4
- On behalf of a coalition

How many MS4s contributed to this report?

		9
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1. Choose/list each municipal operation/facility that contributes or may potentially contribute Pollutants of Concern to the MS4 system. For each operation/facility indicate whether the operation/facility has been addressed in the MS4's/Coalition's Stormwater Management Program(SWMP) Plan and whether a self-assessment has been performed during the reporting period. A self-assessment is performed to: 1) determine the sources of pollutants potentially generated by the permittee's operations and facilities; 2) evaluate the effectiveness of existing programs and 3) identify the municipal operations and facilities that will be addressed by the pollution prevention and good housekeeping program, if it's not done already.

<u>Operation/Activity/Facility</u>	<u>Addressed in SWMP?</u>		<u>Self-Assessment Operation/Activity/Facility performed within the past 3 years?</u>	
Street Maintenance.....	<input checked="" type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Yes	<input checked="" type="radio"/> No
Bridge Maintenance.....	<input checked="" type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Yes	<input checked="" type="radio"/> No
Winter Road Maintenance.....	<input checked="" type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Yes	<input checked="" type="radio"/> No
Salt Storage.....	<input checked="" type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Yes	<input checked="" type="radio"/> No
Solid Waste Management.....	<input checked="" type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Yes	<input checked="" type="radio"/> No
New Municipal Construction and Land Disturbance..	<input checked="" type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Yes	<input checked="" type="radio"/> No
Right of Way Maintenance.....	<input type="radio"/> Yes	<input checked="" type="radio"/> No	<input type="radio"/> Yes	<input checked="" type="radio"/> No
Marine Operations.....	<input type="radio"/> Yes	<input checked="" type="radio"/> No	<input type="radio"/> Yes	<input checked="" type="radio"/> No
Hydrologic Habitat Modification.....	<input type="radio"/> Yes	<input checked="" type="radio"/> No	<input type="radio"/> Yes	<input checked="" type="radio"/> No
Parks and Open Space.....	<input checked="" type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Yes	<input checked="" type="radio"/> No
Municipal Building.....	<input checked="" type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Yes	<input checked="" type="radio"/> No
Stormwater System Maintenance.....	<input checked="" type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Yes	<input checked="" type="radio"/> No
Vehicle and Fleet Maintenance.....	<input checked="" type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Yes	<input checked="" type="radio"/> No
Other.....	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> Yes	<input type="radio"/> No

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9,

2	0	1	7
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If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition

Jefferson County Storm Water Coalition

SPDES ID

N	Y	R	2	0				
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2. Provide the following information about municipal operations good housekeeping programs:

- Parking Lots Swept (Number of acres X Number of times swept) # Acres

			7	0
--	--	--	---	---
- Streets Swept (Number of miles X Number of times swept) # Miles

		2	5	3
--	--	---	---	---
- Catch Basins Inspected and Cleaned Where Necessary #

	1	6	7	5
--	---	---	---	---
- Post Construction Control Stormwater Management Practices Inspected and Cleaned Where Necessary #

			1	0
--	--	--	---	---
- Phosphorus Applied In Chemical Fertilizer # Lbs.

		5	0	0
--	--	---	---	---
- Nitrogen Applied In Chemical Fertilizer # Lbs.

	4	1	7	4
--	---	---	---	---
- Pesticide/Herbicide Applied # Acres

		2	0	.	
--	--	---	---	---	--

(Number of acres to which pesticide/herbicide was applied X Number of times applied to the nearest tenth.)

3. How many stormwater management trainings have been provided to municipal employees during this reporting period?

			1	2
--	--	--	---	---

4. What was the date of the last training?

0	5	/	0	1	/	2	0	1	6
---	---	---	---	---	---	---	---	---	---

5. How many municipal employees have been trained in this reporting period?

	1	6
--	---	---

6. What percent of municipal employees in relevant positions and departments receive stormwater management training?

1	0	0	%
---	---	---	---

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9,

2	0	1	7
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If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition

Jefferson County Storm Water Coalition
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SPDES ID

N	Y	R	2	0				
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7. Evaluating Progress Toward Measurable Goals MCM 6

Use this page to report on your progress and project plans toward achieving measurable goals identified in your Stormwater Management Program Plan (SWMPP), including requirements in Part III.C.1. Submit additional pages as needed.

A. Briefly summarize the Measurable Goal identified in the SWMPP in this reporting period.

- Identification of the municipal operations and facilities that will be considered for inclusion in the pollution prevention and good housekeeping program.
 - A description of the pollution prevention and good housekeeping priorities to improve water quality and existing facilities or operations in need of improvement.
 - A description of management practices, policies and procedures that will be developed or modified.
~~Identification of staff and equipment available to meet measurable goals.~~

B. Briefly summarize the observations that indicated the overall effectiveness of this Measurable Goal.

The coalition began identifying municipal operations and facilities to include in pollution prevention good housekeeping.

C. How many times was this observation measured or evaluated in this reporting period?

			0
--	--	--	---

(ex.: samples/participants/events)

D. Has your MS4 made progress toward this measurable goal during this reporting period?

Yes No

E. Is your MS4 on schedule to meet the deadline set forth in the SWMPP?

Yes No

F. Briefly summarize the stormwater activities planned to meet the goals of this MCM during the next reporting cycle (including an implementation schedule).

The MS4 will begin implementing MCM6 measurable goals:
 - Identification of the municipal operations and facilities that will be considered for inclusion in the pollution prevention and good housekeeping program.
 - A description of the pollution prevention and good housekeeping priorities to improve water quality and existing facilities or operations in need of improvement.
~~A description of management practices, policies and procedures that will be developed or modified.~~

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9,

2	0	1	7
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If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition

Jefferson County Storm Water Coalition
--

SPDES ID

N	Y	R	2	0					
---	---	---	---	---	--	--	--	--	--

Additional Watershed Improvement Strategy Best Management Practices

The information in this section is being reported (check one):

- On behalf of an individual MS4
- On behalf of a coalition

How many MS4s contributed to this report?

		9
--	--	---

MS4s must answer the questions or check NA as indicated in the table below.

MS4 Description	Answer	Check NA	(POC)
NYC EOH Watershed	-	-	-
Traditional Land Use	1,2,3,4,5,6,7a-d,8a,8b,9	10,11,12	Phosphorus
Traditional Non-Land Use	1,2,3,4,7a-d,8a,8b,9	5,10,11,12	Phosphorus
Non-Traditional	1,2,77a-d,8a,8b,9	3,4,5,10,11,12	Phosphorus
Onondaga Lake Watershed	-	-	-
Traditional Land Use	1,6,7a-d,8a,9	2,3,4,5,8b,10,11,12	Phosphorus
Traditional Non-Land Use	1,6,7a-d,8a,9	2,3,4,5,8b,10,11,12	Phosphorus
Non-Traditional	1,6,7a-d,8a,9	2,3,4,5,8b,10,11,12	Phosphorus
Greenwood Lake Watershed	-	-	-
Traditional Land Use	1,4,6,7a-d,8a,9	2,3,5,8b,10,11,12	Phosphorus
Traditional Non-Land Use	1,4,6,7a-d,8a,9	2,3,5,8b,10,11,12	Phosphorus
Non-Traditional	1,4,6,7a-d,8a,9	2,3,5,8b,10,11,12	Phosphorus
Oyster Bay	-	-	-
Traditional Land Use	1,4,7a-d,9,10,11,12	2,3,5,6,8a,8b	Pathogens
Traditional Non-Land Use	1,4,7a-d,9,10,11,12	2,3,5,6,8a,8b	Pathogens
Non-Traditional	1,4,7a-d,9	2,3,4,5,8a,8b,10,11,12	Pathogens
Peconic Estuary	-	-	-
Traditional Land Use	1,4,7a-d,8a,9,10,11,12	2,3,5,6,8b	Pathogens and Nitrogen
Traditional Non-Land Use	1,4,7a-d,8a,9,10,11,12	2,3,5,6,8b	Pathogens and Nitrogen
Non-Traditional	1,4,7a-d,8a,9	2,3,4,5,8b,10,11,12	Pathogens and Nitrogen
Oscawana Lake Watershed	-	-	-
Traditional Land Use	1,4,6,7a-d,8a,9	2,3,5,8b,10,11,12	Phosphorus
Traditional Non-Land Use	1,4,6,7a-d,8a,9	2,3,5,8b,10,11,12	Phosphorus
Non-Traditional	1,4,6,7a-d,8a,9	2,3,5,8b,10,11,12	Phosphorus
LI 27 Embayments	-	-	-
Traditional Land Use	1,2,3,4,7a-d,9,10,11,12	5,6,8a,8b	Pathogens
Traditional Non-Land Use	1,2,3,4,7a-d,9,10,11,12	5,6,8a,8b	Pathogens
Non-Traditional	1,2,3,4,7a-d,9	5,6,8a,8b,10,11,12	Pathogens

1. Does your MS4/Coalition have an education program addressing impacts of phosphorus/nitrogen/pathogens on waterbodies? Yes No N/A

2. Has 100% of the MS4/Coalition conveyance system been mapped in GIS? Yes No N/A

If N/A, go to question 3.

If No, estimate what percentage of the conveyance system has been mapped so far.

		0
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 %

Estimate what percentage was mapped in this reporting period.

1	0	0
---	---	---

 %

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9,

2	0	1	7
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If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition

Jefferson County Storm Water Coalition
--

SPDES ID

N	Y	R	2	0				
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3. Does your MS4/Coalition have a Stormwater Conveyance System (infrastructure) Inspection and Maintenance Plan Program? Yes No N/A

4. Estimate the percentage of on-site wastewater treatment systems that have been inspected and maintained or rehabilitated as necessary in this reporting period?

		0
--	--	---

 %

5. Has your MS4/Coalition developed a program that provides protection equivalent to the NYSDEC SPDES General Permit for Stormwater Discharges from Construction Activities (GP-0-08-001) to reduce pollutants in stormwater runoff from construction activities that disturb five thousand square feet or more? Yes No N/A

6. Has your MS4/Coalition developed a program to address post-construction stormwater runoff from new development and redevelopment projects that disturb greater than or equal to one acre that provides equivalent protection to the NYS DEC SPDES General Permit for Stormwater Discharges from Construction Activities (GP-0-08-001), including the New York State Stormwater Design Manual Enhanced Phosphorus Removal Standards? Yes No N/A

7a. Does your MS4/Coalition have a retrofitting program to reduce erosion or phosphorus/nitrogen/pathogen loading? Yes No N/A

7b. How many projects have been sited in this reporting period?

		0
--	--	---

7c. What percent of the projects included in 7b have been completed in this reporting period?

		0
--	--	---

 %

7d. What percent of projects planned in previous years have been completed?

		0
--	--	---

 %

No Projects Planned

8a. Has your MS4/Coalition developed and implemented a turf management practices and procedures policy that addresses proper fertilizer application on municipally owned lands? Yes No N/A

8b. Has your MS4/Coalition developed and implemented a turf management practices and procedures policy that addresses proper disposal of grass clippings and leaves from municipally owned lands? Yes No N/A

MS4 Annual Report Form

This report is being submitted for the reporting period ending March 9,

2	0	1	7
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If submitting this form as part of a joint report on behalf of a coalition leave SPDES ID blank.

Name of MS4/Coalition

Jefferson County Storm Water Coalition
--

SPDES ID

N	Y	R	2	0				
---	---	---	---	---	--	--	--	--

- 9. Has your MS4/Coalition developed and implemented a program of native planting?
 Yes No N/A
- 10. Has your MS4/Coalition enacted a local law prohibiting pet waste on municipal properties and prohibiting goose feeding?
 Yes No N/A
- 11. Does your MS4/Coalition have a pet waste bag program?
 Yes No N/A
- 12. Does your MS4/Coalition have a program to manage goose populations?
 Yes No N/A



**CITY OF WATERTOWN, NEW YORK
PARKS & RECREATION DEPARTMENT**

Watertown Municipal Arena
600 William T. Field Drive
Watertown, New York 13601
parksrec@watertown-ny.gov
Phone (315) 785-7775 • Fax (315) 785-7776



ERIN E. GARDNER
Superintendent

Date: May 9, 2017
To: Sharon Addison, City Manager
From: Erin E. Gardner, Superintendent of Parks & Recreation
Subject: Request for waiver of fees for use of the City stage for 2017 block parties

A request to waive fees for construction of the City stage for the 2017 block parties has been received by the City from the Watertown Local Development Corporation.

The block parties are scheduled for June 30th, July 28th and August 25th, 2017. Each time the stage is built for this event, it costs the City \$607.65 in labor. The total cost for labor for constructing the stage for the three block parties total \$1,822.95.

As Superintendent, I do not recommend waiving the above fees.

April 28, 2017

Ms. Sharon Addison, City Manager
City of Watertown
245 Washington Street
Watertown, New York 13601

Dear Ms. Addison:

The planning for the Public Square Block parties are moving ahead nicely. I received the list of items from Elaine Giso outlining certain requirements that need to be followed. I distributed the list to the committee and each will be complied with. As we move forward, compliance documentation will be provided to the City.

After several discussions related to band set up, we respectfully request that the City allow us the use of their stage. We request that the fee for the stage as well as the construction netting be waived. The WLDC has a limited budget for the three events and by waiving the fees it will ensure we have the financial resources to make these events successful.

In addition to our primary goal of creating excitement and bringing people downtown, we are applying to make the block parties Yellow Ribbon events. By doing so, it will show the City's support of Fort Drum and in addition, bring soldiers and their families downtown that may not otherwise visit. Yellow Ribbon events are promoted heavily on post. As such we are hoping for a large turn out by soldiers and their families.

Thank you for your consideration and look forward to hearing back.

Sincerely,



Donald W. Rutherford, CEO

Cc Mayor Joseph Butler, Jr.
Councilman Mark C. Walczyk
Councilwoman Teresa R. Macaluso
Councilman Stephen A. Jennings
Councilman Cody J. Horbacz

May 3, 2017

To: The Honorable Mayor and City Council
From: James E. Mills, City Comptroller
Subject: Sale of Surplus Hydro-electricity – April 2017

The City has received the monthly hydro-electricity production and consumption data from National Grid. In comparison to last April, the sale of surplus hydro-electric power on an actual to actual basis was up \$132,185 or 23.78%. In comparison to the original budget projection for the month, revenue was up \$102,852 or 17.58%.

The year-to-date actual revenue is down \$191,467 or 5.38% while the year-to-date revenue on a budget basis is up \$259,505 or 8.366%. Year-to-date revenue finished at \$3,364,111.

The attached spreadsheet shows the monthly revenues for this year and last year along with the budgeted amounts. Revenues for the Fiscal Years' 2011-12, 2012-13, 2013-14, 2014-15 and 2015-16 have been included for historical perspective.

