



**Greater Cincinnati  
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*The Standard for Excellence*

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December 8, 2011

Todd Slatin – Senior Buyer  
LFUCG-Division of Central Purchasing  
200 East Main Street, Room 338  
Lexington, KY 40507

RE: Billing Services Request for Proposal

Greater Cincinnati Water Works (GCWW) is pleased to submit this response to the Lexington-Fayette Urban County Government (LFUCG) request for proposals to provide billing and collection for sewer, landfill, and water quality fees.

We're excited by the mutual opportunities this RFP presents. Collaborating with a regional municipality like LFUCG to provide these services is directly in line with GCWW's newly revised vision, which states:

*We will be the standard of excellence in water and service delivery to contribute towards the competitive advantage of the region.*

By selecting GCWW to provide your billing and collection services, LFUCG gains a regional utility partner that is an industry leader in customer service. Your customers will receive the benefits of the investments we have made to continuously improve our customer service.

GCWW commits to provide these services for the prices outlined below. This price offer is binding for 90 days. We are proposing two pricing options.

**Pricing Option 1**

Pricing Option 1 involves a combination of a lump sum payment for implementation upon System Acceptance, and a per bill cost after the system has been accepted. The lump sum payment will be at cost, not to exceed \$751,700. While the project plan includes project milestones other than system acceptance, these milestones are not payment milestones. Once the system has been accepted, LFUCG will pay \$.83/bill in Year 1. This includes one-time costs related to contact center staffing and training. A 2% inflationary factor is applied for Year 2, 3, and 4.

Year	Billing Service Price Per Bill	Customer Service Price Per Bill	Other Price Per Bill	Total Price Per Bill
Year 1*	\$0.28	\$0.55	Not applicable	\$0.83
Year 2	\$0.29	\$0.53	Not applicable	\$0.82
Year 3	\$0.30	\$0.54	Not applicable	\$0.84
Year 4	\$0.31	\$0.55	Not applicable	\$0.86
* In addition to the price per bill identified above, Year 1 has a one-time implementation lump sum payment upon System Acceptance, at cost not to exceed \$751,700 .				



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**Pricing Option 2**

Pricing Option 2 spreads the implementation costs over the first two years, once the system has been accepted. The implementation cost will be incorporated into the per bill cost for the first two years at a fixed price of \$751,700. While the project plan includes project milestones other than system acceptance, these milestones are not payment milestones.

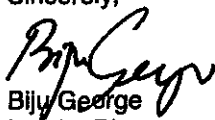
Year	Billing Service Price Per Bill	Customer Service Price Per Bill	Implementation Price Per Bill	Total Price Per Bill
Year 1	\$0.29	\$0.56	\$0.27	\$1.12
Year 2	\$0.30	\$0.53	\$0.27	\$1.10
Year 3	\$0.29	\$0.54	\$0.00	\$0.83
Year 4	\$0.31	\$0.54	\$0.00	\$0.85

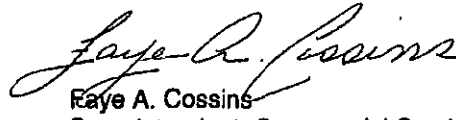
GCWW stipulates:

- Biju George has sufficient authority to commit GCWW to this proposal.
- We agree to the scope, terms, and conditions of LFUCG's RFP, with the following exceptions:
  - General Provisions (#1 page 23) – GCWW cannot consent to the provision to defend-hold harmless. We agree to bear responsibility for any actionable claims or penalties that may arise from an alleged violation of the referenced laws.
  - General Provisions (#12 page 25) – GCWW takes exception to the At Will Termination provision. We would like to negotiate a reasonable reimbursement amount payable to GCWW for its start-up expenses if the agreement is terminated without cause within a specified time period.
- Faye Cossins, Commercial Services Division Superintendent, is GCWW's authorized negotiator for this engagement and will serve as the project sponsor and primary contact.
- LFUCG will have ownership of the deliverables proposed.
- This scope of work and price proposal is valid for at least 90 days from the proposal opening date of December 8, 2011.

Thank you for the opportunity to present this proposal. We look forward to collaborating with LFUCG to provide superior service to your customers and to contribute to our region's competitive advantage.

Sincerely,

  
Biju George  
Interim Director  
Greater Cincinnati Water Works

  
Faye A. Cossins  
Superintendent, Commercial Services Division  
Greater Cincinnati Water Works



Submitted by:  
**Greater Cincinnati Water Works**  
4747 Spring Grove Avenue, Cincinnati, OH 45232

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# **Response to Lexington- Fayette Urban County Government**

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Billing Services  
Request for Proposal

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December 8, 2011

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## Executive Summary

Lexington-Fayette Urban County Government (LFUCG) is seeking quality third-party billing and collection services for sewer, landfill, and water quality management. LFUCG seeks a full-service vendor who will provide comprehensive customer service, from customer contacts and billing to payment processing, delinquencies, and bad debt collections. These services are currently provided by Kentucky American Water Company (KAWC), but KAWC has notified LFUCG that they will be discontinued beginning in April 2012. Greater Cincinnati Water Works (GCWW) proposes to provide these services to LFUCG, allowing LFUCG to benefit from our proven commitment to outstanding customer service and our 63 years of experience providing billing and collection services to other utilities.

We propose a phased implementation plan designed to quickly transition contact center, billing, payment, and collection services from KAWC, while maintaining current capabilities and impacting LFUCG's customers as little as possible. This plan addresses the urgency of LFUCG's April deadline, but still provides the opportunity to achieve maximum value by refining and enhancing services. Our approach includes three phases:

- **Implementation** includes the tasks necessary to migrate from the current environment with KAWC to GCWW's system.
- **Ongoing Operations** starts once implementation is completed. It involves conducting regular operational reviews, reviewing service levels, continuing training and coaching of customer service staff (including contact center, billing, payment processing, delinquencies, and collections), staying synchronized with LFUCG's operational changes related to customers, managing the contract, and developing a continuous improvement plan.
- **Continuous Improvement** involves focused enhancement projects (for example, streamlining complex or inefficient processes such as manual adjustment processing) and incorporating regular upgrades and improvements related to billing, collections, and contact center services.

We believe LFUCG will achieve the most benefit by partnering with GCWW for these services.

***LFUCG's customers will benefit from GCWW's industry leadership in customer service.***

- GCWW has a history of relentless self-improvement. Recent customer service improvements include implementing leading edge processes such as agent and supervisor "assist lines;" producing a well-developed electronic knowledge base to provide consistent and current information; implementing quality management/training tools such as synchronized screen/voice recording for training and individual coaching purposes; and upgrading our workforce management system (which enhances our operational efficiencies while achieving targeted service levels through the use of predictive workforce scheduling).

- Our staff has extensive customer service involvement with industry organizations, building national contacts and exposure to best practices. This involvement includes delivering presentations at conferences and serving on customer service, public affairs, and information technology committees.
- Our contact center focuses on delivering quality service and value (effectively addressing the caller's issues in a timely and respectful manner) rather than focusing only on numbers and speed (for example, the number of calls per agent, and average handle time).
- We routinely participate in customer service industry research projects. For example, we:
  - Were one of 16 utilities involved in the 2004 AwwaRF (now Water Research Foundation) project "Effective Practices to Select, Acquire, and Implement a Utility CIS"
  - Were selected as a best practices case study in the 2010 Water Research Foundation (WaterRF) project "Optimizing the Water Utility Customer Contact Center"
  - Participated in the 2006 AwwaRF (now WaterRF) project, "Benchmarking Water Utility Customer Relations Best Practices"

***LFUCG will benefit from sharing services with another public utility.***

- Sharing services allows GCWW and LFUCG to share costs across a larger customer base. Larger customer service functions provide substantial economies of scale. This allows LFUCG to share in the investment benefits of a much larger utility, as well as benefiting GCWW's current customers.
- Sharing services strengthens both utilities and builds regional capabilities.
- Sharing services allows LFUCG to work with another public utility that intimately understands the public utility culture, requirements, and constraints.

***LFUCG will meet the imposed transition deadline while continuously improving and refining requirements.***

Our phased project approach meets the April deadline while providing for continuous improvements and refining operations.

***LFUCG's customers will benefit from GCWW's policy of "staffing for success" in customer service.***

- We hire for customer service attitude.
- We continuously train our staff.
- Our core of full-time agents is complemented by part-time agents, enabling cost effective staffing for peak workloads – with highly trained agents.
- We proactively use predictive workload scheduling to meet staffing needs.

- We have 12 IT resources dedicated to supporting the customer service section, and can rapidly tap into other skilled IT resources within GCWW as needed.

***GCWW has a history of success; our proposed solution meets all LFUCG's requirements while enhancing LFUCG's customer service.***

- GCWW has provided contact center, billing, payment processing, and collections services for 63 years for our regional utility partners (further information on our public contracts is provided in Appendix C).
- GCWW already delivers the required services with highly satisfied customers. We have hands on experience in handling calls, billing, taking payments, and addressing non-payment for each of the needed services, and dealing directly with the impacted customers. Our customers are highly satisfied (see further information on our customer service metrics in Appendix E).
- We understand the features important for a successful customer service partnership, we provide those features, and we continuously improve our capabilities. The following table outlines typical features and demonstrates our ability to provide them.

Desired Features	GCWW Capabilities
Differentiated welcome and customized scripts based on number dialed and options selected	Current
Leading edge quality management tools to support timely, effective feedback and meaningful training	Current; upgrade in process
Customer service call recordings upon request	Current
Predictive contact center workload scheduling	Current
Agent assist and supervisor assist to achieve quick resolution	Current
Electronic knowledge base for quick, consistent responses	Current
Auto-dialer to remind selected customers of upcoming payments	Current
Multiple payment methods (cash, check, one-time ACH, recurring ACH, credit/debit, web)	Current
NCOA (National Change of Address updates to improve accuracy of mailing addresses and reduce returned mail)	Current
Integrated tools and processes (CIS, field mobile, staff scheduling, operational reports and other analytics)	Current; enhancing to be state of the art
Interactive Voice Response (IVR) continuously analyzed and updated to reflect changing customer needs and behaviors	Current; upgrade in process
Employee training/feedback based on systematic approach, well-developed curriculum, and integrated tools	Current; enhancing tools
Hire employees for customer service passion and aptitude	Current

Desired Features	GCWW Capabilities
Regular performance metrics reporting and analysis	Current
Post-call survey	Piloting in Q1, 2012
Online chat	Piloting in Q1, 2012
Translation service for foreign language support with over 150 languages available 24x7	Current

By choosing GCWW to provide contact center, billing, payment, delinquency processing, and collection services, LFUCG will meet its short-term deadline, while realizing the long-term benefits of partnering with a best-in-class public utility customer service provider.

### Requirements Response Matrix

The criteria for prioritizing the requirements were:

**(S) Showstopper:** Requirement must be supported for legal, audit, or policy reasons. Must be met by vendor for consideration

**(H) High:** Affects business process greatly.

**(M) Medium:** Affects productivity, quality of service. Significant value.

**(L) Low:** Requirement support would be "nice to have."

For each requirement listed in the Requirements table provided in below, please respond with one of the following values in the Vendor Response column:

**2** indicates that this requirement is fully met by the services you are proposing.

**1** indicates that you do not currently offer services to meet this requirement and will have to develop new internal processes in order to meet this requirement.

**0** indicates that you do not currently offer this service, and do not plan on offering it in the future to meet the requirement.

For any response of 0, or 1, please describe the uncertainty or limitation related to the response.



Requirement Description	Vendor Response (0,1,2)	Priority Rating
<p>Requirement 1.1: The ability to set-up a customer billing database to accommodate bill generation and payment history</p> <ul style="list-style-type: none"> <li>• KAWC will provide 12 months of data as a starting point</li> <li>• The type of data to be stored for each customer is provided in Attachment 1. In the design stage, fields not required to support the billing process will be identified and will not be required to be maintained in the database.</li> <li>• Vendors should explain any limitations associated with this requirement</li> </ul>	<p style="text-align: center;"><b>GCWW Response: 2</b></p> <p>All the data included in Attachment 1 can be accommodated in our current billing system. We have the ability to store data based on the following elements (and more...): customer, premises, service (sewer, landfill, etc.), billing, payments, service orders.</p> <p>Previously we have provided customers access to this data by creating forms for read-only access for a period of time. After that period of time, the customers will have built up enough "real" history that these tables/forms are no longer needed. If desired, we can accommodate 24 months of history.</p>	<p style="text-align: center;">S</p>
<p>Requirement 1.2: The ability to add additional fields for the historical customer database</p> <ul style="list-style-type: none"> <li>• A GIS ID will eventually be added. The GIS ID will be a unique ID that will relate back to each customer address.</li> </ul>	<p style="text-align: center;"><b>GCWW Response: 2</b></p> <p>Information such as GIS data can be added to our mapping form. This information is directly related to the premises and is where we currently keep all of our related GIS information.</p> <p>Other interfaces that GCWW has implemented might be of future interest. For example, we have real-time payment data to field staff related to scheduled shut-offs, as well as a bi-directional interface with our Work Management System.</p>	<p style="text-align: center;">H</p>
<p>Requirement 1.3: The ability to use a primary key to link customer data between the 3 billing sources; sewer, WQ, and Landfill</p> <ul style="list-style-type: none"> <li>• This is currently a 9-digit code called a premise number.</li> <li>• This will be important to link adjustments that come in from the three sources to the appropriate customer account.</li> </ul>	<p style="text-align: center;"><b>GCWW Response: 2</b></p> <p>In our billing system all three of these (sewer, WQ and landfill) would be set up as separate services on the account and therefore automatically be related to the same premises.</p> <p>All related billing and adjustment items are related to a particular account, allowing each of these services to be adjusted easily for each account.</p>	<p style="text-align: center;">H</p>

Requirement Description	Vendor Response (0,1,2)	Priority Rating
<p>Requirement 1.4: The ability to link a closed account from previous service to a current account for payment collection and historical purposes</p>	<p style="text-align: center;"><b>GCWW Response: 2</b></p> <p>Our Customer Information System (CIS) has the ability to link a closed account from previous service to a current account for payment collection and historical purposes. An account in the billing system is established by combining a customer record with a premises record. The combined customer number and premises number form the account number.</p> <p>For example, if customer #123 moves into the home at premises #456, the active account would be #123-456.</p> <p>Building on this example, if customer #123 moves out and customer #234 moves in, the new active account would be #234-456 and the first account (#123-456) would become inactive.</p> <p>A query on premises #456 would bring up both accounts (inactive account #123-456 and active account #234-456).</p> <p>If customer #123 then moved into premises #890, that new account would be #123-890.</p> <p>A query by customer name or number would bring up both accounts associated with that customer (inactive account #123-456 and active account #123-890).</p> <p>All histories by customers, premises and accounts remain available. For payment collection, closing balances can be kept on the inactive account or be transferred to the active account depending upon LFUCG policy.</p>	<p style="text-align: center;">H</p>
<p>Requirement 1.5: The ability to maintain multiple addresses and contact info for an account and Identify which address should receive the bill</p>	<p style="text-align: center;"><b>GCWW Response: 2</b></p> <p>Our billing system provides capabilities to enter multiple address types for a given customer and to then select which of the address types to use based upon the time of year or purpose.</p> <p>For example, we have customers with a permanent address for billing, a seasonal address for billing, and an address for receiving annual backflow testing notifications.</p> <p>Similar capabilities are provided for home, office, cellular, fax and other telephone numbers.</p> <p>Our Contact Center agents collect and verify email addresses during customer calls. Emails currently are used for newsletters, notifications and other important information.</p>	<p style="text-align: center;">H</p>

Requirement Description	Vendor Response (0,1,2)	Priority Rating
<p>Requirement 1.6: The ability to provide a secure environment to store the customer database.</p>	<p style="text-align: center;"><b>GCWW Response: 2</b></p> <p>All LFUCG data will be kept separate and secure in our billing systems. This system will be kept in a secure and dedicated data center. This system is backed up continuously to allow a quick switchover to a new system in case of disaster without loss of any data.</p> <p>Inside the billing systems, LFUCG users will be able to access and see only data that applies to them. All of this is handled through the security module of our billing systems.</p> <p>Also using the security module, form level security is assigned to users as needed to perform their job functions. The most common options for assignment are query only or update ability. Update capabilities are normally assigned to the contact center and billing operations staff. Security guidelines can be established within the billing systems to meet LFUCG's business needs.</p>	<p style="text-align: center;">S</p>
<p>Requirement 2.1: The ability to accommodate the billing calculations as defined in Attachment 2</p>	<p style="text-align: center;"><b>GCWW Response: 2</b></p> <p>Our billing system can accommodate all billing calculations and adjustments for sewer, water quality management, and landfill as defined in Attachment 2.</p> <p>Specifically for sewer, the system is capable of accepting readings in a variety of units of measure (gallons, 100 gallons, 1000 gallons, cubic feet, tens of cubic feet and hundreds of cubic feet, and others) and calculating charges in those same units of measure, as well as calculating the charges in units of measure differing from the read units of measure.</p> <p>For instance, we can easily accept readings in gallons and calculate the charges in hundreds of cubic feet. Different units of measure can be managed without issue.</p> <p>Our system also has full capabilities to handle the LFUCG Fall/Winter Average calculations. We currently use this functionality for two of our largest Client Partners.</p> <p>For water quality management billing calculations, our system is fully capable of handling both A and B parcels through simple system rules set up.</p>	<p style="text-align: center;">S</p>

Requirement Description	Vendor Response (0,1,2)	Priority Rating
<p>Requirement 2.2: The ability to easily change the rate charged for each fee</p>	<p align="center"><b>GCWW Response: 2</b></p> <p>We currently perform this function. The dollar amount of a rate can easily be changed in the system. A rate history of all prior rates and the ending date for the previous rate are kept in the billing system. When a new rate is implemented, our system has the capability to calculate charges entirely at the old rate, entirely at the new rate, or prorate based on the effective date. This feature can be configured at the system level rule as determined by LFUCG business requirements.</p>	<p align="center">H</p>
<p>Requirement 2.3: The ability to generate an easy to read, informative bill that contains at minimum, the information in Attachment 3</p>	<p align="center"><b>GCWW Response: 2</b></p> <p>We currently provide an easy to read billing statement that is very informative. All information in Attachment 3 is easily shown on the billing statement. A sample bill is provided at the end of this Requirements Response Matrix.</p>	<p align="center">H</p>
<p>Requirement 2.4: The ability to calculate and generate the bill for mailing within 3 days of receiving the data from LFUCG.</p> <ul style="list-style-type: none"> <li>• Regular billing cycle process of daily or weekly per data availability from KAWC</li> </ul>	<p align="center"><b>GCWW Response: 2</b></p> <p>We are able to calculate, generate and mail customer bills within 3 days of receiving all relevant data from LFUCG.</p> <p>In order to efficiently process data sent from KAWC, we propose setting up an automatic interface to process meter reading records. This file would be delivered to a pre-determined electronic location and then picked up by our automatic process to load these readings into the billing system.</p> <p>After these readings are loaded, staff will analyze any meter reading exceptions that have been identified by the system and correct these exceptions before printing &amp; mailing the bills to customers.</p> <p>Our standard process is to calculate and generate the bill the day following the receipt of meter readings.</p>	<p align="center">M</p>

Requirement Description	Vendor Response (0,1,2)	Priority Rating
<p>Requirement 2.5: The ability to add notes to bills for the purpose of informing customers</p>	<p align="center"><b>GCWW Response: 2</b></p> <p>Custom notes can be added to bills based on LFUCG business requirements. Selection criteria can be met for adding bill notes at the customer level, account level, service level, etc.</p> <p>Our Client Partners have used the bill message functionality to select all accounts within a service area and display a message about a current rate change or on how to access their website. This functionality also allows for bill messaging to be put on all accounts that belong to one customer. A message can also be displayed on billing statements for particular services such as sewer, water quality management, or landfill. This functionality is very versatile and can be used as appropriate by LFUCG.</p>	<p align="center">M</p>
<p>Requirement 2.6: The ability to include multiple accounts on one bill</p> <ul style="list-style-type: none"> <li>• See the example in Attachment 4</li> </ul>	<p align="center"><b>GCWW Response: 2</b></p> <p>Our billing system allows for billing multiple accounts on the same bill.</p> <p>Our billing system is capable of generating the consolidated bill shown in the example in Attachment 4.</p>	<p align="center">M</p>
<p>Requirement 2.7: The ability to add the LFUCG seal to the bill</p>	<p align="center"><b>GCWW Response: 2</b></p> <p>We have the ability to add a custom logo to the bill.</p> <p>We are able to match RFP requirements for the bill and make simple modifications as part of the initial implementation time and cost.</p> <p>Complex modifications will require further explorations and efforts.</p> <p>A sample bill is attached at the end of the matrix.</p>	<p align="center">M</p>
<p>Requirement 2.8: The ability to accommodate LFUCG edits to the bill design prior to implementation</p>	<p align="center"><b>GCWW Response: 2</b></p> <p>We will work with LFUCG to create an agreeable bill design and layout. We have layout templates and also have the ability to create a custom design for LFUCG.</p>	<p align="center">M</p>
<p>Requirement 2.9: The ability to receive and apply adjustments to bills</p> <ul style="list-style-type: none"> <li>• LFUCG will send adjustments to all three fees on a daily, weekly or monthly basis</li> </ul>	<p align="center"><b>GCWW Response: 2</b></p> <p>We have the ability to apply adjustments to the accounts at any point in time. All types of adjustments as provided in Attachment 2 are possible in the system.</p> <p>A procedure will be set up between LFUCG and GCWW to receive and apply adjustments into the system.</p>	<p align="center">H</p>

Requirement Description	Vendor Response (0,1,2)	Priority Rating
<p>Requirement 2.10: The ability for the vendor to accommodate the LFUCG timeline for implementing the billing system</p> <ul style="list-style-type: none"> <li>Billing to begin on 4/1/2012</li> <li>Vendor may submit an alternate date and provide rationale for alternative</li> </ul>	<p><b>GCWW Response: 2</b></p> <p>As long as all necessary data is received by GCWW according to the proposed project plan, bills can be sent out by 4/1/12.</p> <p>Refer to the attached project plan for details.</p>	<p>H</p>
<p>Requirement 3.1: The ability to receive and post payments to customer accounts on a daily basis</p>	<p><b>GCWW Response: 2</b></p> <p>We currently perform this function. We have the ability to receive and post payments in batch or near real-time mode via the following payment channels:</p> <ul style="list-style-type: none"> <li>Point of Sale (POS) / Drop Box</li> <li>Mail</li> <li>Telephone/IVR Self-Service</li> <li>Internet/Web</li> </ul> <p>All these channels allow various payment types – such as cash, check, EFT/ACH/eCheck, credit/debit cards.</p>	<p>H</p>
<p>Requirement 3.2: The ability to track and collect all accounts receivables through an agreed upon aging date, i.e., 120 days, 150 days, etc.</p>	<p><b>GCWW Response: 2</b></p> <p>We have numerous aging reports that will show all receivables upon aging date. These reports can be automatically delivered in PDF and/or MS Excel format.</p>	<p>H</p>
<p>Requirement 3.3: The ability to generate and mail a second notice for unpaid accounts</p> <ul style="list-style-type: none"> <li>Vendor to suggest best practices for this process</li> <li>Include shut-off process for delinquent customer accounts</li> </ul>	<p><b>GCWW Response: 2</b></p> <p>We currently perform this function.</p> <p>We have a configurable, rule-based delinquency module in the billing system where rules are set based on business requirements.</p> <p>Our system can generate turn-off work orders or necessary reports based on rules defined in the system.</p> <p>The first and second letters can have different verbiage as required by LFUCG.</p> <p>When the customer is no longer delinquent, a turn on service order can be generated, as well.</p> <p>There is also functionality to generate automated outbound dialer calls – as determined by business requirements of LFUCG.</p>	<p>H</p>

Requirement Description	Vendor Response (0,1,2)	Priority Rating
<p><b>Continuation from previous page</b></p> <p>Requirement 3.3: The ability to generate and mail a second notice for unpaid accounts</p> <ul style="list-style-type: none"> <li>• Vendor to suggest best practices for this process</li> <li>• Include shut-off process for delinquent customer accounts</li> </ul>	<p>GCWW suggests the following best practices for this process:</p> <ul style="list-style-type: none"> <li>• Review existing business rules and policies regarding payments and delinquencies. Identify and resolve inconsistent rules/policies. Train staff (Customer Service Representatives and field staff) regarding the new rules; enforce consistent application via automation and data analysis</li> <li>• Configure and use credit ratings</li> <li>• Include customer's payment history as part of the payment profile</li> <li>• Adapt policies to payment profiles. Example payment profiles could be: can't pay, won't pay, forgot to pay, and willing to pay early. Establish profiles and policies for each group.</li> <li>• The language of automatically-generated and mailed second notices should be based on the recipient's credit rating:               <ol style="list-style-type: none"> <li>1. High credit-rated customers have typically simply forgotten to pay. The automatically-generated second notice is an upbeat, light-touch reminder</li> <li>2. Middle credit-rated customers typically have trouble paying on time. The automatically-generated second notice is a business-like reminder advising of potential impact on credit rating</li> <li>3. Low credit-rated customers typically have had serious or ongoing – or both – problems paying. The automatically-generated second notice mentions the possibility of cut off for non-payment and additional fees</li> <li>4. Low credit-rated customers sometimes use the second notice as the reminder that it is time to pay the bill. Consider configuring an earlier second notice for low credit-rated customers to prompt earlier attention, by a few days, to paying the water bill</li> </ol> </li> <li>• Provide flexible payment arrangements and multiple payment channels</li> <li>• Proactively focus on at-risk customers. For example, implement an outbound dialing reminder with option to pay</li> <li>• Uncollected debts become less valuable over time. Act accordingly – don't let them age without working them. Sell off bad debt when it reaches a certain age</li> </ul>	<p>H</p>

Requirement Description	Vendor Response (0,1,2)	Priority Rating
<p>Requirement 3.4: The ability to receive customer payments via multiple methods</p> <ul style="list-style-type: none"> <li>• Credit Card, EFT, Phone, Mail, Cash, Internet</li> <li>• Vendor should specify methods and best practices around payment methods</li> </ul>	<p style="text-align: center;"><b>GCWW Response: 2</b></p> <p>We currently have the ability to receive and post payments via following payment channels:</p> <ul style="list-style-type: none"> <li>• Point of Sale (POS) / Drop Box</li> <li>• Mail</li> <li>• Telephone/IVR Self-Service</li> <li>• Internet/Web</li> </ul> <p>All these channels allow various payment types – such as, cash, check, EFT/ACH/eCheck, credit/debit cards.</p> <ul style="list-style-type: none"> <li>• Available tenders for POS/ payments are cash, check (personal, business, money order, travelers check), Credit/Debit cards (MasterCard, VISA, American Express, and Discover).</li> <li>• Available tenders for mail and drop box payments are checks (personal, business, money order).</li> <li>• Available tenders for IVR channel are Credit /Debit cards (MasterCard, VISA, American Express, Discover) and EFT/ACH/eCheck</li> <li>• Available tenders for WEB channel are Credit /Debit cards (MasterCard, VISA, American Express, Discover), EFT/ACH/eCheck</li> <li>• Our FISERV – Checkfree (<a href="http://www.mycheckfree.com">www.mycheckfree.com</a>) service allows ACH payment processing (electronic billing implementation is required for this channel)</li> <li>• Our Lockbox channel allows check (personal, business, money orders) payments.</li> </ul> <p>The following best practices are recommended:</p> <ol style="list-style-type: none"> <li>1. Provide multiple payment channels (for example, in person, on-line, phone (IVR), recurring payments, etc.</li> <li>2. Provide multiple payment methods (e.g., cash, credit/debit card, 1 time ACH, recurring ACH, electronic payment (biller direct model), and electronic payment (consolidator model)) with near real-time confirmation</li> <li>3. Support self-serve payments (24x7)</li> <li>4. Provide multiple payment locations (authorized payment location stations)</li> <li>5. Include payment history in the customer contact history (for example, denials, errors, and charge attempts)</li> <li>6. Auto outbound notification calls with auto-pay option</li> <li>7. Deposit payments as soon as possible (for example, Point of Sale ACH Conversion)</li> <li>8. Automatically remove disconnect orders for all approved/timely payments</li> <li>9. Educate customers regarding payment options</li> <li>10. Provide incentives to use lowest cost options</li> </ol>	<p style="text-align: center;">H</p>

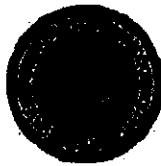


Requirement Description	Vendor Response (0,1,2)	Priority Rating
<p>Requirement 3.5: The ability to apply partial payments in a specific order</p> <ul style="list-style-type: none"> <li>1<sup>st</sup> WQMF, 2<sup>nd</sup> Landfill, 3<sup>rd</sup> Sewer</li> </ul>	<p><b>GCWW Response: 2</b></p> <p>Our Payments Application program has the ability to distribute payments in a variety of configurable scenarios – including the specific order described on this requirement.</p>	S
<p>Requirement 3.6: The ability to provide customer service to LFUCG user fee customers</p> <ul style="list-style-type: none"> <li>To answer questions about the bill</li> <li>To arrange payment</li> </ul>	<p><b>GCWW Response: 2</b></p> <p>GCWW operates a full service Contact Center. Customer Service Representatives are well versed in water/sewer/water quality/waste collection bill interpretation. The majority of CSR calls today involve explanations in response to inquiries about customer bills.</p> <p>We currently provide payment arrangements for customers, including payment extensions and multiple installment plans, for quarterly accounts. We can do this for LFUCG's monthly accounts under special circumstances, for example, when there is a high bill due to a leak.</p>	M
<p>Requirement 3.8: The ability to receive and apply adjustments to bills</p> <ul style="list-style-type: none"> <li>Each area will send adjustments on a daily, weekly or monthly basis</li> </ul>	<p><b>GCWW Response: 2</b></p> <p>We have the ability to apply adjustments to the accounts at any point in time. All types of adjustments as provided in Attachment 2 are possible in the system.</p> <p>A procedure will be set up between LFUCG and GCWW to receive and apply adjustments into the system.</p>	H
<p>Requirement 4.1: The ability to provide LFUCG access to the vendor's billing data</p> <ul style="list-style-type: none"> <li>For operational purposes</li> <li>Possibly provide a snapshot of the activity at a specified time to allow LFUCG to conduct analysis</li> </ul>	<p><b>GCWW Response: 2</b></p> <p>We will provide remote access for LFUCG to log in to the billing system. The access can be read-only or update based on roles and privileges – as determined by business requirements.</p> <p>Part of the provided solution will include audit capability to key fields in the system. This audit capability allows users to look at changes made in the past.</p> <p>We also provide real time backups of the entire database. These backups are retained for a six month period of time. This means that we would have the ability to provide a snapshot of exactly what the system looked like at any given time of the day for a six month period. This would allow restoration to a certain point in time if needed for further research or testing.</p>	S

Requirement Description	Vendor Response (0,1,2)	Priority Rating
<p>Requirement 4.2: The ability to provide a unified bill history allowing all three fees' history to be viewed together</p>	<p><b>GCWW Response: 2</b></p> <p>We currently perform this function.</p> <p>The Ledger History form in our billing system displays the history of all three fees where they can be viewed together.</p> <p>Current and historical information for payments, adjustments and bills are also easily obtainable.</p>	<p>H</p>
<p>Requirement 4.3: The ability to allow LFUCG the ability to export data fields for download</p> <ul style="list-style-type: none"> <li>• For authorized LFUCG users</li> </ul>	<p><b>GCWW Response: 2</b></p> <p>We can provide access to data in one of two ways:</p> <ol style="list-style-type: none"> <li>1. LFUCG can contact GCWW technical staff for specific data requests on an on-demand basis</li> <li>2. GCWW can provide a daily database export to LFUCG that they can use to export day old data</li> </ol> <p>Custom notes can be added to billing statements based on LFUCG business requirements. Selection criteria can be met for adding billing statement notes at the customer level, account level, service level, etc.</p>	<p>H</p>
<p>Requirement 4.4: The ability to provide a detailed aging report to LFUCG in an electronic format</p> <ul style="list-style-type: none"> <li>• Formatted to allow sorting capabilities</li> </ul>	<p><b>GCWW Response: 2</b></p> <p>We currently have numerous aged reports that will show all receivables upon aging date. This report can be automatically delivered in PDF and/or MS Excel format.</p>	<p>H</p>
<p>Requirement 4.5: The ability to generate a list of active versus inactive accounts and print to an exception report</p> <ul style="list-style-type: none"> <li>• To be used in a business process by LFUCG</li> </ul>	<p><b>GCWW Response: 2</b></p> <p>We have the ability to create reports or data files of active vs inactive accounts in the system. Simple reports could be delivered via email or automated files could be delivered to LFUCG to help automate any business processes or interfaces.</p>	<p>H</p>
<p>Requirement 4.6: The ability to report on the number of customers that are classified as residential, commercial, industrial or OPA</p>	<p><b>GCWW Response: 2</b></p> <p>In our system we differentiate between accounts using an Account Class or Service Type. We could use this functionality to easily identify and report on these different types of accounts.</p>	<p>H</p>
<p>Requirement 4.7: The ability for LFUCG to add notes to the bill history</p> <ul style="list-style-type: none"> <li>• To be used when reviewing an account</li> </ul>	<p><b>GCWW Response: 2</b></p> <p>Our system has the ability to add notes at the account level. Each note can have a specific Note Type. Each Note Type can be determined by LFUCG.</p> <p>These notes are displayed in the system when reviewing an account.</p>	<p>M</p>

Requirement Description	Vendor Response (0,1,2)	Priority Rating
<p>Requirement 4.8: The ability for LFUCG to create their own reports from the views/access they will be allowed</p>	<p align="center"><b>GCWW Response: 2</b></p> <p>We are able to provide views/access to LFUCG so that necessary reports and queries can be built using the billing database.</p>	<p align="center">H</p>
<p>Requirement 4.9: The ability for the vendor to provide standard reports</p> <ul style="list-style-type: none"> <li>• Specific report samples will be provided to finalist vendors</li> <li>• Vendor should supply price structure breakdown per number of reports provided</li> </ul>	<p align="center"><b>GCWW Response: 2</b></p> <p>We will provide all reports identified in the RFP.</p> <p>Additionally, we currently have over 400 reports – daily, weekly, monthly, quarterly, yearly – that GCWW uses for our daily operations. These reports can be utilized or modified to meet LFUCG needs.</p> <p>If needed, we will develop additional reports and/or reporting capabilities on a cost/hour basis.</p>	<p align="center">H</p>

Sample Bill



City of Lexington, Kentucky  
Division of Water Quality  
301 Lisle Industrial Avenue  
Lexington, Kentucky 40511  
(859) 425-2400

CUSTOMER NAME	ACCOUNT NUMBER	BILL DATE	DUE DATE
JOHN DOE	100000-1121111	OCT 18 2011	NOV 14 2011

Service Address: 123 MAIN ST, LEXINGTON, KY 40511

Summary of Charges

Previous Bill Amount.....	\$100.18
Net Payments - Thank You.....	(50.09)
Net Adjustments.....	(10.00)
Remaining Balance.....	40.09

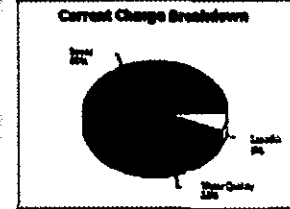
**ACCOUNT MESSAGES**

Your next meter reading is scheduled for NOV 28, 2011.

Visit us at [www.lexingtonky.gov](http://www.lexingtonky.gov) for more information on our water quality incentive grant program.

Current Charge Details

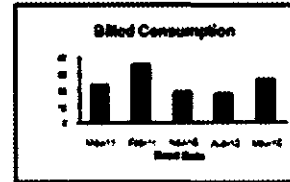
Sewer Charges.....	55.74
Landfill Charges.....	6.01
Water Quality Charges.....	24.00
Total Current Charges.....	\$85.75
<b>Total Due.....</b>	<b>\$125.84</b>



Meter Reading Details

For Service From SEP 14 to OCT 15 (Days of Service=30)

METER NUMBER	PREVIOUS READING	CURRENT READING	READ TYPE	USAGE	UNIT OF MEASURE	METER SIZE
1234	1520	8669	A	149	CCF	3/4
1235	30609	31881	A	472	MGs	3/4
1236	117	120	A	3	CCF	3/4



PLEASE KEEP THIS PORTION FOR YOUR RECORDS

PLEASE RETURN THIS PORTION WITH YOUR PAYMENT



City of Lexington - Water Quality  
P.O. Box 1234  
Lexington, KY 40511

Service Address: 123 MAIN ST, LEXINGTON

ACCOUNT NUMBER	DUE DATE	TOTAL DUE
100000-1121111	NOV 14 2011	\$125.84

JOHN DOE  
123 MAIN ST  
LEXINGTON, KY 40511

Amount Paid: \$ \_\_\_\_\_

Please make check payable to: CITY OF LEXINGTON

### Screen Snapshots to Support Requirement 4.2

The "Ledger Card" displays the charges for all services billed on an account. Adjustments and payments that are made to the account will display as well.