	<u>Actual 2011-12</u>	<u>Actual 2012-13</u>	<u>Actual 2013-14</u>	<u>Actual 2014-15</u>	<u>Actual 2015-16</u>	<u>Actual 2016-17</u>	<u>Variance</u>	<u>% Inc/(Dec)to Prior Year</u>
July	\$ 58,161	\$ 821	\$ 382,759	\$ 286,952	\$ 321,539	\$ 73,815	\$ (247,724)	-77.04%
August	\$ 60,957	\$ 2,060	\$ 115,769	\$ 293,338	\$ 11,805	\$ 278,611	\$ 266,806	2260.14%
September	\$ 269,071	\$ 17,605	\$ 48,478	\$ 38,778	\$ 14,857	\$ 22,118	\$ 7,262	48.88%
October	\$ 271,426	\$ 261,082	\$ 237,797	\$ 296,432	\$ 260,804	\$ 208,586	\$ (52,218)	-20.02%
November	\$ 248,928	\$ 105,694	\$ 473,459	\$ 331,977	\$ 393,589	\$ 396,753	\$ 3,164	0.80%
December	\$ 446,292	\$ 356,383	\$ 323,081	\$ 502,018	\$ 542,231	\$ 470,259	\$ (71,971)	-13.27%
January	\$ 145,673	\$ 179,469	\$ 240,183	\$ 246,137	\$ 380,018	\$ 481,938	\$ 101,920	26.82%
February	\$ 95,930	\$ 160,026	\$ 225,629	\$ 158,920	\$ 440,304	\$ 325,684	\$ (114,620)	-26.03%
March	\$ 342,560	\$ 338,154	\$ 232,743	\$ 154,182	\$ 634,598	\$ 418,328	\$ (216,270)	-34.08%
April	\$ 294,811	\$ 551,360	\$ 468,075	\$ 577,742	\$ 555,833	\$ 688,018	\$ 132,185	23.78%
May	\$ 417,317	\$ 324,167	\$ 660,449	\$ 192,410	\$ 275,751	\$ -	\$ -	0.00%
June	\$ 114,976	\$ 474,813	\$ 421,856	\$ 638,045	\$ 162,659	\$ -	\$ -	0.00%
YTD	<u>\$ 2,766,103</u>	<u>\$ 2,771,633</u>	<u>\$ 3,830,277</u>	<u>\$ 3,716,931</u>	<u>\$ 3,993,988</u>	<u>\$ 3,364,111</u>	<u>\$ (191,467)</u>	<u>-5.38%</u>

Original Budget

	<u>2016-17</u>	<u>Actual 2016-17</u>	<u>Variance</u>	<u>%</u>
July	\$ 234,630	\$ 73,815	\$ (160,815)	-68.54%
August	\$ 143,986	\$ 278,611	\$ 134,625	93.50%
September	\$ 131,075	\$ 22,118	\$ (108,957)	-83.13%
October	\$ 346,050	\$ 208,586	\$ (137,464)	-39.72%
November	\$ 423,485	\$ 396,753	\$ (26,732)	-6.31%
December	\$ 371,356	\$ 470,259	\$ 98,903	26.63%
January	\$ 296,766	\$ 481,938	\$ 185,172	62.40%
February	\$ 202,888	\$ 325,684	\$ 122,796	60.52%
March	\$ 369,204	\$ 418,328	\$ 49,124	13.31%
April	\$ 585,166	\$ 688,018	\$ 102,852	17.58%
May	\$ 479,886	\$ -	\$ -	0.00%
June	\$ 375,508	\$ -	\$ -	0.00%
YTD	<u>\$ 3,960,000</u>	<u>\$ 3,364,111</u>	<u>\$ 259,505</u>	<u>8.36%</u>

Total Budget \$ 3,960,000

May 2, 2017

To: The Honorable Mayor and City Council
From: James E. Mills, City Comptroller
Subject: NYS Office of the State Comptroller – Fiscal Stress Monitoring System

On April 17th the City received its fiscal stress score from the NYS Office of the State Comptroller based upon the FY 2015-16 financial report. In January 2013 Comptroller DiNapoli implemented a fiscal stress monitoring system to inform municipal leaders and taxpayers of the economic and budgetary challenges facing their localities so that actions can be taken to avoid a fiscal crisis. Based on the State’s review of the City’s FY 2015-16 Annual Update Document the City is currently classified as “No Designation” based on a score of 5.0%. The City received the same designation with a score of 11.3% based upon its FY 2014-15 Annual Update Document.

The State Comptroller’s fiscal stress categories are as follows:

Classification of Fiscal Stress	Percentage of Total Points
Significant Fiscal Stress	65% – 100%
Moderate Fiscal Stress	55% – 64.9%
Susceptible to Fiscal Stress	45% – 54.9%
No Designation	0% – 44.9%

The monitoring system is intended to represent a systematic and objective methodology for identifying the presence of stress conditions in local government. The system looks at financial indicators and environmental indicators however only the scores of the financial indicators determine a municipality’s level of fiscal stress. The financial indicators are based on nine different calculations in the following five categories:

- Year end fund balance
- Operating deficits
- Cash position
- Use of short-term debt
- Fixed costs

The City received points for the following financial indicators:

Indicator	FY 2015-16 Points	FY 2015-16 % of Points	FY 2014-15 Points	FY 2014-15 % of Points	FY 2013-14 Points	FY 2013-14 % of Points	FY 2012-13 Points	FY 2012-13 % of Points
Assigned Unassigned Fund Balance / Gross Expenditures (Combined Funds) being less than the same ratio for the General Fund)	0	0.00%	1	6.3%	1	6.3%	1	6.3% (1)
Number of Operating Deficits in Last 3 Years	1	3.33%	1	3.3%	1	3.3%	0	0.0%
Last 3 Years Average Personal Services and Fringe Benefits / Net Revenues	1	1.67%	1	1.7%	1	1.7%	2	3.3%
Total	3	5.00%	3	11.3%	3	11.3%	3	9.6%

- (1) Due to a reporting error contained in the FY 2012-13 Annual Update Document the unrestricted assets of the Water Fund were reported on the wrong line. Had the error not occurred the City would have had a high enough Assigned /Unassigned Fund Balance amount to have received zero points for this indicator resulting in an overall score of 3.3%.

It is important to understand that where reference is made to “combined funds” the data used was from the combination of the General Fund, Risk Retention Fund, Workers Compensation Fund, Tourism Fund, Water Fund and Sewer Fund. Where reference is made to “all funds” the data used was from the combination of the General, Risk Retention, Workers Compensation, Tourism, Water, Sewer, Community Development, Library, Self-funded Health Insurance, and Debt Service Funds. **However in reality, all of these funds should be looked at individually for financial stress and not on a combined level as each funds’ financial resources cannot be combined to offset the stress one of the funds may be experiencing.**

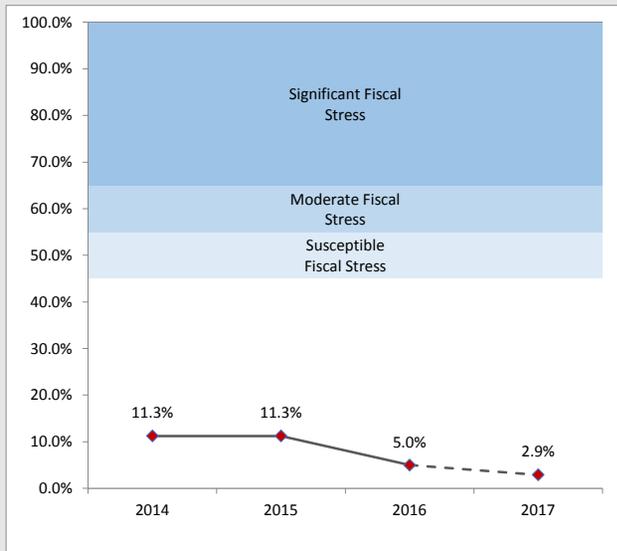
It is also important to look at the accompanying graphs that show where the levels were set for municipalities to be assigned points towards a level of fiscal stress. For example assigned and unassigned fund balance as a percentage of gross expenditures needs to get as low as 10% to be assigned one point and be below 3.33% for all three points to be assigned. With the City’s reliance on variable revenue sources (sales tax and sale of excess hydro-electricity) those levels should be set much higher to truly indicate if the City is under fiscal stress.

The attached graphs are from the self-assessment tool created by the State Comptroller's Office for municipalities to use to monitor the financial indicators as well as show whether the previous two years indicated any fiscal stress. Specific fund level data has been provided where possible in the graph indicator headings.

More details on the State Comptroller's Fiscal Stress Monitoring System can be found on their website at: <http://www.osc.state.ny.us/localgov/fiscalmonitoring/index.htm>

Fiscal Stress Summary

	% Score	
2014	11.3%	
2015	11.3%	
2016	5.0%	
2017	2.9%	based on 3 year trend



The summary graph projects a fiscal stress score based on a three-year trend analysis. This score is not based on data submitted by the municipality. The predicted score is most reliable for municipalities which have followed a level trend but is less reliable for municipalities with scores that do not follow a steady trend.

Financial information provided on this page is pulled from reports submitted by the municipality. OSC performs a formal review of the information on an annual basis. However, OSC is unable to verify the accuracy of all the data elements upon which an entity's prior year fiscal stress score is based.

Note: Fiscal data may change after fiscal stress scores are released for a given year. As a result, the data presented in this workbook may vary from previously released data.

As of 31-MAR-2017

Indicator Scoring Summary

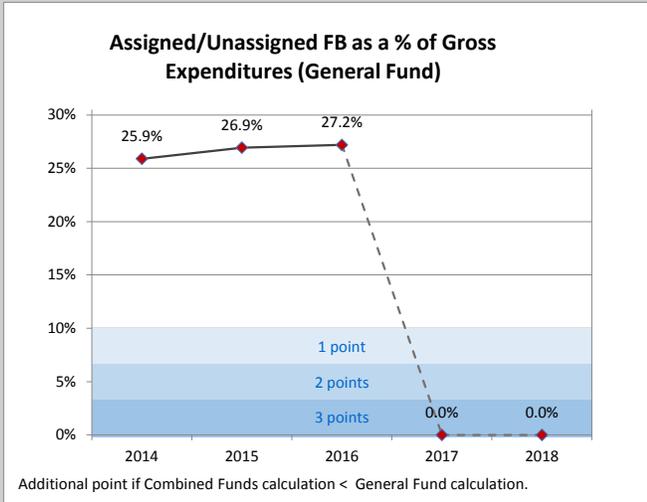
Fiscal Indicators	Value		Scores	
	2015	2016	2015	2016
1 Assigned & Unassigned FB/Gross Exp (General Fund)	26.9%	27.2%	1	0
Assigned & Unassigned FB/Gross Exp (Combined Funds)	25.8%	27.2%		
2 Total FB / Gross Exp (General Fund)	37.4%	34.8%	0	0
Total FB / Gross Exp (Combined Funds)	95.3%	92.4%		
3 # of Operating Deficits in Three Years or last year's deficit <= -10%	1	1	1	1
4 Cash Ratio (Cash/Current Liability)	477.9%	409.7%	0	0
5 Cash as a % of Monthly Exp	467.3%	412.7%	0	0
6 Short Term Debt Issuance (Debt/Revenues)	0.0%	0.0%	0	0
7 Short Term Debt Trend (consecutive debt or BN in last year)	0	0	0	0
8 Pers Srv and Emp Benefits as a % of Revenues (3 yr avg)	68.5%	69.9%	1	1
9 Debt Service as a % of Revenues (3 yr avg)	5.1%	5.3%	0	0

Environmental Indicators	Value	Score
1 Change in Population	1.2%	0
2 Change in Median Age	-5.6%	0
3 Median Age of Population	32.1	0
4 Child Poverty Rate	25.5%	1
5 Change in Child Poverty Rate	-0.7%	0
6 Change in Property Value (4 year avg)	2.7%	0
7 Property Value Per Capita	\$43,622	0
8 Change in Unemployment Rate	-0.6	0
9 Unemployment Rate	5.9%	1
10 Change in Total Jobs in County	0.3%	0
11 Reliance on State and Federal Aid	13.7%	0
12 Change in State and Federal Aid	-9.2%	1
13 Constitutional Tax Limit	16.8%	0
14 Change in Sales Tax Receipts	N/A	N/A

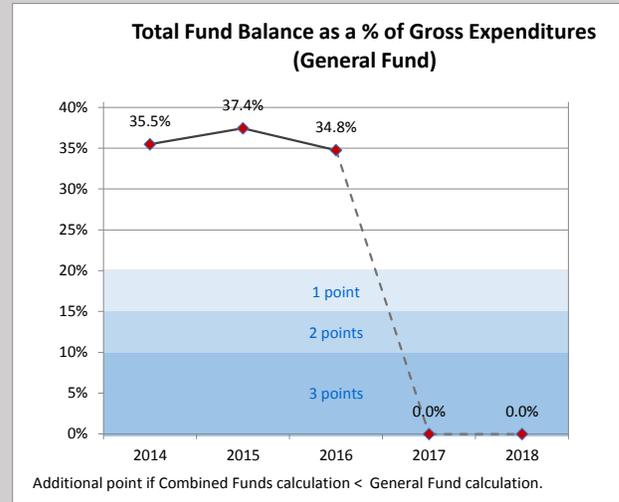
No Designation

City of Watertown: Projected data for 2017 and 2018 are based on Projection Worksheet