576335	Lexington Test 2		
1316412	4748 Lexington AV		Active

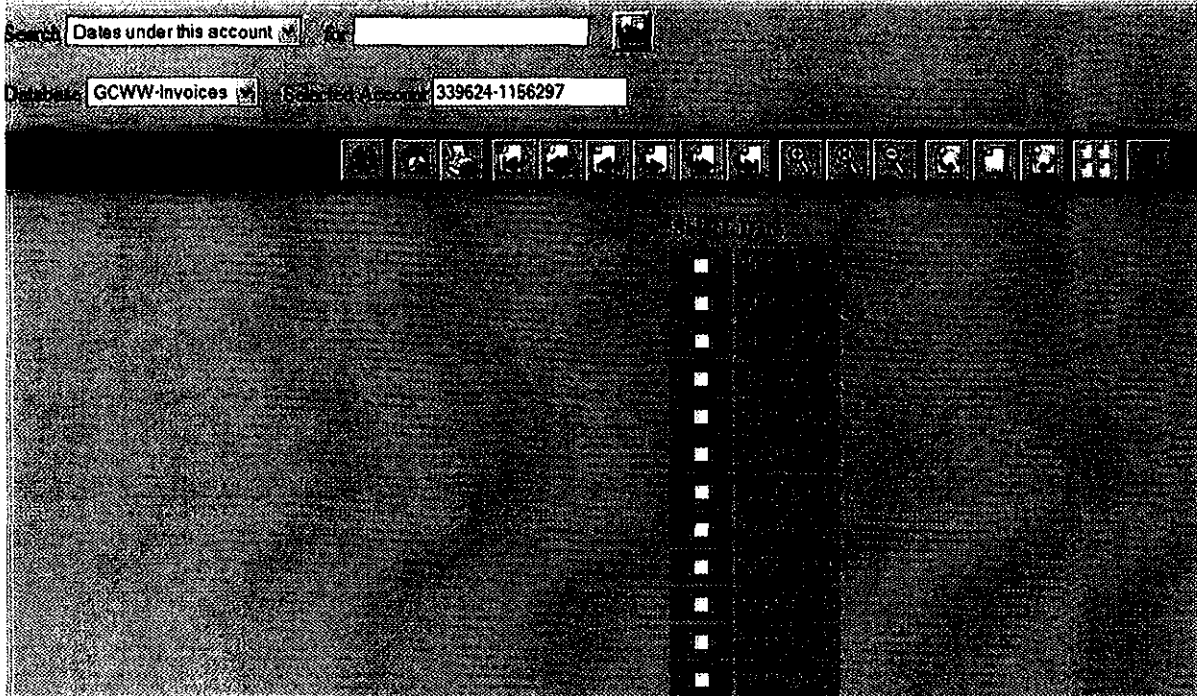
Date	Description	Amount	Balance
21-NOV-2011	N/A Adjustment SWRD	-2.00	49.90
15-APR-2011	N/A State Tax Fee	.52	51.90
15-APR-2011	SLEX Landfill Fee	6.60	51.47
15-APR-2011	SLEX Wtr Qual Mgmt Fee	6.44	44.87
15-APR-2011	2COM Sewer Charges	6.59	39.45
15-APR-2011	1COM Water Charges	0.00	29.84

The CSR Interface provides a current overview and allows quick access to information on the account. The "Account Summary" portal will display all current activity as changes occur to the Ledger Card. The "Bill Summary" displays the "Current Bill" information such as Bill Date, Amount and Due Date. Clicking on the "Due Date" link will take you to the Ledger Card where all service fees are located. Histories of notes that are associated with the account are also displayed in the CSR Interface.

The screenshot displays the CSR Interface for account 'LEXINGTON TEST 2'. It includes several panels:

- ACCOUNT SUMMARY:** Shows Current Bill Amount (\$51.90), Payments (\$45.49), and various charges like Sewer (\$6.59) and Water (\$0.00).
- BILL SUMMARY:** Displays a table of bills with columns for Bill Date, Amount, and Due Date. A current bill is highlighted for 15-APR-2011 with an amount of \$51.90 and a due date of 30-APR-2011.
- NOTES:** A table showing notes with columns for LN, Date, Type, and Description. A note is visible for 15-APR-2011 related to the current bill.
- AT A GLANCE:** Shows Account City (AL) and Meter ID (58 - 381213).

An archive of all billing statements is also readily available. The actual billing statement that was mailed to the customer can be reviewed by clicking on the date link.



## Vendor Scope of Work

The major components of the desired scope of work for the vendor are comprised of the following items. Please indicate your ability and commitment below with a "yes" or "no" for each line item. A "yes" response is a binding commitment by the vendor to fulfill the responsibility within the scope and price of their RFP response. For any "no" answers, please explain the associated limitations or constraints.

Vendor Responsibilities	Yes or No
<b>Provide services to fulfill the business and technical requirements for a Billing Service</b>	<b>YES</b>
<ul style="list-style-type: none"> <li>• To manage this project as the prime contractor, if other firms are involved</li> </ul>	<b>YES</b>
<ul style="list-style-type: none"> <li>• To develop any customized components necessary to meet the requirements for which you've answered as such</li> </ul>	<b>YES</b>
<ul style="list-style-type: none"> <li>• To provide solution users, and systems administrators training in the area of report generation, using examples</li> </ul>	<b>YES</b>
<ul style="list-style-type: none"> <li>• To comply with all RFP response criteria</li> </ul>	<b>YES</b>

## Vendor Business Profile & References

Please submit the following business information items about your company and subcontractors:

*Company name, headquarters address, and local responsible office*

Greater Cincinnati Water Works (GCWW)  
4747 Spring Grove Avenue, Cincinnati, OH 45232

The contract for GCWW's print and mail service is currently contracted to an organization in Miamisburg, Ohio. GCWW's credit card payment processor (FIS/Metavante) is not located in Cincinnati. The customer contact center is located in Cincinnati, Ohio, and all implementation services will be conducted in Cincinnati.

*Number of years in business*

Greater Cincinnati Water Works is a municipally owned and operated utility that the City of Cincinnati purchased from a private owner in 1839.

Cincinnati was incorporated as a city in 1819.

*Number of years active in providing billing services*

GCWW has always processed and produced its customers' bills. The GCWW has been providing billing services for other agencies and utilities for the last 63 years.

*Annual revenue*

\$125,267,000

*Business structure (e.g., C-Corp, S-Corp, LLC)*

GCWW is a municipally owned utility.

*Ownership (if publicly traded, include exchange and symbol)*

Not applicable

*Total number of employees*

Greater Cincinnati Water Works employs 553 staff members. We are proud of our skilled staff, and have a strong commitment to maintain and further develop our capabilities. Refer to Appendix G: GCWW Background for additional information regarding our training programs, and the staff credentials and certifications.

*At least three references (customer name, telephone number) for work performed over the last three years for projects relevant to this one (i.e., comparable functionality for similar size corporation).*



GCWW is pleased to provide LFUCG with the following references. Each of these references will attest that GCWW always meets its budget and schedule commitments. While not requested in the RFP, some of our references have chosen to provide letters of recommendation. These can be found in Appendix G.

**Metropolitan Sewer District of Greater Cincinnati**

James A. (Tony) Parrot, Executive Director  
1600 Gest Street, Cincinnati, OH 45204  
513.352.4929; e-mail: [tony.parrott@cincinnati-oh.gov](mailto:tony.parrott@cincinnati-oh.gov)

The Metropolitan Sewer District of Greater Cincinnati (MSD) is a publicly operated wastewater utility with a ratepayer base of approximately 230,000 residential and commercial users. The Board of County Commissioners of Hamilton County created MSD in 1968. At that time, they established a 50-year contractual arrangement with the City of Cincinnati for the management of MSD's daily operations, including billing services, thereby creating a strong long-standing history of public-to-public partnership with the Greater Cincinnati Water Works. Sewer charges are based on water consumption. One meter reading produces charges for both services, thereby creating a natural partnership.

GCWW provides MSD with billing services for approximately 211,000 active sewer accounts (including payment processing, reports, billing adjustments, delinquency and collections). Most of these accounts are billed on a quarterly basis, with about 6,000 monthly bills. GCWW charges for sewer using "History Based Consumption" (HBC), which is similar to LFUCG's "Fall Weather Average" (FWA). GCWW handles both sewer "add" and "deduct" meters. GCWW also bills for "Effluent" charges, which are similar to LFUCG's "Extra Strength" charges. In addition to the billing services, GCWW provides MSD with contact center services for billing and account questions.

According to James Parrott, MSD Executive Director:

"This partnership provides for shared services ... to generate accurate and timely utility billings, customer contact to address questions or concerns, and the use of the latest technology to provide outstanding billing and customer service. These services are provided at an affordable rate in a very professional manner. The departments work very closely together to identify workflows or operations that enhance efficiencies and explore the use of the latest or emerging technologies that can be used to provide enhanced services to our customers and the community we serve. GCWW employees know and understand our work rules and billing rate structure. In closing, this long-standing partnership has been very beneficial to us. I highly recommend GCWW for this project."

**Metropolitan Sewer District of Greater Cincinnati – Stormwater Management Utility**

Amy May, Senior Administrative Specialist  
1600 Gest Street, Cincinnati, OH 45204  
513.244.1329; email: [Amy.May@cincinnati-oh.gov](mailto:Amy.May@cincinnati-oh.gov)

In 1984, Cincinnati City Council created the Division of Stormwater Management Utility (SMU) within the Cincinnati Department of Public Works. Cincinnati's SMU was among

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*"The trained professionals and dedicated staff at GCWW do an outstanding job of assisting our customers with questions or concerns."*

**-James(Tony)Parrott**  
MSD Executive  
Director

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the first stormwater utilities created in Ohio. The agency was charged with correcting chronic flooding problems, designing new drainage facilities, and maintaining the existing storm sewer and storm inlet system to ensure their proper operation during rain events. In 1995, SMU was transferred from the Department of Public Works to the Department of Sewers (MSD). The transfer was done to eliminate duplicate services and to improve efficiencies of both agencies. In 1997, SMU's billing and customer service functions were transitioned to the GCWW with an identified annual savings of \$100,000 for SMU. With this move, the City consolidated the billing, collection, and customer service functions for water, sewer, and storm water, with one service provider..

Today, GCWW provides billing services for stormwater (including payment processing, reports, billing adjustments, delinquency and collections) for 82,852 accounts. Most of these accounts are billed quarterly, with some monthly bill. In addition to the billing services, GCWW also provides contact center services for billing and account questions.

**Butler County Water & Sewer Department**

Elden Ward, Jr., Customer Care Manager  
130 High Street, Hamilton Ohio 45011  
513 887-3968; e-mail: warde@butlercountyohio.org

Butler County is one of the fastest growing counties in Ohio, with a population of more than 100,000. The Butler County Water and Sewer Department (BCWS) provides safe, reliable services to Butler County.

BCWS AT A GLANCE	
WATER	WASTEWATER
12 MGD distributed	16 MGD treated
644 miles of main	700 miles of sewer
25 MGD water supply capacity	4 satellite treatment plants
6 MG ground storage	2 regional treatment plants
8.5 MG elevated storage	29 MGD treatment capacity
41,552 water customers	36,564 sewer customers

In 2000, BCWS and GCWW negotiated a water service agreement. These negotiations generated additional discussions between GCWW and BCWS regarding the potential for other shared services, especially billing services. BCWS had an antiquated billing system that had not been routinely updated and no longer met their needs. The potential savings from entering into a public-to-public partnership with GCWW over the cost of a new billing system and the necessary support staff led BCWS to choose GCWW as their billing service provider. The first bills were delivered in December 2004.

What stood out most to BCWS was that the service delivered by GCWW was "invisible." The BCWS customers never realized the customer service was being provided by another municipal agency. Elden Ward, BCWS Customer Care Manager, said this was

“huge” in maintaining their identity with the customers. The level of customer service was “flawless” to both the external customers and to the internal business customers.

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*“I can’t recall any time when (GCWW) didn’t meet our needs...there will always be changes and unexpected issues that arise and you can feel confident that GCWW will meet those future needs.”*

**Elden Ward**  
BCWS Customer  
Care Manager

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Ward said “I can’t recall any time when (GCWW) didn’t meet our needs.” He went on further to say that whether it was a data request or a report or a desired enhancement – GCWW always met BCWS’ needs. He said this pointed to the level of commitment and quality of GCWW staff. Ward offers this advice to LFUCG: “there will always be changes and unexpected issues that arise and you can feel confident that GCWW will meet those future needs.”

This brought “peace within the workplace.” “We never had a bad experience – and not just with the systems themselves, but also with the people.”

BCWS was extremely pleased with the quick implementation time. The software vendor (Cogsdale) considered a 12 month schedule ambitious, but GCWW completed the implementation in seven months. Ward found it impressive that, even with the short transition period, there were no missed bills.

Ward also recognized the advantages of a public-to-public partnership: There is a “like-mindedness” in culture, terminology, and processes that makes the partnership “easy.”

“In the end, we grew together.” We were both better utilities because of the partnership. And from the constituents’ perspective, it was great service at a low cost.

GCWW provided monthly water and sewer billing (including payment processing, reports, billing adjustments, delinquency notification and field service orders) and contact center services for 38,040 water and 36,446 sewer accounts. GCWW also provided contact center services for billing and account questions as well as requests for field response.

### **City of Mason**

Jennifer Heft, Assistant City Manager

Mason Municipal Center, 6000 Mason-Montgomery Road, Mason, OH 45040  
513.229.8500; email: [jheft@masonoh.org](mailto:jheft@masonoh.org)

Mason is an affluent city in Warren County, Ohio, approximately 22 miles away from Cincinnati. Mason has experienced fast growth, moving from fewer than 5,000 residents in the 1960s to approximately 31,000 residents in 2010. To meet the needs of the growing community, GCWW began supplementing Mason (who owned and operated its own water treatment plant) with wholesale water service in 1997. In 2002, Mason decided to cancel the 1997 wholesale agreement and replaced it with a retail water service agreement with GCWW. This agreement included billing and customer care services. As part of this agreement, GCWW also began billing for Mason’s sewer, waste collection, and storm water services so that Mason customers would receive only one bill for all City services. “By authorizing this agreement, Mason City Council fulfilled their commitment to providing plentiful, quality and affordable water for the future. The City of Mason has an excellent working relationship with GCWW. Their operations, consistency in quality, and maintenance have been excellent.”

GCWW provides Mason with water, sewer, storm water and waste collection billing (including billing, payment processing, billing adjustments, delinquency and collections, service orders, and reports), for 10,466 water accounts, 10,202 sewer accounts, 10,371 storm water accounts, and 8,758 waste collection accounts. Most billing is done on a quarterly basis, with some monthly bills. GCWW also provides contact center services for billing and account questions for all services and full contact center service for water (e.g., service orders, emergency, etc.).

Today, GCWW is the sole supplier of water to the City of Mason. With over 10 years of billing service history, Mason's Assistant City Manager, Jennifer Heft, says that Mason has realized the desired benefits associated with "getting out of the billing business." With GCWW already providing billing services for well over 220,000 accounts, Mason believed it would be more cost-effective and efficient for Cincinnati to provide their total utility billing services. According to Ms. Heft, the Mason/GCWW billing and customer care partnership has "worked really well; it's nice; it's easy."

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*"(Mark Menkhaus) and his staff met with me and other City staff members to develop the billing process, the proper method of transferring residential information, and the development of necessary tracking reports. This assistance did not end once the contract was implemented in 2008.*

*He has been available to us whenever we had questions about the GCWW daily or monthly reports."*

**Wright Gwen**  
Forest Park  
Environmental  
Services Program  
Manager

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### **City of Forest Park**

Wright Gwen, Environmental Services Program Manager  
1201 West Kemper Road, Forest Park, OH 45240  
513.595.5263; e-mail: [environment@forestpark.org](mailto:environment@forestpark.org)

Forest Park is a planned community in Hamilton County, Ohio, approximately 14 miles north of downtown Cincinnati. This largely residential city saw tremendous growth and development in the 1960s, when most of the housing stock was constructed. Forest Park's 19,000 residents (7,500 households) have been served by GCWW under the Hamilton County retail water service contract since 1955. In 2008 the city additionally contracted with GCWW to provide waste collection billing services to address health, safety, and environmental concerns. Prior to this contract, residents contracted for waste collection services individually through one of several waste haulers. It was found that nearly 10% of the residents actually had no service, so Forest Park contracted with a single waste hauler to provide a weekly service for all residents, with billing to the city. Under that contract, the city included yard waste and large item pick up, as well as recycling. GCWW's billing service includes a charge for waste collection on the water bill. This arrangement has allowed the city to greatly reduce illegal dumping, greatly increase recycling, and increase funding for environmental projects, all while reducing the overall cost to the residents. Forest Park offers two service levels: "Eco Tier" which provides pick up for one 65 gallon container, and the standard service which provides unlimited pick up. Residents may also choose to rent a 95 gallon waste wheeler for a nominal monthly charge.

Forest Park's Environmental Program Manager, Wright Gwyn, notes a dramatic improvement in waste handling throughout the city. With services automatically provided, waste gets from the home to the landfill without detour, recycling is free and easy, and neighborhoods stay cleaner. The city is able to depend on high collection rates to cover the monthly service charge to the waste hauler.

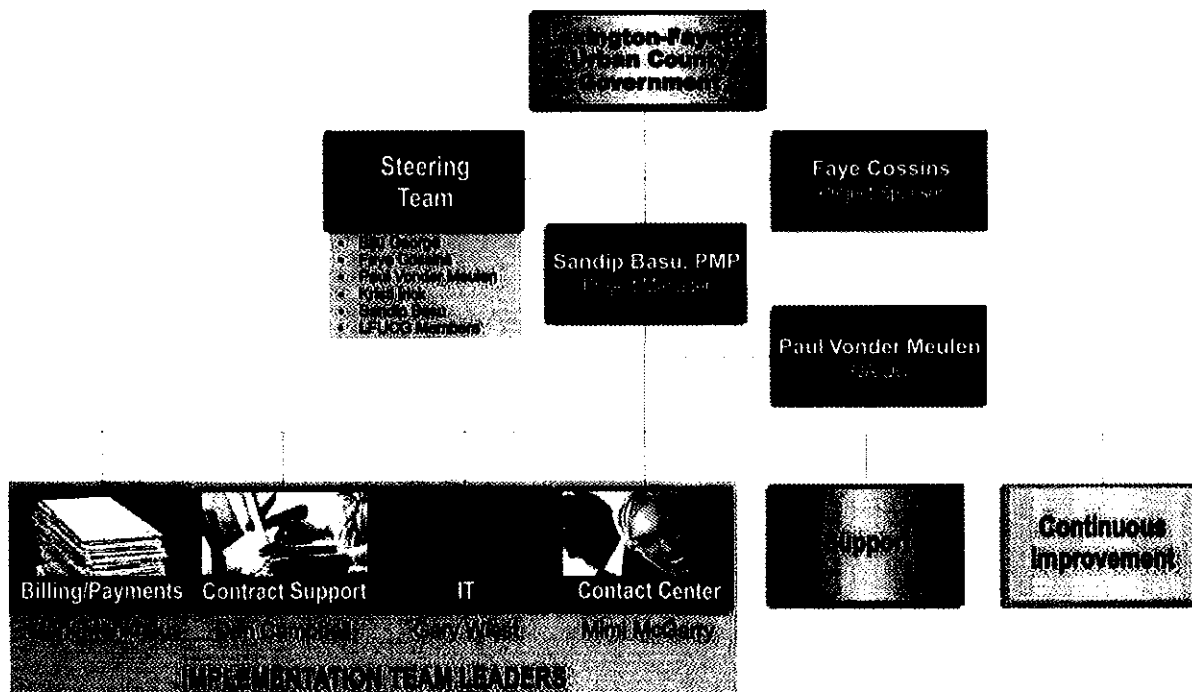
Wright Gwyn was impressed with the implementation process. "(Mark Menkhaus) and his staff met with me and other City staff members to develop the billing process, the proper method of transferring residential information, and the development of necessary tracking

reports. This assistance did not end once the contract was implemented in 2008. He has been available to us whenever we had questions about the GCWW daily or monthly reports.”

GCWW bills 5,322 waste collection accounts, (including payment processing, reports, billing adjustments, delinquency and collections, service orders). GCWW also provides contact center services for waste collection account and billing questions.

*Resumes of specific Key Project Staff: (e.g., All Project Managers)*

Full resumes for Key Project Staff are included in Appendix B. The following organization chart illustrates the project team structure and reporting.



In addition to the team members listed below, the project is supported by a group of skilled business analysts and technology experts. The team has benefited from GCWW's commitment to ongoing training and education, and holds numerous technology certifications. A list of relevant certifications is included in Appendix B.

Below are short biographies of the key project staff members.

**Biju George, Project Steering Team.** Mr. George is the Interim Director of the Greater Cincinnati Water Works. He focuses on strategic management of the utility, organizational culture and change management, business process optimization, infrastructure asset management strategies, and operating and long-term budgeting and planning. Mr. George intends for this project to be the national model for regional shared services – leveraging municipal capabilities and technology investments to bring efficiencies and reduced costs to the utilities and their customers.

**Faye Cossins, Project Steering Team and Project Sponsor.** Faye is an accomplished utility leader with a passion for delivering outstanding customer service. She has over 20 years of experience in operations and business management focusing on customer contact center and key client care. She is currently the Commercial Services Division Superintendent at GCWW.

**Paul Vonder Meulen, Project Steering Team and QA/QC.** Paul is a customer focused and results-oriented technology leader with proven problem-solving and leadership abilities. His background spans all facets of software implementation, enterprise information technology strategic planning, and enterprise system maintenance and system integration. He is focused on understanding the business needs and business challenges in order to deliver the most effective information technology solutions. Paul is GCWW's Information Technology Service Division Superintendent.

**Kristi Irick, Project Steering Team.** Kristi is the CFO and Superintendent of GCWW's Business Services. She has over 20 years of experience overseeing financial and customer service operations.

**Sandip Basu, Project Manager.** Sandip has over 20 years of Information Technology project management experience. Sandip works for Soft Vista, Inc. and has been a consultant to GCWW on numerous projects, including GCWW's Commercial Contact Center technology upgrade, the development and implementation of an on-line customer account management system with debit and credit card payments, CIS upgrades, and PCI compliance. He is PMP certified. Soft Vista is a certified MBE with the City of Cincinnati.

**Mark Menkhaus, Billing/Payments.** Mark provides departmental leadership focused on delivering best in class customer service through the efficient efforts of a dedicated and well-trained staff. Mark's commitment enables GCWW to meet its standard of excellence, and helps GCWW's commercial customers provide a high degree of customer satisfaction. Mark is an Assistant Superintendent in GCWW's Business Services Division, where he is responsible for managing billing services.

**Dan Campbell, Contract Support.** Dan is an experienced public administrator specializing in budgeting, contracts administration, and capital planning. He is a Senior Administrative Specialist responsible for the preparation, development and monitoring of the GCWW Commercial Services Division's annual \$9.1 million operating budget and capital budget. He assists with the operation and administration of the Commercial Services Division's Client Services Section

**Gary Wiest, IT.** Gary is the IT Assistant Manager for the Customer Service and Billing section. Gary leads a team of business analysts and technology experts responsible for developing, supporting and maintaining GCWW billing system applications.

**Mimi McGarry, Contact Center.** Mimi is GCWW Commercial Services Division's Assistant Superintendent for Customer Contact Center Operations. An experienced customer contact center manager, Mimi played a leadership role in GCWW's Contact Center Business and Technology Upgrade Project design and implementation. Her focus has been on applying contact center best practices to maintain superior service levels and on building client services partnerships.

*Location(s) of Key Project and Support staff*

All key project staff members are located in Cincinnati, OH.

*List of proposed project personnel who are not employees of your organization (e.g., subcontractors) and their employer(s).*

Sandip Basu works for Soft Vista, Inc., a certified MBE with the City of Cincinnati.

*Names of involved parties, dates, jurisdiction and status of any litigation in which your organization has been involved within the last five years.*

GCWW has not been involved in litigation that involves billing services.

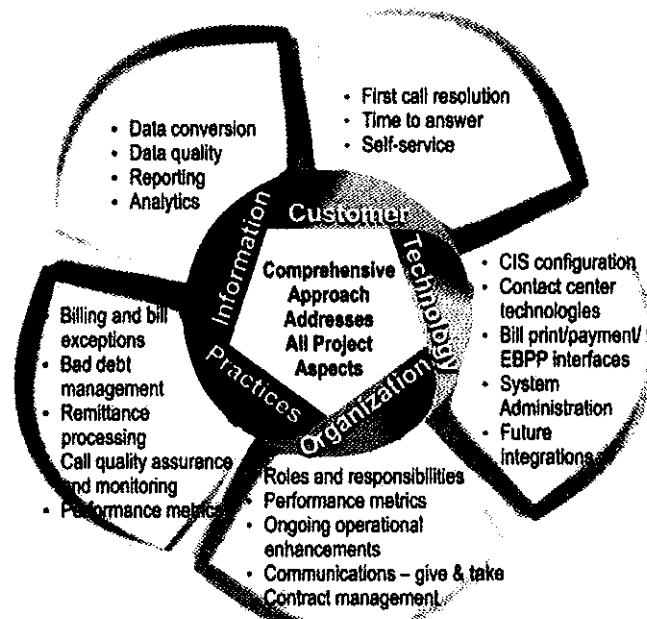
GCWW is involved or has been involved in 25 law cases to date since January 1, 2007. These cases involve 14 personal injury and /or property damage matters, five personnel matters, three contractor-subcontractor disputes, a petition to wrap-up corporate affairs of a private business, a City collection of past due charges, and a water service territorial dispute. Of these 25 cases, 13 are now pending. None of these 25 cases involve GCWW's Customer Assistance or Billing Operations Sections. A list of all these cases, including the case number, caption, governing jurisdiction, status, and a brief description, are included in Appendix D of this proposal.

## Project Plan & Deliverables

### Project Approach

GCWW's approach to providing LFUCG with billing, collections, and contact center services is based on a collaborative, partnering relationship with LFUCG. By understanding LFUCG's goals, opportunities, and challenges, GCWW will be best able to deliver the results that LFUCG desires – both in the short term and in the long term.

Successful solutions require a total systems perspective (as illustrated in the figure to the right), so GCWW has taken a comprehensive perspective of this project. The project plan is designed to help apply billing and collections best practices in addressing organizational, business practices, technology, information (data), and customer needs.



*GCWW's Comprehensive Project Approach is Designed to Achieve and Sustain a Successful Long-Term Relationship*

### Project Plan and Deliverables

GCWW's project plan is structured to migrate services from the KAWC system as rapidly as possible while maintaining the current capabilities. Once this is accomplished and the system is stable, additional capabilities will be added. This phased approach is key to meeting LFUCG's strict implementation timeline.

The project plan is composed of three key phases, briefly described below.

- **Implementation** involves migrating from the current environment with KAWC to GCWW's systems. Key tasks are project management, business process analysis, systems and interfaces, testing, training, go-live, and transition/stabilization. An optional task includes providing support related to customer communications during the migration to GCWW's system.
- **Ongoing Operations** involves managing the contract, reviewing service levels, maintaining the knowledge base, conducting regular operational reviews, and developing an annual continuous improvement plan.
- **Continuous Improvement** involves regularly upgrading the capabilities year over year. The specific projects to be carried out during continuous improvement will vary over time as additional capabilities are implemented, and new technologies become mainstream. Examples of potential continuous improvement projects include implementing additional payment channels, or developing additional business intelligence capabilities.



Deliverables are identified below as part of the project activities. For your ease of reference, they are summarized in the table below.

Activity	Deliverables
<b>Project mobilization</b>	Updated project plan; Memo summarizing Mobilization meetings
<b>System Orientation Training</b>	1 week of training regarding the basic GCWW system
<b>Business Process Analysis</b>	Working notes related to key business rules/policies
<b>System Design</b>	Updated functional and technical specifications
<b>Data Conversion</b>	Up to four data loads
<b>Interfaces</b>	Working interfaces for payments, meter reading, and adjustments
<b>Remote Access</b>	Tested, working remote access, including support documentation
<b>Testing</b>	Successfully completed test plan
<b>Training Development</b>	Training materials
<b>Training Scheduling</b>	Schedule of training classes, by roles
<b>Training Delivery</b>	Training classes
<b>Prepare for Go-Live</b>	Go/no-go criteria, go-live checklist, and a successful mock go-live
<b>Go-Live</b>	Successful functioning on GCWW's system
<b>Punch List and System Acceptance</b>	Punch list
<b>Transition to Ongoing Operations</b>	Project memo summarizing project results

## Implementation

### Pre-Project Activities

We anticipate contract discussions will revolve around two key documents: the contract itself, and a Memorandum of Understanding (MOU). The contract will define the fees, items to be defined in the MOU, LFUCG's responsibilities, GCWW's responsibilities, the term of agreement, representations by GCWW to LFUCG, remittances from LFUCG to GCWW, changes in the LFUCG service area that would/would not affect the contract, and relationship of LFUCG to GCWW under the agreement.

Key components of the MOU would include definitions, and processes related to new account generation, bill processing, contact center, payment processing, delinquency and collections, service orders, customer communications, reports, technology, training, governing of existing contracts, invoicing, request for changes, auditing accounts, and related exhibits.

It is important to identify and agree upon the items listed, yet defining these items takes time. Due to the short project timeline, we propose that as soon as possible, some activities start prior to the contract and Memorandum of Understanding being signed.

In particular, a key dependency and critical path item is data conversion. We propose that LFUCG provide GCWW with data files as described in Attachment 1 and settlement data under a Non-Disclosure Agreement prior to the actual contract and MOU signing. These preliminary data files would be used to start working on the file conversion scripts, and to understand the quality of the data ("data cleanliness").

Receiving these files as early as possible allows us as much time as possible on a critical path item in the overall project plan, and gives us an early opportunity to develop an understanding of the quality of data. This will help keep the project schedule on track.

### **Implementation Project Management**

**Activity 1: Project Management.** GCWW views project management as an essential component of a successful project. Our project management practices are adapted from the Project Management Institute's (PMI) practices with an eye toward successful public sector projects. Years ago we embarked on a program to develop and improve project management practices; as part of this program GCWW established a relationship with Xavier University to further define our project management practices. Since then many of our Project Managers have received training based on the PMI Body of Knowledge. We have continued to develop and implement standardized project management procedures so that our projects are brought in on-time and on-budget. We will bring this disciplined approach to your project.

Our Project Manager (PM) is responsible for the project scope, budget, and schedule. He will ensure that your needs are addressed, that quality assurance measures are applied to the project, and that appropriate project resources are available. He will update the LFUCG PM and Steering Team regarding progress toward the implementation. GCWW will provide written monthly progress reports – with more frequent updates as needed during implementation. He will provide the Steering Team with project updates in face-to-face meetings at key project milestones.

We will use standard project management tools (such as decision logs, issue logs, project correspondence, etc.). The project plan encompassing all tasks to be performed will be updated and reviewed with the LFUCG PM on a monthly basis.

In addition to standard good project management practices, we will directly address and manage risks. We will work with the Steering Team to develop a risk matrix. This matrix will be periodically updated over the course of the project, until the post-stabilization phase is completed. We will work with the LFUCG PM to develop a recommended course of action or alternatives to consider for risk mitigation.

**Activity 2: Project mobilization.** Because of its importance, mobilization is called out as a specific activity. Mobilization starts with a working session with the Project Managers from LFUCG and GCWW (and others as necessary). This session involves working with you to finalize the Steering Team and Project Team members; identify other key stakeholders;

identify action items for the Chartering Workshop (including collecting key contact information); review and adjust the project plan; agree on communications protocols; and discuss acceptance criteria.

We will meet with the Steering Team to discuss the project plan; project goals; measures of success; assumptions; constraints; and next steps.

Following this pre-work, we will conduct a Chartering Workshop with the Steering Team and Project Team. At this workshop we will provide an overview of the project plan; discuss and confirm project roles and responsibilities; review project goals and measures of success, assumptions, constraints, and communications protocols; exchange key contact information; and review next steps.

**Deliverable(s):** Updated project plan; Memo summarizing mobilization meetings

**Activity 3: Implementation Phase Closeout.** This activity is conducted during the Transition/Stabilization activity following successful go-live. It sets the stage for strong ongoing operations, and builds future capabilities for successful projects during the Continuous Improvement phase. Key tasks will be to review the implementation for lessons learned (for example, what things to continue doing and what things to change), to review the contract and goals/measures of success, and to archive key documents for future reference.

### **Business Process Analysis**

Business process analysis is focused on understanding current business rules, where there is flexibility to change, and how key processes relate to each other. A key assumption is that GCWW's configuration and business processes will be used as the starting point. One reason for this assumption is that this approach substantially enables accomplishing the timeline. The other reason is that GCWW's business processes are based on best practices, thus they provide a sound starting point.

This phase starts with providing training on GCWW's system, and then systematically moves through the entire meter-to-cash process. To make the business process discussions most useful, for each component (account management, billing, adjustments, etc.) the functionality will be demonstrated as it is discussed.

**Activity 4: System Orientation Training.** It is critical to establish a common language so that project participants have a common understanding of various terms. For example, there are often different definitions about what an "account" is, or what "consumption" means. To address this issue, and provide a sound baseline of understanding about the CIS and other technologies to be used, GCWW will provide one week of training to the LFUCG project team. Training will be provided by GCWW's trainers, using one of GCWW's two dedicated training facilities. The LFUCG Steering Team members may also participate in this training, should they desire (and if the training location will support additional participants).

**Deliverables:** 1 week of training regarding the basic GCWW system

**Activity 5: Account Management.** Business processes regarding the handling of customer account data, premises data, new accounts, move-in/move-outs, customer history, and so on will be discussed.

**Deliverables:** Working notes related to key business rules/policies

**Activity 6: Bill/Letter Design.** The bill design will be reviewed and finalized. Automated workflows related to letters will be reviewed (for example, past due notices, delinquencies, lien status, etc.). The letters will be reviewed and necessary changes/updates will be identified and assigned. LFUCG will be responsible for making the changes/updates to the letters. GCWW would be glad to provide example letters for LFUCG's consideration if desired.

**Deliverables:** Final bill design; working notes related to key business rules/policies

**Activity 7: Billing.** The billing process will be reviewed. This includes high/low bill exception handling; bill printing; and bill inserts. The assumption is that all bills will be paper initially, with electronic billing implemented during the continuous improvement phase of the project.

**Deliverables:** Working notes related to key business rules/policies

**Activity 8: Contact Center.** Business processes regarding customer contacts will be reviewed. This includes the workflows for the Interactive Voice Response (IVR); self-service vs. agent-provided service; interfaces to support self-service; LexCall 311; outbound auto-dialer; call recording; quality monitoring, estimated call volumes; service levels; and other contact center processes.

**Deliverables:** Working notes related to key business rules/policies

**Activity 9: Meter Reading.** Since meter reading data will come from KAWC, this discussion will center on how consumption data is handled, what is considered to be an exception (too high, too low), how estimated reads are to be handled, and understanding the file layouts. We will also discuss the frequency of meter reading data, and the schedules for reading meters.

**Deliverables:** Working notes related to key business rules/policies

**Activity 10: Service Orders.** We assume that KAWC will continue to do water shutoffs for non-payment, and reconnects upon payment. This session will address the business rules and processes to support these activities.

**Deliverables:** Working notes related to key business rules/policies

**Activity 11: Payments.** This includes handling of deposits if needed, customer payments by various channels, refund processing, and the interface to the General Ledger, Accounts Payable, and Accounts Receivable. Initially, we assume that payment channels will include: lock box, cash, checks, IVR, web, and ACH payments, in person, and locations supported by Checkfree pay agents.

**Deliverables:** Working notes related to key business rules/policies, and the interfaces (which could be manual or automated)

**Activity 12: Adjustments.** This working session will address how payment adjustments are currently handled, the volume of adjustments, and to what extent it makes sense to automate the current process. There are three options to handling adjustments (LFUCG could handle them, GCWW's staff could handle them, or an automated interface with GCWW's system could be implemented). We will make a decision related to which approach, based on LFUCG's capabilities and goals.

**Deliverables:** Working notes related to key business rules/policies

**Activity 13: Delinquency.** This session addresses business rules related to the delinquency process – from late payment notifications and penalties, to cutoff activities, processing bad debt accounts, bankruptcies, executor accounts (for deceased customers), and account liens.

**Deliverables:** Working notes related to key business rules/policies

**Activity 14: Collections.** This session addresses business processes related to post-delinquency processing – for example, lien processing, collecting bad debts, and submitting accounts to collection agencies for resolution.

**Deliverables:** Working notes related to key business rules/policies

**Activity 15: Reports Design.** We will review key reports (operational, accounting, and management) that LFUCG currently uses, including how they are delivered, and how often they are delivered. Based on that understanding, we will show the equivalent reports and query capabilities in GCWW's system, and identify reporting requirements.

**Deliverables:** Working notes related to reports; mock-up of custom reports if needed

**Activity 16: Complete Functional and Technical Requirement Specifications.** This activity involves reviewing the key requirements and specifications that were defined in the above steps. It is a final review before system configuration begins in earnest.

**Deliverables:** Working notes related to key business rules/policies

## **Systems and Interfaces**

**Activity 17: Hardware Procurement and Application Installation.** This involves GCWW procuring additional hardware and licenses to support the LFUCG environment, including help desk support.

**Activity 18: System Design.** During this activity, GCWW will systematically implement the functional and technical specifications into their system. As key modules are configured, GCWW will demonstrate the functionality to LFUCG to verify and validate the intended functionality. We will use a combination of means for this – with LFUCG staff coming on-site to GCWW, web-based demonstrations, GCWW staff going to LFUCG,

and potentially video conferencing. This approach builds confidence along the way, increases communication and understanding between the teams, develops knowledge on the part of the LFUCG staff, and mitigates the risks related to inadvertent miscommunications. We will also update the knowledgebase (eCRR) to reflect LFUCG's configuration in preparation for training the agents.

**Deliverables:** Updated functional and technical specifications

**Activity 19: Test Data Set.** This activity involves working collaboratively with LFUCG to create a subset of critical test data. It is important to have a well-understood set of test data that exercises all the unique customer attributes related to billing, payments, collections, and so on. Examples of attributes that should be included include commercial and residential customers, customers on payment plans, customers with multiple locations, tenant/landlord, and so on. This collection of data will be used over the course of the project to validate the configuration and intended functionality.

**Activity 20: Data Conversion.** We anticipate up to four data conversion steps, with each successive step iteratively cleaner. This process also typically results in the need to clean up some data. Depending on the extent and type of data cleanup, a combination of manual (on the part of LFUCG) and automated (by GCWW) cleanup may make sense. This activity also includes verifying data has been correctly loaded into the system after each data load.

**Deliverables:** Up to four data loads

**Activity 21: Interfaces (payments, meter reading, adjustments, delinquent account shutoff).** There are four key interfaces that need to be addressed during the conversion phase: the meter reading files from KAWC, delinquent accounts for shutoff by KAWC, adjustments data, and payments (Lockbox vendor). It is likely that other interfaces will be desired over time – common interfaces include other payment channels, and interfaces to the financial package (GL/AR/AP), to the 311 (LexCall 311), and to the work management package. If desired, these will be addressed post-implementation. GCWW will use existing interfaces for the bill/print and document management functionality.

**Deliverables:** Working interfaces for payments, meter reading, and adjustments

**Activity 22: Remote Access.** This involves configuring remote access from LFUCG's system to GCWW's system.

**Deliverables:** Tested, working remote access, including support documentation

**Activity 23: Bill/Letter Development and Reports Development.** This activity involves creating the bill, letters, and reports as identified in the business process analysis phase above.

**Activity 24: Business Rules Validation.** This activity pulls together the development and configuration activities. Over a two-week period, GCWW will review all business requirements, demonstrate them on the system to verify they function as desired, and describe alternatives and implications. During this period, GCWW will also demonstrate

how they update rates (based on information provided by LFUCG). Issues will be identified and documented, with someone assigned to address each issue.

**Deliverables:** List of open issues; configured system

## Testing

Testing both validates the proper configuration and functioning of the system and develops knowledge on the part of people who will use the system. It is a critical step, because it builds confidence on the part of people who will be using the system, as well as validating the functionality and data correctness.

Both GCWW and LFUCG staff will be involved in testing the system functionality and verifying correct data. GCWW uses a rigorous testing process. Refer to Vendor Question 5 for more information related to the go-live strategy, as well as Appendix F: Testing Strategy for more information.

GCWW will provide checklists to verify proper functioning. This includes comparing counts for late notices, shut off notices, move in/out, daily cash balance comparison by source, number of bills, and A/R totals.

**Activity 25: Testing.** This involves developing the test scenarios, test data, data cleansing/conversion testing, user acceptance testing, parallel testing, regression testing, and system acceptance testing.

**Deliverables:** Successfully completed test plan

## Training

At first, experienced GCWW agents will handle the Lexington calls. These agents will be trained on the LFUCG-specific business rules, processes, and content. We will continue to use GCWW's staffing strategies, including part-time temporary employees, to address the LFUCG workload. We plan to hire new Contact Center staff to accommodate the additional customer contact volume generated by this project. New contact center staff, however, will not be assisting LFUCG customers during the initial transition. We will use the same approach for billing, payment handling, and so on.

In addition to training GCWW's staff, there is a need to train LFUCG staff. This step addresses both.

**Activity 26: Training development.** This activity involves updating GCWW's training materials and knowledgebase to support LFUCG-specific business rules and content.

**Deliverables:** Training materials

**Activity 27: Training scheduling.** Existing Contact Center staff will be scheduled for training related to new processes and content (specific to LFUCG). In addition, training will be scheduled for LFUCG staff that will have access to GCWW's system, or that are substantially impacted by new or different reports.

**Deliverables:** Schedule of training classes, by role

**Activity 28: Training delivery.** GCWW's trainers will deliver training as identified by the training schedule.

**Deliverables:** Training classes

### **Go-Live**

**Activity 29: Prepare for go-live.** This involves reviewing and updating a go-live checklist of activities and timelines, and reviewing the go/no-go criteria. GCWW will provide the draft go/no-go criteria for review and comment by the Steering Team, as well as a go-live checklist of activities and timelines (for example, updating the IVR, detailing scripts to run, etc.). The cut-over plan will include three mock go-lives to ensure proper readiness for the actual cut-over. Each mock go-live will be debriefed, with issues identified and assigned to people for resolution. LFUCG staff will be actively involved in the mock go-lives, particularly in terms of validating the results after the conversion.

**Deliverables:** Go/no-go criteria, go-live checklist, and a successful mock go-live

**Activity 30: Go-Live.** This step involves running the data load and conversion scripts, then testing each key business process and the interfaces to verify correct functioning (including remote access, and conducting an initial bill run). This typically happens over a weekend, sometimes involving one weekday during which time the system is not available.

After all testing is complete and all acceptance criteria are met, the actual implementation usually occurs on a weekend. This allows the project team ample time to complete the necessary go-live steps of data conversion, final system setup, and validation testing. Refer to our response to Vendor Question 5 for more information related to the go-live strategy.

**Deliverables:** Successful functioning on GCWW's system

### **Transition/Stabilization**

**Activity 31: Punch List and System Acceptance.** GCWW will create and maintain a punch list for a two week period immediately following go-live. The punch list will catalog system or user problems, date first identified, priority, the person that the problem is assigned to, and resolution. GCWW will review the punch list on a daily basis for the first two weeks.

**Deliverables:** Punch list

**Activity 32: System Monitoring.** GCWW will monitor the system for quality, issues, and performance. Automated alerts for batch and payment processing will be implemented to ensure that GCWW is notified if key downloads or system processes are not successful.



**Activity 33: Transition to Ongoing Operations.** Following successful go-live and system acceptance, GCWW will transition from the implementation phase to ongoing operations. We will review support protocols with you, and discuss service levels and Key Performance Indicators (KPIs). We will review reports regarding system operations, billings, payments, and so on, so that you know the status of key operational processes. We will also review the project goals identified during the mobilization phase, identify whether the goals were accomplished, and next steps, if any. The transition to ongoing operations/stabilization period typically lasts about three months.

**Deliverables:** Project memo summarizing project results

### **Ongoing Operations/Contract Management**

This phase involves managing the contract (and the relationship between LFUCG and GCWW), as well as managing on-going operations after a successful transition to ongoing operations.

**Service Level Review.** We will jointly review and discuss the service levels for understanding, and to identify areas that are candidates to adjust. Agreed to changes will be documented, with owners and target dates for completion identified. The service level reviews will be conducted monthly. We suggest alternating the meeting location between LFUCG and GCWW's offices.

**Operational Review.** In addition to the service level review, we will conduct less formal operational reviews on a weekly and monthly basis. This operational review is intended to be a collaborative working session to ensure that both LFUCG and GCWW are receiving what they need. A standard weekly and monthly working agenda will be developed and updated as needed. Example topics include communications about upcoming events that might impact customers, quality management and reviewing performance reports.

**Training/Knowledgebase Update.** This is an ongoing activity that involves updating reference materials (including eCRR) as LFUCG's business rules change or procedures need to be updated, etc. GCWW will conduct a yearly review with LFUCG staff to ensure that key updates are received and incorporated.

**Continuous Improvement Plan.** During the course of the conversion to GCWW's system, we will maintain a log of future enhancement possibilities. Shortly after converting to ongoing operations, we will work with you to define the overall continuous improvement plan.

### **Continuous Improvement**

Converting from the KAWC system to GCWW's system is a key, and exciting, step to this project. However, we firmly believe that much more value can be yielded through implementing a systematic continuous improvement approach. That is the purpose of this phase.

GCWW has a strong culture of continuous improvement. LFUCG will benefit from GCWW's customer service and billing investments and process improvements. In

addition, GCWW will work with LFUCG to make improvements specific to LFUCG's system.

Once yearly, during a two day workshop, we will develop and discuss for understanding a list of potential improvements. GCWW will then develop an estimated cost and timeline for each of the improvements. A follow-up workshop will be conducted during which the potential improvements will be reviewed again, prioritized, and scheduled as appropriate. The resulting activities identified as part of desired continuous improvement will be discussed as part of Contract Management activities.

Possibilities that might be of interest include:

1. Additional payment capabilities and channels, including smart phones and payment swipe cards
2. Electronic bill presentment and payment
3. Customer self-service web account management
4. Additional interfaces, for example, LexCall 311, the work management system, GIS, and financials
5. Redesigning complex business processes that, with automation, would provide substantial efficiency improvements and/or customer service enhancements. One example might be handling adjustments.
6. Adding business intelligence/data analytics capabilities
7. An email interface as part of an integrated customer channel contact

### **Optional Task – Customer Communications**

The impact of this project on customers will be substantial. For example, they will move from receiving one consolidated bill, to receiving two bills, and they will have an additional phone number to contact. If desired, GCWW will work with LFUCG and develop strategies to minimize the negative impact, and to communicate the advantages.

### **LFUCG Involvement, Resources, and Deliverables**

Moving the customer service functions from KAWC to GCWW is a mission-critical and complex project, with substantial risk. GCWW's proposed approach, proven track record, and experienced staff will mitigate much of this risk. Another key component to mitigating this risk, and to creating the foundation for a great long-term working relationship is to have the LFUCG staff directly participate in the conversion project to the extent possible. While we understand the very real constraints on LFUCG's staff, we believe it is essential for you to have substantial involvement in the project and to have a seat at the table when key decisions are being made.

We anticipate that during the migration, this project will require a 25% time commitment from the Director of Revenue, and a 75% to 100% time commitment by the Revenue Supervisor. Additionally, there will likely be occasional needs to bring in Subject Matter Experts (SMEs) for specific expertise on certain topics – for example, IT coordination and support to ensure access to GCWW's system.

We envision a Steering Team structure to provide overall guidance to the migration project. The Steering Team will be responsible for approving key decisions, providing project oversight, and addressing risks as they are identified. While the composition of the Steering Team will be defined during project mobilization, we suggest that it be composed of representatives from LFUCG, GCWW, and KAWC.

The table below lists key project tasks and LFUCG's anticipated role. In general, GCWW will lead each of these tasks – LFUCG's role will be to support the tasks and make sure that LFUCG's perspective is incorporated.

Task	LFUCG Role
<b>Implementation</b>	
Implementation Project Management	<p>Participate in mobilization activities.</p> <p>Provide LFUCG representation on the Steering Team.</p> <p>LFUCG's Project Manager will coordinate with GCWW's Project Manager regarding project status, activities, logistics, and communications.</p> <p>Establish organizational coordination with KAWC to ensure effective working relationships and coordination between LFUCG, GCWW, and KAWC</p>
Business Process Analysis	<p>Participate in the System Orientation Training, and then in the business process analysis. Provide guidance regarding LFUCG (or KAWC's) business rules and/or policies that will need to be changed.</p> <p>Provide input regarding needed reports and queries.</p> <p>Approve the functional and technical requirement specifications generated by GCWW during the business process analysis.</p>
Systems and Interfaces	<p>Provide initial (preliminary) data files to expedite GCWW's project mobilization.</p> <p>Participate in developing a set of test data for use during testing and training.</p> <p>Review data after the data loads/conversions, to ensure the load and conversion was properly executed, and that the intended results were obtained.</p> <p>Coordinate with KAWC, your lockbox provider, and other necessary interfaces, to migrate existing interfaces from KAWC to GCWW.</p> <p>Review and update customer letters and notices and finalize the revised bill format.</p> <p>Work with GCWW to establish remote access to GCWW's systems.</p> <p>Review the system operation (once configured) to confirm that the configuration reflects the desired operations.</p>
Testing	<p>Participate in carrying out test scenarios to confirm the system operates as desired, and that calculations are correctly carried out for various classes of customers.</p> <p>Participate in user acceptance testing, parallel testing, regression testing, and system acceptance testing.</p>

Task	LFUCG Role
Training	Help identify LFUCG resources needing training; participate in that training.
Go-Live	Participate in the "prepare to go-live" activities (review go/no go criteria); and work with GCWW to confirm that the conversion scripts operated successfully. Coordinate with other vendors related to cut-over activities.
Transition/Stabilization	Participate in punch list meetings and resolve issues requiring LFUCG and/or KAWC action. Accept the system upon successful stabilization.
Optional: Support Customer Communication	LFUCG has the lead responsibility for this task.
<b>Ongoing Operations/Contract Management</b>	
Service Level Review	On a monthly basis, participate in meetings to review the service levels. Review the data in advance of the meetings. Identify agenda items requiring attention.
Operational Review	On a weekly basis, participate in meetings to ensure effective ongoing operations, and to provide information updates. These will be supplemented by more frequent communications as needed. Additionally, GCWW will provide daily quality reports regarding the status of billing (for example, high/low exceptions). LFUCG will be responsible for reviewing these reports.
Continuous Improvement Plan	Collaborate with GCWW to identify highly desired capabilities, review and approve the timing/costs, and to create the continuous improvement plan. Review the plan on a yearly basis and adapt based on changing priorities and new capabilities.
<b>Continuous Improvement</b>	
Continuous Improvement	Collaborate with GCWW to carry out the desired capabilities.

LFUCG will be responsible for the following deliverables:

- LFUCG and GCWW are jointly responsible to develop the contract and the Memorandum of Understanding.
- Data files (as defined in the RFP, and required to provide the functionality defined in the scope of work). This includes both the preliminary data files so GCWW can become more familiar with the quality of data, as well as files for the formal data conversion/data load activities.
- Reviewing and signing off on the Functional and Technical Requirements (as developed through the business process analysis).
- Providing a set of test data (using actual accounts, balances, etc.) which replicates all variations of the LFUCG customer base.
- New bill format.
- Language for the letters and notices that will be automatically generated by the system.

- Reviewing and approving reports.
- Confirming System Acceptance Testing.
- Participating in training.
- Participating in go-live activities.
- Participating in ongoing operations activities.
- Participating in continuous improvement activities.

**Schedule**

An overview of the schedule is shown below. LFUCG's RFP requested a go-live date of 4/1/2012. Because that date occurs on a Sunday, the actually go-live will be on the following day, Monday, 4/2. The conversion from the KAWC system to the GCWW system will occur during the weekend of 3/30 – 4/1, with go live on Monday, 4/2/2012. The schedule as shown below assumes a go-live date of 4/2/2012, with the minimum functionality needed at go-live, followed by a continuous improvement phase after system stabilization. This means that LFUCG will have a fully functioning system by your target deadline, but also ensures that additional, highly desired features will be added in a systematic and thoughtful way. This project approach will minimize risk, build LFUCG's capabilities, and provide enhanced customer service.

ID	Task Name	Start	Finish	2011												2012		
				Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan
1	Implementation	Mon 1/2/12	Mon 6/25/12	[Gantt bar spanning from Jan to Jun 2011]														
2	Pre-Project Activities	Tue 1/3/12	Fri 1/13/12	[Gantt bar spanning from Jan to Jan 2012]														
6	Implementation Project Management	Mon 1/16/12	Fri 4/13/12	[Gantt bar spanning from Jan to Apr 2012]														
11	Business Process Analysis	Tue 1/15/12	Fri 2/10/12	[Gantt bar spanning from Jan to Feb 2012]														
25	Systems & Interfaces	Mon 1/2/12	Fri 3/30/12	[Gantt bar spanning from Jan to Mar 2012]														
42	Testing	Tue 1/17/12	Mon 4/2/12	[Gantt bar spanning from Jan to Apr 2012]														
48	Training	Mon 2/13/12	Fri 3/30/12	[Gantt bar spanning from Feb to Mar 2012]														
52	Go-Live	Mon 2/27/12	Mon 4/2/12	[Gantt bar spanning from Feb to Apr 2012]														
57	Transition/Stabilization	Tue 4/3/12	Mon 6/25/12	[Gantt bar spanning from Apr to Jun 2012]														
61	Optional Support Customer Communication	Wed 2/15/12	Wed 4/18/12	[Gantt bar spanning from Feb to Apr 2012]														
62	Ongoing Operations/Contract Management	Tue 6/19/12	Wed 1/13/16	[Gantt bar spanning from Jun 2012 to Jan 2016]														
444	Continuous Improvement	Mon 4/2/12	Fri 3/27/15	[Gantt bar spanning from Apr 2012 to Mar 2015]														

The first Gantt chart at the end of this section illustrates the schedule by Implementation tasks, the second illustrates the schedule by all tasks.

## Project Schedule – Implementation Tasks

ID	Task Name	Start	Finish	January	February	March	April	May	June
1	Implementation	Mon 1/2/12	Mon 6/28/12	[Gantt bar spanning from Jan 2 to Jun 28]					
2	Pre-Project Activities	Tue 1/3/12	Fri 1/13/12	[Gantt bar spanning from Jan 3 to Jan 13]					
3	Receive Preliminary Data Files (NDA)	Tue 1/3/12	Tue 1/3/12	[Gantt bar spanning from Jan 3 to Jan 3]					
4	Contract / Memorandum of Understanding	Fri 1/13/12	Fri 1/13/12	[Gantt bar spanning from Jan 13 to Jan 13]					
6	Implementation Project Management	Mon 1/16/12	Fri 4/13/12	[Gantt bar spanning from Jan 16 to Apr 13]					
7	Mobilization	Mon 1/16/12	Fri 1/20/12	[Gantt bar spanning from Jan 16 to Jan 20]					
8	Steering Committee Updates	Mon 1/16/12	Fri 4/13/12	[Gantt bar spanning from Jan 16 to Apr 13]					
9	Risk Management	Mon 1/16/12	Fri 4/13/12	[Gantt bar spanning from Jan 16 to Apr 13]					
10	Implementation Phase Closeout	Tue 3/27/12	Mon 4/9/12	[Gantt bar spanning from Mar 27 to Apr 9]					
11	Business Process Analysis	Tue 1/3/12	Fri 2/10/12	[Gantt bar spanning from Jan 3 to Feb 10]					
12	System Orientation Training	Tue 1/3/12	Mon 1/9/12	[Gantt bar spanning from Jan 3 to Jan 9]					
13	Account Management	Mon 1/16/12	Fri 2/10/12	[Gantt bar spanning from Jan 16 to Feb 10]					
14	BI / Labor Design	Mon 1/16/12	Fri 2/10/12	[Gantt bar spanning from Jan 16 to Feb 10]					
15	Billing	Mon 1/16/12	Fri 2/10/12	[Gantt bar spanning from Jan 16 to Feb 10]					
16	Contact Center	Mon 1/16/12	Fri 2/10/12	[Gantt bar spanning from Jan 16 to Feb 10]					
17	Meter Reading	Mon 1/16/12	Fri 2/10/12	[Gantt bar spanning from Jan 16 to Feb 10]					
18	Service Orders	Mon 1/16/12	Fri 2/10/12	[Gantt bar spanning from Jan 16 to Feb 10]					
19	Payments	Mon 1/16/12	Fri 2/10/12	[Gantt bar spanning from Jan 16 to Feb 10]					
20	Adjustments	Mon 1/16/12	Fri 2/10/12	[Gantt bar spanning from Jan 16 to Feb 10]					
21	Delinquency	Mon 1/16/12	Fri 2/10/12	[Gantt bar spanning from Jan 16 to Feb 10]					
22	Collections	Mon 1/16/12	Fri 2/10/12	[Gantt bar spanning from Jan 16 to Feb 10]					
23	Reports Design	Mon 1/16/12	Fri 2/10/12	[Gantt bar spanning from Jan 16 to Feb 10]					
24	Complete Functional & Technical Requirement Specifications	Fri 2/10/12	Fri 2/10/12	[Gantt bar spanning from Feb 10 to Feb 10]					
25	Systems & Interfaces	Mon 1/2/12	Fri 3/30/12	[Gantt bar spanning from Jan 2 to Mar 30]					
26	Hardware Procurement and Application Installation	Mon 1/16/12	Fri 1/27/12	[Gantt bar spanning from Jan 16 to Jan 27]					
27	System Design	Mon 1/16/12	Mon 1/30/12	[Gantt bar spanning from Jan 16 to Jan 30]					
28	Test Data Set	Mon 1/16/12	Fri 1/20/12	[Gantt bar spanning from Jan 16 to Jan 20]					
29	Data Conversion	Wed 1/4/12	Fri 3/30/12	[Gantt bar spanning from Jan 4 to Mar 30]					
30	Interfaces	Mon 2/13/12	Mon 3/6/12	[Gantt bar spanning from Feb 13 to Mar 6]					
31	Payments	Mon 2/13/12	Mon 3/5/12	[Gantt bar spanning from Feb 13 to Mar 5]					
32	Meter Reading	Mon 2/13/12	Mon 3/5/12	[Gantt bar spanning from Feb 13 to Mar 5]					
33	Adjustments	Mon 2/13/12	Mon 3/5/12	[Gantt bar spanning from Feb 13 to Mar 5]					
34	Remote Access Setup	Mon 1/2/12	Fri 3/16/12	[Gantt bar spanning from Jan 2 to Mar 16]					
35	Remote Access Design	Mon 1/2/12	Thu 3/1/12	[Gantt bar spanning from Jan 2 to Mar 1]					

ID	Task Name	Start	Finish	January	February	March	April	May	June
36	Remote Access Completion	Fri 3/16/12	Fri 3/16/12						
37	Hardware / Network Setup	Fri 3/2/12	Fri 3/16/12						
38	Bill / Letter Development	Mon 2/13/12	Fri 3/9/12						
39	Reports Development	Mon 2/13/12	Fri 3/30/12						
40	Business Rules/Validation	Mon 2/13/12	Fri 2/24/12						
41	Systems Configuration	Mon 2/13/12	Fri 2/24/12						
42	Testing	Tue 1/17/12	Mon 4/2/12						
43	Data Cleansing & Data Conversion Testing	Tue 1/17/12	Mon 2/6/12						
44	User Acceptance Testing	Tue 2/7/12	Mon 3/5/12						
45	Parallel Testing	Mon 3/5/12	Fri 3/30/12						
46	Regression Testing	Mon 3/5/12	Fri 3/30/12						
47	System Acceptance Testing	Mon 4/2/12	Mon 4/2/12						
48	Training	Mon 2/13/12	Fri 3/30/12						
49	Training Development	Mon 2/13/12	Fri 3/9/12						
50	Training Scheduling	Mon 2/13/12	Fri 2/17/12						
51	Training Delivery	Mon 3/12/12	Fri 3/30/12						
52	Go-Live	Mon 2/27/12	Mon 4/2/12						
53	Prepare for Go-Live	Mon 2/27/12	Fri 3/16/12						
54	Data Load	Fri 3/30/12	Mon 4/2/12						
55	Conversion Scripts	Fri 3/30/12	Mon 4/2/12						
56	Go-Live	Fri 3/30/12	Mon 4/2/12						
57	Transition/Stabilization	Tue 4/3/12	Mon 6/25/12						
58	Punch List and System Acceptance	Tue 4/3/12	Mon 4/30/12						
59	System Monitoring	Tue 4/3/12	Mon 6/25/12						
60	Transition to Ongoing Operations	Tue 4/3/12	Mon 6/25/12						
61	Optional: Support Customer Communication	Wed 2/15/12	Wed 4/18/12						



## Project Schedule – All Tasks

ID	Task Name	Start	Finish	2012				2013				2014				2015			
				Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4
1	Implementation	Mon 1/2/12	Mon 8/25/12	[Gantt bar spanning from Q1 2012 to Q4 2012]															
2	Pre-Project Activities	Tue 1/3/12	Fri 1/13/12	[Gantt bar]															
3	Receive Preliminary Data Files (NDA)	Tue 1/3/12	Tue 1/3/12	[Gantt bar]															
4	Contract / Memorandum of Understanding	Fri 1/13/12	Fri 1/13/12	[Gantt bar]															
6	Implementation Project Management	Mon 1/16/12	Fri 4/13/12	[Gantt bar]															
7	Mobilization	Mon 1/16/12	Fri 1/20/12	[Gantt bar]															
8	Steering Committee Updates	Mon 1/16/12	Fri 4/13/12	[Gantt bar]															
9	Risk Management	Mon 1/16/12	Fri 4/13/12	[Gantt bar]															
10	Implementation Phase Closeout	Tue 3/27/12	Mon 4/9/12	[Gantt bar]															
11	Business Process Analysis	Tue 1/3/12	Fri 2/10/12	[Gantt bar]															
12	System Orientation Training	Tue 1/3/12	Mon 1/9/12	[Gantt bar]															
13	Account Management	Mon 1/16/12	Fri 2/10/12	[Gantt bar]															
14	BI / Label Design	Mon 1/16/12	Fri 2/10/12	[Gantt bar]															
15	Billing	Mon 1/16/12	Fri 2/10/12	[Gantt bar]															
16	Contact Center	Mon 1/16/12	Fri 2/10/12	[Gantt bar]															
17	Meter Reading	Mon 1/16/12	Fri 2/10/12	[Gantt bar]															
18	Service Orders	Mon 1/16/12	Fri 2/10/12	[Gantt bar]															
19	Payments	Mon 1/16/12	Fri 2/10/12	[Gantt bar]															
20	Adjustments	Mon 1/16/12	Fri 2/10/12	[Gantt bar]															
21	Delinquency	Mon 1/16/12	Fri 2/10/12	[Gantt bar]															
22	Collections	Mon 1/16/12	Fri 2/10/12	[Gantt bar]															
23	Reports Design	Mon 1/16/12	Fri 2/10/12	[Gantt bar]															
24	Complete Functional & Technical Requirement Specifications	Fri 2/10/12	Fri 2/10/12	[Gantt bar]															
25	Systems & Interfaces	Mon 1/2/12	Fri 3/30/12	[Gantt bar]															
26	Hardware Procurement and Application Installation	Mon 1/16/12	Fri 1/27/12	[Gantt bar]															
27	System Design	Mon 1/16/12	Mon 1/30/12	[Gantt bar]															
28	Test Data Set	Mon 1/16/12	Fri 1/20/12	[Gantt bar]															
29	Data Conversion	Wed 1/4/12	Fri 3/30/12	[Gantt bar]															
30	Interfaces	Mon 2/13/12	Mon 3/6/12	[Gantt bar]															
31	Payments	Mon 2/13/12	Mon 3/5/12	[Gantt bar]															
32	Meter Reading	Mon 2/13/12	Mon 3/5/12	[Gantt bar]															
33	Adjustments	Mon 2/13/12	Mon 3/5/12	[Gantt bar]															
34	Remote Access Setup	Mon 1/2/12	Fri 3/16/12	[Gantt bar]															
35	Remote Access Design	Mon 1/2/12	Thu 3/1/12	[Gantt bar]															

ID	Task Name	Start	Finish	2012				2013				2014				2015				
				Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Qtr 1	Qtr 2	Qtr 3	Qtr 4	
36	Remote Access Completion	Fri 3/16/12	Fri 3/16/12																	
37	Hardware / Network Setup	Fri 3/2/12	Fri 3/16/12																	
38	Bill / Letter Development	Mon 2/13/12	Fri 3/9/12																	
39	Reports Development	Mon 2/13/12	Fri 3/30/12																	
40	Business Rules/Validation	Mon 2/13/12	Fri 2/24/12																	
41	Systems Configuration	Mon 2/13/12	Fri 2/24/12																	
42	Testing	Tue 1/17/12	Mon 4/2/12																	
43	Data Cleansing & Data Conversion Testing	Tue 1/17/12	Mon 2/6/12																	
44	User Acceptance Testing	Tue 2/7/12	Mon 3/5/12																	
45	Parallel Testing	Mon 3/5/12	Fri 3/30/12																	
46	Regression Testing	Mon 3/5/12	Fri 3/30/12																	
47	System Acceptance Testing	Mon 4/2/12	Mon 4/2/12																	
48	Training	Mon 2/13/12	Fri 3/9/12																	
49	Training Development	Mon 2/13/12	Fri 3/9/12																	
50	Training Scheduling	Mon 2/13/12	Fri 2/17/12																	
51	Training Delivery	Mon 3/12/12	Fri 3/30/12																	
52	Go-Live	Mon 2/27/12	Mon 4/2/12																	
53	Prepare for Go-Live	Mon 2/27/12	Fri 3/16/12																	
54	Data Load	Fri 3/30/12	Mon 4/2/12																	
55	Conversion Scripts	Fri 3/30/12	Mon 4/2/12																	
56	Go-Live	Fri 3/30/12	Mon 4/2/12																	
57	Transition/Stabilization	Tue 4/3/12	Mon 6/26/12																	
58	Punch List and System Acceptance	Tue 4/3/12	Mon 4/30/12																	
59	System Monitoring	Tue 4/3/12	Mon 6/25/12																	
60	Transition to Ongoing Operations	Tue 4/3/12	Mon 6/25/12																	
61	Optional: Support Customer Communication	Wed 2/15/12	Wed 4/18/12																	
62	Ongoing Operations/Contract Management	Tue 6/18/12	Wed 1/13/16																	
63	Service Level Review	Mon 6/26/12	Mon 1/11/16																	
250	Operational Review	Tue 6/19/12	Tue 1/12/16																	
438	Training/Knowledgebase Update	Tue 6/26/12	Wed 1/13/16																	
439	Continuous Improvement Plan	Mon 11/6/12	Fri 11/13/16																	
444	Continuous Improvement	Mon 4/2/12	Fri 3/27/16																	
445	Year 2 - Based on Agreement & Negotiations	Mon 4/2/12	Fri 3/29/13																	
446	Year 3 - Based on Agreement & Negotiations	Mon 4/1/13	Fri 3/29/14																	
447	Year 4 - Based on Agreement & Negotiations	Mon 3/31/14	Fri 3/27/15																	

## Assumptions and Constraints

In general, we assume that LFUCG will want to be actively involved in the conversion process, and in managing/understanding the ongoing operations once a successful conversion has taken place. GCWW will provide project leadership and recommendations regarding key decisions. LFUCG will have final say regarding these key decisions and key requirements. We envision a collaborative working relationship between GCWW, LFUCG, and KAWC.

### Implementation

- The implementation will be phased, with additional capabilities added after a successful conversion to GCWW's system, as a part of the Continuous Improvement phase.

### Pricing

- A total of approximately 115,000 bills per month (this includes late payment notices, delinquency notices, multiple bills to the owner/tenant/property manager, and other mailings). If the bill volume changes more than 5% for three consecutive months, then the price per bill calculations will need to be revisited.
- We have estimated a call volume of approximately 65,000 agent answered calls per year (total). If the call volume varies by more than 5% for three consecutive months, then the price per bill calculations will need to be revisited.
- KAWC will perform water adjustments only – sewer, water quality, and landfill adjustments will be handled by GCWW staff
- Payment processing convenience fees (e.g., credit card processing fees charged by banks) will be paid by the LFUCG customers

### Go-Live Strategy

- Contract will be signed by January 13, 2012.
- Data for preliminary conversion analysis data will be delivered to GCWW by January 3, 2012.
- GCWW will bring over one composite balance for sewer, landfill and water quality services per account (this impacts the project timeline)
- The history will be available in a separate system from the live CIS. It will be possible to search the history both by specific customer, account, etc., as well as to conduct queries for analytical purposes. Should additional history be available and desirable, GCWW can easily support additional historical data.

### **Service Levels/Performance Standards**

- GCWW will maintain a monthly customer call abandonment rate of less than 3%. GCWW will maintain a monthly customer average speed of answer of 30 seconds or less for all customer calls. If GCWW misses these targets for three months in a row, they shall add additional resources to the contact center team. (Note that the calculations for the average speed of answer and the abandoned calls include IVR self-service calls.)
- GCWW will send a bill within three days of receiving the necessary information (meter reading).
- GCWW will deposit payments the next business day.

### **Business Rules**

- GCWW's configuration and business processes will be used as the starting point for the configuration. One reason for this assumption is that this approach substantially reduces time required for analysis and design activities. Additionally, GCWW's strives to incorporate best practices into their business processes, thus they provide a sound starting point.
- Simple business rules will be developed regarding non-zero balance accounts at the time of cut-over. (More complex rules will require more time to implement, yet be more transparent to LFUCG's customers.)
- All bills will be paper initially, with electronic billing implemented after successful System Acceptance.
- GCWW will receive returned mail, and will create an account note on the relevant account.
- GCWW will coordinate field work (shutoff, etc.) with KAWC.

### **Technology Environment**

- LFUCG will provide a conference room with internet access to GCWW's system during the Implementation Phase.
- LFUCG's desktop environment will support the GCWW CIS and other customer service technologies.
- LFUCG will have sufficient Internet bandwidth for accessing GCWW's system.
- LFUCG staff will work with GCWW staff regarding security issues and protocols to ensure both systems are protected. LFUCG may need to implement a DMZ.
- An automated interface between GCWW's CIS and LFUCG's financial system, if desired, would be implemented during the Continuous Improvement phase.
- The payment data file will include payments only for sewer, landfill and water quality services.
- LFUCG will send data files of account adjustments, GCWW will develop a tool to automate posting of adjustments to customer accounts. Detailed requirements

will be defined during the business analysis task.

- All changes to the format of the data files will be coordinated in advance.
- The 12 (or 24) months of history data will be read-only, available in a separate query-able system.

### **LFUCG Responsibilities**

- LFUCG will provide data files as described in Attachment 1 of the RFP, and settlement data, prior to the actual contract and MOU signing, under a Non-Disclosure Agreement. GCWW will use these preliminary data files to start working on the file conversion scripts, and to understand the quality of the data ("data cleanliness"). By receiving these files as early as possible, GCWW can develop an understanding of the quality of data, and have as much time as possible on a critical path item in the overall project plan. This is critical to meeting the target go-live of April 1, 2012.
- LFUCG will be responsible for approving the final bill design and changes to automated letters.
- LFUCG will be responsible for changing policies, as necessary, to support the agreed to configuration.
- Current GCWW PCI compliance procedures and policies will continue to be used. LFUCG is responsible for compliance procedures and policies related to LFUCG-specific hardware, communications, and software.
- LFUCG will be responsible for reviewing the Red Flag Policy to ensure compliance.
- LFUCG will work w/ their vendors as needed to transition the interface from KAWC to GCWW.
- LFUCG staff will actively participate in system testing, both to verify the system functionality and to ensure data is handled correctly.
- LFUCG will work collaboratively with GCWW to validate proper interface functionality, and to resolve issues with the other vendors as necessary.
- LFUCG will be responsible for creating/updating/documenting new Standard Operating Procedures (SOPs) that are external from how the GCWW system is used. GCWW will provide their SOPs for use by LFUCG staff, if desired.
- Rate changes will be delivered with a lead time to allow for testing.

### **KAWC Responsibilities**

- KAWC will be responsive to GCWW's requests for information (which will be conveyed via the agreed upon protocol developed during project mobilization).

## Vendor Questions

Please respond to the following questions.

- 1) *Can you please describe best practices for developing a customer billing database, including security issues, and indicate what you need from LFUCG to accomplish this? We will want to populate the database with 12 months of history.*

### **Best Practices for Implementing and Maintaining a Customer Billing Database**

1. Establish a clear and strong project governance mechanism, including a Steering Team and Project Team. Ensure the Project Manager is committed to your success and has the requisite skills and resources.
2. Identify (and document) project goals. Establish and collect (if possible) concrete measures to determine whether the goals have been achieved.
3. Communicate, communicate, communicate.
4. Once the direction (vendor) has been selected, change your business practices to best take advantage of the selected direction. In other words, don't force customizations to the software – but instead, change how your work is accomplished.
5. Be clear about business rules. Ensure they are consistently implemented in the software (as appropriate). Document the business rules. Ensure customer service staff (field and office) is trained regarding business policies.
6. Ensure high data quality. Poor data quality might indicate a lack of training, poor configuration options, or unclear business rules. Identify and fix the root causes of poor data quality.
7. Regularly provide refresher training regarding the software, tips, tricks, etc. for the users of the package. Include operational reporting and management use of the data in the training refreshers.
8. Provide necessary resources (staff). This typically involves back-filling project staff so they are freed from their daily activities.
9. Use the selected package. Identify and eliminate “shadow” systems in MS Excel, Word, etc.
10. Comply with Payment Card Industry (PCI) guidelines. Ensure staff is regularly briefed regarding security (and confidentiality) matters. A good initial source for PCI guidelines is: <https://www.pcisecuritystandards.org/>
11. There are literally dozens of best practices related to a project such as this. A very good resource for additional insights is available from the Water Research Foundation titled “Effective Practices to Select, Acquire, and Implement a Utility CIS”. GCWW was a key participant and contributor to this project. The report can be obtained at: <http://waterrf.org/Search/Detail.aspx?Type=2&PID=3007&OID=91071>.