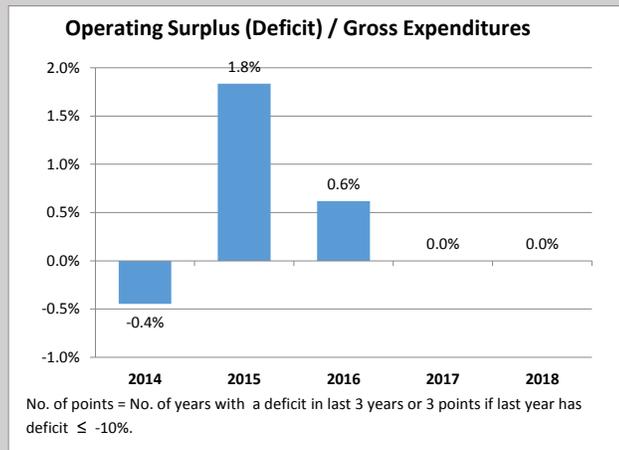
Indicator 1



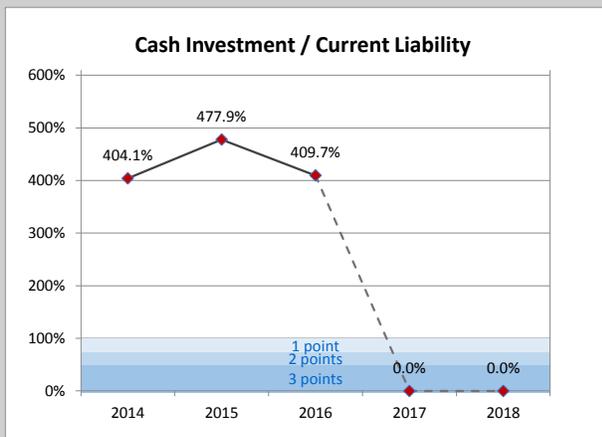
Indicator 2



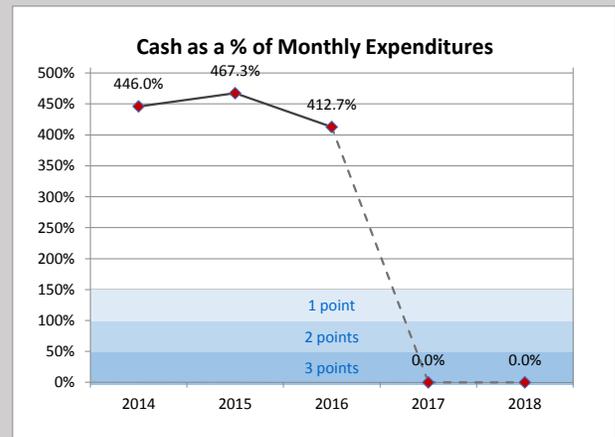
Indicator 3



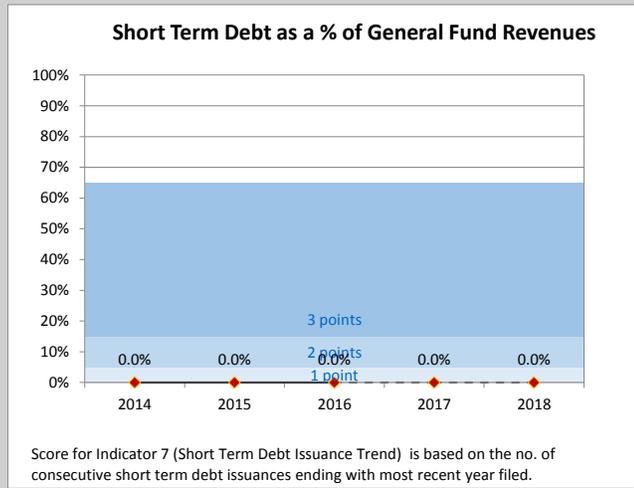
Indicator 4



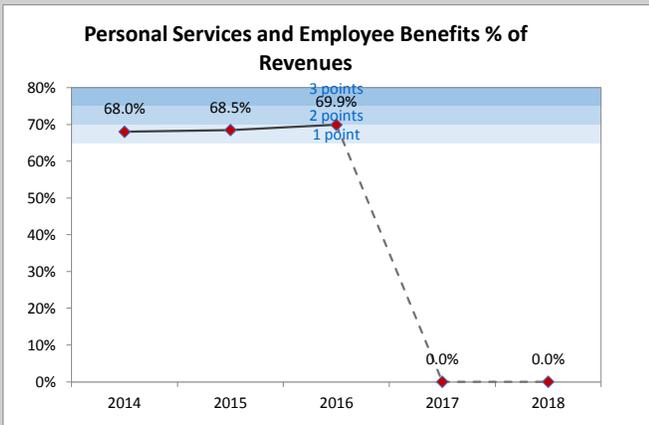
Indicator 5



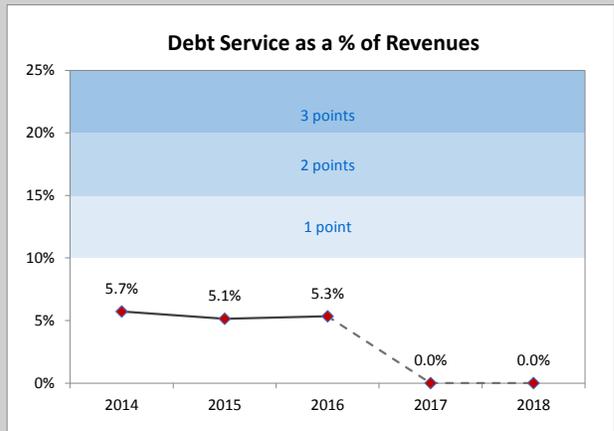
Indicator 6/7



Indicator 8



Indicator 9



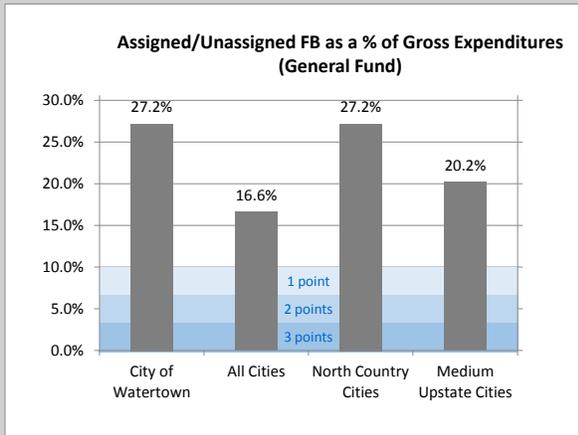
These graphs are provided for informational purposes. Calculations are based on the financial information provided by the municipality. The last two data points of each graph are based on projection numbers entered by the user. OSC takes no responsibility for the accuracy of the projection or the submitted financial information.

Note: Fiscal data may change after fiscal stress scores are released for a given year. As a result, the data presented in this workbook may vary from previously released data.

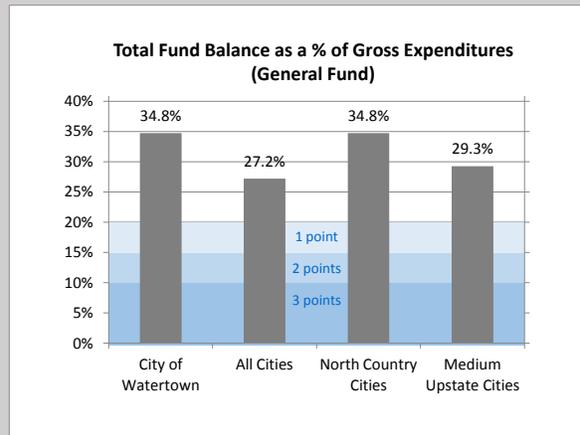
As of 31-MAR-2017

City of Watertown

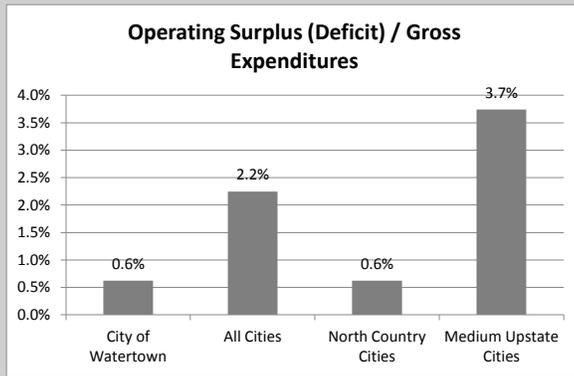
Indicator 1



Indicator 2



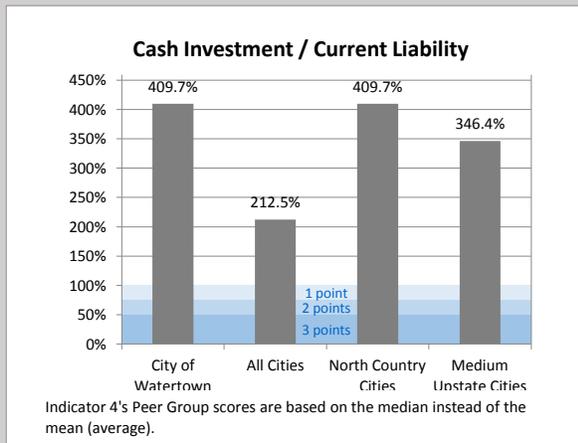
Indicator 3



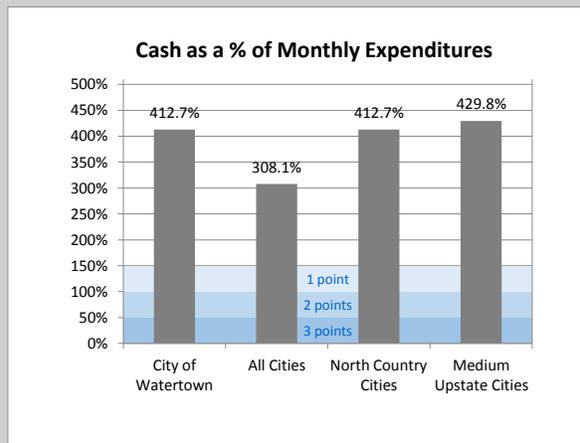
Peer Group Used in Comparison for all Indicators

All Cities	14
North Country Cities	1
Medium Upstate Cities	6

Indicator 4

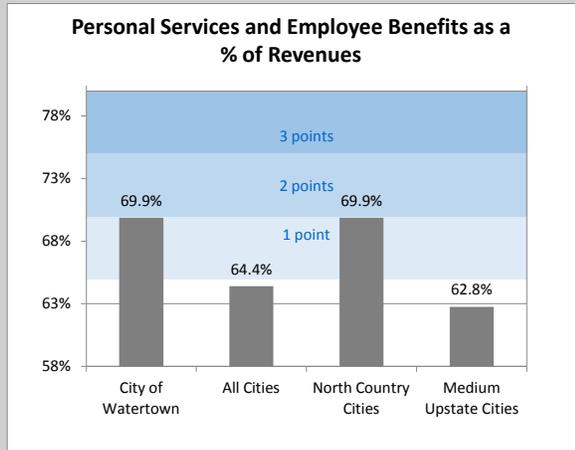


Indicator 5

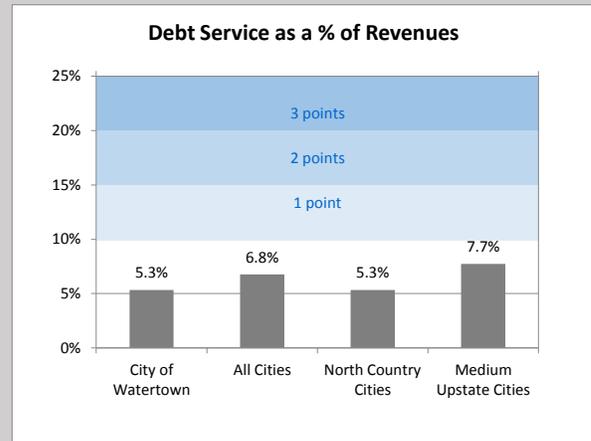


City of Watertown

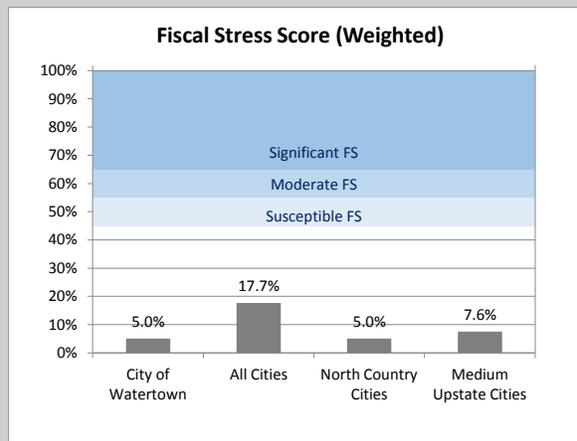
Indicator 8



Indicator 9



Fiscal Stress Score



This page provides graphical comparisons of financial indicators for the selected municipality against selected peer groups. Peer groups include data for municipalities for which current AUDs have been filed. The tables show the number of municipalities which are included in each selected peer group. Greater caution should be taken when the number of units in the comparison group is small (for example, fewer than five).

Note: Fiscal data may change after fiscal stress scores are released for a given year. As a result, the data presented in this workbook may vary from previously released data.

As of 31-MAR-2017

City of Watertown

County: Jefferson
MuniCode: 220259000000

Fiscal Year: 2016
Stress Level: No Designation

Indicator	Description	Year	Data	Points	Weight	Score		
1 Assigned and Unassigned Fund Balance	General Fund Only 3 Points ≤ 3.33% Last Fiscal Year 2 Points > 3.33% But ≤ 6.67% Last Fiscal Year 1 Point > 6.67% But ≤ 10% Last Fiscal Year	2016	Assigned Unassigned FB (Codes 915 & 917 General Fund)	10,712,322	0			
			Assigned Unassigned FB (Codes 915, 917, 924 Combined Funds)	13,692,258				
			Gross Expenditures (General Fund)	39,402,875				
			Gross Expenditures (Combined Funds)	50,321,080				
			Assigned Unassigned FB / Gross Exp (General Fund)	27.2% 0 pts				
			Assigned Unassigned FB / Gross Exp (Combined Funds)	27.2% 0 pts				
Combined Funds Minus General Fund 1 Point = Combined Funds Calculation < General Fund Calculation					50%	0.00%		
2 Total Fund Balance	General Fund Only 3 Points ≤ 10% Last Fiscal Year 2 Points > 10% But ≤ 15% Last Fiscal Year 1 Point > 15% But ≤ 20% Last Fiscal Year	2016	Account code: 8029 (General Fund)	13,695,487	0			
			Account code: 8029 (Combined Funds)	46,480,345				
			Gross Expenditures (General Fund)	39,402,875				
			Gross Expenditures (Combined Funds)	50,321,080				
			8029 / Gross Exp (General Fund)	34.8% 0 pts				
			8029 / Gross Exp (Combined Funds)	92.4% 0 pts				
Combined Funds Minus General Fund 1 Point = Combined Funds Calculation < General Fund Calculation					50%	0.00%		
3 Operating Deficit	Combined Funds 3 Points = Deficits in 3/3 Last Fiscal Years or a Deficit in the Last Fiscal Year ≤ -10% 2 Points = Deficits in 2/3 Last Fiscal Years 1 Point = Deficit in 1/3 Last Fiscal Years	2014	Gross Revenues (Combined Funds)	48,809,554	1	10%		
			Gross Expenditures (Combined Funds)	49,027,578				
			Deficit (Combined Funds)	(218,024) 1 pts				
		2015	Gross Revenues (Combined Funds)	49,372,416			0 pts	
			Gross Expenditures (Combined Funds)	48,483,663				
			Deficit (Combined Funds)	888,753				
		2016	Gross Revenues (Combined Funds)	50,632,724				0 pts
			Gross Expenditures (Combined Funds)	50,321,080				
			Deficit (Combined Funds)	311,644				
Deficit / Gross Expenditures (Combined Funds)		0.6%	0 pts					
4 Cash Ratio	Combined Funds 3 Points ≤ 50% Last Fiscal Year 2 Points > 50% But ≤ 75% Last Fiscal Year 1 Point > 75% But ≤ 100% Last Fiscal Year	2016	Cash and Investment Account Codes 200-223, 450, 451	17,312,909	0			
			Net Current Liability Account Codes 600-626 & 631-668 Less Codes 280, 290, 295	4,226,105				
			Cash Investment / Current Liability	409.7% 0 pts				
			Combined Funds Account codes: 200, 201, 450, 451				17,308,159	
5 Cash as a % of Monthly Expenditures	3 Points ≤ 50% Last Fiscal Year 2 Points > 50% But ≤ 100% Last Fiscal Year 1 Point > 100% But ≤ 150% Last Fiscal Year	2016	Average Monthly Gross Expenditures (Total Gross/12)	4,193,423				
			Cash / Avg Monthly Exp	412.7% 0 pts				
			All Funds 3 Points > 15% Last Fiscal Year 2 Points > 5% But ≤ 15% Last Fiscal Year 1 Point > 0% But ≤ 5% Last Fiscal Year		-	0		
6 Short Term Debt Issuance	3 Points > 15% Last Fiscal Year 2 Points > 5% But ≤ 15% Last Fiscal Year 1 Point > 0% But ≤ 5% Last Fiscal Year	2016	Short Term Debt Issued	-				
			Total Revenues (General Fund)	38,879,935				
			Debt / Total Revenues (General Fund)	0.0% 0 pts				
7 Short Term Debt Issuance Trend	All Funds 3 Points = Issuance In Each of Last Three Fiscal Years or Issued a Budget Note In Last Fiscal Year 2 Points = Issuance In Each of Last Two Fiscal Years 1 Point = Issuance In Last Fiscal Year	2014	Short Term Debt Issued	-	0			
		2015	Short Term Debt Issued	-				
		2016	Short Term Debt Issued	-				
		2016	Budget Note Issued	No 0 pts				

City of Watertown

County: Jefferson
 MuniCode: 220259000000

Fiscal Year: 2016
 Stress Level: No Designation

8 All Funds Personal Services and Employee Benefits 3 Points = Last Three Fiscal Year Average ≥ 75% and Employee 2 Points = Last Three Fiscal Year Average ≥ 70% But < 75% Benefits as a % of Revenues 1 Point = Last Three Fiscal Year Average ≥ 65% But < 70%	2014	Personal Services and Employee Benefits	40,209,727			
		Total Revenues	58,289,660			
		Pers Svc & Benefits / Revenues	69.0%			
	2015	Personal Services and Employee Benefits	41,452,817			
		Total Revenues	59,949,478			
		Pers Svc & Benefits / Revenues	69.1%			
	2016	Personal Services and Employee Benefits	42,707,646			
		Total Revenues	59,721,700			
		Pers Svc & Benefits / Revenues	71.5%			
		Average Pers Svc & Benefits / Revenues	69.9%	1 pt		
9 All Funds Debt Service as a % Revenues 3 Points = Last Three Fiscal Year Average ≥ 20% 2 Points = Last Three Fiscal Year Average ≥ 15% But < 20% 1 Point = Last Three Fiscal Year Average ≥ 10% But < 15%	2014	Debt Service - Current Refunding	2,995,741			
		Total Revenues	58,289,660			
		Debt Service / Revenues	5.1%			
	2015	Debt Service - Current Refunding	2,983,946			
		Total Revenues	59,949,478			
		Debt Service / Revenues	5.0%			
	2016	Debt Service - Current Refunding	3,522,733			
		Total Revenues	59,721,700			
		Debt Service / Revenues	5.9%			
		Average Net Debt Service / Revenues	5.3%	0 pts		
TOTAL					10%	1.67%
						5.0%

	<u>General</u>		<u>Combined Funds</u>			Percent Range
	<u>Fund</u>		<u>Combined Funds</u>			(out of 29 max pts)
Gross Revenues = Revenues and Other Sources	A		A, FX, G, ES, EW			65 - 100%
Total Revenues = Revenues				Significant Fiscal Stress		55 - 64.9%
Gross Expenditures = Expenditures and Other Uses				Moderate Fiscal Stress		45 - 54.9%
Total Expenditures = Expenditures				Susceptible Fiscal Stress		0 - 44.9%
				No Designation		

Note: Fiscal data may change after fiscal stress scores are released for a given year. As a result, the data presented in this workbook may vary from previously released data.

As of 31-MAR-2017



Office of the NEW YORK STATE

COMPTROLLER

Fiscal Stress Monitoring System

NYS Comptroller

THOMAS P. DiNAPOLI

OCTOBER 2016

Table of Contents

Introduction	1
Fiscal Stress Monitoring System	2
Overview.....	2
Local Government Financial Indicators	4
Local Government Environmental Indicators.....	6
School District Financial Indicators.....	8
School District Environmental Indicators	10
Internal Verification.....	11
Dependent School Districts	11
Assistance Provided to Local Governments	12
Appendix A– Local Government Financial Indicator Calculations	13
Appendix B– Local Government Financial Indicators Scoring.....	15
Appendix C– Local Government Environmental Indicator Calculations.....	17
Appendix D– Local Government Environmental Indicators Scoring	19
Appendix E– School District Financial Indicator Calculations.....	21
Appendix F– School District Financial Indicators Scoring	22
Appendix G– School District Environmental Indicator Calculations.....	24
Appendix H– School District Environmental Indicators Scoring	25
Appendix I– Summary of Public Comments and Responses	27
Central Office Directory	34
Regional Office Directory	35

Introduction

Since the onset of the economic recession in December 2007, local governments and school districts throughout the State and country faced new challenges that threatened their fiscal health. A growing number of local officials, outside researchers and other interested parties have been sounding the alarm over the financial threats to local governments. We have seen in other states, such as California, Pennsylvania and Rhode Island, where local governments have filed for bankruptcy or radically reduced or eliminated the services they provide. These challenges will continue to threaten the fiscal health of local governments and school districts as the economy continues to recover from the Great Recession.

A first step in helping New York State local officials deal with these fiscal challenges is to identify clearly those local governments and school districts that are moving towards, or are already in, fiscal stress. Such monitoring of the fiscal health of local governments and school districts should allow for early actions to prevent these entities from ending up in severe fiscal stress. The preventive actions – ideally developed with active participation from citizens who will be affected – should result in less cost and less disruption to vital services.

The State Comptroller has a constitutional and statutory function to examine and report on the financial affairs and condition of local governments. As part of this function, OSC has developed a public fiscal stress monitoring system that will identify local governments and school districts that are in fiscal stress, as well as those showing susceptibility to fiscal stress. It is hoped that this Fiscal Stress Monitoring System will identify for local officials the need to take actions in a timely manner that change their financial trends for the better, with the least disruption and pain to citizens.

The data for monitoring system measures will be drawn from the information local governments and school districts already submit to OSC. Therefore, this system does not impose any additional reporting requirements. Before these measures were adopted and became final, the proposed Fiscal Stress Monitoring System was shared with all of the State's local governments and school districts for review and comment during a 60-day comment period. Over 85 local government and school district officials, as well as three affiliated organizations, provided a wide variety of feedback on the proposed system during this time. The comments were evaluated and considered in finalizing the Fiscal Stress Monitoring System. A summary of the public comments and OSC's responses, including the resulting changes that were made, is contained in Appendix I.

OSC has developed a public fiscal stress monitoring system that will identify local governments and school districts that are in fiscal stress, as well as those showing susceptibility to fiscal stress.

Fiscal Stress Monitoring System

Overview

Fiscal stress is a judgment about the financial condition of an individual entity that must take into consideration its unique circumstances, but can be generally defined as a local government's or school district's inability to generate enough revenues within its current fiscal period to meet its expenditures (budget solvency). In contrast, a fiscally healthy local government or school district is able to finance services on an ongoing basis—meaning that the local government or school district can endure short-term financial pressures (such as revenue shortfalls or unanticipated expenditures). Any attempt to identify or predict fiscal stress must recognize that changes in behavior, the specific financial decisions made in a locality, or unforeseen external events, can quickly change ongoing financial trends. These local actions can impact the financial health of a locality or school district suddenly, either for better or worse.

The Fiscal Stress Monitoring System evaluates local governments (counties, cities, towns and villages) and school districts based on both financial and environmental indicators.¹ The financial indicators will be calculated using financial data that is filed in annual update documents (AUDs) by each local government and in annual financial reports (ST-3s) for school districts. A score will be calculated for each financial indicator to arrive at an overall score for each local government and school district, which will then be used to classify whether the unit is in “significant fiscal stress,” “moderate fiscal stress,” “susceptible to fiscal stress,” or “no designation.” The classifications of “significant fiscal stress” and “moderate fiscal stress” were developed so that a differentiation could be made between units that were experiencing fiscal stress with differing levels of severity. The classification “susceptible to fiscal stress” was developed to denote entities that are exhibiting some signs of fiscal stress, but to a lesser degree than those entities classified in the “moderate” or “significant” stress categories.

While there is no immediate cause for alarm, in the short-term, some of these entities could be vulnerable to movement into the “moderate” or “significant” categories should their financial situation deteriorate. Alternatively, some entities in this category could move into the “no designation” category should their financial situation improve.

**The Fiscal Stress Monitoring System
evaluates local governments
(counties, cities, towns and villages)
and school districts based on both
financial and environmental indicators.**

¹ Routine maintenance (e.g., incorporation of new account codes into relevant indicators) of indicator components may be necessary periodically to reflect changing reporting standards or codes. These changes will only be made to keep FSMS up-to-date, and will not change the basis of the indicators.

Entities that do not accumulate the number of points that would place them in a stress category will still receive a financial score but will be classified in a category of "no designation." This classification should not be interpreted to imply that the entity is completely free of fiscal stress conditions. Rather, the entity's financial information, when objectively scored according to the System criteria, did not generate sufficient points to place them in one of the three established stress categories.

In addition to the stress and no designation categories there are two additional categories in the System. In cases where a local government did not file its financial data for any of the most recent three fiscal years ended as of the specified snapshot date, that entity will be classified as "Not filed." In cases where an entity did file its financial data but still has unresolved issues associated with that data as of the snapshot date, such entity will be classified as "Inconclusive."

The environmental indicators will be calculated using an array of sources, including data from the United States Census Bureau, the New York State Departments of Labor, Taxation and Finance, and Education, as well as financial data that is filed with the Office of the State Comptroller in AUDs. A score will be calculated for each environmental indicator to arrive at a current overall score for each local government and school district, which will be used to identify the units with negative environmental conditions. Those units that have been found to have negative environmental conditions will be notated in order of magnitude, as follows:

- "###" - (comparable to the "significant" category in the financial indicator component)
- "##" - (comparable to the "moderate" category in the financial indicator component)
- "#" - (comparable to the "susceptible" category in the financial indicator component)

Once a local government or school district is evaluated based on both financial and environmental indicators, it will result in the unit having a financial indicator classification and a separate environmental indicator notation.

Over time, as entities continue to be scored on an annual basis, the System will allow interested parties to track stress condition trends and get a better sense of where an entity is headed, so that decision makers are not merely responding to a crisis. Instead, they are able to take a deliberate, long-term and strategic approach to managing the affairs of their local government.

Particular attention should be paid to the fiscal score, how that score moves along the entire continuum, and where it is in relation to the various stress categories. And, since local leaders will be able to ascertain exactly how their score is generated and which indicator calculations are driving the accumulation of points from one year to the next, they can direct their efforts towards fixing the problem with much greater precision. Additionally, they can better explain their specific challenges to taxpayers.

Local Government Financial Indicators

The Fiscal Stress Monitoring System for local governments consists of nine financial indicators within five categories, outlined in the table below, including the calculation and purpose for each financial indicator. An in-depth explanation of each financial indicator calculation has been included in Appendix A.

Local Government Financial Indicators		
Category	Financial Indicator	Purpose
1. Year-End Fund Balance	1. Assigned and Unassigned Fund Balance	To identify the amount of fund balance that is available in the general, special revenue, and/or enterprise funds to provide a cushion for revenue shortfalls or expenditure overruns.
	2. Total Fund Balance	To identify the amount of fund balance that is available to be used to fund operations, provide a cushion for revenue shortfalls or expenditure overruns, and/or is reserved for specific future purposes.
2. Operating Deficits	3. Operating Deficit	To identify local governments that are incurring operating deficits.
3. Cash Position	4. Cash Ratio	To identify the ability of the local government to liquidate current liabilities.
	5. Cash % of Monthly Expenditures	To identify the ability of the local government to fund the ensuing fiscal year's operations from available cash.
4. Use of Short-Term Debt	6. Short-Term Debt Issuance	To identify the amount of short-term debt that is issued to meet obligations (cash flow).
	7. Short-Term Debt Issuance Trend	To identify the trend in the issuance of short-term debt.
5. Fixed Costs	8. Personal Services and Employee Benefits % Revenues	To identify the amount that revenues are restricted to be used for salaries and benefits.
	9. Debt Service % Revenues	To identify the amount that revenues are restricted to be used for debt service expenditures.

Year-End Fund Balance – The level of a local government's year-end fund balance can affect its ability to deal with revenue shortfalls and expenditure overruns. A negative or low level of fund balance can affect the local government's ability to provide services at current levels. In addition, since fund balance is the accumulated result of the local government's financial operations over time, it is a strong measure of financial condition and is not usually affected by short-term circumstances. Two financial indicators were chosen in this category to evaluate the local government's assigned and unassigned fund balance level, and its total fund balance.

Operating Deficits – Annual operating results are a good measure of the local government's recent financial operations and the direction that its finances are headed. Local governments that have multiple years of operating deficits or a significant operating deficit in one fiscal year can face financial hardship. Additionally, multiple years of operating deficits are a reliable sign that the local government's budget is not structurally balanced – that its current revenues are not sufficient to support current expenditures. One financial indicator was selected in this category to evaluate the trend of operating deficits and determine whether the local government incurred a significant operating deficit in its most recently completed fiscal year.

Cash Position – Another way to evaluate fiscal health is to determine whether an entity has enough cash to pay its bills on time. A local government with a low level of cash and short-term investments may not be able to pay its current obligations (insolvency). The two financial indicators in this category evaluate the local government’s ability to liquidate current liabilities and its ability to fund the ensuing fiscal year’s operations from available cash.

Use of Short-Term Debt – Local governments in fiscal stress are more likely to issue short-term debt in order to meet obligations. Increasing reliance on the issuance of short-term debt indicates that the local government has cash-flow issues that are not being resolved. The two financial indicators in this category evaluate the amount of short-term debt that was issued in the last fiscal year and the trend in the issuance of short-term debt.

Fixed Costs – This category was selected because the level of a local government’s fixed costs determines the local government’s flexibility in responding to economic changes. A local government with a high level of fixed costs has more difficulty adjusting service levels if resources decline. These two financial indicators determine the amount that revenues are restricted to be used for personal services and employee benefits, and for debt service (both are of a fixed nature).

An explanation of the scoring of each financial indicator and the overall scoring has been included in Appendix B. When calculating the financial indicators for local governments, the general fund² and combined funds will be used for indicators one and two (two results for each indicator), the combined funds for indicators three through five (one result for each indicator), and all funds, except the capital projects fund, for indicators six through nine (one result for each indicator). The combined funds³ that will be used for each class of local government for indicators one through five are outlined in the table below.