### **LFUCG's Role in Implementing and Maintaining a Customer Billing Database**

GCWW brings a great depth of content expertise and knowledge to this project. They are expert in the operational requirements necessary for great customer contacts; timely processing of bills; payments; delinquency handling; vendor management;

reporting and analytics; and operational excellence. They are willing and eager to share their expertise and capabilities with LFUCG. However, there are some capabilities that LFUCG must bring. These include:

1. An engaged and strong LFUCG presence on the Steering Team, with the ability to address issues as they arise (and they will).
2. Timely and informed decisions, with follow-through to meet commitments regarding decisions, and resources.
3. Clearly defined counterparts to the GCWW team (billing lead, contact center lead) Note that one person at LFUCG could fill more than one role – the key is to have a clearly defined contact that will be responsive to project and/or contract needs.
4. Managing the relationship and communications with KAWC. KAWC has critical information and knowledge related to this project. It will be important to have clear communications between KAWC and LFUCG regarding who needs to provide what, by when. It will also be important to have a clearly defined communications protocol to ensure ongoing effective communications.
5. Providing the required technology capabilities (for example, Internet connectivity, and desktop PCs to support GCWW's CIS and contact center environment).
6. Customer knowledge. During the configuration and testing process, it will be important to ensure that data has been loaded in properly, and correctly mapped from one system to another; and that configuration choices have been correctly implemented. LFUCG will be responsible for verifying that the customer data is correct (for example, that commercial accounts are flagged as such, that customer data is correct, and so on).
7. One variable is the extent to which LFUCG wishes to be involved in the ongoing operations of the meter-to-cash cycle, and analysis of customer data. LFUCG's role will vary depending on the extent of involvement. GCWW is very supportive of the idea of working as partners and freely sharing ideas, knowledge, and best practices.

#### ***Tools to Enhance Chances of Success***

GCWW uses numerous tools to enhance chances of success. One tool is the following checklist, developed as part of a tailored collaboration project with the Awwa Research Foundation (AwwaRF, now WaterRF). (Rettie, M., G. Haupt, et al, "Effective Practices to Select, Acquire, and Implement a Utility CIS," Awwa Research Foundation, 2005.)

#### **CHECKLIST TO ENHANCE CHANCES OF SUCCESS**

Regularly review the checklist below. Identify those items that are relevant for your project, but have not yet been addressed. Use them as discussion points to make sure the project is on track, there is alignment of the project leadership and project team, that you are proactively addressing issues, and that you are planning for the next steps. Note that these steps build on each other. While some are project-step specific, others apply during the entire project cycle (for example, leadership, stakeholder involvement, project management).

- Provide active, visible support from top managers to the entire project team, including managers and team members ("top managers" refers to the CEO, CFO, Director, Deputy Directors, etc.). This includes demonstrating a tolerance for change, and learning new business processes.
- Clearly define business drivers, CIS project goals and vision, and success measures.
- Provide timely decisions, and stick to them.
- Remove obstacles to project progression. This requires the project manager and project sponsor to communicate very well.
- Stay engaged! Understand implications of decisions. Make sure leadership is aware of upcoming decisions and has the proper information and background to make knowledgeable, good decisions.
- Use diplomacy to change business processes.
- Be open to changing business rules to simplify complex business processes or to avoid software customization.

**Project Management/Operational Practices**

- Link the CIS project to the strategic business plan and the information technology strategic plan.
- Provide sufficient funds to ensure project success.
- Provide sufficient staffing to ensure project team focus (backfilling as needed) and ensure the right skills are present on the project; outsource as necessary.
- Monitor and continuously build and strengthen alignment of the board, senior managers, middle managers, project manager, and the project team.
- Develop and maintain a focused team charter/goal. For example, "off-the-shelf, up and running in 18 months."
- Streamline business practices and business rules as part of the project.

**Stakeholder Engagement (Internal/External)**

- Engage external stakeholders throughout the project (including all entities and organizations for which you will provide billing services). Identify key decisions points requiring their input, in advance. Educate them on alternatives and implications of decisions.
- Formally and consistently involve unions and labor relations groups.
- Involve other department leaders in validating RFP content, attending and scoring vendor demonstrations, and participating in training.

**Communication**

- Use the CIS Project Framework as a communications tool.
- Communicate good and bad news immediately.
- Use monthly status reports to keep stakeholders informed.
- Define a formal communication plan that identifies stakeholder groups with associated frequency, type, and depth of communication. Once defined, work the plan. Revise it, based on effectiveness and feedback.
- Involve key stakeholders in the evaluation of critical documents (RFP, SOW).



**Customer Service Staffing**

- Hire (outsource) resources that are not available internally.
- Review and revise position descriptions based on CIS requirements.
- If appropriate, use the CIS project as an opportunity to develop and strengthen customer service staff (capture the career development opportunities).
- Provide training to employees to match new position requirements.

**Project Management**

- Use a Project Manager who is committed to your success and has strengths in negotiation and people skills.
- Develop a good project plan (including budget, schedule, resources, and milestones) and work the plan.
- Include a risk analysis and workforce readiness analysis in the project plan.
- Clearly define the role of project manager and project teams. For example, what are the PM's decision parameters?
- Hire externally if you do not have strong internal capacity to manage a large project of this nature.
- Use a single point of communication with vendor during negotiation process.
- Use implementation milestones as a project management tool and communications tool.

**Implementation**

- Understand the needs and limitations of your organization. Be willing to address the issues or walk away if those are not the focus of other project participants (vendor, consultant).
- Consciously address risk factors. Take steps to identify, mitigate, avoid, accept, or transfer risk. Risks change during the project—continue to monitor them.
- Use a third party consultant with water industry expertise, during the selection and implementation phase.
- Complete multiple cycles of parallel billing prior to final conversion.
- Develop a "billing analyzer" to compare old and new bills, identifying discrepancies.
- Validate the suitability and scalability of the software prior to contract agreement.
- Avoid modifying the software (changing code).
- Develop and implement a well-thought out testing and training plan.

**Project Approval**

- Clearly define project goals and vision.
- Develop a project overview statement that identifies the problems, opportunities, goals, objectives, success criteria, risk, and cost benefit analysis and use it to guide the project approval process.

**Administrative**

- Set a realistic schedule.
- Create a valid budget.
- Hire (outsource) resources that are not available internally.

- Utilize business process outsourcing where it matches your organization's strategy.
- Clean up existing data prior to the project start (when feasible to do so). Change processes that are creating "bad" data, so more bad data is not created.

**Customer Service Business Processes**

- Ensure you have a clear understanding of customer service business requirements. Use each area of the CIS Project Framework (Respond to Customer Process, Bill and Payment Process, and so on).
- Make sure core business processes are addressed first, and then add enhancements.
- Focus on the desired results of the work, not how the work is done (change business processes and business rules to get the desired outcome).
- Use a business rules driven approach to requirements definition.
- Keep staff open to changing how work gets done once the new CIS is selected.
- Be clear in identifying type of data required for analysis (reports).
- Be judicious in the amount of data to be converted from the legacy system(s).

**Vendor Selection Process**

- Manage the vendor selection process—don't let vendors manage you.
- Use realistic demonstration scenarios.
- Check vendor references.
- Select a vendor that matches your style and culture—someone that you can work with for years.

**Scope of Work and Contract**

- Create a detailed enough Scope of Work to guide implementation. Include milestones. Use the SOW as a project management tool.
- Jointly develop the implementation work plan and vendor contract with the vendor, your team, and your consultant.
- Use Service Level Agreements to establish contract performance terms.
- Include data conversion, testing, training, and other key components in the SOW.
- Define the amount of data history to convert and only convert what is actually needed.
- Secure key vendor implementation staff during contract negotiation.

**Implementation and Training**

- Manage to milestones.
- Use the "A" Teams to complete project tasks—your best and brightest.
- Be open to changing customer service work practices.
- Maintain an issues log.
- Use a combination of vendor-delivered training and Train-the-Trainer approach to ensure all users are sufficiently trained.
- Create a training documentation manual unique to your organization.
- Train managers and supervisors on how to use the newly available data (how to interpret it, and what actions to take based on the data).

- Use a formal change control process.
- Run data conversion multiple times prior to go-live date.
- Test the system based on scenarios.
- Physically separate the project team from daily operations.

**Continuous Improvement Practices**

- Conduct a post-implementation assessment.

2) *Please describe the common standard reports you provide for other utility customers.*

As stated in our Requirement 4.9 response, we have developed over 400 reports for use in our daily operations. The great majority of these reports are scheduled to run in a specific frequency (daily, weekly, monthly, quarterly, yearly). Others can be run "on demand" by end users with the appropriate security access. Here are some of the more common types of reports requested by our current Client Partners:

Aged Receivables	Aged receivable reports are available by service type in 30 day increments.
Bad Debt	Bad debt reports show the number and value of accounts in a bad debt status. Also indicates whether account has been placed for collection, in bankruptcy, or awaiting write-off.
Consumption	Sewer consumption reports show the billed sewer consumption for a given date range.
Accounts without a Particular Service	For instance, active residential accounts without a landfill service.
Charges by Service Type	Total charges billed during a given date range, broken down by service type (sewer, water quality, landfill).
Payments by Service Type	Total value of payments processed during a given date range, broken down by service type.
Adjustments by Service Type	Total value of adjustments processed during a given date range, broken down by service type.
Number of Accounts	Number of active accounts with a particular service, such as the number active sewer accounts.
Contact Center	Various measures for contact center services, such as total number of calls received, number of calls self-served, number of calls answered by agents, number of abandoned calls, and average speed of answer.

We also run numerous reports that are not currently provided to our Client Partners since we are responsible for the operational aspects of their customer service, but they are of substantial value to us as we carry out the services. These include payment reports as tender type, payment channel, and reversals (e.g., returned checks), delinquency reports with service orders produced (by type), service orders completed, as well as various collection initiation and monitoring reports.

We will make all of these reports available to LFUCG as appropriate. These reports can be produced in PDF and/or MS Excel format and can be delivered via email or on-demand through a custom reporting portal.

3) *Please describe the customer payment methods your company can accommodate.*

We currently have the ability to receive and post payments via the following payment channels:

- Point of Sale (POS) / Walk in / Drop Box
- Mail
- Telephone/IVR Self-Service
- Internet/Web

All these channels allow various payment types – such as, cash, check, EFT/ACH/eCheck, credit/debit cards.

- Available tenders for POS payments are cash, check (personal, business, money order, travelers check), Credit/Debit cards (MasterCard, VISA, American Express, and Discover).
- Available tenders for mail and drop box payments are checks (personal, business, money order).
- Available tenders for the IVR channel are Credit /Debit cards (MasterCard, VISA, American Express, Discover)
- Available tenders for the web channel are Credit /Debit cards (MasterCard, VISA, American Express, Discover), EFT/ACH/eCheck
- Our FIS/Metavante/Checkfree ([www.mycheckfree.com](http://www.mycheckfree.com)) service allows ACH payment processing (electronic billing implementation is required for this channel)
- Our Lockbox channel allows checks (personal, business, money orders) payments.

On April 1, 2012, GCWW will support lock box as well as cash, checks, and ACH payments at a County government facility that currently handles payments. GCWW will also provide IVR and web channels for debit/credit card payments. Walk-in payments can be taken at any location supported by FIS/Metavante (Checkfree) in the Lexington area, for example PAK N SAVE, selected Shell stations, and WAL-MART.

Electronic Bill Payment and Presentment capabilities, as well as other payment channels are future options that could be added during the Continuous Improvement phase.

- 4) *Please describe the customer service options, and the associated price for each, your company can support. Include the hours of operation and location of the customer service staff.*

**Service Offerings on Day 1 of System Implementation**

- Customer Contact Center: One-call 800 number, IVR – Self-Service, Customer Service Representatives, Auto-Dialer Calls, Email, Quality Management and Performance Reporting, 100% call recording, Post-Call Survey
- Bill processing – meter reading input, charge calculations, adjustments, print, mailing
- Delinquency processing, financial adjustments, billing adjustment, meter reading corrections and exception handling
- Payments processing – cash, check processing, IVR, web, and lockbox (*using Lexington's current contract and reimbursement via invoicing process*)
- Billing system access (remotely) for LFUCG staff
- Base reports – as described in our response to Vendor Question #2.
- Information related to these costs are provided in the Pricing Matrix and Terms response.

**Later Time Design & Implementation**

- Additional reports – for later design & implementation
- Additional payment channels (credit/debit cards, web, and additional IVR capabilities)
- Additional customer care communication channel – web chat, integrated email, etc.

**Service Hours / Hours of Operations for GCWW Contact Center**

Monday through Friday between 7:30 AM – 5:30 PM Eastern Time

24/7 self-service is available through the IVR

**GCWW Customer Contact Center staff location is at**

4747 Spring Grove Av. Cincinnati, OH 45232

**Pricing information**

All pricing information is included in the pricing forms, submitted separately.

- 5) *Please define a 'go-live' strategy; including testing, to meet the 4/1/2012 target date, Vendor may supply an alternative implementation schedule with explanation as to alternative schedule.*

GCWW is proposing a three phase implementation approach:

- Phase 1: Implementation
- Phase 2: Ongoing Operations
- Phase 3: Continuous Improvement

This enables accomplishing the time-critical migration first, and then establishes a strong foundation for ongoing operations. It also creates a structure with which to continuously improve customer service – once the urgent task of migrating to a new system is accomplished. Key activities for each of these phases are identified and described in more detail in the Project Plan and Deliverables section of our response.

Some key assumptions underlie our proposed implementation schedule:

- Business rules regarding the initial balance at cut-over will be simple. There are a number of options to achieve this. For example, if a zero-balance can be brought over (and KAWC continues to handle accounts with non-zero balances, payment plans, and delinquencies for some period after the cut-over), it greatly simplifies the cutover process. Once the system is cut-over, GCWW will handle accounts as they move into a non-zero balance status. GCWW can also coordinate with KAWC to “work down” the existing pool of non-zero accounts. The extent to which accounts in various payment statuses can be simplified will impact the work required to cut-over. An alternative possibility would be to consider implementing a grace period for handling unpaid balances and moving through the delinquency process, for the initial stabilization period (approximately 1 – 2 months). This will help minimize complications during go-live.
- GCWW’s current configuration (which already supports the great majority of LFUCG’s requirements) will be used as the baseline configuration.
- GCWW will receive data files as described in Attachment 1 of the RFP, and settlement data, prior to the actual contract and MOU signing, under a Non-Disclosure Agreement. GCWW will use these preliminary data files to start working on the file conversion scripts, and to understand the quality of the data (“data cleanliness”). By receiving these files as early as possible, GCWW can develop an understanding of the quality of data, and have as much time as possible on a critical path item in the overall project plan. This is critical to meeting the target go-live of April 1, 2012.

If these assumptions are incorrect, the implementation schedule will be negatively impacted. The extent of the impact will reflect the degree to which the configuration will need to be changed, and the degree to which testing will be impacted.

During the project mobilization activities, we will review the critical items that may impact the project schedule. After this review, the project plan and schedule will be adjusted as necessary. We understand the goal of going live as soon as feasible, balanced against the desire for as straightforward and seamless a transition as possible. GCWW has implemented a very mature testing process, supported by an automated tool (HP’s Quality Center). We view testing as a part of the continuum between requirements and implementation. As a result, our testing will exercise the functional requirements as documented in the system design documents created during Activity 18. Our test strategy includes the following:

- User acceptance testing – each distinct module of the system will be tested to ensure it is working properly.
- Regression testing – all modules of the system, including all interfaces, will be tested together in a coordinated fashion to ensure that the system is working

together as a whole.

- Parallel testing – one or more parallel tests will be completed with assistance from the client. This effort will contain results from the existing system and compare them to results from the new system to ensure there are no discrepancies. We will compare actual bill results from each system, reports and other data elements to ensure that all data has been migrated correctly and that the system is performing correctly at critical end points.
- Stress testing – the new system will be tested at various locations, including the client site to ensure that all access points are working correctly and that the system can handle the proper load of users.

To support thorough testing while meeting an aggressive go-live date, we will begin selecting and refining appropriate test scenarios shortly after receiving the data files (potentially before the final contract is completed). We will also create test scenarios as business rules are defined.

For additional information on GCWW's approach to testing, refer to Appendix F: Testing Strategy

During the course of implementation, GCWW will meet regularly with the LFUCG Steering Team to provide briefings related to the status of the project. GCWW will provide go/no-go criteria related to the specific timing of go-live. As testing and training near completion, we will review the go/no-go criteria to ensure that all key stakeholders are confident related to whether the go-live should proceed as scheduled.

As part of the preparation/testing process, we will conduct mock go-lives, to ensure that the actual conversion process works as planned, that the files are loaded properly, that interfaces are functioning as planned, and that key functionality (bill calculations, etc.) all work properly. Our estimate (based on experience with other conversion projects) is that three mock go-lives will be conducted. After a successful mock go-live, all testing is complete, and the acceptance criteria are met (as defined in the RFP and by the Steering Team), the conversion will move forward.

The actual conversion usually occurs on a weekend. This allows the project team ample time to complete the necessary go-live steps: data conversion, final system setup, validation testing. During conversion and immediately after (for about two weeks), we will maintain a punch list of problems and issues. This punch list will be reviewed every day. Priorities, action items, and target completion dates will be assigned.

## **Appendix A – Required Forms**

- Affirmative Action Policy and Program
- Current Work Force Analysis Form
- Affidavit
- Equal Opportunity Agreement
- MBE/WBE Participation Forms
- GCWW SBE Participation Reports
- General Provisions
- Addendum #1
- Addendum #2
- Addendum #3
- Addendum #4
- Standard City of Cincinnati Contract



## City of Cincinnati

### Administrative Regulation No. 22: Affirmative Action Policy Statement

#### AFFIRMATIVE ACTION POLICY STATEMENT

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Equal employment opportunity is the law. Discrimination is banned in all terms and conditions of employment on the basis of: race, color, sex, religion, age, national or ethnic origin, HIV status, marital status, sexual orientation, regional Appalachian ancestry or disability. (Definitions of terms are found in the Affirmative Action Plan.)

Banning discriminatory practices is not enough. An affirmative action plan is necessary to guarantee that equal employment opportunity will happen for all protected groups.

An affirmative action plan is defined as a set of specific and results-oriented procedures to which an employer commits itself to apply every good faith effort. The objective of these procedures plus efforts is equal employment opportunity. Procedures without effort to make them work are meaningless, and efforts, undirected by specific and meaningful procedures, are inadequate. Therefore, there shall be a yearly goal for each EEO job category and city job group as a guideline for hiring and promotion toward meeting the yearly goals.

Each agency head is directed to take affirmative action to assure that all personnel actions have fair treatment to both applicants and employees. Agency heads should carefully analyze their utilization of women, minorities, and the persons with disabilities in all employment categories. They should then evaluate their recruitment, examination, selection, promotion, training, and other operations in order to determine what actions can rectify underutilization of women, minorities and persons with disabilities in any EEO job group.

Each agency head will, on a yearly basis, report to the City Manager what affirmative actions, as of December 31, have been taken to:

- (1) Hire persons from underutilized classes;
- (2) Utilize and/or develop skills of present employees;
- (3) Provide opportunity for advancement of all employees;
- (4) Train management and supervisory personnel to implement affirmative action;
- (5) Correct inadequate performance of all employees.

These reports will be delivered to the City Manager no later than February 28 of each year.

The City Manager shall assure the existence of an effective system for processing complaints of discrimination because of race, color, sex, religion, age, national or ethnic origin, HIV status, marital status, sexual orientation, Regional Appalachian ancestry, or disability. Specific City policies relating to sexual harassment and reasonable accommodation for persons with disabilities are covered in the City's Affirmative Action Plan.

The City Manager is responsible for the overall success of the Affirmative Action Program. Each agency head is personally responsible and accountable for the success of the Affirmative Action Plan in his/her agency. Each manager and supervisor is responsible and accountable for the success of the Affirmative Action Program as it relates to his/her employees.

The City Manager shall evaluate affirmative actions taken and shall consider that evaluation when determining "salary adjustments" for directors and agency heads. Acts of discrimination and/or violation of EEO/AA policies or procedures will result in written reprimands, salary reductions, suspensions, and/or any combination of corrective actions, including termination.

The Director of Personnel and the EEO Division will audit personnel actions in City agencies and will provide assistance to agency heads in determining what affirmative actions should be taken. All reports generated by this policy and the City Council ordinance will be made available to the Affirmative Action Advisory Committee and the public upon request.

As authorized by ordinance, the City Manager shall appoint members of the Affirmative Action Advisory Committee. The Director of Personnel shall designate staff support of the Committee.

Interdepartment  
Correspondence Sheet

# City of Cincinnati



April 7, 2010

To: Mayor and Members of City Council

From: Milton Dohoney Jr., City Manager *MD*

Copies to: See Distribution List

201000495

Subject: 2010 Affirmative Action Program

I am pleased to present to you the attached 2010 updated Affirmative Action Program (AAP). The City's commitment to affirmative action and maintaining a diverse workforce is evidenced therein.

The percentage of women and minorities has increased significantly over the years. In 1988, 44.4% of our workforce was comprised of minorities and females. Today, 53.3% of our workforce is a member of a protected class. Other statistics from 2009 include:

- 49.7% of all new hires were members of a protected class.
- 47.5% of all promotions were members of a protected class.
- 50.2 % of participants in the Human Resources Development Academy were members of a protected class.

Currently, there are 8 job categories as defined by the federal Equal Employment Opportunity Commission (EEOC):

- (1) Administrator
- (2) Professional
- (3) Technician
- (4) Protective Service (Sworn)
- (5) Protective Service (Unsworn)
- (6) Administrative Support
- (7) Skilled Craft
- (8) Service Maintenance

As a result of our efforts, all of the above 8 job categories are appropriately utilized for minorities. Only 2 out of the above 8 job categories are currently underutilized for females and these two job categories are traditionally entry-level. They are:

APR 07 2010

- Protective Service (Unsworn) by 14.0%, which is comprised of Security Guards and Parking Enforcement Officers;
- Service/Maintenance by 12.4%, which is mainly comprised of employees performing manual work that contributes to the comfort, convenience, hygiene, or safety of the general public.

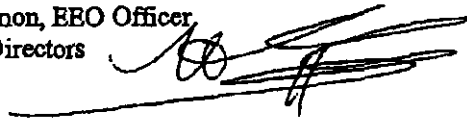
Representation in the majority of the job categories exceeds availability for females and minorities, including the Professional, Technician, Protective Service (Sworn), Administrative Support and Skilled Craft job categories.

In conclusion, the EEO Division of the Human Resources Department will continue to monitor the employment activity of departments with regard to affirmative action, and also actively seek out improved methods of recruiting, hiring, training, retaining, and promoting employees to maximize the City's efforts in achieving a diverse workforce.

A copy of Attachment I is on file in the Clerk of Council's Office.

Attachment I – 2010 Affirmative Action Program

cc: Hilary Bohannon, EEO Officer  
Department Directors

A handwritten signature in black ink, appearing to be "Hilary Bohannon", is written over a horizontal line. The signature is stylized and somewhat cursive.

city of  
**CINCINNATI** 

**2010**

*Prepared for  
Tony, Jr., City Manager  
By  
Resources Department  
April 2010*

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# 1

## ***Overview***



## 2010 Affirmative Action Program

### 2010 Affirmative Action Program

Attached is the 2010 Affirmative Action Program Report. Overall, the percentage of the entire workforce that is in protected classes, which includes women and minorities, is 53.3%. Black females constitute 12.8% of the workforce. White females constitute 17.5% of the workforce. Black males constitute 19.1% and white males constitute 46.7% of the workforce.

### Hires/Separations

- Black males constituted 10.3% of the total hires and 21.2% of the total separations
- Other males constituted 1.1% of the total hires and 7.1% of the total separations
- Black females constituted 9.7% of the total hires and 21.2% of the total separations
- Other females constituted 2.9% of the total hires and 0.0% of the total separations
- White females constituted 25.7% of the total hires and 24.2% of the total separations
- White males represented 50.3% of the new hires and 26.3% of the separations

Table 1 compares the availability and actual workforce to the number of hires, separations, and promotions for males and females in 2009.

### Training

A positive balance exists between the workforce representation and participation rate in training offered through the Human Resources Development Academy (HRDA) by black females, white females, and other females. A positive balance exists for outside training for black females, white females, other males and white males. The HRDA has identified mandatory course work for all employees, plus elective courses, to improve the skills of employees. As budgets shrink, however, it continues to be a challenge for departments to meet training needs.

	Workforce Representation	Outside Training Participation	HRDA Training Participation
<b>Black Male</b>	19.1%	18.6%	17.7%
<b>Other Male</b>	3.0%	3.0%	2.9%
<b>Black Female</b>	12.8%	20.0%	15.2%
<b>White Female</b>	17.5%	19.7%	19.4%
<b>Other Female</b>	0.9%	0.8%	0.9%
<b>White Male</b>	46.7%	47.1%	43.8%

### Conclusion

Females continue to be underrepresented in the Protective Service (Unsworn) and Service Maintenance categories. The EEO Division of the Human Resources Department, on behalf of the City Manager, will continue to monitor the employment activity of departments with regard to affirmative action, and also actively seek out improved methods of recruiting, hiring, training, retaining, and promoting employees to maximize the City's efforts in achieving a diverse workforce.

Comparison of Workforce and Availability to the Number of Hires, Separations, and Promotions

Table 1

EEO Job Category	Availability Males			Availability Females			Current Workforce Males			Current Workforce Females			Hires Males			Hires Females			Separations Males			Separations Females			Promotions Males			Promotions Females				
	B	W	O	B	W	O	B	W	O	B	W	O	B	W	O	B	W	O	B	W	O	B	W	O	B	W	O	B	W	O	B	W
Administrator 01	7.4%	80.8%	2.6%	10.8%	17.8%	0.8%	10.4%	54.9%	5.2%	9.8%	18.7%	1.0%	40.0%	20.0%	20.0%	20.0%	20.0%	20.0%	10.0%	10.0%	40.0%	20.0%	20.0%	10.0%	10.0%	40.0%	10.5%	42.1%	10.5%	12.9%	28.3%	
Professional 02	5.4%	58.0%	1.8%	9.0%	25.0%	0.8%	8.0%	38.0%	3.8%	16.7%	31.8%	2.3%	8.7%	43.6%	2.9%	15.9%	24.8%	4.3%	7.3%	9.8%	17.1%	24.4%	41.5%	5.0%	52.5%	15.0%	25.0%	2.5%	6.0%	25.0%	2.5%	
Technician 03	8.4%	81.4%	0.8%	3.4%	7.8%	0.2%	8.1%	88.2%	2.9%	8.8%	13.3%	0.8%	10.5%	83.2%	10.5%	15.8%	9.1%	72.7%	9.1%	9.1%	85.2%	4.3%	6.7%	21.7%	15.1%	2.5%	2.5%	6.7%	21.7%			
Protective Service (Sworn) 04	17.8%	89.8%	0.6%	3.8%	8.3%	0.1%	24.1%	57.7%	4.1%	4.6%	9.2%	0.4%	100.0%																			
Protective Service (Un- 05	30.0%	43.0%	0.0%	24.8%	2.5%	0.0%	52.2%	34.8%	0.0%	13.0%	0.0%	0.0%																				
Admin. Support 06	2.3%	31.2%	0.4%	32.4%	32.8%	0.9%	4.2%	10.8%	0.8%	41.1%	41.8%	1.7%	8.7%	12.8%	8.6%	87.7%	3.2%	6.7%	17.0%	1.9%	41.5%	34.0%	15.4%	41.0%	43.8%	6.0%	16.0%	17.0%				
Skilled Craft 07	8.8%	88.8%	0.2%	0.3%	1.0%	0.0%	12.0%	81.9%	1.8%	1.8%	2.8%	0.0%	100.0%																			
Service/Maint 08	21.3%	43.8%	1.2%	18.0%	15.3%	0.4%	41.4%	34.9%	2.5%	12.7%	8.2%	0.3%	18.7%	73.8%	2.4%	7.1%	50.0%	18.4%	7.9%	15.8%	7.9%	39.0%	40.7%	11.8%	6.1%	3.4%	3.4%	6.1%	3.4%			
Total							1003	2458	156	673	922	144	18	88	2	17	45	5	42	52	14	42	48	36	134	12	29	43	1			
							19.1%	46.7%	3.0%	12.8%	17.6%	0.9%	10.3%	50.3%	1.1%	9.7%	25.7%	2.0%	21.2%	26.3%	7.1%	21.2%	24.2%	14.1%	52.6%	4.7%	11.4%	16.9%	4.0%			



# 2

## ***Policy***

The purpose of the City's Affirmative Action goals is to provide a framework for affirmative action activities in the City of Cincinnati. The primary emphasis of affirmative action activities is to ensure the City of Cincinnati maintains equal opportunity in hiring, promotions, and employment actions.

City of Cincinnati

An Ordinance No. 78 - 1991

SETTING FORTH the City's Affirmative Action Program to clarify and distinguish it from the general Equal Employment Opportunity policy of the City.

WHEREAS, the City of Cincinnati finds that discrimination in employment, based on race, color, sex, or handicap adversely affects the health, welfare, peace and safety of the community; that persons subject to such discriminations may suffer depressed living conditions, poverty, and lack of hope, injuring the public welfare, placing a burden upon the public treasury to ameliorate the conditions thus produced, and creating conditions which endanger the public peace and order; and

WHEREAS, the City of Cincinnati has an obligation as an employer to insure equality of opportunity to all of its citizens; and

WHEREAS, the City of Cincinnati has maintained a policy of non-discrimination on the basis of race, color, sex, or handicap; and

WHEREAS, the policy of the City includes aggressive pursuit of employment actions designed to result in a more equitable reflection of the availability of protected classes within the workforce at all levels of City employment; and

WHEREAS, the City of Cincinnati is legally required to comply with all employment regulations of Title VII of the 1964 Civil Rights Act as amended, of the 1967 Age Discrimination in Employment Act as amended, of the 1973 Rehabilitation Act as amended, and the 1990 Americans with Disabilities Act; and

WHEREAS, the City of Cincinnati recognizes its obligation to undertake affirmative action which requires that positive steps be taken to overcome the effects of past discrimination and to identify and eliminate barriers to hiring and promotion which have denied equal employment opportunities, particularly to women, minorities, and the handicapped, and to pursue all legal avenues to redress inequitable representation in City jobs which have resulted from such artificial barriers; now, therefore,

BE IT ORDAINED by the Council of the City of Cincinnati,  
State of Ohio:

Section 1. Consistent with the City of Cincinnati's policy that it will not unlawfully discriminate in any terms or conditions of employment because of race, color, sex, or handicap, the City of Cincinnati will implement a comprehensive Affirmative Action Program for minorities, women, and the handicapped.

Section 2. Council directs that each of the appointing authorities set forth in the Charter be responsible for following the most current Affirmative Action Plan. Each appointing authority or the designated representative thereof shall be held

accountable for establishing and maintaining a comprehensive program for affirmative action, consistent with the current plan.

Section 4. Council will follow a policy of non-discrimination and shall direct the Mayor and City Manager to follow the policy of non-discrimination when making appointments to any City boards or commissions.

Section 5. The City Manager shall issue guidelines and standards for the establishment of the Affirmative Action Programs based upon, but not limited to, Federal guidelines and undertake all necessary activities to assure implementation of the program.

Section 6. The City Manager and each of the appointing authorities set forth in the Charter shall ensure that seniority practices, job classifications, work assignments, position qualifications, civil service examinations, and other personnel practices do not have an unlawful discriminatory effect and, consistent with law, are carried out in a non-discriminatory manner and shall develop positive approaches and activities designed to ensure maximum compliance with the City's Equal Employment Opportunity and Affirmative Action policies.

Section 7. The City Manager will report to Council on the potential impact of layoffs or privatization on affirmative action gains and projected goals.

Section 8. The appointing authorities set forth in the Charter or their designees shall report to Council, no later than September 1 and March 1 of each year on the status of the various protected classes in the City workforce. Such report shall include, but not be limited to, analysis of the overall program, the guidelines and standards, and the annual goals and accomplishments of each department and their respective divisions, independent board and commission. In addition, the report shall set forth the race, sex and handicap, if any, of employees who have been disciplined along with the nature of their infraction and the discipline administered. Further, any other report required by this ordinance shall also be due no later than September 1 or March 1 of each year.

Section 9. Compliance with the Affirmative Action Plan will be taken into consideration by Council when evaluating the City

Manager and by the administration when evaluating an employee's performance, and willful violations of the plan may result in disciplinary action at the discretion of the appointing authority.

Section 10. The City Manager shall develop and the appointing authorities set forth in the Charter shall cooperate in the implementation of an effective system for the processing of complaints of discrimination because of color, race, sex, or handicap.

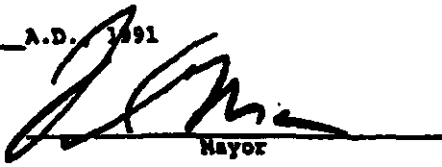
Section 11. That all City officials and officers shall do whatever possible to see that the interest of Affirmative Action shall be advanced to the fullest extent possible under the law.

Section 12. The City Manager shall establish an Affirmative Action Advisory Committee whose duties shall include recommending revisions and monitoring of all Affirmative Action and Equal Employment policies, programs, procedures, and assisting the City Manager in the solution of problems arising from the City's Affirmative Action Plan. All reports generated by this ordinance and related administrative regulations and procedures shall be made available to the Affirmative Action Advisory Committee and any public records shall be shared with the public upon request.

Section 13. That Ordinance No. 540-1987 revising the City's Affirmative Action Program is hereby repealed.

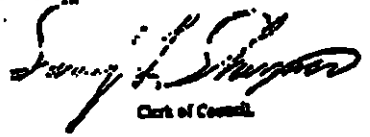
Section 14. This ordinance shall be in effect from and after the earliest period allowed by law.

Passed March 13 A.D. 1991

  
Mayor

Attest:   
Clerk

I HEREBY CERTIFY THAT ORDINANCE NO. 78  
1991 WAS PUBLISHED IN THE CITY BULLETIN  
ENACTED BY THE CITY COUNCIL ON 3-26-91

  
Clerk of Council

# City of Cincinnati

## An Ordinance No. 336 - 1998

AMENDING Section 8 of Ordinance 78-1991, to provide that the date by which each City agency shall report to the City Council on that agency's affirmative actions in connection with the Affirmative Action Program shall be April 1 of each year.

WHEREAS, Section 8 of Ordinance 78-1991, which enacts the City's Affirmative Action Program, requires appointing authorities of the City to report to the City Council no later than September 1 and March 1 of each year, concerning their affirmative actions and goals; and

WHEREAS, this twice yearly reporting date is in conflict with Administrative Regulation 22 which requires agency heads to report to the City Manager by February 28 of each year; and

WHEREAS, it is recommended that Section 8 of Ordinance 78-1991 be amended to clarify that an annual Affirmative Action report is due from City agencies to the City Council no later than April 1 of each year, each agency head having reported to the City Manager no later than February 28 of each year in accord with Administrative Regulation 22; now, therefore,

BE IT ORDAINED by the Council of the City of Cincinnati, State of Ohio:

Section 1. That Section 8 of Ordinance 78-1991 is amended to read as follows:

Section 8. The appointing authorities set forth in the Charter or their designees shall report to the Council, no later than April 1 of each year on the status of the various protected classes in the City workforce. Such report shall include, but not be limited to, analysis of the overall program, the guidelines and standards, and the annual goals and accomplishments of each department and their respective divisions, independent board and commission. In addition, the report shall set forth the race, sex, and handicap, if any, of employees who have been disciplined along with the nature of their infraction and the discipline administered. Further, any other report required by this ordinance shall also be due no later than April 1 of each year.

Section 2. That Section 8 of Ordinance 78-1991 currently in effect is hereby repealed.

Section 3. This ordinance shall take effect and be in force from and after the earliest period allowed by law.

Passed: September 10, A.D., 1998

Mayor

I HEREBY CERTIFY THAT ORDINANCE NO. 336  
19 98 WAS PUBLISHED IN THE CITY BULLETIN  
IN ACCORDANCE WITH THE CHARTER ON 9-22-98.

Attest:   
Clerk

Clerk of Council

R.P.

City of Cincinnati  
An Ordinance No. 79 - 1991

AFFIRMING the city's Equal Employment Opportunity policy of prohibiting discrimination in city employment and authorizing the City Manager to implement a complaint investigatory process.

WHEREAS, the City of Cincinnati finds that discrimination in employment, based on factors such as race, color, sex, handicap, religion, national or ethnic origin, age, sexual orientation, HIV status, Appalachian regional ancestry, and marital status adversely affects the health, welfare, peace and safety of the community; that persons subject to such discrimination may suffer depressed living conditions, poverty, and lack of hope, injuring the public welfare, placing a burden upon the public treasury to ameliorate the conditions thus produced, and creating conditions which endanger the public peace and order; and

WHEREAS, the City of Cincinnati has an obligation as an employer to insure equality of opportunity in city employment to all of its citizens, based upon the equal protection guarantees of the United States and Ohio constitutions; and

WHEREAS, to meet its obligation to implement such constitutional guarantees the City of Cincinnati has maintained a policy of non-discrimination against any person in hiring, promotions, transfers or disciplinary actions based on factors such as race, color, sex, handicap, religion, national or ethnic origin, age, sexual orientation, Appalachian regional ancestry, HIV status, or marital status; and

WHEREAS, clarification of the general city policy will affirm the City's policy of employment based on merit and fitness; and assist in implementation of said constitutional guarantees of non-discrimination in employment; now, therefore,

BE IT ORDAINED by the Council of the City of Cincinnati,  
State of Ohio:

Section 1. The City of Cincinnati will not unlawfully discriminate against any person in any terms or conditions of employment based on classification factors such as race, color, sex, handicap, religion, national or ethnic origin, age, sexual orientation, HIV status, Appalachian regional ancestry, and marital status. Consistent with this policy city employment actions shall be based only on applicable law and those factors rationally related to essential job functions.

Section 2. Council will follow a policy of non-discrimination and shall direct the Mayor and City Manager to follow the policy of non-discrimination when making appointments to any City boards or commissions.



Section 3. The provisions of this ordinance shall in no way require the City Manager to adopt any affirmative action program based upon religion, national or ethnic origin, age, sexual orientation, HIV status, Appalachian regional ancestry, or marital status.

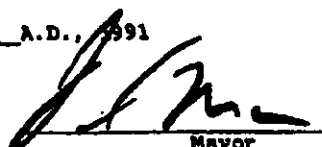
Section 4. The City Manager and each of the appointing authorities set forth in the Charter shall ensure that seniority practices, job classifications, work assignments, position qualifications, civil service examinations, and other personnel practices do not have an unlawful discriminatory effect and, consistent with law, are carried out in a non-discriminatory manner.

Section 5. The City Manager shall develop and the appointing authorities set forth in the Charter shall cooperate in the implementation of an effective system for the processing of complaints of discrimination based on religion, age, ethnic origin, sexual orientation, HIV status, Appalachian regional ancestry, and marital status.

Section 6. All City officials and officers shall do whatever possible to see that fairness in employment and promotion opportunity shall be advanced to the fullest extent possible under the law.

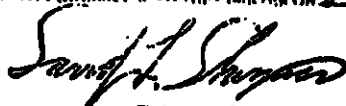
Section 7. As used in this ordinance the term "Appalachian regional" shall mean that area of the eastern United States consisting of the counties listed in Appendix A, attached hereto and made a part hereof.

Section 8. This ordinance shall be in effect from and after the earliest period allowed by law.

Passed March 13 A.D., 1991  
  
Mayor

Attest:   
Clerk

I HEREBY CERTIFY THAT ORDINANCE NO 79  
1991 WAS PUBLISHED IN THE CITY BULLETIN  
IN ACCORDANCE WITH THE CHARTER ON 2-26-91.

  
Clerk of Council

Affirmative Action Program

# Administrative Regulation No. 22



## City of Cincinnati

Office of the City Manager

Subject: AFFIRMATIVE ACTION POLICY STATEMENT

Date: February 3, 1998

Approved: *John F. Sherry*

**\*\* REVISED \*\***

Equal employment opportunity is the law. Discrimination is banned in all terms and conditions of employment on the basis of: race, color, sex, religion, age, national or ethnic origin, HIV status, marital status, sexual orientation, regional Appalachian ancestry or disability. (Definitions of terms are found in the Affirmative Action Plan.)

Banning discriminatory practices is not enough. An affirmative action plan is necessary to guarantee that equal employment opportunity will happen for all protected groups.

An affirmative action plan is defined as a set of specific and results-oriented procedures to which an employer commits itself to apply every good faith effort. The objective of these procedures plus efforts is equal employment opportunity. Procedures without effort to make them work are meaningless, and efforts, undirected by specific and meaningful procedures, are inadequate. Therefore, there shall be a yearly goal for each EEO job category and city job group as a guideline for hiring and promotion toward meeting the yearly goals.

Each agency head is directed to take affirmative action to assure that all personnel actions have fair treatment to both applicants and employees. Agency heads should carefully analyze their utilization of women, minorities, and the persons with disabilities in all employment categories. They should then evaluate their recruitment, examination, selection, promotion, training, and other operations in order to determine what actions can rectify underutilization of women, minorities and persons with disabilities in any EEO job group.

Each agency head will, on a yearly basis, report to the City Manager what affirmative actions, as of December 31, have been taken to:

- (1) Hire persons from underutilized classes;
- (2) Utilize and/or develop skills of present employees;
- (3) Provide opportunity for advancement of all employees;
- (4) Train management and supervisory personnel to implement affirmative action;
- (5) Correct inadequate performance of all employees.

These reports will be delivered to the City Manager no later than February 28 of each year.

**Admin. Reg. No. 22  
Page 2**

**The City Manager shall assure the existence of an effective system for processing complaints of discrimination because of race, color, sex, religion, age, national or ethnic origin, HIV status, marital status, sexual orientation, Regional Appalachian ancestry, or disability. Specific City policies relating to sexual harassment and reasonable accommodation for persons with disabilities are covered in the City's Affirmative Action Plan.**

**The City Manager is responsible for the overall success of the Affirmative Action Program. Each agency head is personally responsible and accountable for the success of the Affirmative Action Plan in his/her agency. Each manager and supervisor is responsible and accountable for the success of the Affirmative Action Program as it relates to his/her employees.**

**The City Manager shall evaluate affirmative actions taken and shall consider that evaluation when determining "salary adjustments" for directors and agency heads. Acts of discrimination and/or violation of EEO/AA policies or procedures will result in written reprimands, salary reductions, suspensions, and/or any combination of corrective actions, including termination.**

**The Director of Personnel and the EEO Division will audit personnel actions in City agencies and will provide assistance to agency heads in determining what affirmative actions should be taken. All reports generated by this policy and the City Council ordinance will be made available to the Affirmative Action Advisory Committee and the public upon request.**

**As authorized by ordinance, the City Manager shall appoint members of the Affirmative Action Advisory Committee. The Director of Personnel shall designate staff support of the Committee.**



# 3

## ***Responsibility***

City Council adopts the Affirmative Action Program by City Ordinance as a reaffirmation of the City's commitment to equal opportunity and affirmative action. The plan requires the cooperation of City Officers and employees to assist in the achievement of a successful program. To ensure the program's success, specific responsibilities have been delineated.

### **City Manager**

The City Manager has the overall responsibility and accountability for the City's Equal Employment Opportunity Policy and Affirmative Action Program. The City Manager shall review and approve the Affirmative Action Program Plan. This official shall evaluate department heads on Equal Employment Opportunity (EEO) performance and attainment of established Affirmative Action Program (AAP) goals. Acts of discrimination and/or violations of EEO/AAP policies or procedures will result in written reprimands, salary reductions, suspensions, and/or any combination of corrective actions, including termination.

### **Human Resources Director**

The Human Resources Director is directly responsible for the operation and maintenance of the Affirmative Action Program. The Human Resources Director has primary responsibility for personnel related matters. The Human Resources Director shall:

1. Assist departments with recruitment, referrals, screening and record keeping for unclassified employees;
2. Implement supportive programs to ensure the success of the Affirmative Action Program;
3. Ensure that managers are aware that their work performance is, in part, evaluated on the basis of their EEO performance and the achievement of departmental goals for the workforce, and provide assistance in attaining EEO goals.
4. Review and modify employment practices to avoid adverse impact or unlawful discrimination.

### **Equal Employment Opportunity Officer**

The Human Resources Director, or designee, is the City's EEO Officer and represents the City on all equal opportunity matters and discrimination complaints except those filed with outside agencies, which are handled by the City's Law Department. The EEO Officer is accountable to the City Manager and is responsible for monitoring the City's results, and evaluating affirmative action efforts to ensure that all necessary actions are taken by all levels of management to fulfill the City of Cincinnati's Equal Employment Opportunity policy. These responsibilities include, but are not limited to, the following:

1. Prepare and update annually the City's Affirmative Action Program Plan;
2. Design, implement and conduct a continuing audit and reporting system to identify possible problem areas and to monitor the overall effectiveness of the program and implementation thereof; follow through with advice and recommendations where appropriate to ensure remedial action is taken;
3. Provide training and technical assistance to departments on the Affirmative Action Program Plan and EEO matters;
4. Administer system for resolving EEO complaints from employees and applicants;
5. Submit to the City Manager an annual status report of discrimination complaints filed against the City;
6. Review all policies, procedures, rules, and appropriate documents for compliance with EEO practices and procedures;
7. Serve as liaison between the City and government agencies, minority organizations, women's organizations and community action groups concerned with employment opportunities for minorities, women, and persons with disabilities;
8. Serve as staff to the Affirmative Action Advisory Committee and EEO Advisory Review Board;
9. Monitor the "bridge" positions that enable employees to move up to the middle management level to ensure that minorities and women are being afforded upward mobility opportunities;
10. Periodically prepare presentations to discuss the status of the Affirmative Action Program's progress with the City Manager, Civil Service Commission, City Council, Cincinnati Human Relations Commission, the Affirmative Action Advisory Committee, and agency heads.

### **Civil Service Commission**

The Civil Service Commission has primary responsibility for recruitment, testing, validation, certification, data collection, and reporting for the classified service, in accordance with city, state, and federal regulations. These activities are coordinated with the EEO Division. The Civil Service Commission shall:

1. Recruit applicants in a manner consistent with established Affirmative Action Program goals and timetables;
2. Advertise in minority news media and in localities that will maximize minority and female applicant flows;
3. Test applicants in a manner consistent with applicable state and federal testing guidelines to ensure that testing is non-discriminatory;
4. Monitor the certification process;
5. Collect, analyze, and maintain applicant flow data;
6. Ensure the job relatedness of minimum requirements and examinations;
7. Prepare and submit required reports and documents to governmental agencies as appropriate.

### **City Solicitor's Office**

The City Solicitor is responsible for handling all litigation, matters, and proceedings in which the City may have a legal interest. As such, discrimination and non-compliance complaints that are served upon the City by external regulatory agencies shall be referred to the City Solicitor's office for advice and for appropriate action.

### **Department Heads**

Each department head shall comply with all aspects of the City's Affirmative Action Plan. These responsibilities include, but are not limited to, the following:

1. Establish and monitor specific goals and timetables to correct under-representation for all job categories;
2. Initiate corrective measures to eliminate program deficiencies;
3. Inform all employees of the departmental affirmative action program, EEO policy, and the City's Affirmative Action Program Plan;
4. Maintain data required to document equal employment practices;
5. Advise the Human Resources Department of specific recruitment needs for correcting workforce inequities.

6. Initiate corrective measures to eliminate program deficiencies;
7. Assist the EEO Division in resolving EEO complaints regarding departmental employment practices.

### **Equal Employment Opportunity Counselors**

Equal Employment Opportunity Counselors are elected by City employees and appointed to serve a three-year term to act as liaisons between management and employees for EEO/AA matters. The complement for EEO counselors is twenty, with ten elected and ten appointed by the EEO Officer. Each EEO Counselor should have sufficient organizational authority and access to department heads. Each EEO Counselor shall:

1. Be trained on equal employment opportunity laws and affirmative action, mediation and investigative skills, Human Resources Policies and Procedures, Civil Service laws, and EEO counseling;
2. Promote the concept of affirmative action and equal employment opportunity and inform employees of their rights and availability of personnel services including: counseling, job opportunities, training, and other matters concerning the employees' welfare;
3. Apprise Human Resources of employee concerns regarding EEO/AA matters;
4. Assist in resolving problems and concerns related to EEO/AA;
5. Submit suggestions to the agency head and EEO Officer to enhance and improve the Affirmative Action Program.

### **Equal Employment Opportunity Advisory Review Board**

The EEO Advisory Review Board, comprised of three volunteers appointed by the City Manager, will serve as the impartial reviewer of employee and applicant appeals of EEO complaints filed with the EEO Officer. All recommendations are submitted to the City Manager for final action.

### **EEO Complaints and Counseling**

The City of Cincinnati has an administrative process that is available to all job applicants and City employees for resolving EEO complaints. This process is designed to impartially resolve EEO complaints and minimize the financial impact upon both the complainant and the City. EEO complaints may be presented to the Human Resources Department-EEO Division. However, in most cases complaints will be referred back to the department to allow them to have the first opportunity to resolve the issues. Departments may request assistance from the EEO Division and Equal Employment Opportunity Counselors in the resolution of complaints.



# 4

## ***Goals and Utilization***

Goals will be established annually for total minorities and total women for all job categories. Each goal will be equal to the availability for that job category. Annual goals may be revised during the program to accommodate changes that impact the City's workforce. For example, goals may be affected by such factors as the general state of the economy, expansion or contraction of the workforce, and/or an increase or decrease in the City employee turnover rate. Goal attainment will be judged using the percent of availability for each job category as compared with the profile for that job category.

One factor affecting goal attainment is the Civil Service selection procedure. Civil Service staff and City departments are continually working together to ensure that recruitment and examination processes will assist departments in meeting their Affirmative Action goals. One procedure that continues to assist in this regard is the revision of the state Civil Service Rules replacing the rule of three with the rule of ten for entry level hiring opportunities. This permits a hiring authority to consider an expanded number of applicants for each entry-level position to be filled. This will continue to provide departments with greater flexibility in meeting their goals.

The City's ultimate goal is a workforce that is reflective of the relevant labor market. Good faith efforts will be made to attain the goals established. However, because goals are set based on availability and are only estimates, not rigid quotas, it is conceivable that circumstances may sometimes result in the goals not being achieved.

Table 2 represents the 2010 objectives for utilization of the underutilized workforce of the City of Cincinnati. Two job categories for female representation were identified as underutilized.

Table 3 represents the agency workforce composition on December 31, 2009 for each EEO job category by race and sex and persons with disabilities. Each number represents the actual number, with the percentage listed below, of full-time City employees by race and sex who are employed by the City of Cincinnati in each job category.

Underutilization is determined pursuant to the Code of Federal Regulations (CFR) 60-2.11(b). Underutilization will be declared when there are fewer minorities or women in a particular job category than would be reasonably expected by their availability. For purposes of program administration, underutilization will be declared when underutilization is less than 80% of availability. The 80% rule is an approved methodology by the Office of Federal Contract Compliance Programs (OFFCP).



**City of Cincinnati**  
**Affirmative Action Objectives for 2010**  
**Table 2**

<b>Objective</b>	<b>Availability</b>	<b>2009</b>
<b>Increase Female Representation in the following categories:</b>		
<b>Protective Service (Un-sworn)</b>	27.0	13.0
<b>Service/Maintenance</b>	33.7	21.2
<b>Increase Minority Representation in the following categories:</b>		

**CITY OF CINCINNATI  
AFFIRMATIVE ACTION PROGRAM  
UTILIZATION ANALYSIS**

Table 3

DEPARTMENT/DIVISION: **CITY WIDE OVERALL SUMMARY**

REPORT DATE: December 31, 2009

EEO JOB CATEGORY	Total # %	Section One Agency Workforce							Section Two Community Labor Statistics					Section Three Underutilization*					Section Four Person(s) Needed?																				
		Male			Female			PWD # %	Male		Female			Male		Female			Male		Female																		
		BM # %	WM # %	OM # %	BF # %	WF # %	OF # %		BM # %	OM # %	BF # %	WF # %	OF # %	BM # %	OM # %	BF # %	WF # %	OF # %	BM # %	OM # %	BF # %	WF # %	OF # %																
		Total # %																																					
Administrator	193	20	106	10	19	36	2	7																															
Professional	1007	86	404	29	159	305	24	32	7.4	2.6	10.6	17.8	0.8	3.0	2.6	-0.8	0.9	0.2																					
Technician	384	31	262	11	26	51	3	17	5.4	1.8	9.0	25.0	0.8	3.1	1.1	6.8	5.3	1.6																					
Protective Service (Sworn)	1950	469	1126	79	89	180	7	12	6.4	0.8	3.4	7.8	0.2	1.7	2.1	3.4	5.5	0.6																					
Protective Service (Unsworn)	23	12	6		3				17.8	0.6	3.6	8.3	0.1	6.3	3.5	1.0	0.9	0.3																					
Administrative Support	665	28	72	3	273	278	11	23	30.0	0.0	24.5	2.5	0.0	22.2	0.0	-11.5	-2.5	0.0																					
Skilled Craft	249	30	204	4	4	7		15	2.3	0.4	32.4	32.8	0.9	1.9	0.1	8.7	9.0	0.8																					
Service/ Maintenance	790	327	276	20	100	85	2	38	8.6	0.2	0.3	1.0	0.0	3.4	1.4	1.3	1.8	0.0																					
<b>TOTAL</b>	<b>5261</b>	<b>1003</b>	<b>2458</b>	<b>156</b>	<b>673</b>	<b>922</b>	<b>49</b>	<b>144</b>																															

\*A positive number indicates that the representation of a group in the City workforce exceeds its availability. A negative number indicates that the representation of a group in the City workforce is less than its availability, and therefore, has a goal to increase representation in the City's workforce.



# 5

## ***Analysis***

**CITY OF CINCINNATI**  
**COMPOSITION OF WORKFORCE (1990 – 2009)**  
**Table 4**

	<b>Black Males</b>	<b>White Males</b>	<b>Other Males</b>	<b>Black Females</b>	<b>White Females</b>	<b>Other Females</b>
<b>1990</b>	18.8%	53.0%	0.8%	12.0%	15.1%	0.3%
<b>1991</b>	18.6%	52.8%	0.9%	12.3%	15.1%	0.3%
<b>1992</b>	18.6%	51.9%	0.9%	12.5%	15.8%	0.4%
<b>1993</b>	18.7%	51.2%	0.9%	12.8%	16.0%	0.4%
<b>1994</b>	19.0%	51.1%	0.9%	12.7%	16.0%	0.4%
<b>1995</b>	19.3%	50.7%	1.0%	12.7%	15.9%	0.4%
<b>1996</b>	19.1%	50.1%	1.1%	12.4%	16.8%	0.5%
<b>1997</b>	19.1%	49.7%	1.2%	12.6%	17.0%	0.5%
<b>1998</b>	19.3%	49.2%	1.2%	12.8%	17.1%	0.5%
<b>1999</b>	19.2%	48.8%	1.2%	13.0%	17.3%	0.5%
<b>2000</b>	19.5%	47.8%	1.2%	13.5%	17.4%	0.6%
<b>2001</b>	19.4%	47.5%	1.3%	13.7%	17.5%	0.6%
<b>2002</b>	19.7%	47.1%	1.4%	13.9%	17.4%	0.6%
<b>2003</b>	19.8%	46.5%	1.2%	14.2%	17.9%	0.4%
<b>2004</b>	19.7%	46.8%	1.2%	14.2%	17.6%	0.5%
<b>2005</b>	19.8%	47.0%	1.24%	14.12%	17.4%	0.5%
<b>2006</b>	19.9%	46.7%	1.5%	14.2%	17.2%	0.6%
<b>2007</b>	20.1%	46.8%	1.5%	13.7%	17.3%	0.6%
<b>2008</b>	19.4%	45.7%	3.3%	13.2%	17.5%	1.0%
<b>2009</b>	19.1%	46.7%	3.0%	12.8%	17.5%	0.9%

**COMPARISON OF FEMALE AND MINORITY AVAILABILITY TO ACTUAL WORKFORCE**

**Table 5**

<b>EEO Job Category</b>	<b>Female</b>		<b>Total Minority</b>		<b>Black</b>		<b>Other</b>	
	<b>Availability</b>	<b>2009</b>	<b>Availability</b>	<b>2009</b>	<b>Availability</b>	<b>2009</b>	<b>Availability</b>	<b>2009</b>
<b>Administrator</b>	29.2	29.5	21.4	26.4	18.0	20.2	3.4	6.2
<b>Professional</b>	34.8	48.5	17.0	29.6	14.4	24.3	2.6	5.3
<b>Technician</b>	11.4	20.8	10.8	18.5	9.8	14.8	1.0	3.6
<b>Protective Services (Sworn)</b>	12.0	14.2	22.1	33.0	21.4	28.6	0.7	4.4
<b>Protective Services (Un-Sworn)</b>	27.0	13.0	54.5	65.2	54.5	66.2	0.0	0.0
<b>Administrative Support</b>	66.1	84.5	36.0	47.4	34.7	45.3	1.3	2.1
<b>Skilled Craft</b>	1.3	4.4	9.1	15.3	8.9	13.7	0.2	1.6
<b>Service/Maintenance</b>	33.7	21.1	40.9	56.8	39.3	54.1	1.6	2.8

## **Applicants**

### **Applicant Flow Analysis**

Applicant data are the most immediate index to assess the City's success in reaching targeted groups and qualified female and minority applicants in the general labor market. The Human Resources Department has compiled applicant-flow data by Job Category to determine the effectiveness of recruitment efforts in attracting qualified applicants to specific categories. Effective recruitment is imperative if Affirmative Action goals and objectives are to be met.

Applicants are advised that this information is strictly voluntary and will be used for affirmative action purposes only. All data are maintained and analyzed to detect employment patterns that could be challenged as discriminatory.

Table 6 represents the total applicant flow data from January 1 through December 31, 2009 for positions filled through open, competitive examination or exceptional appointment. Other hires may have occurred through other means.

**CITY OF CINCINNATI  
 APPLICANT FLOW SUMMARY  
 JANUARY 01, 2009 -DECEMBER 31, 2009**

**Table 6**

	<b>APPLIED</b>		<b>HIRED</b>	
	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>
<b>TOTAL APPLICANTS</b>	11082	100.0%	175	100.0%
<b>MALE</b>	7452	67.2%	108	61.7%
<b>FEMALE</b>	3445	31.1%	67	38.3%
<b>UNKNOWN</b>	185	1.7%		0.0%
<b>TOTAL WHITE</b>	6994	63.1%	133	76.0%
<b>TOTAL MINORITIES</b>	3622	32.7%	42	24.0%
<b>BLACK</b>	2985	26.9%	35	20.0%
<b>OTHER</b>	637	5.7%	7	4.0%
<b>UNKNOWN</b>	466	4.2%		0.0%

**CITY OF CINCINNATI**  
**Applicant Flow Summary**  
**JANUARY 01, 2009 -DECEMBER 31, 2009**

**ADMINISTRATOR**  
**TABLE 54A**

	APPLIED		HIRED	
	#	%	#	%
<b>TOTAL APPLICANTS</b>	244	100.0%	5	100.0%
<b>MALE</b>	182	74.6%	2	40.0%
<b>FEMALE</b>	62	25.4%	3	60.0%
<b>UNKNOWN</b>	0	0.0%		0.0%
<b>TOTAL WHITE</b>	175	71.7%	3	60.0%
<b>TOTAL MINORITIES</b>	61	25.0%	2	40.0%
<b>BLACK</b>	52	21.3%	1	20.0%
<b>OTHER</b>	9	3.7%	1	20.0%
<b>UNKNOWN</b>	8	3.3%		0.0%

**PROFESSIONAL**  
**TABLE 54B**

	APPLIED		HIRED	
	#	%	#	%
<b>TOTAL APPLICANTS</b>	4425	100.0%	69	100.0%
<b>MALE</b>	2677	60.5%	38	55.1%
<b>FEMALE</b>	1671	37.8%	31	44.9%
<b>UNKNOWN</b>	77	1.7%		0.0%
<b>TOTAL WHITE</b>	2886	65.2%	47	68.1%
<b>TOTAL MINORITIES</b>	1339	30.3%	22	31.9%
<b>BLACK</b>	934	21.1%	17	24.6%
<b>OTHER</b>	405	9.2%	5	7.2%
<b>UNKNOWN</b>	200	4.5%		0.0%



**CITY OF CINCINNATI**  
**Applicant Flow Summary**  
**JANUARY 01, 2009 -DECEMBER 31, 2009**

**TECHNICIAN**  
**TABLE 54C**

	<b>APPLIED</b>		<b>HIRED</b>	
	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>
<b>TOTAL APPLICANTS</b>	221	100.0%	19	100.0%
<b>MALE</b>	111	50.2%	14	73.7%
<b>FEMALE</b>	110	49.8%	5	26.3%
<b>UNKNOWN</b>	0	0.0%		0.0%
<b>TOTAL WHITE</b>	143	64.7%	15	78.9%
<b>TOTAL MINORITIES</b>	68	30.8%	4	21.1%
<b>BLACK</b>	49	22.2%	4	21.1%
<b>OTHER</b>	19	8.6%	0	0.0%
<b>UNKNOWN</b>	10	4.5%		0.0%

**PROTECTIVE SERVICE (SWORN)**  
**TABLE 54D**

	<b>APPLIED</b>		<b>HIRED</b>	
	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>
<b>TOTAL APPLICANTS</b>	2987	100.0%	2	100.0%
<b>MALE</b>	2786	93.3%	2	100.0%
<b>FEMALE</b>	167	5.6%	0	0.0%
<b>UNKNOWN</b>	34	1.1%		0.0%
<b>TOTAL WHITE</b>	2199	73.6%	2	100.0%
<b>TOTAL MINORITIES</b>	754	25.2%	0	0.0%
<b>BLACK</b>	649	21.7%	0	0.0%
<b>OTHER</b>	105	3.5%	0	0.0%
<b>UNKNOWN</b>	34	1.1%		0.0%

**CITY OF CINCINNATI**  
**Applicant Flow Summary**  
**JANUARY 01, 2009 -DECEMBER 31, 2009**

**ADMINISTRATIVE SUPPORT**  
**TABLE 54F**

	<b>APPLIED</b>		<b>HIRED</b>	
	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>
<b>TOTAL APPLICANTS</b>	1986	100.0%	31	100.0%
<b>MALE</b>	550	27.7%	7	22.6%
<b>FEMALE</b>	1364	68.7%	24	77.4%
<b>UNKNOWN</b>	72	3.6%		0.0%
<b>TOTAL WHITE</b>	770	38.8%	25	80.6%
<b>TOTAL MINORITIES</b>	1099	55.3%	6	19.4%
<b>BLACK</b>	1042	52.5%	5	16.1%
<b>OTHER</b>	57	2.9%	1	3.2%
<b>UNKNOWN</b>	117	5.9%		0.0%

**SKILLED CRAFT**  
**TABLE 54G**

	<b>APPLIED</b>		<b>HIRED</b>	
	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>
<b>TOTAL APPLICANTS</b>	257	100.0%	7	100.0%
<b>MALE</b>	252	98.1%	7	100.0%
<b>FEMALE</b>	4	1.6%	0	0.0%
<b>UNKNOWN</b>	1	0.4%		0.0%
<b>TOTAL WHITE</b>	183	71.2%	7	100.0%
<b>TOTAL MINORITIES</b>	58	22.6%	0	0.0%
<b>BLACK</b>	53	20.6%	0	0.0%
<b>OTHER</b>	5	1.9%	0	0.0%
<b>UNKNOWN</b>	16	6.2%		0.0%

**CITY OF CINCINNATI**  
**Applicant Flow Summary**  
**JANUARY 01, 2009 -DECEMBER 31, 2009**

**SERVICE/ MAINTENANCE**  
**TABLE 54H**

	<b>APPLIED</b>		<b>HIRED</b>	
	<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>
<b>TOTAL APPLICANTS</b>	962	100.0%	42	100.0%
<b>MALE</b>	894	92.9%	38	90.5%
<b>FEMALE</b>	67	7.0%	4	9.5%
<b>UNKNOWN</b>	1	0.1%		0.0%
<b>TOTAL WHITE</b>	638	66.3%	34	81.0%
<b>TOTAL MINORITIES</b>	243	25.3%	8	19.0%
<b>BLACK</b>	206	21.4%	8	19.0%
<b>OTHER</b>	37	3.8%	0	0.0%
<b>UNKNOWN</b>	81	8.4%		0.0%

## Hires

The number of hires in 2009 was 175. Table 7 shows the percentage of minority and female hires by department. Table 8 shows the number of hires by job category and Table 9 shows the number of hires by department broken down by race and sex. The count of hires does not include employees who transferred into another City department. Of the 175 hired, 67 or 38.3% were female; 42 or 24.0% were minorities; and 87 or 49.7% were members of a protected class.

### Advancements toward Affirmative Action

TABLE 7

Department	Total Hires	% Minorities	% Female	% Protected
CITIZENS COMPLAINT AUTHORITY	1	100.0%	0.0%	100.0%
CITY MANAGER - SUMMARY	3	33.3%	0.0%	33.3%
CITY PLANNING DEPARTMENT	2	0.0%	100.0%	100.0%
COMMUNITY DEVELOPMENT	8	37.5%	25.0%	50.0%
ENTERPRISE SERVICES	1	0.0%	100.0%	100.0%
FINANCE	2	50.0%	100.0%	100.0%
FIRE	1	0.0%	0.0%	0.0%
HEALTH	22	54.5%	77.3%	86.4%
HUMAN RESOURCES	0	0.0%	0.0%	0.0%
LAW	6	16.7%	100.0%	100.0%
METROPOLITAN SEWER DISTRICT	49	12.2%	16.3%	28.6%
PARKS	5	0.0%	40.0%	40.0%
POLICE	22	13.6%	72.7%	81.8%
PUBLIC SERVICES	12	25.0%	8.3%	25.0%
RECREATION	1	0.0%	0.0%	0.0%
REGIONAL COMPUTER CTR	2	50.0%	50.0%	50.0%
TRANSPORTATION & ENGINEERIN	1	0.0%	0.0%	0.0%
WATER WORKS	37	13.5%	24.3%	35.1%

**CITY OF CINCINNATI  
FULL TIME EMPLOYEES HIRED BY  
JOB CATEGORY, RACE AND SEX  
JANUARY 01, 2009 -DECEMBER 31, 2009**

**TABLE 8**

Job Category	Total # %	Male			Female			PWD Total # %
		BM # %	WM # %	OM # %	BF # %	WF # %	OF # %	
Administrator	5		2		1	1	1	
Professional	69	6	30	2	11	17	3	
Technician	19	2	12		2	3		
Protective Service (Sworn)	2		2					
Administrative Support	31	3	4		2	21	1	1
Skilled Craft	7		7					
Service/ Maintenance	42	7	31		1	3		
<b>TOTAL</b>	<b>175</b>	<b>18</b>	<b>88</b>	<b>2</b>	<b>17</b>	<b>45</b>	<b>5</b>	<b>1</b>

*PWD = Persons with Disabilities*

**CITY OF CINCINNATI  
FULL TIME EMPLOYEES HIRED BY  
DEPARTMENT, RACE AND SEX  
JANUARY 01, 2009 -DECEMBER 31, 2009**

**TABLE 9**

Department	Total # %	Male			Female			PWD Total # %
		BM # %	WM # %	OM # %	BF # %	WF # %	OF # %	
CITIZENS COMPLAINT AUTHORITY	1	1						
CITY MANAGER - SUMMARY	3	1	2					
CITY PLANNING DEPARTMENT	2					2		
COMMUNITY DEVELOPMENT	8	2	4		1	1		
ENTERPRISE SERVICES	1					1	1	
FINANCE	2				1	1		
FIRE	1		1					
HEALTH	22	1	3	1	10	6	1	
HUMAN RESOURCES	0							
LAW	6				1	5		
METROPOLITAN SEWER DISTRICT	49	5	35	1		6	2	
PARKS	5		3			2		
POLICE	22	2	4		1	14	1	
PUBLIC SERVICES	12	2	9		1			
RECREATION	1		1					
REGIONAL COMPUTER CTR	2		1		1			
TRANSPORTATION & ENGINEERING	1		1					
WATER WORKS	37	4	24		1	7	1	
<b>TOTAL</b>	<b>175</b>	<b>18</b>	<b>88</b>	<b>2</b>	<b>17</b>	<b>45</b>	<b>5</b>	<b>1</b>

PWD = Persons with Disabilities

### Exceptional Appointments

Hires for 2009 also included exceptional appointments from 6 City departments. Of the 175 employees hired, 91 or 52% were exceptional appointments. The Metropolitan Sewer District had 33 of the 175 exceptional appointments in 2009, while Health and Water Works had 20 and 18, respectively. Of the total exceptional appointments, 30 or 17.1% were female; 26 or 14.9% were minorities; and 42 or 24% were members of protected classes.

#### Exceptional Appointments by Department

TABLE 10

Department	BM	WM	OM	BF	WF	OF
<i>Citizens Complaint Authority</i>						
<i>City Manager - Summary</i>	1	1				
<i>City Planning Department</i>						
<i>Community Development</i>	2	3			1	
<i>Enterprise Services</i>						
<i>Finance</i>						
<i>Fire</i>						
<i>Health</i>	1	3	1	8	6	1
<i>Human Resources</i>						
<i>Law</i>						
<i>Metropolitan Sewer District</i>	3	23	1		4	2
<i>Parks</i>		1				
<i>Police</i>		1				
<i>Public Services</i>	2	5		1		
<i>Recreation</i>		1				
<i>Regional Computer Ctr</i>		1				
<i>Transportation &amp; Engineering</i>						
<i>Water Works</i>	1	10		1	5	1
<b>TOTAL</b>	<b>10</b>	<b>49</b>	<b>2</b>	<b>10</b>	<b>16</b>	<b>4</b>

## Promotions

Advancement through upward mobility is an important measure in determining the City's Affirmative Action Program. Table 11 and Table 12 include automatic promotions which employees receive after successful completion of a probationary period. The City Manager has no control over such promotions. This table indicates that there were 255 promotions in 2009. Minority promotions represented 30.6% of the total promotions, compared to 32% in 2008. Females represented 28.7% of the total promotions, compared to 43.4% in 2008. Protected class employees represented 47.5% of the total promotions in 2009, as compared to 56.8% in 2008.

**CITY OF CINCINNATI  
FULL TIME EMPLOYEES PROMOTED BY  
JOB CATEGORY, RACE AND SEX  
JANUARY 01, 2009 -DECEMBER 31, 2009**

**TABLE 11**

Job Category	Total # %	Male			Female			PWD Total # %
		BM # %	WM # %	OM # %	BF # %	WF # %	OF # %	
Administrator	19	2	8	2	2	5	1	
	100	10.5	42.1	10.5	10.5	26.3	5.3	
Professional	40	2	21		6	10	1	
	100	5.0	52.5		15.0	25.0	2.5	
Technician	23		15	1	2	5		
	100		65.2	4.3	8.7	21.7		
Protective Service (Sworn)	40	5	35					
	100	12.5	87.5					
Administrative Support	39		6		16	17		
	100		15.4		41.0	43.6		
Skilled Craft	35	4	25	2		4	1	
	100	11.4	71.4	5.7		11.4	2.9	
Service/ Maintenance	59	23	24	7	3	2	2	
	100	39.0	40.7	11.9	5.1	3.4	3.4	
<b>TOTAL</b>	<b>255</b>	<b>36</b>	<b>134</b>	<b>12</b>	<b>29</b>	<b>43</b>	<b>4</b>	
	100	14.1	52.5	4.7	11.4	16.9	1.6	

PWD = Persons with Disabilities



**CITY OF CINCINNATI  
FULL TIME EMPLOYEES PROMOTED BY  
DEPARTMENT, RACE AND SEX  
JANUARY 01, 2009 -DECEMBER 31, 2009**

**TABLE 12**

Department	Total # %	Male			Female			PWD Total # %
		BM # %	WM # %	OM # %	BF # %	WF # %	OF # %	
CITIZENS COMPLAINT AUTHORITY	0							
CITY MANAGER - SUMMARY	3		1			1	1	1
CITY PLANNING DEPARTMENT	0							
COMMUNITY DEVELOPMENT	4	2	1			1		
ENTERPRISE SERVICES	1		1					
FINANCE	4		2			2		
FIRE	40	5	34		1			
HEALTH	14	1	2		5	8		
HUMAN RESOURCES	0							
LAW	5	1			1	3		
METROPOLITAN SEWER DISTRICT	69	9	33	10	5	12		2
PARKS	3	2				1		
POLICE	18		4		5	9		
PUBLIC SERVICES	10	3	3	1	2	1		1
RECREATION	6		5		1			
REGIONAL COMPUTER CTR	4		2		2			
TRANSPORTATION & ENGINEERING	8		5		1			
WATER WORKS	68	13	41	1	6	7		
<b>TOTAL</b>	<b>255</b>	<b>36</b>	<b>134</b>	<b>12</b>	<b>29</b>	<b>43</b>	<b>1</b>	<b>4</b>

PWD = Persons with Disabilities

### Transfers

A review of Table 13 and Table 14 indicates that of the 23 total number of transfers for 2009, 9 or 39.1% were minorities and 15 or 65.2% were female. Of the 18 departments, 7 had employees transfer into their department for 2009.