Class	Combined Funds
Cities	General, All Water and All Sewer Funds
Big 4 Cities (Buffalo, Rochester, Syracuse, & Yonkers)	General, Dependent School District General, All Water and All Sewer Funds
Counties	General, County Road, Road Machinery, Water, Sewer and All Enterprise Funds
Villages	General, All Water and All Sewer Funds
Towns	General Town-Wide, General Part-Town, Highway Town-Wide, Highway Part-Town, All Water and All Sewer Funds

For indicators one and two, a result will be calculated for the general fund and a result will be calculated for the combined funds, less the general fund result. For indicators three through five, one result will be calculated for the combined funds. For indicators six through nine, one result will be calculated for all funds, except the capital projects fund. The scores for each of the nine financial indicators will be used to arrive at a current overall score for each local government.

² The general fund calculation for indicators one and two for towns will consist of the general town-wide and highway town-wide funds together (one combined result for each indicator), and will only consist of the general fund for cities, counties, and villages.

³ We selected the combined funds for each class of local government by including the funds that are the most common for each class and also the funds that generally account for the largest percentage of each class’s financial activity.

Local Government Environmental Indicators

An in-depth explanation of each of the environmental indicator calculations has been included in Appendix C. Eight categories including 14 environmental indicators⁴ will be used for evaluating demographic and economic factors affecting local governments. These indicators are outlined in the following table, which includes the calculation and the purpose for each of the environmental indicators.

Local Government Environmental Indicators		
Category	Environmental Indicator	Purpose
1. Population	1. Change in Population 1990 to 2010	To identify local governments where total population has declined over the last two decades or significantly declined over the last decade.
2. Age	2. Change in Median Age of Population 2000 to 2010	To identify local governments where the median age of their residents has increased.
	3. Median Age of Population 2010	To identify the median age of the residents of a local government.
3. Poverty	4. Child Poverty Rate 2010	To identify the child poverty rate of the local government.
	5. Change in Child Poverty Rate 2000 to 2010	To identify local governments where the child poverty rate has increased.
4. Property Value	6. Change in Property Value	To identify local governments where property values have declined.
	7. Property Value Per Capita	To identify the property wealth of the local government.
5. Employment Base	8. Change in Unemployment Rate	To identify local governments where the unemployment rate has increased.
	9. Unemployment Rate	To identify the unemployment rate of the local government.
	10. Change in Total Employment in County	To identify local governments that are within counties in which the total employment in the county has declined.
6. Intergovernmental Revenues	11. Reliance on State and Federal Aid	To identify the dependence of the local government on State and federal funding.
	12. Change in State and Federal Aid	To identify local governments where State and federal aid revenues have declined.
7. Constitutional Tax Limit	13. Constitutional Tax Limit Exhausted	To determine the extent to which a city or village has exhausted its tax limit.
8. Sales Tax Receipts	14. Change in Local Sales Tax Receipts	To identify counties where local sales tax receipts have declined.

Population – Changes in population can provide insight into the health of the local economy and can pose challenges to a local government’s finances. Declining population in a local government may affect property values and the associated tax base, which affects a local government’s revenues. Additionally, despite the fact that population is declining, local government officials are often unable to cut the associated costs since many expenditures, including debt service, personal services and employee benefits, are fixed in the short term.

⁴ All 14 environmental indicators will not be used to evaluate each class of local government. Appendix D contains a table outlining the environmental indicators that will be used to evaluate each class of local government.

Age – The age of the population provides important insight into the service needs within a community. A local government with an increasing or already high median age may require additional services (i.e., public transportation and healthcare), resulting in additional expenditures. The two indicators in this category are the current median age of the population and the trend in the age (whether the population is trending older or younger).

Poverty – The level of poverty within a local government provides important insight into the service needs within a community. The two indicators in this category are the current poverty rate – as measured by the child poverty rate – and the trend in the level of child poverty. We specifically selected the child poverty rate because this rate is a more accurate indicator of the actual poverty level in a community.

Property Value – Property value is a useful sign of the health of a local economy and also may affect real property taxes, which is one of the local government’s major revenue sources. A local government with declining property values needs to increase its tax rate(s) in order to raise the same amount of real property tax revenues. The two indicators in this category evaluate property wealth and the trend in a local government’s property value.

Employment Base – The level of unemployment and the change in available employment provides information on the economic activity of an area and also may affect a local government’s revenues. A local government with an increasing unemployment rate, high unemployment rate, and/or declining available employment indicates that its residents are experiencing reductions in personal income. Therefore, the residents’ ability to support the local economy is diminished. This may result in a significant decline in the local government’s revenues that are based on economic activity (i.e., sales tax receipts). The three indicators in this category evaluate the unemployment rate, the trend in the unemployment rate and the trend in the total employment in the county in which the local government is located.

Intergovernmental Revenues – The extent to which a local government’s operations are supported by intergovernmental revenues from State and federal sources can pose challenges to a local government’s finances. A local government with a large dependence on State and federal funding can have a greater revenue risk (vulnerability to reductions of such revenues) because the local government does not control most intergovernmental revenues. The two indicators in this category evaluate the local government’s current level of dependence on intergovernmental revenues and the trend in intergovernmental revenues.

Constitutional Tax Limit – For purposes of the monitoring system, this category is applied to cities and villages only. The extent to which a city or village has exhausted its constitutional tax limit reduces its financing options. A city or village that has exhausted a significant amount of its constitutional tax limit loses flexibility in its revenue structure and may not be able to sustain the current level of services provided to its residents.

Sales Tax Receipts – This category is applied to counties only, as this revenue source is not allocated in a uniform manner to cities, towns and villages. The change in sales tax receipts (as an indicator of consumer spending) can provide insight into the health of the local economy. Adverse changes can pose challenges to a county’s finances. A county with declining sales tax receipts will need to generate additional revenues to sustain the current level of services provided to its residents. The effects of such change will vary according to the significance of sales tax as a portion of the total revenues realized by a county.

A score will be calculated for each of the applicable environmental indicators to arrive at an overall score for each local government. An explanation of the scoring of each environmental indicator and the overall scoring has been included in Appendix D.

School District Financial Indicators

The financial indicators for schools are slightly different than for local governments, reflecting the different operating environment for schools. Seven financial indicators within four categories were developed for evaluating school districts, which are outlined in the table below. An in-depth explanation of each of the financial indicator calculations has been included in Appendix E.

The Fiscal Stress Monitoring System does not evaluate/score districts created by special act or non-operational districts. Special act schools are public schools created by special action of the State Legislature, for the purpose of providing special education services to students who reside in child care institutions. Non-operational school districts most often include districts that raise property taxes as a mechanism to pay tuition in order to send students to other area schools.

School District Financial Indicators		
Category	Financial Indicator	Purpose
1. Year-End Fund Balance	1. Unassigned Fund Balance	To identify the amount of fund balance that is available in the general fund to provide a cushion for revenue shortfalls or expenditure overruns.
	2. Total Fund Balance	To identify the amount of fund balance that is available to be used to fund operations, provide a cushion for revenue shortfalls or expenditure overruns, and/or is reserved for specific future purposes.
2. Operating Deficits	3. Operating Deficit	To identify school districts that are incurring operating deficits.
3. Cash Position	4. Cash Ratio	To identify the ability of the school district to liquidate current liabilities.
	5. Cash % of Monthly Expenditures	To identify the ability of the school district to fund the ensuing fiscal year’s operations from available cash.
4. Use of Short-Term Debt	6. Short-Term Debt Issuance	To identify the amount of short-term debt that was issued to meet obligations (cash flow).
	7. Short-Term Debt Issuance Trend	To identify the trend in the issuance of short-term debt.

Year-End Fund Balance – The level of a school district’s year-end fund balance can affect its ability to deal with revenue shortfalls and expenditure overruns. A negative or low level of fund balance can affect the school district’s ability to provide services at current levels. In addition, since fund balance is the accumulated results of the school district’s financial operations over time, it is a strong measure of financial condition and is not usually affected by short-term circumstances. Two financial indicators were chosen in this category to evaluate a school district’s unassigned fund balance level and total fund balance.

Operating Deficits – Annual operating results are a good measure of the recent financial operations and the direction that a school district’s finances are headed. School districts that have multiple years of operating deficits or a significant operating deficit in one fiscal year can face financial hardship. Additionally, multiple years of operating deficits are a reliable sign that a school district’s budget is not structurally balanced – that its current revenues are not sufficient to support current expenditures. One financial indicator was selected in this category to evaluate the trend of operating deficits and determine whether the school district incurred a significant operating deficit in its most recently completed fiscal year.

Cash Position – Another way to evaluate fiscal health is to determine whether an entity has enough cash to pay its bills on time. A school district with a low level of cash and short-term investments may not be able to pay its current obligations (insolvency). The two financial indicators in this category evaluate the ability to liquidate current liabilities and the ability to fund the ensuing fiscal year’s operations from available cash.

Use of Short-Term Debt – School districts in fiscal stress are more likely to issue short-term debt in order to meet obligations. A school district that increasingly relies on the issuance of short-term debt indicates that the school district has cash-flow issues that are not being resolved. The two financial indicators in this category evaluate the amount of short-term debt that was issued in the last fiscal year as well as the trend in the issuance of short-term debt.

When calculating the financial indicators for school districts, only the district’s general fund will be used. A score will be calculated for each of the seven financial indicators to arrive at a current overall score for each school district. An explanation of the scoring of each financial indicator and the overall scoring has been included in Appendix F.

School District Environmental Indicators

Six environmental indicators within five categories will be used for evaluating other factors affecting school district finances, which are outlined in the table below. An in-depth explanation of each of the environmental indicator calculations has been included in Appendix G.

School District Environmental Indicators		
Category	Environmental Indicator	Purpose
1. Property Value	1. Change in Property Value	To identify school districts where property values have declined.
2. Enrollment	2. Change in Enrollment	To identify school districts where enrollment has declined.
3. Budget Votes	3. Trend in First Budget Vote Being Defeated	To identify school districts where their budget was defeated during the first vote multiple times.
	4. Change in Approval % First Budget Vote	To identify school districts where the approval percentage of their budget during the first budget vote has declined.
4. Graduation Rate	5. Graduation Rate %	To identify the graduation rate of the school district.
5. Free or Reduced Priced Lunch	6. Free or Reduced Priced Lunch %	To identify an indicator of the poverty rate of the school district.

Property Value – Property value is a useful sign of the health of the local economy and also may affect one of the school district’s major revenue sources (real property taxes). A school district with declining property values needs to increase its tax rate(s) in order to raise the same amount of real property tax revenues. This indicator evaluates the trend in a school district’s property value.

Enrollment – Changes in school district enrollment can provide insight into the health of the local economy and can pose challenges to a school district’s finances. A school district with declining enrollment may experience a decline in property values and the associated tax base, which may affect a school district’s revenues. Additionally, despite the fact that enrollment is declining, school districts are often unable to cut the associated costs since many expenditures, including debt service, personal services, and employee benefits, are fixed in the short term.

Budget Votes – The level of community support for a school district’s budget directly affects the school district’s ability to incur the expenditures that are anticipated. Additionally, because of the onset of the tax cap starting with the 2012-13 fiscal year, the level of community support for a school district’s budget will directly affect the school district’s ability to raise real property taxes, its major source of revenue. The two indicators in this category identify school districts that had their budgets defeated during the first vote multiple times, and school districts that have had a declining approval percentage for the first budget vote.

Graduation Rate – Graduation rates may affect the school district’s expenditures. A low graduation rate may indicate a school district has students with higher needs that require additional academic services, resulting in additional expenditures for the district.

Free or Reduced Price Lunch – The percentage of students eligible for free or reduced price lunch is directly correlated with the poverty rate. A high percentage of students that are eligible for free or reduced price lunch indicates a school district has students with higher needs that require additional services, resulting in additional expenditures for the district.

A score will be calculated for each of the six environmental indicators to arrive at an overall score for each school district. An explanation of the scoring of each environmental indicator and the overall scoring has been included in Appendix H.

Internal Verification

There will be several steps of internal verification performed by OSC prior to finalizing a list of local governments and school districts that will be classified as in “significant fiscal stress,” “moderate fiscal stress,” or “susceptible to fiscal stress.” Specifically, for each unit initially identified, the data and calculations that were used to determine these units’ classification (significant fiscal stress, moderate fiscal stress, or susceptible to fiscal stress) will be reviewed and verified. The internal verification process will also consist of verification of the data and calculations for a sample of units classified as “no designation.”

Should a local government or school district fail to file its Annual Update Document (AUD) and/or ST-3, it will be classified as “Not filed” when scores for its peer group are released publicly. Should a local government or school district fail to satisfactorily resolve any data issues uncovered during the verification process, such entity will not receive a fiscal stress score and will be classified under the category of “Inconclusive” when scores for its peer group are released publicly. A peer group, for purpose of score releases, is defined according to entity class and/or fiscal year end date.

Dependent School Districts

School district information for the fiscally dependent districts (Buffalo, Rochester, Syracuse and Yonkers) will be incorporated into the scoring of their respective cities. See pages 4-8 for discussion of local government indicators.

Assistance Provided to Local Governments

Once the Fiscal Stress Monitoring System has identified local governments and school districts experiencing some level of fiscal stress, there is an array of services that OSC can provide to these units. The services will be provided through the OSC regional office that has oversight responsibility for the identified unit(s).

Budget Reviews – Review the unit’s budget prior to adoption by the governing board to ensure that the significant revenue and expenditure projections are reasonable, and that the budget is structurally balanced.

Technical Assistance – Contact each unit to discuss the indicators that resulted in the fiscal stress designation. Provide additional guidance to the unit via on-site technical assistance.

Multi-Year Financial Planning – Provide each unit with the information to access OSC’s on-line multi-year financial planning tool. Provide any hands-on assistance the unit needs to fully utilize the tool and develop a multi-year plan, identify its fiscal issues and develop a corrective action plan.

Publications and Resources – Provide units with a predetermined set of local government management guides and other publications related to financial management (e.g., financial condition analysis, multi-year financial and capital planning, etc.). Provide units with a five-year financial comparison of the data filed in their annual update document/ST-3 in an Excel spreadsheet.

Training – Advise each unit about the full menu of training that OSC offers, including online training, regional training, and association and conference trainings.

Appendix A

Local Government Financial Indicator Calculations

The following contains an in-depth explanation of each of the financial indicator calculations:

Assigned and Unassigned Fund Balance – The general fund’s assigned fund balance, except for assigned appropriated fund balance (account code 915 only), plus unassigned fund balance (account code 917) divided by the general fund’s gross expenditures⁵ (EOU) during the same fiscal year. A result will be calculated for the general fund. The combined funds’ assigned fund balance, except for assigned appropriated fund balance (account code 915 only), plus unassigned fund balance (account code 917 and account code 924 for enterprise funds) divided by the combined funds’ gross expenditures (EOU) during the same fiscal year. A result will be calculated for the combined funds, less the general fund result.

Total Fund Balance – The general fund’s total fund balance at fiscal year end divided by the general fund’s gross expenditures (EOU) during the same fiscal year. A result will be calculated for the general fund. The combined funds’ total fund balance at fiscal year end divided by the combined funds’ gross expenditures (EOU) during the same fiscal year. A result will be calculated for the combined funds, less the general fund result.