**CITY OF CINCINNATI  
FULL TIME EMPLOYEES TRANSFERRED BY  
JOB CATEGORY, RACE AND SEX  
JANUARY 01, 2009 -DECEMBER 31, 2009**

**TABLE 13**

Job Category	Total # %	Male			Female			PWD Total # %
		BM # %	WM # %	OM # %	BF # %	WF # %	OF # %	
Administrator	1					1		
Professional	6		2		1	3		1
Technician	2		1			1		
Administrative Support	9				5	4		
Skilled Craft	2		2					
Service/ Maintenance	3	3						
<b>TOTAL</b>	<b>23</b>	<b>3</b>	<b>5</b>		<b>6</b>	<b>9</b>		<b>1</b>

*PWD = Persons with Disabilities*

**CITY OF CINCINNATI  
FULL TIME EMPLOYEES TRANSFERRED BY  
DEPARTMENT, RACE AND SEX  
JANUARY 01, 2009 -DECEMBER 31, 2009**

**TABLE 14**

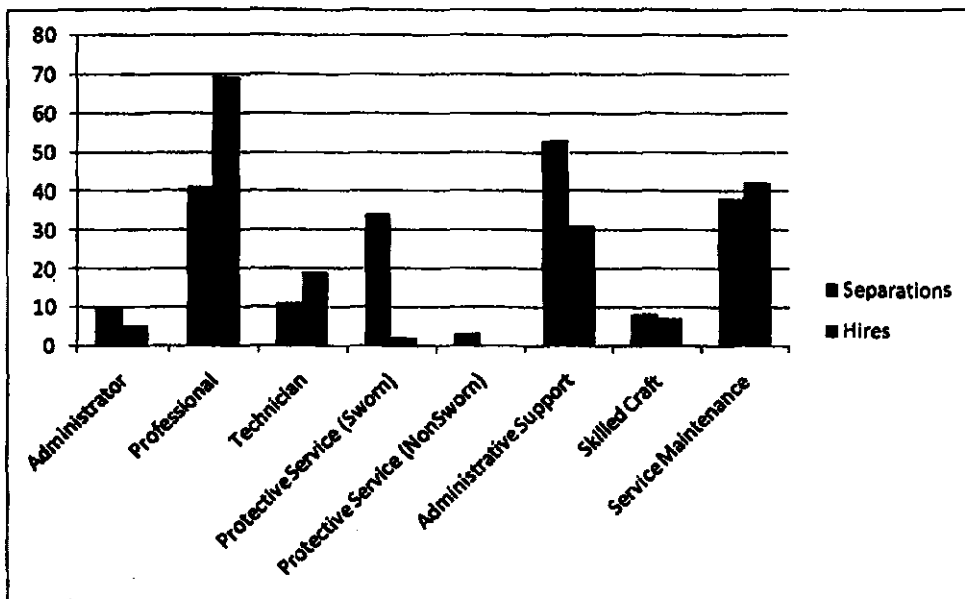
Department	Total # %	Male			Female			PWD Total # %
		BM # %	WM # %	OM # %	BF # %	WF # %	OF # %	
CITIZENS COMPLAINT AUTHORITY	0							
CITY MANAGER - SUMMARY	0							
CITY PLANNING DEPARTMENT	0							
COMMUNITY DEVELOPMENT	1				1			
ENTERPRISE SERVICES	0							
FINANCE	0							
FIRE	0							
HEALTH	2	1				1		
HUMAN RESOURCES	1				1			
LAW	1					1		
METROPOLITAN SEWER DISTRICT	11		4		3	4		
PARKS	0							
POLICE	0							
PUBLIC SERVICES	1	1						
RECREATION	0							
REGIONAL COMPUTER CTR	0							
TRANSPORTATION & ENGINEERING	1					1		
WATER WORKS	5	1	1		1	2	1	
<b>TOTAL</b>	<b>23</b>	<b>3</b>	<b>5</b>		<b>6</b>	<b>9</b>		<b>1</b>

PWD = Persons with Disabilities

## Separations from Full-Time Employment

Separations are analyzed to assess the impact on the workforce. All separations (i.e. retirements, resignations, dismissals, full-time to part-time, etc.) from the permanent full-time workforce is counted to determine the separation rate. The table below reveals a total of 198 separations for program year 2009. When compared with the 175 hires made in 2009, there were 23 less hires than separations.

The comparison of hires and separations reveals that employees in five of the eight EEO Job Categories were hired at a lower rate than they were separated in 2009. All other job categories hired at a higher rate than were separated.



**CITY OF CINCINNATI  
FULL TIME EMPLOYEES SEPARATED BY  
JOB CATEGORY, RACE AND SEX  
JANUARY 01, 2009 -DECEMBER 31, 2009**

**TABLE 15**

Job Category	Total # %	Male			Female			PWD Total # %
		BM # %	WM # %	OM # %	BF # %	WF # %	OF # %	
Administrator	10	2	2	1	1	4		
Professional	41	3	4	7	10	17		
Technician	11	1	8		1	1	1	
Protective Service (Sworn)	34	13	15	2	1	3		
Protective Service (Unsworn)	3	1	1		1			
Administrative Support	53	3	9	1	22	18	3	
Skilled Craft	8		6			2		
Service/ Maintenance	38	19	7	3	6	3	3	
<b>TOTAL</b>	<b>198</b>	<b>42</b>	<b>52</b>	<b>14</b>	<b>42</b>	<b>48</b>	<b>7</b>	

*PWD = Persons with Disabilities*

**CITY OF CINCINNATI  
FULL TIME EMPLOYEES SEPARATED BY  
DEPARTMENT, RACE AND SEX  
JANUARY 01, 2009 -DECEMBER 31, 2009**

**TABLE 16**

Department	Total # %	Male			Female			PWD Total # %
		BM # %	WM # %	OM # %	BF # %	WF # %	OF # %	
CITIZENS COMPLAINT AUTHORITY	2	1			1			
CITY MANAGER - SUMMARY	3		1		1	1		
CITY PLANNING DEPARTMENT	6	2	1		1	2		
COMMUNITY DEVELOPMENT	2		1		1			
ENTERPRISE SERVICES	2	1			1			
FINANCE	9	2	2	1	2	2		
FIRE	14	3	9	2				
HEALTH	31		4	4	12	11		1
HUMAN RESOURCES	1		1					
LAW	7			1	2	4		
METROPOLITAN SEWER DISTRICT	13	1	7	2	1	2		1
PARKS	14	5	2		3	4		2
POLICE	39	11	8		6	14		
PUBLIC SERVICES	23	14	5	1	3			1
RECREATION	4			1	1	2		1
REGIONAL COMPUTER CTR	10	1	3	1	4	1		1
TRANSPORTATION & ENGINEERING	2		1			1		
WATER WORKS	18	1	7	1	3	4		
<b>TOTAL</b>	<b>198</b>	<b>42</b>	<b>52</b>	<b>14</b>	<b>42</b>	<b>48</b>		<b>7</b>

PWD = Persons with Disabilities

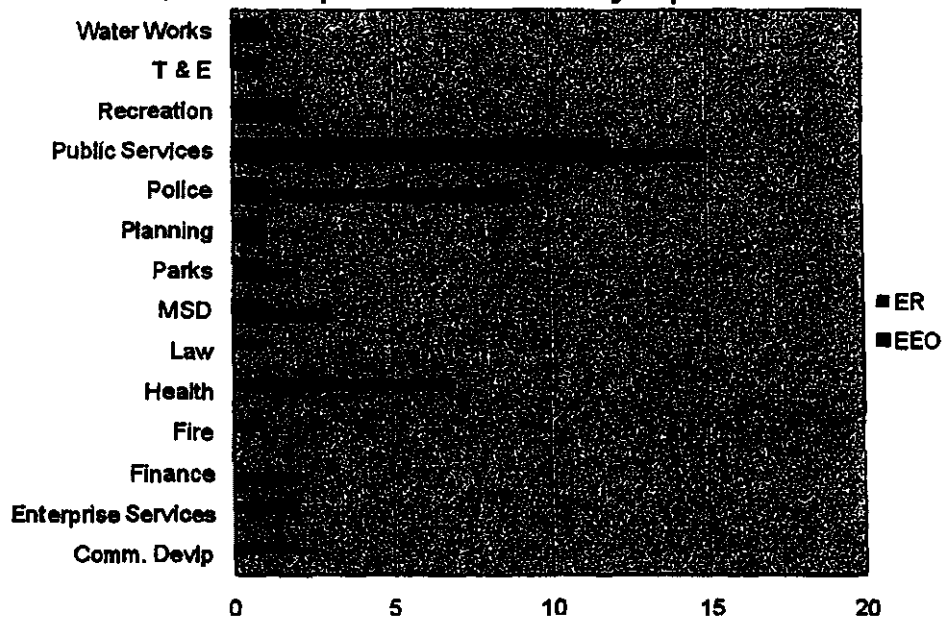


# 6

## ***Equal Employment Opportunity Complaints/Contacts***

There were 35 Equal Employment Opportunity (EEO) Complaints/Contacts and 33 Employee Relations Complaints/Contacts filed with the Employee Relations Division of the Human Resource Department against City employees in 2009. This reflects a 42.9% decrease in filings from 2008. The following departments did not have any EEO Complaints/Contacts filed in 2009: Citizen Complaint Authority, the City Manager's Office, the Department of Human Resources, and the Regional Computer Center.

**EEO/ER Complaints and Contacts by Department**



**CITY OF CINCINNATI  
NUMBER OF EQUAL EMPLOYMENT OPPORTUNITY COMPLAINTS/CONTACTS  
BY DEPARTMENT, RACE AND SEX  
JANUARY 01, 2009 -DECEMBER 31, 2009**

**TABLE 17**

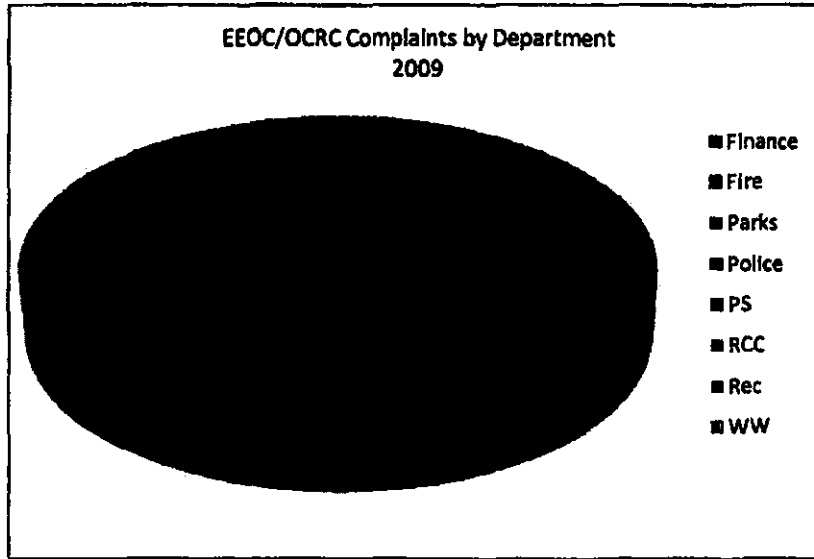
Department	Total # %	Male			Female		
		BM # %	WM # %	OM # %	BF # %	WF # %	OF # %
CITIZENS COMPLAINT AUTHORITY	100						
CITY MANAGER - SUMMARY	100						
CITY PLANNING DEPARTMENT	1					1	
COMMUNITY DEVELOPMENT	100					100	
ENTERPRISE SERVICES	100						
FINANCE	2		2				
HEALTH	100						
HUMAN RESOURCES	100						
LAW	100						
METROPOLITAN SEWER DISTRICT	3	2				1	
PARKS	2	2					
POLICE	9	2	1		6		
PUBLIC SERVICES	15	7	2		6		
RECREATION	2	1				1	
REGIONAL COMPUTER CTR	100						
TRANSPORTATION & ENGINEERING							
WATER WORKS	1						
<b>TOTAL</b>	<b>35</b>	<b>14</b>	<b>5</b>		<b>12</b>	<b>3</b>	



**CITY OF CINCINNATI  
NUMBER OF Emp Relation COMPLAINTS/CONTACTS  
BY DEPARTMENT, RACE AND SEX  
JANUARY 01, 2009 -DECEMBER 31, 2009  
TABLE 18**

Department	Total # %	Male			Female		
		BM # %	WM # %	OM # %	BF # %	WF # %	OF # %
CITIZENS COMPLAINT AUTHORITY	100						
CITY MANAGER - SUMMARY	100						
CITY PLANNING DEPARTMENT	1					1	
COMMUNITY DEVELOPMENT	2	1				1	
ENTERPRISE SERVICES	2	1				1	
FINANCE	100						
FIRE	1		1				
HEALTH	7		1		2	4	
HUMAN RESOURCES	100						
LAW	1				1		
METROPOLITAN SEWER DISTRICT	1	1					
PARKS	1	1					
POLICE	1	1					
PUBLIC SERVICES	12	7	1		3		
RECREATION	2		1	1			
REGIONAL COMPUTER CTR	100						
TRANSPORTATION & ENGINEERING	1					1	
WATER WORKS	1	1					
<b>TOTAL</b>	<b>33</b>	<b>13</b>	<b>4</b>	<b>1</b>	<b>8</b>	<b>8</b>	

In 2009, 24 complaints were filed externally. Of the 24 complaints, 9 were filed with the Equal Employment Opportunity Commission (EEOC) and 14 were filed with the Ohio Civil Rights Commission (OCRC), and 1 was filed with both agencies.



**2009  
Demographics For EEOC/OCRC Cases**

Agency	Total	Black Male	White Male	Other Male	Black Female	White Female	Other Female	Unknown
Finance	1				1			
Fire	1	1						
Parks	1		1					
Police	4	3			1			
Public Services	8	5			3			
Regional Computer Center	3	2			1			
Recreation Commission	1	1						
Water Works	5	1		1	1			2
<b>Total</b>	<b>24</b>	<b>13</b>	<b>1</b>	<b>1</b>	<b>7</b>			<b>2</b>

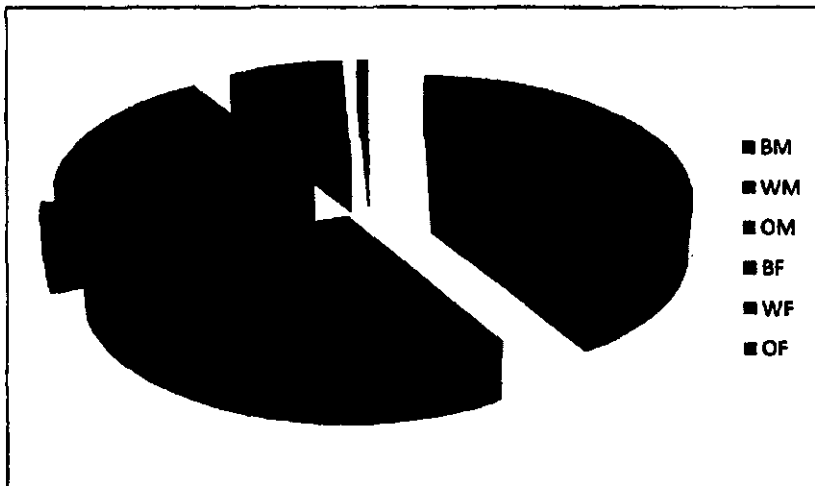


# 7

## Corrective Action

The total number of corrective actions received by employees increased from 373 in 2008 to 388 in 2009. The table below indicates that of the 388 corrective actions taken in 2009, 280 (72.1%) were imposed upon protected class employees, and 248 (63.9%) were minority employees. The percentage of corrective actions received by minority employees increased by 8.5% from 2008.

2009 Corrective Actions by Race and Sex



Comparative Chart of Corrective Actions

2002 - 2009

Year	Total	Black Male	White Male	Other Male	Black Female	White Female	Other Female
2002	421	210 (49.9%)	132 (31.4%)	2 (0.5%)	49 (11.6%)	24 (5.7%)	4 (1.0%)
2003	389	192 (48.1%)	134 (33.8%)	5 (1.3%)	43 (10.8%)	25 (6.3%)	0 (0.0%)
2004	409	193 (47.2%)	126 (30.8%)	10 (2.4%)	41 (10.0%)	39 (9.5%)	0 (0.0%)
2005	477	206 (43.2%)	172 (36.1%)	2 (0.4%)	50 (10.5%)	47 (9.9%)	0 (0.0%)
2006	497	213 (42.9%)	175 (35.2%)	3 (0.6%)	62 (12.5%)	43 (8.7%)	1 (0.2%)
2007	423	181 (42.8%)	149 (35.2%)	1 (0.2%)	58 (13.7%)	34 (8.0%)	0 (0.0%)
2008	373	138 (37.0%)	122 (32.7%)	6 (1.6%)	58 (15.5%)	44 (11.8%)	5 (1.3%)
2009	388	161 (41.5%)	108 (27.8%)	18 (4.6%)	66 (17.0%)	32 (8.2%)	3 (0.8%)

**CITY OF CINCINNATI  
FULL TIME EMPLOYEES DISCIPLINED BY  
DEPARTMENT, RACE AND SEX  
JANUARY 01, 2009 -DECEMBER 31, 2009**

**TABLE 19**

Department	Total # %	Male			Female			PWD Total # %
		BM # %	WM # %	OM # %	BF # %	WF # %	OF # %	
CITIZENS COMPLAINT AUTHORITY	0							
CITY MANAGER - SUMMARY	0							
CITY PLANNING DEPARTMENT	0							
COMMUNITY DEVELOPMENT	3		2	1				
ENTERPRISE SERVICES	14	7	1		6			
FINANCE	4	1	1	1	1			1
FIRE	52	26	16	6	1	3		
HEALTH	10	1	1		6		2	
HUMAN RESOURCES	0							
LAW	0							
METROPOLITAN SEWER DISTRICT	19	6	9	2	1	1		
PARKS	17	12	3		1	1		2
POLICE	127	46	39	4	24	13	1	1
PUBLIC SERVICES	78	46	12	2	17	1		2
RECREATION	14		5	1	2	6		3
REGIONAL COMPUTER CTR	1					1		
TRANSPORTATION & ENGINEERING	1		1					
WATER WORKS	48	16	18	1	7	6		1
<b>TOTAL</b>	<b>388</b>	<b>161</b>	<b>108</b>	<b>18</b>	<b>66</b>	<b>32</b>	<b>3</b>	<b>10</b>

PWD = Persons with Disabilities

# 8



## **Training**

Outside Training reflects employee attendance at a training program offered by an outside training vendor or by City departments. The chart below reflects the total number of training classes or seminars that were attended by employees and the demographic information of attendees. External training is often highly specialized, technical or requires expertise not existing within the employee complement. As budgetary constraints limit resources to fund external training, the Department of Human Resources has focused on utilizing internal resources to provide training in areas such as basic/advanced supervision, management training, customer service, sexual harassment, etc.

**Demographics for Outside Training 2007 - 2009**

<b>Year</b>	<b>Total</b>	<b>Black Male</b>	<b>White Male</b>	<b>Other Male</b>	<b>Black Female</b>	<b>White Female</b>	<b>Other Female</b>
<b>2007</b>	5907	850 (14.4%)	3023 (51.2%)	148 (2.5%)	780 (13.2%)	1291 (21.9%)	65 (1.1%)
<b>2008</b>	2475	374 (15.1%)	1195 (48.3%)	109 (4.4%)	270 (10.9%)	512 (20.7%)	15 (0.6%)
<b>2009*</b>	11833	2205(18.6%)	5576 (47.1%)	354 (3.0%)	1276 (20.0%)	2332 (19.7%)	90 (0.8%)

\* Data now includes training not offered through HRDA

LPGA TRAINING BY DEPARTMENT, RACE AND SEX 2009							
DEPARTMENT	W	W+	W-	GM	BF	WT	OT
	Count	Count	Count	Count	Count	Count	Count
CITY PLANNING	31	7	13	2	1	8	0
	100%	22.6%	41.9%	6.5%	3.2%	25.8%	0.0%
CITIZEN COMPLAINT	6	2	2	0	2	0	0
	100%	33.3%	33.3%	0.0%	33.3%	0.0%	0.0%
CITY MANAGER'S OFFICE	43	7	12	0	10	13	1
	100%	16.3%	27.9%	0.0%	23.3%	30.2%	2.3%
COMMUNITY DEVELOPMENT	30	3	16	0	5	6	0
	100%	10.0%	53.3%	0.0%	16.7%	20.0%	0.0%
FINANCE	75	2	25	4	19	25	0
	100%	2.7%	33.3%	5.3%	25.3%	33.3%	0.0%
FIRE	85	12	57	4	8	4	0
	100%	14.1%	67.1%	4.7%	9.4%	4.7%	0.0%
ENTERPRISE SERVICES	15	5	5	0	3	2	0
	100%	33.3%	33.3%	0.0%	20.0%	13.3%	0.0%
HEALTH	182	12	28	3	60	73	6
	100%	6.6%	15.4%	1.6%	33.0%	40.1%	3.3%
HUMAN RESOURCES	23	1	5	0	11	5	1
	100%	4.3%	21.7%	0.0%	47.8%	21.7%	4.3%
LAW	27	1	9	0	7	9	1
	100%	3.7%	33.3%	0.0%	25.9%	33.3%	3.7%
MSD	629	80	384	37	35	84	9
	100%	12.7%	61.0%	5.9%	5.6%	13.4%	1.4%
PARKS	88	31	25	0	8	24	0
	100%	35.2%	28.4%	0.0%	9.1%	27.3%	0.0%
POLICE	125	13	50	4	21	37	0
	100%	10.4%	40.0%	3.2%	16.8%	29.6%	0.0%
PUBLIC SERVICES	335	134	108	5	69	18	1
	100%	40.0%	32.2%	1.5%	20.6%	5.4%	0.3%
RCC	32	6	12	3	6	5	0
	100%	18.8%	37.5%	9.4%	18.8%	15.6%	0.0%
RECREATION	375	87	86	8	84	110	0
	100%	23.2%	22.9%	2.1%	22.4%	29.3%	0.0%
TRANSPORTATION & ENG	73	6	45	2	5	13	2
	100%	8.2%	61.6%	2.7%	6.0%	17.8%	2.7%
WATER WORKS	633	88	348	10	74	109	4
	100%	13.9%	55.0%	1.6%	11.7%	17.2%	0.6%
<b>TOTAL</b>	<b>2,807</b>	<b>497</b>	<b>1,230</b>	<b>82</b>	<b>428</b>	<b>545</b>	<b>25</b>
	100%	17.7%	43.8%	2.9%	15.2%	19.4%	0.9%



# 9

## ***Gender Discrimination Guidelines***

The City of Cincinnati fully complies with all applicable State and Federal laws regarding gender discrimination. The City will continue to do the following:

### **Recruitment and Advertising**

1. The City actively recruits and hires employees of both genders for all jobs.
2. Employment advertisements do not express a gender preference for any job.

### **Job Policies and Practices**

1. Personnel policies do not discriminate on the basis of gender.
2. Employees and applicants of both sexes are considered equally for all positions they are qualified to perform.
3. Employment opportunities, wages, hours, conditions of employment, pensions, recreation programs, and employee fringe benefits are administered regardless of gender.
4. The seniority system is equal for all employees regardless of gender.
5. There is no distinction between the employment treatment or termination of a male or female based on marital status. The number or age of children will not be a factor in job offers and equal treatment. Retirement age and benefits are equal for both genders.
6. Leave of absences are the same for all employees regardless of gender or marital status.

### **Sexual Harassment and Favors**

It is against the City of Cincinnati's policy statement on sexual harassment for any person to use their official authority in making sexual advances towards employees over whom the person is authorized to make or recommend personnel actions; to grant, recommend or refuse to take personnel action because of sexual favors; and to take or fail to take a personnel action as reprisal against any employee for rejecting or reporting a sexual advance. It is also against City policy for a manager or supervisor to allow any employee to be sexually harassed, either verbally or physically, by any other employee, disciplinary action, up to and including termination, will be taken against any employee, whether supervisor or co-worker, who has violated this policy.

Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when:

1. Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment.
2. Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or
3. Such conduct has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment.

Any employee who believes he or she is or has been sexually harassed should immediately report the matter to his or her supervisor or, if the harassment is from his or her supervisor or another member of management, to that individual's supervisor.

Reports of sexual harassment may also be made to the EEO Division and/or any EEO Counselor.

**Affirmative Action**

The City will continue to take affirmative action to seek women for all positions. Special emphasis will be placed on those positions where women have been previously excluded. Equal opportunity is provided to all employees and applicants in all functions of the City.





# 10

## ***EEO Job Categories***

EEO Categories are job classifications published by the Equal Employment Opportunity Commission (EEOC). State and local governments use the EEO-4 schedule. Approximately 6.3 million employees are covered under the EEO-4 Job Categories. A description for each of the eight Job Categories; Administrator, Professional, Technician, Protective Service (Sworn), Protective Service (Unsworn), Administrative Support, Skilled Craft, and Service Maintenance; begins on page 51. A detailed listing of all of the job classifications employed by the City of Cincinnati for 2009 are listed by EEO Job Category beginning on page 68.

## Description of EEO-4 Job Categories

- 1 **Officials/Administrators:** Occupations in which workers set broad policies and exercise overall responsibility for execution of these policies. Included are department heads and other top management positions. This category also includes a number of positions that are regulatory.
- 2 **Professionals:** Occupations that require advanced education, special training, or work experience.
- 3 **Technicians:** Occupations that require specialized and theoretical knowledge that is usually acquired through specialized post-secondary school education or on-the-job training.
- 4 **Protective Services-Sworn:** Occupations that are directly connected with ensuring public safety, security, and protection.
- 5 **Protective Services-Nonsworn:** Occupations that perform technical and support work in safety or law enforcement that do not require a sworn person.
- 6 **Administrative Support:** Occupations in which workers are responsible for performing clerical support work such as typing, filing, recording, and receptionist work.
- 7 **Skilled Craft:** Occupations in which workers perform jobs which require special manual skill and a thorough and comprehensive knowledge of the processes involved in the work which is acquired through on-the-job training or apprenticeship.
- 8 **Service Maintenance:** Occupations in which workers perform duties that result in or contribute to the comfort, convenience, hygiene, or safety of the general public. Responsible for the general care, cleaning, and upkeep of buildings, parks, or facilities.



# 11

## ***Internal Audit***

### **Internal Review**

Under the direction of the EEO Officer, the EEO staff will conduct general internal reviews to help assure the City Manager that the City is meeting all EEO objectives and fulfilling the intention of the City of Cincinnati's Affirmative Action Program.

Following each review the findings will be analyzed and when necessary, a corrective action plan that addresses deficiencies will be prepared and implemented.

### **Internal Reporting System**

The following internal reports will be prepared on a scheduled basis to provide the information necessary for the internal review, as well as to ensure that non-discriminatory policies are being carried out:

1. **EEO-4 Report**
  - Details the race and sex composition of the workforce by eight occupational categories and is used to determine general trends.
2. **Report of Human Resources Department Activities**
  - Provides the composition of applicant flow and hire data by EEO-4 minority designation and gender
  - Provides source of referrals and hires by EEO-4 minority designation and sex.
  - Provides reasons for rejection of employment applicants by EEO-4 minority designation and gender.
3. **Utilization Status Report**
  - Provides utilization status, profile trend and movement data by EEO-4 minority designation and sex.
4. **Movement Report**
  - Tracks placement, promotions, and separations by EEO-4 minority designation and gender.
5. **Training Reports**
  - Documents attendance at training classes by EEO-4 minority designation and gender.



# 12

## ***Dissemination***

### **Internal**

1. Copies of the Affirmative Action Program plan will be distributed to Council Members, elected and appointed officials, City management, Equal Employment Opportunity Counselors, employee organizations, and City Boards and Commissions.
2. Human Resources will advise employees that a copy of the Affirmative Action Program plan is available for review.
3. The City's EEO Policy Statement will be distributed annually to all employees.
4. All required federal and state posters and notices will be posted at appropriate locations.
5. In-house publications will bear the statement "Equal Opportunity/Affirmative Action Employer" on the cover of face sheet, as appropriate.
6. City-sponsored publications will feature both minority and non-minority men and women.
7. EEO policy will be discussed in new employee orientation sessions and appropriate training programs.
8. Non-discrimination clauses will be included in all union agreements, and all contracts will be reviewed to ensure they are non-discriminatory.

## **External**

1. Any method utilized for recruitment purposes will conclude with the statement that the City is an "Equal Opportunity/Affirmative Action Employer."
2. Relevant advertising or City-sponsored publications prepared for the general public will feature both minority and non-minority men and women.
3. Printed material for external dissemination will include the statement "Equal Opportunity/Affirmative Action Employer," as appropriate.
4. Female/minority/disabled recruiting sources will be utilized whenever possible.
5. The Human Resources Department will maintain a current listing of female/minority/disabled publications and community organizations whose interests are directed at ensuring equality.



## ***Appendices***

<b>Appendix A:</b> Summary of EEO Laws -----	56
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## Appendix A

### Summary of EEO Laws

#### Title VII of the Civil Rights Act of 1964 (As Amended)

Title VII prohibits discrimination because of race, color, religion, sex, or national origin in all employment practices, including hiring, firing, promotion, compensation, and other terms, privileges, and conditions of employment.

#### Equal Employment Opportunity Act of 1972

This Act amends Title VII of the Civil Rights Act of 1964 and greatly strengthens the power and expands the jurisdiction of the Equal Employment Opportunity Commission in enforcement of the law.

#### Title IX Education Amendments Act of 1972

Title IX, in addition to extending coverage of the Equal Pay Act, prohibits discrimination on the basis of sex against employees or students of any education institution receiving Federal financial aid. Provisions covering students are similar to those of Title VI of the 1964 Civil Rights Act.

#### The Equal Pay Act of 1963

This act requires all employers subject to the Fair Labor Standards Act to provide equal pay for men and women performing similar work. In 1972, coverage of this Act was extended beyond employees covered by the FLSA to an estimated 15 million additional executive, administrative and professional employees (including academic, administrative personnel, and teachers in the elementary and secondary schools) and to outside sales persons. (Administration of the Act transferred to EEOC, July 1, 1979.)

#### The Rehabilitation Act of 1973

This Act states that no otherwise qualified disabled individual in the United States as defined, shall, solely by reason of his/her disability, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.

#### Vietnam Era Veterans Readjustment Act of 1974

A federal statute, effective December 3, 1974, which requires firms holding federal contracts or subcontracts of \$10,000 or more to take "Affirmative Action to hire and advance in Employment" disabled and Vietnam-Era veterans. The law is to be administered by the U.S. Department of Labor. Previously, government contractors were required, under Executive Order 11598, only to give "Special Emphasis" to the employment of veterans. No veteran may be considered to be a veteran of the Vietnam era under Section 2011 after December 31, 1999.

## Appendix A

### The Age Discrimination in Employment Act of 1967

This Act prohibits employers of 25 or more persons from discrimination because of age against persons 40 years old and over in any area of employment. (Administration of this Act transferred to EEOC July 1, 1979.)

### Civil Rights Act of 1991

The Civil Rights Act of 1991, significantly amends Title VII of the Civil Rights Act of 1964, the Civil Rights Act of 1966, the Attorneys' Fee Award Act of 1976, the American with Disability Act of 1990, and the Age Discrimination in Employment Act of 1967. The Act reverses parts of seven recent United States Supreme Court decisions that favored employers and for the first time provides for increased damages and jury trials in cases of intentional discrimination. Such subjects as disparate impact, business necessity, bias after hiring, consent decree challenges, seniority systems, and race-norming of test scores are addressed. The Act also requires the Equal Employment Opportunity Commission to carry out a program of educational and outreach activities regarding its provisions.

### Americans with Disabilities of 1992

This Act provides comprehensive civil rights protection to individuals with disabilities in the areas of employment, public accommodation, state and local government services and programs and telecommunications. Most of the provisions of the ADA encompass Section 504 of the Rehabilitation Act of 1973, as amended, and the Civil Rights Act of 1964, as amended. The ADA extends disability discrimination prohibition to all state and local governments whether or not they receive federal funds.

### State of Ohio Against Discrimination

Section 4112 of the Ohio Revised Code in 1959 empowered the Ohio Civil Rights Commission (OCRC) as the agency to eliminate discriminatory employment practices. Subsequent amendments to the law have extended responsibilities of the OCRC to cover discrimination based on race, color, religion, sex, national origin, disability, age (at least 40 years old) or ancestry in the areas of employment, housing and public accommodations.

### City Ordinance No. 79-1991

According to this Ordinance, the City of Cincinnati will not unlawfully discriminate in any terms or conditions of employment because of race, color, sex, religion, national or ethnic origin, age, handicap, sexual orientation, HIV status, Appalachian regional ancestry, and marital status.

This ordinance (replaces Ordinance No. 540-1987) revises the City's Affirmative Action Program, and authorizes the City Manager to issue guidelines and standards for the implementation of such program. This ordinance provides the City of Cincinnati the means by which to comply with all employment regulations of Title VII of the 1964 Civil Rights Act as amended, of the 1967 Age Discrimination in Employment Act as amended, of the 1973 Rehabilitation Act as amended, and the 1990 Americans with Disabilities Act.



## Appendix B

### Equal Employment Opportunity Affirmative Action Definitions

#### **Affirmative Action (AA)**

Affirmative Action is a plan to take action to assure equal employment opportunity. Such plan is conscious of race, color, sex, and disability to help remedy past patterns of employment practices.

However, Affirmative Action goals are not established for the following protected groups: religion, national or ethnic origin, age, sexual orientation, HIV status, Appalachian Regional Ancestry, and marital status.

#### **Equal Employment Opportunity (EEO)**

Equal Employment Opportunity is equal access to employment as well as equal access on the job to all opportunities available, including opportunities for promotion, training, responsibilities, vacation, sick time, breaks, benefits, and higher paying jobs. EEO also encompasses equal application of rules, procedures, and discipline.

In regard to all of these, EO tells us to be blind to race, color, sex, disability, age religion, national or ethnic origin, sexual orientation, HIV status, Appalachian Regional Ancestry, and marital status.

#### **Essential Functions of the Job**

Functions that the individual who holds the position must be able to perform unaided or with the assistance of reasonable accommodation. To determine whether a function is essential, consider the following factors: (1) whether the position exists to perform a particular function; (2) the number of other employees available to perform that job function or among whom the performance of that job function can be distributed; and (3) the degree of expertise or skill required to perform the function.

#### **HIV Status**

Individual diagnosed with Human Immunodeficiency Virus (HIV).

#### **Hostile Work Environment**

Unwelcome sexual conduct that interferes with an individual's job performance or creates an intimidating, hostile, or offensive working environment, even if it leads to no tangible or economic job consequences.

## Appendix B

### **Job Categories**

Jobs that are relatively homogeneous are grouped into job categories. Jobs with similar "content, wage rates and (promotional) opportunities" should be combined. The object is to group together a series of related jobs.

### **Marital Status**

The state of individual as being married, single, divorced, separated or widowed.

### **Person with a Disability**

A person who: (1) has a physical or mental impairment that substantially limits one or more of his or her major life activities; or (2) has a record of such an impairment, or (3) is regarded as having such an impairment.

### **Protected Group**

EEO law forbids discrimination based on membership qualifying categories in the following "protected groups": Race, Color, Gender, Age (at least 40 year old), Religion, National Origin, Ethnic Origin, Sexual Orientation, HIV Status, Appalachian Regional Ancestry, Marital Status and Disability.

Equal Opportunity for all persons is protected by law on these grounds.

### **Qualified Person with a Disability**

A person with a disability who: (1) satisfied the requisite, skill, experience, education and other job-related requirements of the position such individual holds or desires, and (2) with or without reasonable accommodation can perform the essential function of the position.

### **Reasonable Accommodation**

The term "reasonable accommodation" modifications or adjustments to a job application process that enable a qualified applicant with a disability to be considered for the position such qualified applicant desires, or (2) modifications or adjustments to the work environment, or to the manner or circumstances under which the position held or desired is customarily performed, that enable a qualified person with a disability to perform the essential functions of that job or (3) modifications or adjustments that enable an employee with a disability to enjoy equal benefits and privileges of employment as are enjoyed by employees without disabilities. Reasonable accommodation is required unless it can be demonstrated that the accommodation would impose an undue hardship on the business operation.

## Appendix B

### **Sexual Harassment**

Sexual Harassment is a form of sex discrimination. Sexual harassment is unwelcome sexual advances made by supervisors, co-workers, customers and clients. Ordinary social interactions are not sexual harassment, but repeated unwanted sexual conduct is considered sexual harassment. This includes unwelcome and unwanted requests, comments, statements, jokes, touching, gestures, creation of a hostile work environment, and displaying of sexually explicit material – in short, any unwelcome conduct of a sexual nature.

### **Sexual Orientation**

Having an orientation or preference for heterosexuality, homosexuality, or bisexuality, by and between consenting adults, whether expressed through sexual activity, affection inclination, or sexual identification, having a history of such an orientation or preference, or being identified with or perceived as having such an orientation or preference, irrespective of whether such identification or perception is correct.

### **Undue Hardship**

Significant difficulty or expense in, or resulting from, the provision of providing a reasonable accommodation. Refers to any accommodation that would be unduly costly, extensive, substantial, or disruptive, or that would fundamentally alter the nature or operation of the business.

**Availability Factor Computation Form**  
**Sample**

**Job Group**

	Raw Statistics		Value Weight		Weighted Factor		
	Minority	Female	Minority	Female	Minority	Female	
Percentage of minorities and women having requisite skills in immediate labor area.							
Percentage of minorities and women having requisite skills in reasonable recruitment area.							
Percentage of minorities and women promotable or transferable within facility.							
Percentage of minorities and women at facility whom contractor can train in requisite skills.							
			<b>100%</b>	<b>100%</b>			(Raw Statistic) X (Value Weight) = Weighted Factor
<b>Final Availability (Percentage)</b>							<b>Total of Weighted Factors in each Column = Availability</b>

## Appendix C

### Determining Availability

Although the City is not required to follow OFCCP regulations the City does follow their recommendations and considers the eight "factors" below to determine female and minority availability for each Job Group. The factors are possible sources of minority and female employees. Determining availability is essential to identifying areas of underutilization in each job group.