Operating Deficits – The combined funds’ gross revenues⁶ (ROS) minus gross expenditures (EOU) at fiscal year end divided by the combined funds’ gross expenditures during the same fiscal year (EOU). One result will be calculated for the combined funds.

Cash Ratio – The total of the combined funds’ cash and investments (account codes 200-223, 450, and 451) at fiscal year end divided by the combined funds’ current liabilities (account codes 600-626, 631-637, and 639-668 minus account codes 280, 290, and 295) during the same fiscal year. One result will be calculated for the combined funds.

Cash as a Percentage of Monthly Expenditures – The total of the combined funds’ cash and investments (account codes 200, 201, 450, and 451) at fiscal year end divided by the combined funds’ average monthly gross expenditures (EOU) during the same fiscal year. One result will be calculated for the combined funds.

Short-Term Debt Issuance – The total of short-term debt (revenue anticipation notes (RANs), tax anticipation notes (TANs), deficiency notes, and budget notes) that was issued during the fiscal year divided by the general fund’s total revenues⁷ during the same fiscal year.

⁵ “Gross Expenditures” consist of expenditures plus other uses (transfer activity) for any of the calculations in which they are included.

⁶ “Gross Revenues” consist of revenues plus other sources (transfer activity) for any of the calculations in which they are included.

⁷ “Total Revenues” only consist of revenues and not other sources (no transfer activity) for any of the calculations in which they are included. For Big 4 Cities (Buffalo, Rochester, Syracuse and Yonkers) “Total Revenues” includes city as well as school district general fund revenues.

Appendix A

Local Government Financial Indicator Calculations

Short-Term Debt Issuance Trend – Starting with the most recent completed fiscal year, the number of consecutive years that short-term debt (RANs, TANs, deficiency notes, and budget notes) was issued over the last three fiscal years.

Personal Service and Employee Benefits as a Percentage of Revenues – The total of all funds’ (except the capital projects fund) personal services expenditures and employee benefits expenditures (expenditure object codes .1 and .8) at fiscal year end divided by all funds’ (except the capital projects fund) total revenues during the same fiscal year. One result will be calculated for all funds (except the capital projects fund).

Debt Service as a Percentage of Revenues – The total of all funds’ (except the capital projects fund) debt service expenditures (expenditure object codes .6 and .7) net of current refunding bonds (code V5792) at fiscal year end divided by all funds’ (except the capital projects fund) total revenues during the same fiscal year. One result will be calculated for all funds (except the capital projects fund). For the Big 4 Cities of Buffalo, Rochester, Syracuse and Yonkers, the denominator (“Total Revenues”) includes General Fund Revenues of the city as well as its dependent school district.

Appendix B

Local Government Financial Indicators Scoring

Local Government Financial Indicators Scoring			
Financial Indicator	Scoring - Points	Max. Points	Scoring - Weighted Average
1. Assigned and Unassigned Fund Balance	General Fund Result 3 Points = Less Than or Equal to 3.33% Last Fiscal Year 2 Points = Greater Than 3.33% But Less Than or Equal to 6.67% Last Fiscal Year 1 Point = Greater Than 6.67% But Less Than or Equal to 10% Last Fiscal Year 0 Points = Greater Than 10% Last Fiscal Year Combined Funds Result Minus General Fund Result 1 Point = Negative % When the General Fund % is Subtracted from the Combined Funds % for the Last Fiscal Year	4	50%
	General Fund Result 3 Points = Less Than or Equal to 10% Last Fiscal Year 2 Points = Greater Than 10% But Less Than or Equal to 15% Last Fiscal Year 1 Point = Greater Than 15% But Less Than or Equal to 20% Last Fiscal Year 0 Points = Greater Than 20% Last Fiscal Year Combined Funds Result Minus General Fund Result 1 Point = Negative % When the General Fund % is Subtracted from the Combined Funds % for the Last Fiscal Year		
3. Operating Deficit	Combined Funds Result 3 Points = Deficits in Three of Last Three Fiscal Years or a Deficit in the Last Fiscal Year Less Than or Equal to -10% 2 Points = Deficits in Two of Last Three Fiscal Years 1 Point = Deficit in One of Last Three Fiscal Years 0 Points = No Deficits in Last Three Fiscal Years	3	10%
4. Cash Ratio	Combined Funds Result 3 Points = Less Than or Equal to 50% Last Fiscal Year 2 Points = Greater Than 50% But Less Than or Equal to 75% Last Fiscal Year 1 Point = Greater Than 75% But Less Than or Equal to 100% Last Fiscal Year 0 Points = Greater Than 100% Last Fiscal Year	3	
5. Cash % of Monthly Expenditures	Combined Funds Result (Villages and Towns) 3 Points = Less Than or Equal to 33.3% Last Fiscal Year 2 Points = Greater Than 33.3% But Less Than or Equal to 66.7% Last Fiscal Year 1 Point = Greater Than 66.7% But Less Than or Equal to 100% Last Fiscal Year 0 Points = Greater Than 100% Last Fiscal Year Combined Funds Result (Cities and Counties) 3 Points = Less Than or Equal to 50% Last Fiscal Year 2 Points = Greater Than 50% But Less Than or Equal to 100% Last Fiscal Year 1 Point = Greater Than 100% But Less Than or Equal to 150% Last Fiscal Year 0 Points = Greater Than 150% Last Fiscal Year	3	20%
	All Funds Result 3 Points = Greater Than 15% Last Fiscal Year 2 Points = Greater Than 5% But Less Than or Equal to 15% Last Fiscal Year 1 Point = Greater Than 0% But Less Than or Equal to 5% Last Fiscal Year 0 Points = 0% Last Fiscal Year		
7. Short-Term Debt Issuance Trend	All Funds Result 3 Points = Issuance in Each of Last Three Fiscal Years or Issued a Budget Note in Last Fiscal Year 2 Points = Issuance in Each of Last Two Fiscal Years 1 Point = Issuance in Last Fiscal Year 0 Points = No Issuance	3	10%
8. Personal Services and Employee Benefits % Revenues	All Funds Result 3 Points = Last Three Fiscal Years Average Greater Than or Equal to 75% 2 Points = Last Three Fiscal Years Average Greater Than or Equal to 70% But Less Than 75% 1 Point = Last Three Fiscal Years Average Greater Than or Equal to 65% But Less Than 70% 0 Points = Last Three Fiscal Years Average Less Than 65%	3	10%
9. Debt Service % Revenues	All Funds Result 3 Points = Last Three Fiscal Years Average Greater Than or Equal to 20% 2 Points = Last Three Fiscal Years Average Greater Than or Equal to 15% But Less Than 20% 1 Point = Last Three Fiscal Years Average Greater Than or Equal to 10% But Less Than 15% 0 Points = Last Three Fiscal Years Average Less Than 10%	3	
Total		29	100%

Appendix B

Local Government Financial Indicators Scoring

The categories will be given different weights to reflect their relative importance in measuring financial stress. The total maximum number of points that a local government can receive is 29 points. If a local government receives an overall score greater than or equal to 65 percent of the total points, it will be considered in significant fiscal stress; if a local government receives an overall score greater than or equal to 55 percent of the total points, but less than 65 percent of the total points, it will be considered in moderate fiscal stress; if a local government receives an overall score greater than or equal to 45 percent of the total points, but less than 55 percent of the total points, it will be considered susceptible to fiscal stress; and if a local government receives an overall score less than 45 percent of the total points, it will be identified as "no designation."

Local Government Classifications of Fiscal Stress	
Percentage of Total Points	Classification of Fiscal Stress
65% – 100%	Significant Fiscal Stress
55% – 64.9%	Moderate Fiscal Stress
45% – 54.9%	Susceptible to Fiscal Stress
0% – 44.9%	No Designation

Appendix C

Local Government Environmental Indicator Calculations⁸

The following contains an in-depth explanation of each of the environmental indicator calculations:

Changes in Population 1990 to 2010 – The local government's total population from the 2000 Census minus the local government's total population from the 1990 Census divided by the local government's total population from the 1990 Census. Additionally, the local government's total population from the 2010 Census minus the local government's total population from the 2000 Census divided by the local government's total population from the 2000 Census.

Change in Median Age of Population 2000 to 2010 – The local government's total population median age from the 2010 Census minus the local government's total population median age from the 2000 Census divided by the local government's total population median age from the 2000 Census.

Median Age of Population 2010 – The median age of the residents of a local government based on the 2010 Census.

Child Poverty Rate 2010 – The child poverty rate of the local government based on the 2010 Census. The statewide average poverty rate was 19.90 percent based on the 2010 Census.

Change in Child Poverty Rate 2000 to 2010 – The local government's child poverty rate from the 2010 Census minus the local government's child poverty rate from the 2000 Census.

Change in Property Value – The local government's full value of its real property minus the full value for the prior fiscal year divided by the full value for the prior fiscal year.

Property Value Per Capita – The local government's full value of its real property divided by the local government's total population as of the 2010 Census.

Change in Unemployment Rate – The unemployment rate for the local government minus the prior year's unemployment rate. For local governments for which an individual unemployment rate is not available, the unemployment rate for the county that the local government primarily resides in is used.

Unemployment Rate – The unemployment rate for the local government. We compare the change in the Statewide unemployment rate with the change in the local government's unemployment rate for the same time period. For local governments for which an individual unemployment rate is not available, the unemployment rate for the county that the local government primarily resides in is used.

⁸ All local government environmental data is obtained internally unless otherwise noted below:

Census data is obtained from the United States Census Bureau.

Employment data is obtained from the New York State Department of Labor.

Sales tax data is obtained from the New York State Department of Tax and Finance.

Consumer price index is obtained from the United States Bureau of Labor Statistics

Appendix C

Local Government Environmental Indicator Calculations

Change in Total Employment in County – The total employment in the county minus the total employment in the county for the prior year. For each local government, we used the data for the county that the local government most resides in.

Reliance on State and Federal Aid – All funds' (except the capital projects fund) State and federal aid revenues (revenue account codes 3000 through 4999 minus account codes 3960 and 4960) at fiscal year end for the current fiscal year divided by all funds' (except the capital projects fund) total revenues at fiscal year end for the current fiscal year. One result will be calculated for all funds (except the capital projects fund).

Change in State and Federal Aid – All funds' (except the capital projects fund) State and federal aid revenues (revenue account codes 3000 through 4999 minus account codes 3960 and 4960) at fiscal year end for the current fiscal year minus all funds' (except the capital projects fund) State and federal aid revenues (revenue account codes 3000 through 4999 minus account codes 3960 and 4960) at fiscal year end for the prior fiscal year divided by all funds' (except the capital projects fund) State and federal aid revenues (revenue account codes 3000 through 4999 minus account codes 3960 and 4960) at fiscal year end for the prior fiscal year. One result will be calculated for all funds (except the capital projects fund).

Constitutional Tax Limit – The city or village tax levy subject to the tax levy limit divided by its tax limit. The tax limit is computed by multiplying taxable real property by a certain percentage enumerated in the State Constitution.

Change in Local Sales Tax Receipts – The rate of change for local sales tax receipts for the most recently completed calendar year minus the local sales tax receipts for the prior calendar year divided by the local sales tax receipts for the prior calendar year. The local sales tax receipts represent the amount that is distributed to counties on a monthly basis from OSC. The measure is calculated as the local government's rate of change for local sales tax receipts minus the rate of change in the consumer price index (CPI) for the same time period as the change in local sales tax.

Appendix D

Local Government Environmental Indicators Scoring

Local Government Environmental Indicators Scoring							
Environmental Indicator	Scoring - Points	County		City and Village		Town	
		Max. Points	Scoring - Weighted Average	Max. Points	Scoring - Weighted Average	Max. Points	Scoring - Weighted Average
1. Change in Population 1990 to 2010	3 Points = Change Between 1990 and 2000 and 2000 and 2010 are Both Less Than 0% or Change Between 2000 and 2010 Less Than -10% 2 Points = Change Between 2000 and 2010 Less Than or Equal to -5% 1 Point = Change Between 2000 and 2010 Less Than 0% But Greater Than -5% 0 Points = Change Between 2000 and 2010 Greater Than or Equal to 0%	3	15%	3	15%	3	20%
2. Change in Median Age of Population 2000 to 2010	3 Points: Greater Than or Equal to 25%. 2 Points: Greater Than or Equal to 20% But Less Than 25% 1 Point: Greater Than or Equal to 15% But Less Than 20% 0 Points: Less Than 15%	3	10%	3	10%	3	10%
3. Median Age of Population 2010	1 Point: Greater Than or Equal to 50 0 Points: Less Than 50	1		1		1	
4. Child Poverty Rate 2010	3 Points: Greater Than or Equal to 39.80% (Twice the Statewide Average) 2 Points: Greater Than or Equal to 29.85% (One and Half Times the Statewide Average) But Less Than 39.80% 1 Point: Greater Than or Equal to 19.90% (Statewide Average) But Less Than 29.85% 0 Points: Less Than 19.90% (Statewide Average)	3	10%	3	15%	3	20%
5. Change in Child Poverty Rate 2000 to 2010	1 Point: Greater Than 0% 0 Points: Less Than or Equal to 0%	1		1		1	
6. Change in Property Value	3 Points = Four Fiscal Years Average Less Than or Equal to -4% or Change Between Last Two Fiscal Years Less Than -10% 2 Points = Four Fiscal Years Average Less Than or Equal to -2% But Greater Than -4% 1 Point = Four Fiscal Years Average Less Than or Equal to -1% But Greater Than -2% 0 Points = Four Fiscal Years Average Greater Than -1%	3	25%	3	30%	3	30%
7. Property Value Per Capita	3 Points: Less Than or Equal to \$10,000. 2 Points: Greater Than \$10,000 But Less Than or Equal to \$20,000 1 Point: Greater Than \$20,000 But Less Than or Equal to \$30,000 0 Points: Greater Than \$30,000	3		3		3	
8. Change in Unemployment Rate	1 Point: Greater Than 0% 0 Points: Less Than or Equal to 0%	1	10%	1	10%	1	10%
9. Unemployment Rate	1 Point: Greater Than Statewide Average 0 Points: Less Than or Equal to Statewide Average	1		1		1	
10. Change in Total Employment in County	1 Point: Less Than 0 0 Points: Greater Than or Equal to 0	1		1		1	
11. Reliance on State and Federal Aid	3 Points = Four Fiscal Years Average Greater Than or Equal to 50% 2 Points = Four Fiscal Years Average Greater Than or Equal to 40% But Less Than 50% 1 Point = Four Fiscal Years Average Greater Than or Equal to 30% But Less Than 40% 0 Points = Four Fiscal Years Average Less Than 30%	3	10%	3	10%	3	10%
12. Change in State and Federal Aid	1 Point: Less Than 0% In Last Fiscal Year 0 Points: Greater Than or Equal to 0% In Last Fiscal Year	1		1		1	
13. Constitutional Tax Limit Exhausted	3 Points: Greater Than or Equal to 80% Last Fiscal Year. 2 Points: Greater Than or Equal to 65% But Less Than 80% Last Fiscal Year 1 Point: Greater Than or Equal to 50% But Less Than 65% Last Fiscal Year 0 Points: Less Than 50% Last Fiscal Year	0	0%	3	10%	0	0%
14. Change in Local Sales Tax Receipts	3 Points: Less Than 0% 2 Points: Greater Than or Equal to 0% But Less Than One Half the CPI Change 1 Point: Greater Than or Equal to 1.35% But Less Than CPI Change 0 Points: Greater Than or Equal to CPI Change	3	20%	0	0%	0	0%
Total		27	100%	27	100%	24	100%

Appendix D

Local Government Environmental Indicators Scoring

The categories will be given different weights to reflect their relative importance in determining environmental conditions. The total maximum number of points that a county, city, or village can receive is 27 points. If a county, city, or village receives an overall score greater than or equal to 50 percent of the total points, it will be considered to have the worst environmental conditions, which will be notated by "###;" if a county, city, or village receives an overall score greater than or equal to 40 percent of the total points, but less than 50 percent of the total points, it will be considered to have the next level of negative environmental conditions, which will be notated by "##;" if a county, city, or village receives an overall score greater than or equal to 30 percent of the total points, but less than 40 percent of the total points, it will be considered to have the last level of negative environmental conditions, which will be notated by "#;" and if a county, city, or village receives an overall score less than 30 percent of the total points, it will be classified as "no designation" for environmental conditions.

The total maximum number of points that a town can receive is 24 points. If a town receives an overall score greater than or equal to 50 percent of the total points, it will be considered to have the worst environmental conditions, which will be notated by "###;" if a town receives an overall score greater than or equal to 40 percent of the total points, but less than 50 percent of the total points, it will be considered to have the next level of negative environmental conditions, which will be notated by "##;" if a town receives an overall score greater than or equal to 30 percent of the total points, but less than 40 percent of the total points, it will be considered to have the last level of negative environmental conditions, which will be notated by "#;" and if a town receives an overall score less than 30 percent of the total points, it will be classified as "no designation" for environmental conditions.

Appendix E

School District Financial Indicator Calculations

The following contains an in-depth explanation of each of the financial indicator calculations:

Unassigned Fund Balance – The general fund's unassigned fund balance, except for reserve for tax reduction (account code 917 only), divided by the general fund's gross expenditures⁹ (EOU) during the same fiscal year.

Total Fund Balance – The general fund's total fund balance at fiscal year end divided by the general fund's gross expenditures (EOU) during the same fiscal year.

Operating Deficits – The general fund's gross revenues¹⁰ (ROS) minus gross expenditures (EOU) at fiscal year end divided by the general fund's gross expenditures (EOU) during the same fiscal year.

Cash Ratio – The total of the general fund's cash and investments (account codes 200-223, 450, and 451) at fiscal year end divided by the general fund's current liabilities (account codes 600-626, 631-637, and 639- 668 minus account codes 280, 290, and 295) during the same fiscal year.

Cash as a Percentage of Monthly Expenditures – The total of the general fund's cash and investments (account codes 200, 201, 450, and 451) at fiscal year end divided by the general fund's average monthly gross expenditures (EOU) during the same fiscal year.

Short-Term Debt Issuance – The total of short-term debt (RANs, TANs, deficiency notes, and budget notes) that was issued during the fiscal year divided by the general fund's total revenues¹¹ during the same fiscal year.

Short-Term Debt Issuance Trend – Beginning with the most recent completed fiscal year, the number of consecutive years that short-term debt (RANs, TANs, deficiency notes, and budget notes) was issued over the last three fiscal years..

⁹ “Gross Expenditures” consist of expenditures plus other uses (transfer activity) for any of the calculations that they are included in.

¹⁰ “Gross Revenues” consist of revenues plus other sources (transfer activity).

¹¹ “Total Revenues” only consist of revenues and not other sources (no transfer activity).

Appendix F

School District Financial Indicators Scoring

School District Financial Indicators Scoring			
Financial Indicator	Scoring - Points	Max. Points	Scoring - Weighted Average
1. Unassigned Fund Balance	3 Points = Less Than or Equal to 1% Last Fiscal Year 2 Points = Greater Than 1% But Less Than or Equal to 2% Last Fiscal Year 1 Point = Greater Than 2% But Less Than or Equal to 3% Last Fiscal Year 0 Points = Greater Than 3% Last Fiscal Year	3	50%
2. Total Fund Balance	3 Points = Less Than or Equal to 0% Last Fiscal Year 2 Points = Greater Than 0% But Less Than or Equal to 5% Last Fiscal Year 1 Point = Greater Than 5% But Less Than or Equal to 10% Last Fiscal Year 0 Points = Greater Than 10% Last Fiscal Year	3	
3. Operating Deficit	3 Points = Deficits in Three of Last Three Fiscal Years Less Than or Equal to -1% or a Deficit in the Last Fiscal Year Less Than or Equal to -3% 2 Points = Deficits in Two of Last Three Fiscal Years Less Than or Equal to -1% 1 Point = Deficit in One of Last Three Fiscal Years Less Than or Equal to -1% 0 Points = No Deficits Less Than or Equal to -1% in Last Three Fiscal Years	3	20%
4. Cash Ratio	3 Points = Less Than or Equal to 50% Last Fiscal Year 2 Points = Greater Than 50% But Less Than or Equal to 75% Last Fiscal Year 1 Point = Greater Than 75% But Less Than or Equal to 100% Last Fiscal Year 0 Points = Greater Than 100% Last Fiscal Year	3	20%
5. Cash % of Monthly Expenditures	3 Points = Less Than or Equal to 33.3% Last Fiscal Year 2 Points = Greater Than 33.3% But Less Than or Equal to 66.7% Last Fiscal Year 1 Point = Greater Than 66.7% But Less Than or Equal to 100% Last Fiscal Year 0 Points = Greater Than 100% Last Fiscal Year	3	
6. Short-Term Debt Issuance Amount	3 Points = Greater Than 15% Last Fiscal Year 2 Points = Greater Than 5% But Less Than or Equal to 15% Last Fiscal Year 1 Point = Greater Than 0% But Less Than or Equal to 5% Last Fiscal Year 0 Points = 0% Last Fiscal Year	3	10%
7. Short-Term Debt Issuance Trend	3 Points = Issuance in Each of Last Three Fiscal Years or Issued a Budget Note in Last Fiscal Year 2 Points = Issuance in Each of Last Two Fiscal Years 1 Point = Issuance in Last Fiscal Year 0 Points = No Issuance	3	
Total		21	100%

Appendix F

School District Financial Indicators Scoring

The categories will be given different weights to reflect their relative importance in measuring financial stress. The total maximum number of points that a school district can receive is 21 points. If a school district receives an overall score greater than or equal to 65 percent of the total points, it will be considered in significant fiscal stress; if a school district receives an overall score greater than or equal to 45 percent of the total points, but less than 65 percent of the total points, it will be considered in moderate fiscal stress; if a school district receives an overall score greater than or equal to 25 percent of the total points, but less than 45 percent of the total points, it will be considered susceptible to fiscal stress; and if a school district receives an overall score less than 25 percent of the total points, it will be classified as "no designation."

School District Classifications of Fiscal Stress	
Percentage of Total Points	Classification of Fiscal Stress
65% – 100%	Significant Fiscal Stress
45% – 64.9%	Moderate Fiscal Stress
25% – 44.9%	Susceptible to Fiscal Stress
0% – 24.9%	No Designation

Appendix G

School District Environmental Indicator Calculations

The following contains an in-depth explanation of each of the environmental indicator calculations:

Change in Property Value – The school district's full value¹² minus the school district's full value for the prior fiscal year divided by the school district's full value for the prior fiscal year.

Change in Enrollment – The school district's enrollment for the most current fiscal year minus the school district's enrollment for the prior fiscal year divided by the school district's enrollment for the prior fiscal year.

Trend in First Budget Vote Being Defeated – In fiscal years prior to the 2012-13 fiscal year budget vote, a majority of total votes had to be "yes" (more than 50 percent) or the budget would be defeated. Starting with the 2012-13 fiscal year budget vote and budget votes in fiscal years after, a majority of total votes had to be "yes" (more than 50 percent) or the budget would be defeated if it did not include an override of the tax cap. Alternatively, a supermajority of total votes had to be "yes" (60 percent or more) or the budget would be defeated if it included an override of the tax cap.

Change in Approval Percentage for the First Budget Vote – The approval percentage for the first budget vote for the most current fiscal year minus the approval percentage for the first budget vote for last fiscal year. The approval percentage consists of the total number of "yes" votes for the first budget vote divided by the total number of votes cast for the first budget vote.

Graduation Rate Percentage – The total number of students that graduated divided by the number of students that entered 9th grade four years prior. The number of students who graduated consists of students who graduated within four years with a local diploma, Regents diploma, or Regents with an advanced designation diploma.

Free or Reduced Priced Lunch Percentage – The total number of students in Kindergarten through 12th grade who are eligible for free or reduced priced lunch divided by the total K-12 enrollment for the same year.

¹² All school district environmental data is obtained from the New York State Education Department except for real property data, which is obtained internally.

Appendix H

School District Environmental Indicators Scoring

School District Environmental Indicators Scoring			
Environmental Indicator	Scoring - Points	Max. Points	Scoring - Weighted Average
1. Change in Property Value	3 Points = Four Fiscal Years Average Less Than or Equal to -4% or Change Between Last Two Fiscal Years Less Than -10% 2 Points = Four Fiscal Years Average Less Than or Equal to -2% But Greater Than -4% 1 Point = Four Fiscal Years Average Less Than or Equal to -1% But Greater Than -2% 0 Points = Four Fiscal Years Average Greater Than -1%	3	30%
2. Change in Enrollment	3 Points = Four Fiscal Years Average Less Than or Equal to -3.5% 2 Points = Four Fiscal Years Average Less Than or Equal to -2.5% But Greater Than -3.5% 1 Point = Four Fiscal Years Average Less Than or Equal to -1.5% But Greater Than -2.5% 0 Points = Four Fiscal Years Average Greater Than -1.5%	3	20%
3. Trend in First Budget Vote Being Defeated	3 Points = Budget Vote Defeated First Time Four of Last Four Fiscal Years 2 Points = Budget Vote Defeated First Time Three of Last Four Fiscal Years 1 Point = Budget Vote Defeated First Time Two of Last Four Fiscal Years 0 Points = Budget Vote Defeated First Time One or None of Last Four Fiscal Years	3	15%
4. Change in Approval % First Budget Vote	3 Points = Four Fiscal Years Average Less Than or Equal to -9% Points and Last Fiscal Year Approval % Less Than 60% 2 Points = Four Fiscal Years Average Less Than or Equal to -6% Points But Greater Than -9% Points and Last Fiscal Year Approval % Less Than 60% 1 Point = Four Fiscal Years Average Less Than or Equal to -3% Points But Greater Than -6% Points and Last Fiscal Year Approval % Less Than 60% 0 Points = Four Fiscal Years Average Greater Than -3% Points	3	
5. Graduation Rate %	3 Points = Graduation % Below 1.5 Standard Deviations of That Fiscal Year's Average Graduation Rate % in Three or More of Last Four Fiscal Years 2 Points = Graduation % Below 1.5 Standard Deviations of That Fiscal Year's Average Graduation Rate % in Two of Last Four Fiscal Years 1 Point = Graduation % Below 1.5 Standard Deviations of That Fiscal Year's Average Graduation Rate % in One of Last Four Fiscal Years 0 Points = Graduation % Below 1.5 Standard Deviations of That Fiscal Year's Average Graduation Rate % in None of Last Four Fiscal Years	3	15%
6. Free or Reduced Priced Lunch %	3 Points = Three Fiscal Years Average Greater Than or Equal to 75% 2 Points = Three Fiscal Years Average Greater Than or Equal to 65% But Less Than 75% 1 Point = Three Fiscal Years Average Greater Than or Equal to 55% But Less Than 65% 0 Points = Three Fiscal Years Average Less Than 55%	3	20%
Total		18	100%

Appendix H

School District Environmental Indicators Scoring

We recognize that there are instances in which some of the environmental indicators are not applicable to each school district. For example, school districts that include only grades K-6 will not have a graduation rate percentage and dependent school districts will not have budget vote data. When these instances occur, the environmental indicators that are not applicable to the school district will not be evaluated. Instead, the school district's overall environmental indicator score will be calculated by proportionately redistributing the weighted average for the environmental indicator categories that are not applicable to the school district to the other environmental indicator categories that are applicable. This will result in all school districts' overall environmental indicator scores being equitable and comparable to each other.

The categories will be given different weights to reflect their relative importance in determining environmental conditions. The total maximum number of points that a school district can receive is 18 points. If a school district receives an overall score greater than or equal to 60 percent of the total points, it will be considered to have the worst environmental conditions, which will be notated by "###;" if a school district receives an overall score greater than or equal to 45 percent of the total points, but less than 60 percent of the total points, it will be considered to have the next level of negative environmental conditions, which will be notated by "##;" if a school district receives an overall score greater than or equal to 30 percent of the total points, but less than 45 percent of the total points, it will be considered to have the last level of negative environmental conditions, which will be notated by "#;" and if a school district receives an overall score less than 30 percent of the total points, it will be classified as "no designation."

Appendix I

Summary of Public Comments and Responses

The proposed Fiscal Stress Monitoring System was shared with all local governments and school districts for their review and comment during a 60-day comment period. We want to thank all of the individuals who submitted comments during the open comment period. We evaluated the comments received and took them into consideration in finalizing the Fiscal Stress Monitoring System. The following contains a summary of the public comments and OSC's responses, including the resulting changes that were made.

Early Warning System

We received comments that the Fiscal Stress Monitoring System is not an early warning system because it provides information that local government and school district officials are already aware of. The Fiscal Stress Monitoring System is in fact an early warning system because it identifies both local governments and school districts that are currently in fiscal stress, and those that are susceptible to fiscal stress. Admittedly, in this initial application of the indicators, those places that were already in fiscal stress did not get the “early warning” when they first became susceptible to stress conditions. In the future, we anticipate that most localities and school districts will be first identified as susceptible to fiscal stress before the system identifies them as in fiscal stress. The Fiscal Stress Monitoring System will provide information to both local officials and the public that can be used to allow for early actions to prevent local governments and school districts from ending up in severe fiscal stress.

Bond Rating

We received comments that a local government's and/or school district's bond rating should be factored in to the Fiscal Stress Monitoring System. Additionally, we received comments that the Fiscal Stress Monitoring System is a duplication of work that is already performed by credit rating agencies. Bond ratings were not factored into the Fiscal Stress Monitoring System because they are not available for the vast majority of local governments and school districts. Also, for that reason, the Fiscal Stress Monitoring System is not a duplication of effort.