#### The Eight Factors

To determine whether minorities or females are underutilized in any Job Group, the City is required by the OFCCP to "consider" at least all of the following eight factors:

1. The minorities and female total population in the immediate labor area:  
(Note: While the regulations refer to the "availability of women seeking employment in the labor recruitment area of the facility," this is generally interpreted as the percentage of females in the population of the immediate labor area.)
2. The minorities and females among the unemployed in the immediate labor area:  
(Note: This is not the minority or female unemployment rates.)
3. The minorities and females in the workforce in the immediate labor area:
4. The minorities and females having the requisite skills in the immediate labor area:
5. The minorities and female having the requisite skills in the reasonable recruitment area:
6. The promotable and transferable minorities and females within the City.
7. The minorities and females at training institutions from which the City recruits for jobs;  
and
8. The minorities and females at the City whom the City can train in requisite skills.

## Appendix C

### Application of the Eight Factors

The OFCCP recommends the Availability Factor Computation Method (AFCM) be used for conducting the eight factor analysis. The AFCM involves three steps.

1. Collect raw statistics for the applicable Eight Factors for each job category. Listed below are the relevant factors for the City of Cincinnati.

**Factor 4** – Identifies the percent of minorities and females available having the requisite skills in the immediate labor area. The requisite skill factors are derived from occupational data compiled by the Bureau of the Census. The 2000 Census data was used for all job categories using the grouping of the census occupational categories directly related to the EEO-4 categories. The labor market data was tabulated and purchased from Biddle & Associates. Data was provided for those occupations specifically utilized by the City. This data is separated by the eight EEO-4 job categories to provide external availability for all protected classes.

**Factor 5** – Identifies the percent of minorities and females available having the requisite skills in the reasonable recruitment area. The City recruits from the immediate labor area. As such, the same percentage data used for Factor 4 will be used for Factor 5 to determine external availability.

**Factor 6 and 8** – Represent internal availability of women and minorities who are promotable, transferable, or trainable within the City workforce. For the purposes of calculating availability, the percentages for Factors 6 and 8 are identical.

Completion of Factor 6 and 8 for each job group involves a four step process utilizing weighted aggregates.

- A. Determine the feeder jobs (in other Job Categories), if any, for each job title within the job category being analyzed.
  - B. Determine the female and minority composition of the feeder jobs for each job category.
  - C. Determine a weight for each job category based on the contribution of the feeder job to filling positions in the Job Category.
  - D. Multiply the weights by the minority and female percentages and total the results to determine the minority and female raw statistic. These numbers become the values for Factors 6 and 8 for internal availability.
2. These factors are weighted according to their importance to the overall Job Category.
  3. The raw statistical data and value weight are multiplied. The weighted factors are added together to provide the availability for the Job Category (See Attachment A).

## Appendix D

### Promotional/Appointment Criteria

In addition to federal and state regulations, Labor Management Agreements also dictate criteria for promotion within their particular Union's.

#### **"Rule of 1"**

The rule of one is used within the EEO Job category of Protective Services, primarily for classifications within Police and Fire:

**A. Ohio Revised Code 124.46 Eligible Lists for Firemen**

The person having the highest position on the list shall be appointed in the case of a vacancy.

**B. Department of Administrative Services – Personnel 124.44 Promotion of Patrolman.**

The name of the person receiving the highest rating shall be certified. Upon such certification, the appointing officer shall appoint the person.

#### **"Rule of 3"**

The rule of 3 is used within all EEO Job Categories, including some classifications within Police and Fire.

**C. Department of Administrative Services – Personnel 124.31 Promotion**

In all cases where vacancies are to be filled by promotion, the director shall certify to the appointing authority only the names of the three persons having the highest rating.

#### **"Rule of 10"**

The rule of 10 is used within all EEO Job Categories, including some classifications within Police and Fire:

**D. Ohio Revised Code 124.27 Appointments; certified and provisional; probationary period.**

The ten candidates standing highest on the eligible list for open positions for the class or grade to which the position belongs shall be certified.

## Appendix E

### **Guidelines for Writing an Affirmative Action Plan**

#### **Overview**

The Affirmative Action Plan (AAP) provides the City with an opportunity to document its good faith efforts toward affirmative action. This is done by setting specific goals and result-oriented procedures to which the City is committed. These goals and procedures are designed to ensure equal employment opportunity.

#### **Requirements**

The Office of Federal Contract Compliance Programs (OFCCP) has issued guidelines and regulations for AAP requirements. Listed are the key components and the associated OFCCP regulations which the City voluntarily follows.

**A. Reaffirmation of EEO Policy**

The AAP must include a narrative statement of the City's commitment to equal employment opportunity in all personnel actions.

**B. Responsibility for Implementation**

The AAP must establish responsibility for implementation.

**C. Affirmative Action Plan Statistical Analysis**

The workforce, job categories, availability, and underutilization analyses comprise the AAP statistical analysis. Separate OFCCP regulations apply to each component.

**1. Workforce Analysis**

The AAP must contain a workforce analysis. A proper workforce is defined in the regulations simply as a listing of each job title as the title appears on payroll records, ranked from the lowest paid to the highest paid (or highest paid to the lowest paid) within each department. For each job title, the following information must be given; the total number of male and female employees; the total number of male and females in each protected class; and the wage rate or salary range for each job category.

**2. Group Analysis**

The divisions of the City's workforce into major job groups must be included in the AAP. (Note: the City uses the eight EEO-4 categories as major job groups)

**3. Availability Analysis**

**OFCCP Rule** – The AAP must contain the percentage of minority and female availability for each Job Group. To determine the availability of minorities and female for a Job Group, the following factors must be considered:



### **Appendix E**

- The minority population of the labor area surrounding the facility;
- The size of the minority unemployment force in the labor area surrounding the facility;
- The percentage of the minority workforce as compared with the total workforce in the immediate labor area;
- The general availability of minorities having requisite skills in the immediate labor area;
- The availability of minorities having requisite skills in an area in which the contractor can reasonably recruit;
- The availability of promotable and transferable minorities within the contractor's organization;
- The existence of training institutions capable of training persons in the requisite skills; and
- The degree of training which the contractor is reasonably able to undertake as a means of making all job classes available to minorities.

To determine whether women are underutilized in any Job Group, the contractor is required to consider an almost identical set of factors.

- The availability of women seeing employment in the labor or recruitment area of the contractor;
- The size of the female unemployment force in the labor area surrounding the facility;
- The percentage of the female workforce as compared with the total workforce in the immediate labor area;
- The general availability of women having requisite skills in the immediate labor area;
- The availability of women having requisite skills in an area in which the contractor can reasonably recruit;
- The availability of promotable and transferable female employees within the facility;
- The existence of training institutions capable of training women in the requisite skills; and

**Appendix E**

- The degree of training which the contractor is reasonably able to undertake as a means of making all job classes available to women.
4. **Underutilization Analysis**  
The AAP must contain an analysis of all major job groups at the facility, with an explanation if underutilization is found. Underutilization is defined as having fewer minorities or women in a particular Job Group than reasonably could be expected given their availability. An underutilization analysis must be conducted separately for minorities and for women [41CFR 60-2.11(b)].
  5. **Internal Audit and Reporting System**  
The AAP must include an internal audit and reporting system to measure the effectiveness of the total program [41CFR 60-2.13(g)]. This regulation requires records and monitoring of hires, referrals, placements, transfers, promotions, and terminations at all levels to ensure that the nondiscrimination policy is carried out.
  6. **Compliance with Sex Discrimination Guidelines**  
The AAP must contain evidence of the City's compliance with the Sex Discrimination Guidelines issue by the OFCCP [41CFR 60-2.13(h)].

Appendix F

EEO JOB CATEGORY	POSITION TITLE	NUMBER OF POSITIONS
ADMINISTRATOR		
	Airport Manager-EXM	1
	Asst City Manager	2
	Asst Facilities Maint Mgr-EXM	2
	Asst Finance Director-EXM	1
	Asst Supt of Wtr Distribn-EXM	1
	Asst To The City Manager-EXM	1
	Asst Treatment Supt-EXM	12
	Budget & Evaluation Manag-EXM	1
	CCA Director	1
	City Architect-EXM	1
	City Engineer-EXM	1
	City Manager-EXM	1
	City Planning Director-EXM	1
	City Solicitor-EXM	1
	City Traffic Engineer-EXM	1
	CommDev & Planning Director	1
	Contract Compliance Officer-EXM	1
	Deputy City Solicitor-EXM	1
	Deputy CommDev & Planning Dir	2
	Deputy Public Works Dir-EXM	1
	Deputy Sewers Director-EXM	1
	Division Manager	11
	Economic Development Dir-EXM	1
	Employment & Training Supvr-EXM	1
	Environmental Programs Mgr-EXM	2
	Environmental Services Dir-EXM	1
	Executive Mgr of Police Relatns	1
	Facilities Maintenance Mgr-EXM	1
	Facilities Manager-EXM	1
	Finance Director-EXM	1
	Finance Manager-EXM	5
	Health Commissioner-EXM0	1
	Health Laboratory Director-EXM	1
	Health Programs Manager-EXM	3
	Human Resources Director-EXM	1
	Industrial Waste Supt-EXM	1
	Information Technology Mgr-EXM	4
	Internal Audit Manager-EXM	1
	Law Chief of Staff	1
	Medical Director-EXM	1
	Nursing Director-EXM	1
	Parking Superintendent-EXM	1

Appendix F

EEO JOB CATEGORY	POSITION TITLE	NUMBER OF POSITIONS
	Parks Director-EXM	1
	Parks/Recreation Supt-EXM	4
	Pension Fund Manager-EXM	1
	Pharmacy Director-EXM	1
	Principal Architect-EXM	2
	Principal Engineer-EXM	16
	Printing Srvc & Stores Mgr-EXM	1
	Pub Wks/Utilities Supt-EXM	2
	Pub Wks Oprtns Supt-EXM	2
	Public Services Director	1
	Real Estate Manager-EXM	1
	Recreation Director-EXM	1
	Regional Computer Ctr Dir-EXM	1
	Sewers Chief Engineer-EXM	3
	Sewers Director-EXM	1
	Spvg Real Estate Specialist	1
	Supervising Engineer-EXM	28
	Supervisor of Golf-EXM	1
	Supvg Accountant-EXM	13
	Supvg Bldg Pns Exm Cd Anl-EXM	1
	Supvg Chemist-EXM	1
	Supvg City Planner-EXM	1
	Supvg Comm Dev & Plng Anl-EXM	1
	Supvg Envrnmnt/Sfty Spc-EXM	1
	Supvg Hmn Resrcs Anl-EXM	3
	Supvg Management Analyst-EXM	15
	Supvg Parks/Recreation Crd-EXM	5
	Transportation & Eng Dir	1
	Treatment Superintendent-EXM	2
	Urban Conservator-EXM	1
	Wastewater Collection Supt-EXM	1
	Water Distribution Supt-EXM	2
	Water Works Chief Engineer-EXM	1
<b>PROFESSIONAL</b>		
	Accountant - EXM	42
	Administrative Specialist-EXM	79
	Architect Intern-EXM	3
	Asst City Solicitor-EXM	10
	Asst Health Laboratory Mgr-EXM	1
	Asst Supvr of Customer Service	5
	Asst Supvr of Fleet Services	4
	Buyer-EXM	3
	Chemist-EXM	18

Appendix F

EEO JOB CATEGORY	POSITION TITLE	NUMBER OF POSITIONS
	Chief Counsel-EXM	4
	Chief Investigator	1
	City Planner-EXM	1
	Community Development & Plan Anal-EXM	9
	Computer Programmer/Analyst-EXM	10
	Computer Systems Analyst-EXM	71
	Contract Compliance Spec-EXM	1
	Dentist-EXM	9
	Development Officer 4-EXM	2
	Dietitian-EXM	21
	Engineer Intern-EXM	24
	Environmental/Safety Spec-EXM	4
	Environment/Solid Waste Prgrm Crd-EXM	4
	Fleet Services Supvr-EXM	3
	Geotechnical Engineer-EXM	1
	Graphic Design Supvr-EXM	1
	Graphic Designer-EXM	4
	Greenspace Manager-EXM	1
	Health Counseling Supvr-EXM	1
	Health Counselor-EXM	6
	Human Resources Analyst-EXM	4
	Industrial Investigator-EXM	6
	Information Tech Asst Mgr-EXM	22
	Information Technology Coord	5
	Internal Auditor-EXM	2
	Investigator-EXM	2
	Law Enforcement Instructor	2
	Management Analyst-EXM	7
	Nurse Practitioner-EXM	2
	Nursing Supervisor-EXM	10
	Paramedic Coordinator-EXM	1
	Park Naturalist	4
	Parks Operations Supervisor	1
	Pest Coordinator-EXM	1
	Pharmacist-EXM	7
	Plant Maintenance Supvr-EXM	6
	Plant Supervisor-EXM	14
	Pub Works Operas Asst Supt-EXM	2
	Pub Works Operas Supvr-EXM	6
	Public Health Internist-EXM	4
	Public Health Nurse 2	86
	Public Health Nurse 3	14
	Public Health Pediatrician-EXM	5

Appendix F

EEO JOB CATEGORY	POSITION TITLE	NUMBER OF POSITIONS
	Public Health Physician-EXM	3
	Public Health Practitioner-EXM	3
	Real Estate Specialist-EXM	1
	Regnl Crmptr Cntr Asst Mgr-EXM	1
	Sanitarian	22
	Sanitarian-In-Training	10
	Senior Accountant-EXM	26
	Senior Admin Spec-EXM	47
	Senior Architect-EXM	4
	Senior Asst City Solicitor-EXM	18
	Senior Bldng Plans Examiner-EXM	6
	Senior Buyer-EXM	2
	Senior Chemist-EXM	4
	Senior City Planner-EXM	1
	Senior Cmpt/Prgrmr Anlyst-EXM	56
	Senior Comm Dev & Plan Anl-EXM	17
	Senior Contract Cmplice Spe-EXM	1
	Senior Development Officer-EXM	2
	Senior Engineer-EXM	58
	Senior Envmmntl/Sfty Spec-EXM	7
	Senior Human Res Analyst-EXM	5
	Senior Info Technology Coor	1
	Senior Internal Auditor-EXM	2
	Senior Management Analyst-EXM	3
	Senior Plant Supervisor-EXM	3
	Senior Police Criminalist	1
	Senior Real Est Spec-EXM	7
	Senior Sanitarian	9
	Service Area Coordinator-EXM	57
	Supvg Dietitian-EXM	1
	Supvg Sanitarian-EXM	5
	Supvg Surveyor-EXM	3
	Supvr of Customer Service-EXM	1
	Supvr of Inspections-EXM	1
	Supvr of Maintenance-EXM	16
	Supvr of Water Dist Mnt-EXM	2
	Supvr Pks/Rec Mnt & Const-EXM	8
	Surveyor	11
	Technical Systems Analyst-EXM	8
	Therapeutic Rec Prog Coord	2
	Treatment Supervisor-EXM	6
	Urban Forestry Specialist	3
	Vital Statistics Coord-EXM	1

Appendix F

EEO JOB CATEGORY	POSITION TITLE	NUMBER OF POSITIONS
	Wastewater Collection Supvr-EXM	5
	Wic Program Coordinator-EXM	1
<b>TECHNICIAN</b>		
	Asst Spvr of Inspections	8
	Asst Supvr of Constructn Insp	5
	Civil Engineering Technician 1	27
	Civil Engineering Technician 2	26
	Civil Engineering Technician 3	26
	Clinic Medical Lab Tech 2	12
	Clinic Medical Lab Tech 3	1
	Crime Analyst	1
	Dental Hygienist	3
	Engineering Technical Spvr	20
	Engineering Technician 3	12
	Engineering Technician 4	7
	Expanded Function Dental Assistant	1
	Industrial Waste Inspector	3
	Inspector 1	25
	Inspector 2	19
	Inspector Trainee	8
	Laboratory Technician 1	2
	Laboratory Technician 2	10
	Laboratory Technician 3	7
	Laboratory Technician 4	5
	Medical Assistant	13
	Pretreatment Specialist	6
	Public Vehicle Investigator	2
	Public Works Inspector 1	4
	Public Works Inspector 2	36
	Radio Operator-Technician 2	5
	Senior Engineering Technician	28
	Sewer Construction Inspector	11
	Supvr Of Industrial Waste-EXM	1
	Traffic Engineering Tech 2	1
	Traffic Engineering Tech 3	3
	Utilities Const Inspect-EXM	2
	Video Production Spec-EXM	2
	Wastewater Collection Inspecto	15
	Wastewater Plant Incinerator O	1
	Water Works Construction Inspe	26
<b>PROTECTIVE SERVICE (SWORN)</b>		
	Assistant Fire Chief-80 hr	4
	Assistant Police Chief	5

**Appendix F**

EEO JOB CATEGORY	POSITION TITLE	NUMBER OF POSITIONS
	Fire Apparatus Operator-96 hr	164
	Fire Captain-80 hr	10
	Fire Captain-96 hr	39
	Fire Chief 80 hr	1
	Fire District Chief-80 hr	8
	Fire District Chief-96 hr	15
	Fire Fighter-80 hr	2
	Fire Fighter-96 hr	444
	Fire Lieutenant-80 hr	8
	Fire Lieutenant-96 hr	124
	Fire Specialist-80 hr	13
	Paramedic Training Officer	11
	Police Captain	17
	Police Chief	1
	Police Lieutenant	48
	Police Officer	727
	Police Sergeant	171
	Police Specialist	138
<b>PROTECTIVE SERVICE (UNSWORN)</b>		
	Convention Hall Security Offic	1
	Convention Hall Security Works	1
	Parking Enforcement Officer	8
	Parking Enforcement Officer &	5
	Water Works Guard	8
<b>ADMINISTRATIVE SUPPORT</b>		
	Accounting Technician 1	7
	Accounting Technician 2	9
	Accounting Technician 3	25
	Administrative Technician-EXM	92
	Asst Operator And Dispatcher	12
	Asst To The City Solicitor-EXM	1
	Cashier 1	1
	Clerk 2	22
	Clerk 3	13
	Clerk Typist 1	2
	Clerk Typist 2	60
	Clerk Typist 3	112
	Computer Operator 2	1
	Customer Relations Representat	91
	Data Control Technician	1
	Emergency 911 Operator	40
	Emergency Svcs Dspch Supvr	15
	Equipment Dispatcher 2	7



Appendix F

EEO JOB CATEGORY	POSITION TITLE	NUMBER OF POSITIONS
	Fire Alarm Operator And Dispat	13
	Legal Assistant-EXM	5
	Operator And Dispatcher	33
	Pharmacy Technician	4
	Police Technician	5
	Secretary	10
	Sr Cust Rel Rep	12
	Stockhandler	1
	Storekeeper	17
	Support Services Specialst-EXM	8
	Supvg Clerk	5
	Supvg Storekeeper	10
	Water Customer Service Rep 1	21
	Water Customer Service Rep 2	4
	Water Works Dispatcher	5
	Zoning Hearing Examiner	1
<b>SKILLED CRAFT</b>		
	Asst Supvr of Prkng Svcs-EXM	3
	Automotive Mechanic	45
	Automotive Mechanic-Crew Chief	12
	Carpenter	6
	Cement Finisher	11
	Communications Supervisor	1
	Electrical Maint Worker 1	10
	Electrical Maint Worker 2	36
	Electrical Maintnce Supvr-EXM	1
	Electrician	4
	Electronics Technician 1	4
	Electronics Technician 2	5
	Facility Maintenance Specialis	13
	Heat Ventilation & Air Conditi	4
	Maintenance Machinist	11
	Maintenance Machinist-Crew Lea	1
	Painter	11
	Painter Crew Leader	1
	Plant Operator 2	25
	Plant Operator 2 - Ohio Class	18
	Plant Operator 2-OH Class 3	11
	Plumber	6
	Senior Plant Operator	5
	Supvg Structures Maintenance W	1
	Telecommunication Specialist 2	3
	Tinsmith	1

Appendix F

EEO JOB CATEGORY SERVICE/ MAINTENANCE	POSITION TITLE	NUMBER OF POSITIONS
	Airport Maintenance Supvr	1
	Airport Maintenance Worker	2
	Asphalt Raker	2
	Automotive Street Cleaning Equ	4
	Bldg & Grnds Mnt Crw Ldr-EXM	5
	Building Maintenance Worker	1
	Cement Gun Utility Worker	1
	Cleaner	19
	Cleaning/Service Supvr	2
	Community Center Director	66
	Convention Hall Utility Worker	3
	Electrical Maintenance Helper	7
	Electrical Maintenance Worker3	2
	Florist	24
	Home Health Aide	4
	Hostler	1
	Laborer	86
	Litter Control Officer	2
	Maintenance Crew Leader	26
	Maintenance Machinist Helper	5
	Motor Equipment Operator 1	35
	Motor Equipment Operator 2	11
	Motor Equipment Operator 3	5
	Parking Attendant	7
	Parking Meter Collector	5
	Parking Operations-Crew Leader	2
	Parks/Rec Maintenance Crew Ldr	5
	Plant Maintenance Worker	50
	Plant Operator 1	23
	Repro Machine Operator 3	1
	Reproduction Machine Oper 2	3
	Sanitation Helper	53
	Sanitation Specialist	48
	Sanitation Truck Driver	1
	Service Crew Leader	8
	Sewer Maintenance Crew Leader	7
	Sign Painter	3
	Structures Maintenance Worker	12
	Supvg Groundskeeper	2
	Supvg Traffic Aids Worker	1
	Tire Repair Worker	1
	Traffic Aids Worker	7

**Appendix F**

EEO JOB CATEGORY	POSITION TITLE	NUMBER OF POSITIONS
	Tree Maintenance Crew Leader	2
	Tree Maintenance Worker	1
	Truck Driver	75
	Turf Manager	8
	Utility Laborer	37
	Wastewater Collection Crew Lea	11
	Wastewater Collection Pipelaye	6
	Water Works Maint Field Supvr	16
	Water Works Maintenance Crew L	17
	Water Works Maintenance Worker	19
	Water Works Valve Operator 1	32
	Water Works Valve Operator 2	5
	Welder	6
	Welder Helper	2

**WORKFORCE ANALYSIS FORM**

Name of Organization: Greater Cincinnati Water Works

Date: 11 /16 / 11

Categories	Total	White		Latino		Black		Other		Total	
		M	F	M	F	M	F	M	F	M	F
Adminlstrators	23	16	5			0	0	2	0	18	5
Professionals	133	80	31			7	12	2	1	89	44
Superintendents											
Supervisors											
Foremen											
Technicians	79	58	12			2	5	2	0	62	17
Protective Service	10	6	0			4	0	0	0	10	0
Para-Professionals											
Office/Clerical	108	25	35			11	35	0	2	36	72
Skilled Craft	51	42	1			7	1	0	0	49	2
Service/Maintenance	149	77	2			58	8	4	0	139	10
<b>Total:</b>	<b>553</b>	<b>304</b>	<b>86</b>			<b>89</b>	<b>61</b>	<b>10</b>	<b>3</b>	<b>403</b>	<b>150</b>

Prepared by: Amy Reneke

Administrative Specialist, HR Liaison  
**Name & Title**

**AFFIDAVIT**

Comes the Affiant, Biju George, and after being first duly sworn, states under penalty of perjury as follows:

1. His/her name is Biju George and he/she is the individual submitting the proposal or is the authorized representative of the City of Cincinnati on behalf of the Greater Cincinnati Water Works, the entity submitting the proposal (hereinafter referred to as "Proposer").
2. Proposer will pay all taxes and fees, which are owed to the Lexington-Fayette Urban County Government at the time the proposal is submitted, prior to award of the contract and will maintain a "current" status in regard to those taxes and fees during the life of the contract.
3. Proposer will obtain a Lexington-Fayette Urban County Government business license, if applicable, prior to award of the contract.
4. Proposer has authorized the Division of Central Purchasing to verify the above-mentioned information with the Division of Revenue and to disclose to the Urban County Council that taxes and/or fees are delinquent or that a business license has not been obtained.
5. Proposer has not knowingly violated any provision of the campaign finance laws of the Commonwealth of Kentucky within the past five (5) years and the award of a contract to the Proposer will not violate any provision of the campaign finance laws of the Commonwealth.
6. Proposer has not knowingly violated any provision of Chapter 25 of the Lexington-Fayette Urban County Government Code of Ordinances, known as "Ethics Act."

**Continued on next page**

7. Proposer acknowledges that "knowingly" for purposes of this Affidavit means, with respect to conduct or to circumstances described by a statute or ordinance defining an offense, that a person is aware or should have been aware that his conduct is of that nature or that the circumstance exists.

Further, Affiant sayeth naught.

Biju George

STATE OF Ohio

COUNTY OF Hamilton

The foregoing instrument was subscribed, sworn to and acknowledged before me by Biju George on this the 18th day of November, 2011.

My Commission expires: No Expiration

Daniel J. Schlueter  
NOTARY PUBLIC, STATE AT LARGE



Daniel J. Schlueter, Attorney At Law  
NOTARY PUBLIC - STATE OF OHIO  
My commission has no expiration date  
Sec. 147.03 R.C.

### EQUAL OPPORTUNITY AGREEMENT

#### The Law

- Title VII of the Civil Rights Act of 1964 (amended 1972) states that it is unlawful for an employer to discriminate in employment because of race, color, religion, sex, age (40-70 years) or national origin.
- Executive Order No. 11246 on Nondiscrimination under Federal contract prohibits employment discrimination by contractor and sub-contractor doing business with the Federal Government or recipients of Federal funds. This order was later amended by Executive Order No. 11375 to prohibit discrimination on the basis of sex.
- Section 503 of the Rehabilitation Act of 1973 states:

*The Contractor will not discriminate against any employee or applicant for employment because of physical or mental handicap.*

- Section 2012 of the Vietnam Era Veterans Readjustment Act of 1973 requires Affirmative Action on behalf of disabled veterans and veterans of the Vietnam Era by contractors having Federal contracts.
- Section 206(A) of Executive Order 12086, Consolidation of Contract Compliance Functions for Equal Employment Opportunity, states:

*The Secretary of Labor may investigate the employment practices of any Government contractor or sub-contractor to determine whether or not the contractual provisions specified in Section 202 of this order have been violated.*

\*\*\*\*\*

The Lexington-Fayette Urban County Government practices Equal Opportunity in recruiting, hiring and promoting. It is the Government's intent to affirmatively provide employment opportunities for those individuals who have previously not been allowed to enter into the mainstream of society. Because of its importance to the local Government, this policy carries the full endorsement of the Mayor, Commissioners, Directors and all supervisory personnel. In following this commitment to Equal Employment Opportunity and because the Government is the benefactor of the Federal funds, it is both against the Urban County Government policy and illegal for the Government to let contracts to companies which knowingly or unknowingly practice discrimination in their employment practices. Violation of the above mentioned ordinances may cause a contract to be canceled and the contractors may be declared ineligible for future consideration.

Please sign this statement in the appropriate space acknowledging that you have read and understand the provisions contained herein. Return this document as part of your application packet.

#### Bidders

*I/We agree to comply with the Civil Rights Laws listed above that govern employment rights of minorities, women, Vietnam veterans, handicapped and aged persons.*

  
Signature

City of Cincinnati,  
on behalf of Greater Cincinnati Water Works

\_\_\_\_\_  
Name of Business

**LFUCG MBE/WBE PARTICIPATION FORM**

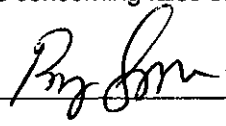
Bid/RFP/Quote Reference # 40-2011

The MBE/WBE subcontractors listed have agreed to participate on this Bid/RFP/Quote. If any substitution is made or the total value of the work is changed prior to or after the job is in progress, it is understood that those substitutions must be submitted to Central Purchasing for approval immediately.

MBE/WBE Company, Name, Address, Phone, Email	Work to be Performed	Total Dollar Value of the Work	% Value of Total Contract
1. Soft Vista, Inc. 10138 Elmfield Dr. Loveland, OH 45140 <u>sandip@soft-vista.com</u>	IT Consulting & Project Management Services	\$150,000	2.73%
2.			
3.			
4.			

The undersigned company representative submits the above list of MBE/WBE firms to be used in accomplishing the work contained in this Bid/RFP/Quote. Any misrepresentation may result in the termination of the contract and/or be subject to applicable Federal and State laws concerning false statements and false claims.

City of Cincinnati-GCWW  
**Company**  
12/1/11  
**Date**

  
**By**  
Interim Director-GCWW  
**Title**





**MBE QUOTE SUMMARY FORM**

**Bid/RFP/Quote Reference #** 40-2011

The undersigned acknowledges that the minority subcontractors listed on this form did submit a quote to participate on this project.

<b>Company Name</b> Soft Vista	<b>Contact Person</b> Sandip Basu
<b>Address/Phone/Email</b> (513) 608-8934 10138 Elmfield Dr. Loveland, OH 45140	<b>RFP Package / RFP Date</b>

MBE/WBE Company Address	Contact Person	Contact Information (work phone, Email, cell)	Date Contacted	Services to be performed	Method of Communication (email, phone meeting, ad, event etc)	Total dollars \$\$ Do Not Leave Blank (Attach Documentation)	MBE * AA HA AS NA Female
						\$150,000	AS

(MBE designation / AA=African American / HA= Hispanic American/AS = Asian American/Pacific Islander/ NA= Native American)

The undersigned acknowledges that all information is accurate. Any misrepresentation may result in termination of the contract and/or be subject to applicable Federal and State laws concerning false statements and claims.

City of Cincinnati-GCWW  
**Company**

  
**Company Representative**

12/1/11  
**Date**

Interim Director-GCWW  
**Title**

**LFUCG STATEMENT OF GOOD FAITH EFFORTS Bid/RFP/Quote # 40-2011 Billing & Collection Services – Sewer Landfill & Water Quality Fees**

By the signature below of an authorized company representative, we certify that we have utilized the following methods to obtain the maximum practicable participation by minority and women owned business enterprises on the project. Please indicate which methods you used by placing an X in the appropriate place.

Attended LFUCG Central Purchasing Economic Inclusion Outreach Event

Sponsored Economic Inclusion event to provide networking opportunities

Requested a list of MBE/WBE subcontractors or suppliers from LFUCG Economic Engine

Advertised for MBE/WBE subcontractors or suppliers in local or regional newspapers

Showed evidence of written notice of contracting and/or supplier opportunities to MBE/WBE firms at least seven days prior to the proposal opening date

Provided copies of quotations submitted by MBE/WBE firms which were not used and/or responses from firms indicating they would not be submitting a quote

Provided plans, specifications, and requirements to interested MBE/WBE subcontractors

Other Please list any other methods utilized that aren't covered above.

Spoke with Todd Slatin, Central Purchasing Division, concerning MBE/WBE program requirements and related forms that need to be completed as part of this RFP response.

The undersigned acknowledges that all information is accurate. Any misrepresentations may result termination of the contract and/or be subject to applicable Federal and State laws concerning false statements and claims.

City of Cincinnati-GCWW  
**Company**

  
**Company Representative**

12/1/11  
**Date**

Interim Director-GCWW  
**Title**

**City of Cincinnati SBE Report - Actual Dollars Spent - Department 300 Water Works  
Between 7/1/2011 and 9/30/2011**

<b>SBE Spend in Hamilton County</b>				
Category	SBE Spend	Non-SBE Spend	All Spend	Percent SBE Spend
Construction	\$3,358,906	\$5,105,481	\$8,464,387	39.7%
Prof Services	\$230,984	\$718,873	\$949,857	24.3%
Supplies/Services	\$156,830	\$2,231,605	\$2,388,435	6.6%
<b>GRAND TOTAL</b>	<b>\$3,746,720</b>	<b>\$8,055,959</b>	<b>\$11,802,679</b>	<b>31.7%</b>

<b>SBE Spend in Cincinnati</b>				
Category	SBE Spend	Non-SBE Spend	All Spend	Percent SBE Spend
Construction	\$1,142,982	\$149,274	\$1,292,256	88.4%
Prof Services	\$31,786	\$369,172	\$400,958	7.9%
Supplies/Services	\$82,680	\$441,850	\$524,530	15.8%
<b>GRAND TOTAL</b>	<b>\$1,257,448</b>	<b>\$960,296</b>	<b>\$2,217,744</b>	<b>56.7%</b>

Category	SBE Spend	Non-SBE Spend	All Spend	Percent SBE Spend
Construction	\$3,358,906	\$8,501,943	\$11,860,849	28.3%
Prof Services	\$230,984	\$1,229,500	\$1,460,484	15.8%
Supplies/Services	\$156,830	\$3,908,667	\$4,065,496	3.9%
<b>GRAND TOTAL</b>	<b>\$3,746,720</b>	<b>\$13,640,109</b>	<b>\$17,386,829</b>	<b>21.5%</b>

**This is a DRAFT. Final data for this time period is not yet verified**

Note: SBE goal attainment is based on percentage of City Certified SBE dollars spent as compared to total dollars spent in Hamilton County.

Non-competitive expenditures and contracts awarded to nonprofits, other government entities and interdepartmental transactions are excluded from the SBE Report

\* MSD has it's own SBE program. It is a dual Hamilton County/City organization and SBE numbers must be obtained directly from that agency. This report does include expenditures for Stormwater, since they go through the City's purchasing division of finance

10/26/2011

**City of Cincinnati SBE Report - Actual Dollars Spent - Department 300 Water Works  
Between 4/1/2011 and 6/30/2011**

<b>SBE Spend in Hamilton County</b>				
Category	SBE Spend	Non-SBE Spend	All Spend	Percent SBE Spend
Construction	\$4,399,065	\$6,204,017	\$10,603,082	41.5%
Prof Services	\$318,230	\$478,427	\$796,657	39.9%
Supplies/Services	\$94,411	\$2,243,003	\$2,337,413	4.0%
<b>GRAND TOTAL</b>	<b>\$4,811,705</b>	<b>\$8,925,447</b>	<b>\$13,737,152</b>	<b>35.0%</b>

<b>SBE Spend in Cincinnati</b>				
Category	SBE Spend	Non-SBE Spend	All Spend	Percent SBE Spend
Construction	\$1,729,668	\$126,583	\$1,856,251	93.2%
Prof Services	\$24,883	\$221,958	\$246,841	10.1%
Supplies/Services	\$57,202	\$251,257	\$308,459	18.5%
<b>GRAND TOTAL</b>	<b>\$1,811,753</b>	<b>\$599,798</b>	<b>\$2,411,551</b>	<b>75.1%</b>

Category	SBE Spend	Non-SBE Spend	All Spend	Percent SBE Spend
Construction	\$4,399,065	\$10,532,306	\$14,931,370	29.5%
Prof Services	\$318,230	\$867,070	\$1,185,300	26.8%
Supplies/Services	\$94,411	\$4,380,547	\$4,474,958	2.1%
<b>GRAND TOTAL</b>	<b>\$4,811,705</b>	<b>\$15,779,923</b>	<b>\$20,591,628</b>	<b>23.4%</b>

**This is a DRAFT. Final data for this time period is not yet verified**

**Note: SBE goal attainment is based on percentage of City Certified SBE dollars spent as compared to total dollars spent in Hamilton County.**

**Non-competitive expenditures and contracts awarded to nonprofits, other government entities and interdepartmental transactions are excluded from the SBE Report**

**\* MSD has it's own SBE program. It is a dual Hamilton County/City organization and SBE numbers must be obtained directly from that agency. This report does include expenditures for Stormwater, since they go through the City's purchasing division of finance**

7/21/2011

**City of Cincinnati SBE Report - Actual Dollars Spent - Department 300 Water Works  
Between 1/1/2011 and 3/31/2011**

<b>SBE Spend in Hamilton County</b>				
Category	SBE Spend	Non-SBE Spend	All Spend	Percent SBE Spend
Construction	\$1,428,238	\$5,847,199	\$7,275,437	19.6%
Prof Services	\$332,386	\$552,806	\$885,191	37.5%
Supplies/Services	\$129,748	\$1,517,133	\$1,646,881	7.9%
<b>GRAND TOTAL</b>	<b>\$1,890,371</b>	<b>\$7,917,138</b>	<b>\$9,807,510</b>	<b>19.3%</b>

<b>SBE Spend in Cincinnati</b>				
Category	SBE Spend	Non-SBE Spend	All Spend	Percent SBE Spend
Construction	\$451,392	\$76,373	\$527,765	85.5%
Prof Services	\$20,435	\$140,335	\$160,770	12.7%
Supplies/Services	\$44,902	\$389,050	\$433,952	10.3%
<b>GRAND TOTAL</b>	<b>\$516,729</b>	<b>\$605,758</b>	<b>\$1,122,487</b>	<b>46.0%</b>

<b>SBE Spend regardless of Location</b>				
Category	SBE Spend	Non-SBE Spend	All Spend	Percent SBE Spend
Construction	\$1,428,238	\$8,895,746	\$10,323,984	13.8%
Prof Services	\$332,386	\$900,798	\$1,233,183	27.0%
Supplies/Services	\$129,748	\$3,390,961	\$3,520,709	3.7%
<b>GRAND TOTAL</b>	<b>\$1,890,371</b>	<b>\$13,187,505</b>	<b>\$15,077,876</b>	<b>12.5%</b>

**This is a DRAFT. Final data for this time period is not yet verified**

**Note: SBE goal attainment is based on percentage of City Certified SBE dollars spent as compared to total dollars spent in Hamilton County.**

**Non-competitive expenditures and contracts awarded to nonprofits, other government entities and interdepartmental transactions are excluded from the SBE Report**

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4/28/2011

**City of Cincinnati SBE Report - Actual Dollars Spent - Department 300 Water Works  
Between 1/1/2010 and 12/31/2010**

<b>SBE Spend in Hamilton County</b>				
Category	SBE Spend	Non-SBE Spend	All Spend	Percent SBE Spend
Construction	\$8,138,030	\$28,354,161	\$36,492,191	22.3%
Prof Services	\$1,086,498	\$3,626,944	\$4,713,442	23.1%
Supplies/Services	\$189,431	\$5,529,551	\$5,718,982	3.3%
<b>GRAND TOTAL</b>	<b>\$9,413,959</b>	<b>\$37,510,656</b>	<b>\$46,924,615</b>	<b>20.1%</b>

<b>SBE Spend in Cincinnati</b>				
Category	SBE Spend	Non-SBE Spend	All Spend	Percent SBE Spend
Construction	\$3,279,975	\$1,470,308	\$4,750,283	69.0%
Prof Services	\$171,960	\$1,404,589	\$1,576,549	10.9%
Supplies/Services	\$84,453	\$1,074,337	\$1,158,789	7.3%
<b>GRAND TOTAL</b>	<b>\$3,536,388</b>	<b>\$3,949,234</b>	<b>\$7,485,621</b>	<b>47.2%</b>

<b>SBE Spend in Hamilton County Location</b>				
Category	SBE Spend	Non-SBE Spend	All Spend	Percent SBE Spend
Construction	\$8,138,030	\$47,089,404	\$55,227,434	14.7%
Prof Services	\$1,086,498	\$5,042,961	\$6,129,459	17.7%
Supplies/Services	\$189,431	\$14,273,167	\$14,462,598	1.3%
<b>GRAND TOTAL</b>	<b>\$9,413,959</b>	<b>\$66,405,532</b>	<b>\$75,819,491</b>	<b>12.4%</b>

**This is a DRAFT. Final data for this time period is not yet verified**

**Note: SBE goal attainment is based on percentage of City Certified SBE dollars spent as compared to total dollars spent in Hamilton County.**

**Non-competitive expenditures and contracts awarded to nonprofits, other government entities and interdepartmental transactions are excluded from the SBE Report**

**\* MSD has it's own SBE program. It is a dual Hamilton County/City organization and SBE numbers must be obtained directly from that agency. This report does include expenditures for Stormwater, since they go through the City's purchasing division of finance**

1/27/2011

## GENERAL PROVISIONS

1. Each Respondent shall comply with all Federal, State & Local regulations concerning this type of service or good.

The Respondent agrees to comply with all statutes, rules, and regulations governing safe and healthful working conditions, including the Occupational Health and Safety Act of 1970, *29 U.S.C. 650 et. seq.*, as amended, and KRS Chapter 338. The Respondent also agrees to notify the LFUCG in writing immediately upon detection of any unsafe and/or unhealthful working conditions at the job site. The Respondent agrees to indemnify, defend and hold the LFUCG harmless from all penalties, fines or other expenses arising out of the alleged violation of said laws.