Unique Local Factors and Intangibles

We received comments that the Fiscal Stress Monitoring System does not take into account local governments' and/or school districts' unique local factors and intangibles (i.e., financial management practices). However, while there may be variations in such intangibles, they must eventually show up and influence the financial information we are evaluating. Otherwise, they are variations that do not have an impact on fiscal health.

Classification Terminology

We received comments that the “nearing fiscal stress” financial indicator classification should be amended because it can be construed as always being negative with regard to the fiscal direction of a local government or school district. After careful consideration, we have decided to amend the “nearing fiscal stress” financial indicator classification to “susceptible to fiscal stress.” The classification of “susceptible to fiscal stress” classifies units that are not currently in fiscal stress, but instead are exhibiting conditions that could lead them into fiscal stress in the short run.

Appendix I

Summary of Public Comments and Responses

Overall Financial and Environmental Score

We received comments that the report should contain more clarification as to how the overall financial and environmental scores will be calculated. As a result, we have provided more information in the report. The overall financial and environmental scores that will be used to determine the fiscal stress classification and environmental indicator notation will be calculated as percentages. The reason the scores will be calculated as percentages (i.e., 45.50 percent), instead of as total point amounts (i.e., 11.35), is because the thresholds for determining the fiscal stress classification and environmental indicator notation are based on percentages.

Weighted Average Scoring

We received comments that the report should contain more clarification as to how the weighted average scoring is applied. As a result, we have included an example below of how the weighted average scoring is applied. The example below is in relation to the financial indicators for local governments, but can be used as a guide for applying weighted averages to the financial indicators for school districts and the environmental indicators for both local governments and school districts.

Financial Indicator Categories							
Row		Year-End Fund Balance	Operating Deficits	Cash Position	Use of Short-Term Debt	Fixed Costs	Overall Score
1	Maximum Category Score	8	3	6	6	6	
2	Town of "Example" Category Score	6	1	4	5	0	
3	Score as a % of Total (Row 2 divided by Row 1)	75.00%	33.33%	66.67%	83.33%	0.00%	
4	Assigned Weight	50.00%	10.00%	20.00%	10.00%	10.00%	
5	Weighted Score (Row 3 multiplied by Row 4)	37.50%	3.33%	13.33%	8.33%	0.00%	62.50%

In the example above, the Town of "Example" received an overall score of 62.50 percent, which was computed by adding the weighted scores that were calculated for each of the five financial indicator categories. The Town of "Example" would receive a financial indicator classification of in "moderate fiscal stress" because it received an overall score greater than or equal to 55 percent of the total points, but less than 65 percent of the total points.

Appendix I

Summary of Public Comments and Responses

Funds Used for Each Local Government Financial Indicator

We received comments that the report should contain more clarification as to which funds are being used to calculate each of the nine financial indicators for local governments. As a result, we have included additional information in the report. When calculating the financial indicators for local governments, the general fund and combined funds will be used for indicators one and two (two results for each indicator), the combined funds for indicators three through five (one result for each indicator), and all funds, except the capital projects fund, for indicators six through nine (one result for each indicator). We selected the combined funds for each class of local government by including the funds that are the most common for each class and also the funds that generally account for the largest percentage of each class's financial activity.

Calculation of Local Government Financial Indicators

We received comments that the report should contain more clarification regarding how to calculate a result for each of the nine financial indicators for local governments. As a result, we have included additional information in the report. For indicators one and two, a result will be calculated for the general fund (step one), and one result will be calculated for the combined funds, less the general fund result (step two). For indicators three through five, one result will be calculated for the combined funds. For indicators six through nine, one result will be calculated for all funds, except the capital projects fund. When multiple funds are used (combined funds or all funds, except the capital projects fund) for each of the nine financial indicators, each of the separate fund's data will be added together to come up with one combined result. A separate result will not be calculated for each of the funds contained within the combined funds and/or all funds.

Fund Balance Classifications

We received comments that the report should contain more clarification on the fund balance classifications that are used for financial indicators one and two for both local governments and school districts. As a result, we have attached a link to a bulletin on our website that outlines the various classifications of fund balance (including both assigned and unassigned) and the account codes that are applicable to each classification of fund balance. The bulletin can be found at:

<http://osc.state.ny.us/localgov/pubs/releases/gasb54.pdf>

Local Government Financial Indicator One (Calculation)

We received comments that financial indicator one for local governments should not include assigned appropriated fund balance (account code 914). We considered these comments and performed additional analysis to determine if this change would improve the financial condition evaluation of local governments. Based on our analysis, we concluded that this change did improve the financial condition evaluation of local governments. As a result, we amended financial indicator one for local governments to consist of assigned fund balance, except for assigned appropriated fund balance, plus unassigned fund balance divided by gross expenditures. Based on the amendment that we made to the financial indicator calculation, we also amended the scoring thresholds for this financial indicator. The scoring thresholds consist of the following: less than or equal to 3.33 percent (3 points), less than or equal to 6.67 percent (2 points), less than or equal to 10 percent (1 point), and greater than 10 percent (0 points).

Appendix I

Summary of Public Comments and Responses

Local Government Financial Indicators Number One and Two (Funds)

We received comments that financial indicators one and two for local governments should look at more funds than just the general fund (such as the water and sewer funds). Financial indicators one and two for local governments do take into account more funds than just the general fund. Specifically, for indicators one and two, a result will be calculated first for the general fund¹³ only (step one – possible 0-3 points). There also is a second calculation for indicators one and two, which consists of calculating a result for the combined funds. The combined funds vary by class of local government. For instance, the combined funds for cities consists of the general, all water, and all sewer funds. Once the combined funds result has been calculated (percentage), the general fund result (percentage) that was calculated in step one will be subtracted from it (step two – possible 0-1 points). This calculation adds an additional point if the combined funds have a lower percentage than the general fund percentage. The reasoning behind this is that if the combined funds' percentage is lower than the general fund's percentage, it could mean that the general fund is currently supporting the local government's other operating funds or may have to in the near future.

Fund Balance Trend Indicator

We received comments that an indicator should be developed that evaluates the change in a local government's and/or school district's fund balance level (declining balance). We considered an indicator that would evaluate the change in fund balance for both local governments and school districts. However, we concluded that the operating deficit financial indicator that we had already developed would indicate the change in a local government's and school district's fund balance level.

Scoring Thresholds for Local Government Financial Indicators

We received comments that the scoring thresholds for the local government financial indicators under the categories of year-end fund balance and cash position should vary by class of local government. We considered these comments and performed additional analysis (various scoring threshold scenarios) to determine if these changes would improve the financial condition evaluation of local governments. Based on our analysis, we concluded that there should be a variation between the scoring thresholds for cities and counties versus villages and towns for cash as a percentage of monthly expenditures financial indicator. As a result, we amended the scoring thresholds for this financial indicator for cities and counties, but kept the original scoring thresholds for villages and towns. The amendments that were made were increasing the scoring thresholds for cities and counties from less than or equal to 33.3 percent to less than or equal to 50 percent (3 points), from less than or equal to 66.7 percent to less than or equal to 100 percent (2 points), from less than or equal to 100 percent to less than or equal to 150 percent (1 point), and from greater than 100 percent to greater than 150 percent (0 points). These amendments were made based on the difference between cities' and counties' versus villages' and towns' revenue cycles at the beginning of the fiscal year.

¹³ The general fund calculation for indicators one and two for towns will consist of the general town-wide and highway town-wide funds together (one combined result for each indicator), and will only consist of the general fund for cities, counties, and villages.

Appendix I

Summary of Public Comments and Responses

Weighted Averages for Local Government Financial Indicators

We received comments that the weighted averages that were assigned to the local government financial indicator categories of year-end fund balance, operating deficits, and cash position should be changed. We considered these comments and performed additional analysis (various reallocations of weighted averages between categories) to determine if these changes would improve the financial condition evaluation of local governments. Based on our analysis, we concluded that the reallocation of weighted averages between categories from the original weighted averages did not improve the financial condition evaluation of local governments. As a result, we did not amend the weighted averages for the local government financial indicator categories.

Gross Revenues, Gross Expenditures, and Total Revenues

We received comments that the report should contain more clarification as to the meaning of gross revenues, gross expenditures, and total revenues that are included in the financial indicator calculations. As a result, we have included additional information in the report. “Gross Revenues” consist of revenues plus other sources (transfer activity), “Gross Expenditures” consist of expenditures plus other uses (transfer activity), and “Total Revenues” only consist of revenues and not other sources (no transfer activity).

Change in Local Sales Tax Receipts Environmental Indicator

We received comments that the change in local sales tax receipts environmental indicator should not only be applied to counties, but also to any other local governments that collect sales tax receipts or receive distributions from their respective counties because of its significance as a revenue source. This indicator was only applied to counties because it was developed as an environmental indicator to provide insight into the health of the local economy (consumer spending), and not as a financial indicator. While we acknowledge that sales tax receipts are a significant revenue source for many local governments, the Fiscal Stress Monitoring System does not evaluate individual revenues (i.e., real property taxes, sales tax receipts, etc.) for financial purposes.

Tax-Exempt Property Indicator

We received comments that an indicator should be developed in relation to the total amount and annual change in the total amount of tax-exempt property within a local government’s and/or school district’s boundaries. We obtained tax-exempt property data from the New York State Office of Real Property Tax Services, which we then analyzed to determine if it provided information that was useful in determining a local government’s or school district’s level of fiscal stress. Based on our analysis, we concluded that a tax-exempt property indicator does not provide information that correlates with a local government’s or school district’s level of fiscal stress.

Appendix I

Summary of Public Comments and Responses

School District Financial Indicator One

We received comments that financial indicator one for school districts should not include assigned fund balance, but instead should only include unassigned fund balance. We considered these comments and performed additional analysis to determine if this change would improve the financial condition evaluation of school districts. Based on our analysis, we concluded that this change did improve the financial condition evaluation of school districts. As a result, we amended financial indicator one for school districts to consist of the general fund's unassigned fund balance, except for the reserve for tax reduction (account code 917 only), divided by the general fund's gross expenditures.

Scoring Thresholds for School District Financial Indicators

We received comments that the scoring thresholds – under the categories of year-end fund balance and operating deficits – for the school district financial indicators should be changed. We considered these comments and performed additional analysis (various scoring threshold scenarios) to determine if these changes would improve the financial condition evaluation of school districts. Based on our analysis, we concluded that there should be changes in the scoring thresholds for financial indicators one and three. As a result, we amended the scoring thresholds for these financial indicators.

Based on the amendment that we made to the calculation for financial indicator one, we also amended the scoring thresholds for this financial indicator. The proposed scoring thresholds consisted of the following: less than or equal to 0 percent (3 points), greater than 0 percent but less than or equal to 2 percent (2 points), greater than 2 percent but less than or equal to 5 percent (1 point), and greater than 5 percent (0 points). The amended scoring thresholds consist of the following: less than or equal to 1 percent (3 points), greater than 1 percent but less than or equal to 2 percent (2 points), greater than 2 percent but less than or equal to 3 percent (1 point), and greater than 3 percent (0 points).

We also made amendments to the scoring thresholds for financial indicator three. The proposed scoring thresholds consisted of the following: deficits in three of the last three fiscal years of less than or equal to -1.5 percent (3 points), deficits in two of the last three fiscal years that are less than or equal to -1.5 percent (2 points), deficits in one of the last three fiscal years of less than or equal to -5 percent (1 point), and no deficits in the last three fiscal years (0 points). The amended scoring thresholds include: deficits in three of the last three fiscal years that are less than or equal to -1 percent, or a deficit in the last fiscal year that is less than or equal to -3 percent (3 points), deficits in two of the last three fiscal years of less than or equal to -1 percent (2 points), deficits in one of the last three fiscal years of less than or equal to -1 percent (1 point), and no deficits of less than or equal to -1 percent in the last three fiscal years (0 points).

Evaluation and Scoring of Special Act Districts

We received comments that the financial indicators that were developed for school districts should be different for evaluating and scoring special act districts. The Fiscal Stress Monitoring System will not evaluate or score special act districts or non-operational districts.

Appendix I

Summary of Public Comments and Responses

Weighted Averages for School District Financial Indicators

We received comments that the weighted averages that were assigned to the school district financial indicator categories of year-end fund balance, operating deficits, and cash position should be changed. We considered these comments and performed additional analysis (various reallocations of weighted averages between categories) to determine if these changes would improve the financial condition evaluation of school districts. Based on our analysis, we concluded that the reallocation of weighted averages between categories from the original weighted averages did not improve the financial condition evaluation of school districts. As a result, we did not amend the weighted averages for the school district financial indicator categories.

School District Environmental Indicators

We received comments that each of the school district environmental indicators are not applicable to each school district, and therefore, the scoring should be changed when evaluating school districts when this is the case. We recognize that there are instances in which some of the environmental indicators are not applicable to each school district. For example, school districts that include only grades K-6 will not have a graduation rate percentage and dependent school districts will not have budget vote data. When these instances occur, the environmental indicators that are not applicable to the school district will not be evaluated. Instead, the school district's overall environmental indicator score will be calculated by proportionately redistributing the weighted average for the environmental indicator categories that are not applicable to the school district to the other environmental indicator categories that are applicable. This will result in all school districts' overall environmental indicator scores being equitable and comparable to each other. Additional clarification has been added to the report in relation to this issue.

Weighted Averages for School District Environmental Indicators

We received comments that the weighted averages that were assigned to all of the school district environmental indicator categories should be changed. We considered these comments and performed additional analysis (various reallocations of weighted averages between categories) to determine if these changes would improve the environmental condition evaluation of school districts. Based on our analysis, we have amended the weighted averages that were assigned to the school district environmental indicator categories. Specifically, we amended the weighted averages as follows: the enrollment category has been increased from 10 percent to 20 percent, the budget votes category has been decreased from 25 percent to 15 percent, the graduation rate category has been decreased from 25 percent to 15 percent, and free or reduced price lunch category has been increased from 10 percent to 20 percent.

Reporting Results

We received comments that the financial classification and environmental notation for each local government and school district should not be publicly released until the preliminary results are reviewed with the chief fiscal officer of each unit. The draft scoring will be shared with each local government and school district that is identified as in or susceptible to fiscal stress for their review before the list is finalized.

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Original Date of Issue: January 2013

Updated: October 2016

An aerial photograph of a parking lot. A dark car is parked in the center, with a bench nearby. A white car is blurred in the foreground, suggesting motion. The background shows a concrete surface with some stains and utility covers.

Public Meeting

FOR THE LONG RANGE
TRANSPORTATION PLAN

6-7:30pm, Tuesday, 5/23

DULLES STATE OFFICE BUILDING
317 WASHINGTON STREET, WATERTOWN, NY 13601.

The 2045 Long Range Transportation Plan will describe the state of the region's transportation system and include proposed transportation facilities and strategies. Public input is essential to the planning process to help shape future mobility in the region. The kickoff public meeting will give community members an opportunity to learn about the WJCTC, the 2045 LRTP, and share their thoughts on the region's existing transportation needs.

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