2. Failure to submit ALL forms and information required in this RFP may be grounds for disqualification.
3. Addenda: All addenda, if any, shall be considered in making the proposal, and such addenda shall be made a part of this RFP. Before submitting a proposal, it is incumbent upon each proposer to be informed as to whether any addenda have been issued, and the failure to cover in the bid any such addenda may result in disqualification of that proposal.
4. Proposal Reservations: LFUCG reserves the right to reject any or all proposals, to award in whole or part, and to waive minor immaterial defects in proposals. LFUCG may consider any alternative proposal that meets its basic needs.
5. Liability: LFUCG is not responsible for any cost incurred by a Respondent in the preparation of proposals.
6. Changes/Alterations: Respondent may change or withdraw a proposal at any time prior to the opening; however, no oral modifications will be allowed. Only letters, or other formal written requests for modifications or corrections of a previously submitted proposal which is addressed in the same manner as the proposal, and received by LFUCG prior to the scheduled closing time for receipt of proposals, will be accepted. The proposal, when opened, will then be corrected in accordance with such written request(s), provided that the written request is contained in a sealed envelope which is plainly marked "modifications of proposal".
7. Clarification of Submittal: LFUCG reserves the right to obtain clarification of any point in a bid or to obtain additional information from a Respondent.
8. Bribery Clause: By his/her signature on the bid, Respondent certifies that no employee of his/hers, any affiliate or Subcontractor, has bribed or attempted to bribe an officer or employee of the LFUCG.
9. Additional Information: While not necessary, the Respondent may include any product brochures, software documentation, sample reports, or other documentation that may assist LFUCG in better understanding and evaluating the Respondent's response. Additional documentation shall not serve as a

substitute for other documentation which is required by this RFP to be submitted with the proposal,

10. **Ambiguity, Conflict or other Errors in RFP:** If a Respondent discovers any ambiguity, conflict, discrepancy, omission or other error in the RFP, it shall immediately notify LFUCG of such error in writing and request modification or clarification of the document if allowable by the LFUCG.
11. **Agreement to RFP Terms:** In submitting this proposal, the Respondent agrees that it has carefully examined the specifications and all provisions relating to the work to be done attached hereto and made part of this proposal. By acceptance of a Contract under this RFP, proposer states that it understands the meaning, intent and requirements of the RFP and agrees to the same. The successful Respondent shall warrant that it is familiar with and understands all provisions herein and shall warrant that it can comply with them. No additional compensation to Respondent shall be authorized for services or expenses reasonably covered under these provisions that the proposer omits from its Proposal.
12. **Cancellation:** If the services to be performed hereunder by the Respondent are not performed in an acceptable manner to the LFUCG, the LFUCG may cancel this contract for cause by providing written notice to the proposer, giving at least thirty (30) days notice of the proposed cancellation and the reasons for same. During that time period, the proposer may seek to bring the performance of services hereunder to a level that is acceptable to the LFUCG, and the LFUCG may rescind the cancellation if such action is in its best interest.

**A. Termination for Cause**

- (1) LFUCG may terminate a contract because of the contractor's failure to perform its contractual duties
- (2) If a contractor is determined to be in default, LFUCG shall notify the contractor of the determination in writing, and may include a specified date by which the contractor shall cure the identified deficiencies. LFUCG may proceed with termination if the contractor fails to cure the deficiencies within the specified time.
- (3) A default in performance by a contractor for which a contract may be terminated shall include, but shall not necessarily be limited to:
  - (a) Failure to perform the contract according to its terms, conditions and specifications;
  - (b) Failure to make delivery within the time specified or according to a delivery schedule fixed by the contract;
  - (c) Late payment or nonpayment of bills for labor, materials, supplies, or equipment furnished in connection with a contract for construction services as evidenced by mechanics' liens filed pursuant to the provisions of KRS Chapter 376, or letters of indebtedness received from creditors by the purchasing agency;
  - (d) Failure to diligently advance the work under a contract for construction services;



- (e) The filing of a bankruptcy petition by or against the contractor; or
- (f) Actions that endanger the health, safety or welfare of the LFUCG or its citizens.

#### B. At Will Termination

Notwithstanding the above provisions, the LFUCG may terminate this contract at will in accordance with the law upon providing thirty (30) days written notice of that intent, Payment for services or goods received prior to termination shall be made by the LFUCG provided these goods or services were provided in a manner acceptable to the LFUCG. Payment for those goods and services shall not be unreasonably withheld.

13. **Assignment of Contract:** The contractor shall not assign or subcontract any portion of the Contract without the express written consent of LFUCG. Any purported assignment or subcontract in violation hereof shall be void. It is expressly acknowledged that LFUCG shall never be required or obligated to consent to any request for assignment or subcontract; and further that such refusal to consent can be for any or no reason, fully within the sole discretion of LFUCG.
14. **No Waiver:** No failure or delay by LFUCG in exercising any right, remedy, power or privilege hereunder, nor any single or partial exercise thereof, nor the exercise of any other right, remedy, power or privilege shall operate as a waiver hereof or thereof. No failure or delay by LFUCG in exercising any right, remedy, power or privilege under or in respect of this Contract shall affect the rights, remedies, powers or privileges of LFUCG hereunder or shall operate as a waiver thereof.
15. **Authority to do Business:** The Respondent must be a duly organized and authorized to do business under the laws of Kentucky. Respondent must be in good standing and have full legal capacity to provide the services specified under this Contract. The Respondent must have all necessary right and lawful authority to enter into this Contract for the full term hereof and that proper corporate or other action has been duly taken authorizing the Respondent to enter into this Contract. The Respondent will provide LFUCG with a copy of a corporate resolution authorizing this action and a letter from an attorney confirming that the proposer is authorized to do business in the State of Kentucky if requested. All proposals must be signed by a duly authorized officer, agent or employee of the Respondent.
16. **Governing Law:** This Contract shall be governed by and construed in accordance with the laws of the Commonwealth of Kentucky. In the event of any proceedings regarding this Contract, the Parties agree that the venue shall be the Fayette County Circuit Court or the U.S. District Court for the Eastern District of Kentucky, Lexington Division. All parties expressly consent to personal jurisdiction and venue in such Court for the limited and sole purpose of proceedings relating to this Contract or any rights or obligations arising thereunder. Service of process may be accomplished by following the procedures prescribed by law.

17. Ability to Meet Obligations: Respondent affirmatively states that there are no actions, suits or proceedings of any kind pending against Respondent or, to the knowledge of the Respondent, threatened against the Respondent before or by any court, governmental body or agency or other tribunal or authority which would, if adversely determined, have a materially adverse effect on the authority or ability of Respondent to perform its obligations under this Contract, or which question the legality, validity or enforceability hereof or thereof.
18. Contractor understands and agrees that its employees, agents, or subcontractors are not employees of LFUCG for any purpose whatsoever. Contractor is an independent contractor at all times during the performance of the services specified.
19. If any term or provision of this Contract shall be found to be illegal or unenforceable, the remainder of the contract shall remain in full force and such term or provision shall be deemed stricken.

  
Signature

11/21/2011  
Date

Biju George

Interim Director-GCWW



Lexington-Fayette Urban County Government  
DEPARTMENT OF FINANCE & ADMINISTRATION

Jim Gray  
Mayor

Jane C. Driskell  
Commissioner

**ADDENDUM #1**

RFP Number: **#40-2011**

Date: November 10, 2011

Subject: Billing & Collection Services – Sewer, Landfill & Water Quality Fees

Address inquiries to:  
Todd Slatin  
(859) 258-3320

**TO ALL PROSPECTIVE SUBMITTERS:**

Please be advised of the following clarifications to the above referenced RFP:

1. Posting of risk management provisions

**See attached file "RFP #40-2011 Risk Management Provisions.pdf"**

Brian Marcum, Director  
Division of Central Purchasing

All other terms and conditions of the RFP and specifications are unchanged.

This letter should be signed, attached to and become a part of your proposal.

**PROPOSAL OF:**

City of Cincinnati on behalf of Greater Cincinnati Water Works

**ADDRESS:**

4747 Spring Grove Avenue, Cincinnati, Ohio 45232-1986

**SIGNATURE OF SUBMITTER:**



Lexington-Fayette Urban County Government  
DEPARTMENT OF FINANCE & ADMINISTRATION

Jim Gray  
Mayor

Jane C. Driskell  
Commissioner

**ADDENDUM #2**

RFP Number: **#40-2011**

Date: November 10, 2011

Subject: Billing & Collection Services – Sewer, Landfill & Water Quality Fees

Address inquiries to:  
Todd Slatin  
(859) 258-3320

**TO ALL PROSPECTIVE SUBMITTERS:**

Please be advised of the following clarifications to the above referenced RFP:

1. Responses to this RFP are due at @ 2:00PM on December 1, 2011.
2. Cut-off time to submit questions is 2:00PM on November 21, 2011.

Brian Marcum, Director  
Division of Central Purchasing

All other terms and conditions of the RFP and specifications are unchanged.

This letter should be signed, attached to and become a part of your proposal.

**PROPOSAL OF:**

City of Cincinnati on behalf of Greater Cincinnati Water Works

**ADDRESS:**

4747 Spring Grove Avenue, Cincinnati, Ohio 45232-1986

**SIGNATURE OF SUBMITTER:**



Lexington-Fayette Urban County Government  
DEPARTMENT OF FINANCE & ADMINISTRATION

Jim Gray  
Mayor

Jane C. Driskell  
Commissioner

**ADDENDUM #3**

RFP Number: **#40-2011**

Date: November 21, 2011

Subject: Billing & Collection Services – Sewer, Landfill & Water Quality Fees

Address inquiries to:  
Todd Slatin  
(859) 258-3320

**TO ALL PROSPECTIVE SUBMITTERS:**

Please be advised of the following clarifications to the above referenced RFP:

1. The due date for this RFP has been extended to December 8<sup>th</sup>, 2011 at 2:00PM.

Brian Marcum, Director  
Division of Central Purchasing

All other terms and conditions of the RFP and specifications are unchanged.

This letter should be signed, attached to and become a part of your proposal.

**PROPOSAL OF:**

City of Cincinnati on behalf of Greater Cincinnati Water Works

**ADDRESS:**

4747 Spring Grove Avenue, Cincinnati, Ohio 45232-1986

**SIGNATURE OF SUBMITTER:**



Lexington-Fayette Urban County Government  
DEPARTMENT OF FINANCE & ADMINISTRATION

Jim Gray  
Mayor

Jane C. Driskell  
Commissioner

**Just a reminder! The LFUCG Minority Participation Goal is 10%**

*The mission of the Minority Business Enterprise Program is to facilitate the full participation of minority and women owned businesses in the procurement process and to promote economic inclusion as a business imperative essential to the long term growth and economic viability of Lexington-Fayette County.*

Per resolution 167-91 adopted by LFUCG city council, we have in place a 10% participation goal for minority and women owned business enterprises on all construction and professional services contracts. That goal is not limited to construction and professional services contracts. Each division of LFUCG is also striving to reach that goal in all of its purchases.

**Please don't forget to submit the following forms with your Bid/RFP:**

- **MBE/WBE Participation Form**—list of MWBE subs you will be working with
- **MBE/WBE Bid Summary Form**—list all MWBE subcontractors that sent quotes to you for this project (please attach copies of all quotes received)
- **Statement of Good Faith Efforts**—list of efforts you made and methods you used to find MWBE subcontractors.
- **IF YOU ARE AWARDED THE CONTRACT YOU HAVE TO DOCUMENT PAYMENT TO MWBE SUBCONTRACTORS**—you are responsible for documenting the payment of MWBE subcontractors. A subcontractor payment form is included in your bid packet.
- **IF YOU ARE AWARDED THE CONTRACT YOU HAVE TO GIVE ADVANCE NOTICE OF ANY SUBSTITUTION FOR YOUR ORIGINAL MWBE SUBCONTRACTORS**—you will have to notify Purchasing in advance of any substitution of MWBE subcontractors. A MWBE substitution form is also included in your bid packet.

Please email your specific request for MWBE subcontractors to me. In addition you can also find a list of certified MWBE firms on the LFUCG MBE web site at [www.lexingtonky.gov/purchasing](http://www.lexingtonky.gov/purchasing) click the Minority Business Enterprise button. The lists are at the bottom of the page.

If you have any questions or need help finding MWBE subcontractors, please don't hesitate to contact me. Good luck!

**Marilyn Clark, CCDP**  
Minority Business Enterprise Liaison  
LFUCG Division of Central Purchasing  
200 East Main Street  
Lexington, KY 40507  
[mclark@lexingtonky.gov](mailto:mclark@lexingtonky.gov)  
[www.lexingtonky.gov/purchasing](http://www.lexingtonky.gov/purchasing)  
(859) 258-3323

*Biju George*  
\_\_\_\_\_  
BIJU GEORGE

*11-29-2011*  
\_\_\_\_\_  
DATE

**SAMPLE CONTRACT WITH TERMS AND CONDITIONS THAT ARE EXPECTED TO APPEAR  
IN THE FINAL CONTRACT WITH THE SERVICE PROVIDER**

CONTRACT NO. \_\_\_\_\_

**PROFESSIONAL SERVICE CONTRACT**

**THIS AGREEMENT** is made by and between the City of Cincinnati, Ohio, (hereinafter referred to as "City") and Service Provider, address (hereinafter referred to as "Contractor").

**NOW, THEREFORE**, for and in consideration of the promises, covenants and agreements herein contained, the parties mutually agree as follows:

**1. SCOPE OF SERVICES**

The Contractor shall, in a satisfactory and proper manner as determined by the City Manager of the City, perform all the necessary services under this Agreement in connection with the purpose of the project as outlined by the Cincinnati Police Department in its Request for Proposals. The Contractor shall perform the services as outlined in Exhibit A.

**2. TERM**

The services of the Contractor are to commence upon execution of this Agreement by both parties hereto, and shall be completed by \_\_\_\_\_. By mutual consent of the City of Cincinnati and the Contractor, this Agreement may be renewed for three additional twelve-month periods ending \_\_\_\_\_. This option shall be automatically exercised unless written notice to the contrary is filed with either party not later than the first business day (Monday through Friday) of the calendar month in which the current agreement period expires. Such notice shall be transmitted by registered or certified mail.

**3. COMPENSATION AND METHOD OF PAYMENT**

**a. Compensation.**

**b. Method of Payment.** The City shall make payment under this Agreement in accordance with the payment schedule as established in Exhibit B, upon submission of a requisition for payment (City Form No. 37 - Claim Voucher/Invoice) specifying that the required services have been performed, accompanied by data satisfactory to the City to document entitlement to payment.

**c. Prompt Payment System.** This Agreement is subject to and the Contractor shall comply with the provisions of Chapter 319 of the Cincinnati Municipal Code that provide for a Prompt Payment System.

#### 4. SUBCONTRACTS, SUCCESSORS, AND ASSIGNS

- a. **Subcontracts** - The Contractor agrees that none of the work or services covered by this Agreement shall be subcontracted without the prior written approval of the City. Any work or services subcontracted hereunder shall be specified by written contract or agreement and shall be subject to each provision of this Agreement.
- b. **Assignment** - The Contractor shall not assign or transfer the Contractor's interest in this Agreement without the prior written consent of City.

#### 5. COMPLIANCE WITH LAWS, REGULATIONS, AND PROGRAMS

- a. **Generally** - The Contractor in the performance of services under this Agreement shall comply with all applicable statutes, ordinances, regulations, and rules of the Federal Government, the State of Ohio, the County of Hamilton, and the City of Cincinnati.
- b. **Equal Employment Opportunity Program** - This Agreement is subject to the City's Equal Employment Opportunity Program contained in Chapter 325 of the Cincinnati Municipal Code. Said chapter is hereby incorporated by reference into this Agreement. **[If contract is \$5,000 or more]**
- c. **Small Business Enterprise Program**
  - i. This Agreement is subject to the provisions of the Small Business Enterprise Program contained in Chapter 323 of the Cincinnati Municipal Code. Section 323-99 of the Cincinnati Municipal Code is hereby incorporated into this Agreement. **[If contract is \$5,000 or more]**
  - ii. Details concerning this program can be obtained from the Office of Contract Compliance, Two Centennial Plaza, 805 Central Avenue, Suite 234, Cincinnati, Ohio 45202, (513) 352-3144.
  - iii. The Contractor shall utilize best efforts to recruit and maximize the participation of all qualified segments of the business community in subcontracting work, including the utilization of small, minority, and women business enterprises. This includes the use of practices such as assuring the inclusion of qualified Small Business Enterprises in bid solicitation and dividing large contracts into small contracts when economically feasible.



**d. Living Wage Provisions [If contract is \$20,000 or more]**

This Agreement is subject to the Living Wage provisions of the Cincinnati Municipal Code. The provisions require that, unless specific exemptions apply or a waiver is granted, all employers (as defined) under service contracts shall provide payment of a minimum wage to employees (as defined) of \$9.05 per hour with health benefits (as defined) or otherwise \$10.60 per hour. Such rate shall be adjusted annually pursuant to the terms of the Municipal Code.

Under the Living Wage provisions, the City shall have the authority, under appropriate circumstances, to terminate this Agreement and to seek other remedies.

**6. CERTIFICATION AS TO NON-DEBARMENT**

The Contractor certifies that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in the transaction covered by this Agreement. The Contractor acknowledges and agrees that if he or it or its principals is/are presently debarred then he/it shall not be entitled to compensation under this Agreement and that he/it shall promptly return to the City any funds received pursuant to this Agreement. In such event, any materials received by the City pursuant to this Agreement shall be retained as liquidated damages.

**7. CONTRACTOR'S INSURANCE AND INDEMNIFICATION**

- a. Workers' Compensation** - The Contractor shall secure and maintain such insurance as will protect the Contractor from claims under the Workers' Compensation Laws.
- b. General Liability Insurance** - The Contractor shall secure and maintain such general liability insurance as will protect the Contractor from claims for bodily injury, death, or property damage which may arise from the performance of the Contractor's services under this Agreement, with a combined single limit for bodily injury and property damage liability of One Million Dollars (\$1,000,000.00) per occurrence and Two Million Dollars (\$2,000,000.00) in the aggregate. The City shall be named as an additional named insured, and the policy shall contain a provision prohibiting the insurer from canceling any policy without notifying the City in writing at least ninety (90) days prior to cancellation.
- c. Errors And Omissions Insurance** - The Contractor shall secure and maintain during the entire Agreement period errors and omissions insurance with a combined single limit of One Million Dollars (\$1,000,000.00) per occurrence with a maximum deductible not to exceed Twenty Five Thousand Dollars (\$25,000.00) for each occurrence.
- d. Indemnification of the City** - The Contractor shall indemnify, defend and save the City, its agents, and employees harmless from and against any and all losses, damages, settlements, costs, charges, professional fees, or other expenses or liabilities of every kind and character arising out of or relating to any and all claims, liens, demands, obligations,

actions, proceedings, or causes of action of every kind and character in connection with or arising directly or indirectly out of errors or omissions or negligent acts by the Contractor including by the Contractor's employees and agents in the performance of this Agreement.

## **8. NON-PERFORMANCE**

a. If through any cause, the Contractor shall fail to fulfill in a timely and proper manner its obligations under this Agreement, or if the Contractor shall violate any of the covenants or agreements of this Agreement, the City shall have the right to terminate this Agreement by giving written notice to the Contractor specifying the effective date of the termination, at least five (5) days before such effective date. In such event, all finished or unfinished documents, data, studies, reports, and/or information prepared by the Contractor under this Agreement shall, at the option of the City, become the City's property and the Contractor shall be entitled to receive equitable compensation for any work satisfactorily completed at the date of termination.

b. Any periodic payments from the City specified in this Agreement will be contingent upon performance of contractual obligations to date, including the proper receipt of supporting receipts, invoices, reports, statements, or any other supporting information as required by the City in this Agreement. Failure to satisfactorily meet any one of the Agreement obligations by the Contractor may result in the City not approving periodic payments to the Contractor and/or filing liens as may be necessary against the Contractor's assets or future assets, until the Contractor satisfactorily fulfills its obligations under the Agreement or satisfactorily reimburses the City for any prior payments. The City also reserves the right to seek any other legal financial remedies as necessary pursuant to any damages the City may have encountered through the Contractor's default on any of the Agreement obligations until all or part of the City's prior payments have been recouped as the City deems appropriate but not to exceed the total amount of any prior payments. The City also reserves the right in the event of non-performance of this Agreement to prohibit any future or limited contractual relationships with the Contractor either directly or indirectly.

If the Contractor terminates this Agreement after the work has begun, the City shall not be required to compensate the Contractor for services/work not fully completed.

## **9. OWNERSHIP OF PROPERTY**

The Contractor agrees that at the expiration or in the event of any termination of this Agreement that any Memoranda, Maps, Drawings, Working Papers, Reports, and other similar documents produced in connection with this Agreement shall become the property of the City and the Contractor shall promptly deliver such items to the City. The Contractor may retain copies for the Contractor's record.

## **10. CONFLICT OF INTEREST**

- a. **Employee Or Agent Of City** - The Contractor agrees that no officer, employee, or agent of the City who exercises any functions or responsibilities in connection with the planning and carrying out of the program, nor any immediate family member, close business associate, or organization which is about to employ any such person, shall have any personal financial interest, direct or indirect, in the Contractor or in this Agreement and the Contractor shall take appropriate steps to assure compliance with this provision.
  
- b. **Subcontractors** - The Contractor agrees that it will not contract with any subcontractor in which it has any personal financial interest, direct or indirect. The Contractor further covenants that no person having any conflicting interest shall be employed in the performance of this Agreement.

## 11. INDEPENDENT CONTRACTOR

The Contractor shall perform all work and services described herein as an independent contractor and not as an officer, agent, servant, or employee of the City. The Contractor shall have exclusive control of and the exclusive right to control the details of the services and work performed hereunder and all persons performing the same and shall be solely responsible for the acts and omissions of its officers, agents, employees, contractors, and subcontractors, if any. Nothing herein shall be construed as creating a partnership or joint venture between the City and the Contractor. No person performing any of the work or services described hereunder shall be considered an officer, agent, servant, or employee of the City, nor shall any such person be entitled to any benefits available or granted to employees of the City.

## 12. TERMINATION OF AGREEMENT

- a. **Termination of Agreement for Cause.** If, through any cause, the Contractor shall fail to fulfill in a timely and proper manner the Contractor's obligations under this Agreement or if the Contractor violates any of the terms and conditions, covenants, or agreements of this Agreement, if no attempt is made to cure the failure within a period of ten (10) days or a longer period specified in writing, the City shall have the right to terminate this Agreement by giving written notice to the Contractor specifying the effective date of the termination, at least five (5) days before such effective date. Notwithstanding the above, the Contractor shall not be relieved of liability to the City for damages sustained by the City by virtue of the breach of this Agreement by the Contractor, and the City may withhold payments to the Contractor for the purposes of set-off until such time as the exact amount of damages due the City from the Contractor is determined. Exceptions may be made by the City with respect to defaults of subcontractors.
  
- b. **Termination for Convenience of City.** The City may terminate this Agreement by giving ninety (90) days notice in writing from the City to the Contractor. If this Agreement is terminated by the City as provided in this subsection, the Contractor will be paid an amount which bears the same ratio to the total compensation as the services actually performed by the Contractor bear to the total services of the Contractor covered by this Agreement, less payments previously made by the City to the Contractor.

- c. **Alternatives to Termination.** In the event the Contractor fails to fulfill the terms and conditions of this Agreement in a timely and diligent manner, the City reserves the right, at its sole option, as an alternative to termination of the Agreement, to reduce the services required herein of the Contractor and reduce the projected budget in a manner which reflects such a reduction, by giving notice of such in writing, stating the date such reduction will become effective.

### **13. NOTICES**

**Service** - This Agreement requires that all notices shall be personally served or sent by U.S. mail, postage prepaid, addressed to the parties as follows:

- i. To the City:
  
- ii. To the Contractor:

### **14. WAIVER**

This Agreement shall be construed in a manner that a waiver of any breach of any provision of this Agreement shall not constitute or operate as a waiver of any other breach of such provision or of any other provisions, nor shall any failure to enforce any provision hereof operate as a waiver of such provision or of any other provision.

### **15. LAW TO GOVERN**

This Agreement is entered into and is to be performed in the State of Ohio. The City and the Contractor agree that the law of the State of Ohio shall govern the rights, obligations, duties and liabilities of the parties to this Agreement and shall govern the interpretation of this Agreement.

### **16. FORUM SELECTION**

The Contractor and its successors and assigns acknowledge and agree that all state courts of record sitting in Hamilton County, Ohio, shall be the exclusive forum for the filing, initiation, and prosecution of any suit or proceeding arising from or out of, or relating to, this Agreement, or any amendment or attachment thereto, including any duty owed by the Contractor to the City in connection therewith.

### **17. AMENDMENT**

This Agreement may be modified or amended only by a written contract duly executed by the parties hereto or their representatives.

**18. ENTIRETY**

This Agreement and the Exhibits attached hereto contain the entire contract between the parties as to the matters contained herein. Any oral representations or modifications concerning this Agreement shall be of no force and effect.

**19. SEVERABILITY**

This Agreement shall be severable, so if any part or parts of this Agreement shall for any reason be held invalid or unenforceable by a court of competent jurisdiction, all remaining parts shall remain binding and in full force and effect.

**WITNESS WHEREOF**, the City has executed this Agreement on \_\_\_\_\_, 2006, and the Contractor has executed this Agreement on \_\_\_\_\_, 2006.

**Contractor's Name**

**City of Cincinnati**

By: \_\_\_\_\_

By: \_\_\_\_\_

Print Name: \_\_\_\_\_

Print Name: \_\_\_\_\_

Its: \_\_\_\_\_

Its: \_\_\_\_\_

Date: \_\_\_\_\_, 2006

Date: \_\_\_\_\_, 2006

**RECOMMENDED BY:**

**APPROVED FOR COMPLIANCE**

\_\_\_\_\_  
[Fill in Name]  
[Fill in Title]

\_\_\_\_\_  
**Contract Compliance Officer [Required if the contract is over \$5,000]**

**APPROVED AS TO FORM**

\_\_\_\_\_  
Assistant City Solicitor

## Appendix B – Key Personnel Resumes

- Biju George
- Faye Cossins
- Paul Vonder Muelen
- Kristi Irick
- Sandip Basu
- Mark Menkhaus
- Dan Campbell
- Gary Wiest
- Mimi McGarry

## Biju George, P.E.

### CURRENT POSITION OVERVIEW

As the Interim Director of the Greater Cincinnati Water Works, Mr. George focuses on strategic management of the utility, organizational culture and change management, business process optimization, infrastructure asset management strategies, and operating and long-term budgeting and planning.

### EDUCATION

- Bachelor of Engineering (Mechanical), PDA College of Engineering, Gulbarga University, Karnataka, India

### EXPERIENCE HIGHLIGHTS

#### Greater Cincinnati Water Works (GCWW), OH

- Interim Director (January 2011 – present)
  - Leading the utility as the interim executive director, managing operations, planning, budgeting and providing strategic direction.

#### Metropolitan Sewer District of Greater Cincinnati (MSDGC), OH

- Deputy Director (2007 – present)
  - Manages and provides strategic directions to the wastewater treatment, collections, engineering and information technology divisions. Provides departmental long-term financial planning, operating and capital budgeting guidelines, and organizational risk management strategies.
- Hamilton County, OH, Sanitary Engineer (2007 – present)
  - Ministerial responsibility for certifying all sanitary sewer capital improvements projects for technical feasibility, rationale and certifying the cost estimates for due diligence.
- Assistant Superintendent (2006 – 2007)
  - Managed 240 MGD Mill Creek Wastewater Treatment Plant. Primary focus was to motivate and mobilize staff to rethink and refocus on daily operations to improve quality and lower operating costs.
- Supervising Engineer (2002 – 2006)
  - Managing and facilitating capital improvement projects and wastewater treatment equipment management strategies.
- Senior Engineer (1996 – 2001)

- Construction project management of large wastewater treatment and collections facilities and rehabilitation projects. Managed multiple construction projects totaling over \$200 million in total project cost.
- Engineer (EIT) (1991 – 1995)
  - Designed and implemented various facility and process improvement projects, varying from simple field solutions to major capital improvement projects.

## **AWARDS, ACHIEVEMENTS, CERTIFICATIONS, AND MEMBERSHIPS**

- Professional Engineer – State of Ohio
- Engineer in Training – State of Pennsylvania
- Member, National Association of Clean Water Agencies (NACWA)
- Member, Water Environment Federation (WEF)





## Faye A. Cossins

### AREAS OF EXPERTISE

- Customer Service
- Performance Management Improvement
- Client Relationship Management
- Operations Analysis and Enhancement
- Continuous Process Improvement
- Organizational Development
- Strategic Planning
- Publications and Presentations

### EXPERIENCE OVERVIEW

Accomplished utility leader with a passion for delivering outstanding customer service. Over 20 years of experience in operations and business management focusing on contact center and key client care. Outstanding communication and interpersonal skills that result in productive business relationships at all levels, both internally and externally. Effective leader who develops cohesive teams and fosters collaborative efforts across divisions. Highly analytical, innovative, and organized with a strong history of developing effective strategies to overcome challenges, improve operations and increase customer satisfaction and loyalty.

### EDUCATION

- Master of Science, Biology, 1990, University of Dayton, Dayton, OH
- Bachelor of Science, Natural Science and Biology, 1981, College of Mount Saint Joseph, Mount Saint Joseph, OH

### EXPERIENCE HIGHLIGHTS

#### Greater Cincinnati Water Works (GCWW), OH

- Commercial Services Division (CSD) – Superintendent
  - Responsible for leadership, strategic planning, and overall management of the Division which includes: regional growth and client relations and customer contact center. Takes a leadership role in developing and implementing organization strategies designed to promote regional collaboration and business development to contribute to the competitive advantage of the region.

- 
- Commercial Services Division – Assistant Superintendent
    - Senior manager of the CSD Operations including the Customer Assistance Section including the Call Center and the Billing Operations Section. These sections are responsible for billing system processing, payments and collections. Responsible for management, supervision, assignment of work, review and evaluation of the sections' staff and activities.
    - Senior Manager for the GCWW Client Services Section and Customer Contact Center providing leadership, strategic planning, management, supervision, review, evaluation and enhancement of the sections' staff and activities. Responsible for:
      - Key client outreach, relationship building, care and communication with GCWW business partners
      - Contract management, development, processing and maintenance for 32 retail, 10 wholesale and 11 standby water service contracts, 12 billing and contact center services contracts, 4 laboratory testing services contracts, 3 fire hydrant maintenance contracts, 2 distribution system operations and maintenance contracts and 4 water tower space lease agreements for cell phone providers.
      - Support for Departmental expansion efforts through communicating and promoting GCWW water and other utility services to regional utilities and communities:
        - 8 New billing and contact center service agreements executed
        - 4 New laboratory service agreements executed
        - 2 New water service agreements executed
        - 22 Water service agreement renewals executed
      - GCWW Contact Center Upgrade Project Sponsor leadership in project vision, design, implementation and \$2.5M in funding for contract center IT infrastructure, supporting technologies, business processes and operations management to maximize the Contact Center's performance based on customer expectations and industry best practices to achieve superior service levels.
    - Senior management project advisor for the 2008 Customer Contact Center Ventyx Customer Suite (GCWW's Customer Information System) upgrade.
  - Commercial Services Division – Manager of Customer Assistance
    - Manager of the GCWW Call Center, responsible for providing outstanding customer service delivery to over 1,000,000 consumers. Responsible for the:
      - Direct supervision of approximately 60 employees, including supervisory, technical and clerical staff
      - Selection, training and evaluation of staff

- 
- Monitoring and operational analysis of daily, real-time performance reports (primarily through the Call Management System (CMS))
  - Compiling, evaluating and reporting of CMS data to communicate customer service performance levels, identify areas for improvement and make recommendations for enhancement
  - Review and evaluation of daily operations, including business processes, for service enhancement and strategy implementation including:
    - Development, implementation and transition of Senior Customer Relations Representatives
    - Creating the Training Team and Training Area
    - Creating the Customer Care Inbox and “E-Team” to respond to increasing volumes of customer e-mail
    - Schedule optimization and implementation of non-traditional shifts:
    - Implementing the “7 Steps” to Outstanding Customer Service
    - Implementing the Call Quality Monitoring Program
    - Creating and distributing Agent Monthly Quality and Quantity Reports
  - Managing projects designed to improve performance and enhance customer service, including:
    - Call Center Technology Enhancement Project (\$2,500,000) including Interactive Voice Response (IVR), Computer Telephony Integration (CTI), Expert Agent Selection (EAS), Work Force Scheduling (Blue Pumpkin)
    - Customer Care Commitment Statement
    - Customer Service Skills Training Program
    - Call Center Redesign and Renovation project
  - Served as team leader or team member on divisional, departmental and outside agency customer service enhancement projects including:
    - Butler County Department of Environmental Services/GCWW Team. Established and maintained BCDES/GCWW public-to-public partnership in which GCWW provides billing and Call Center services for BCDES
    - Project Marvel Executive Team (CIS project). Oversaw and advised on a \$4.4 million project to conduct a major upgrade of utility CIS
    - ECAM/Auto Debit/e-Services Team. Developed strategies to enhance GCWW's customer communication internet channel to provide additional 24 hour self service options
    - Water Security Initiative, Consumer Complaint Surveillance Team. GCWW/USEPA project designed to protect the public health from potential water contamination incidents

- 
- H<sub>2</sub>O Radio Team. Four-year automatic meter reading system implementation project impacting approximately 230,000 GCWW customer accounts
  - GCWW Strategic Planning Committee and Strategic Business Plan Implementation Team
  - Greater Cincinnati Survey Team Leader. Bi-annual survey of approximately 1,000 GCWW customers
  - American Water Works Association Research Foundation, Utility Representative for the study "Benchmarking Water Utility Customer Relations Best Practices"
  - Assist in developing and monitoring of the section's operational and CIP budgets
  - Water Quality and Treatment Division (WQT) – Senior Chemist
    - Responsible for developing, implementing and managing programs designed to evaluate and optimize distribution system water quality in order to maintain regulatory compliance and improve customer satisfaction, including:
      - Customer Water Quality (CWQ) Program, responded to approximately 1,000 water quality concerns annually
      - Water Main Flushing Program, reduced rusty water complaints by up to 89% in problem areas
      - Continuous Water Quality Monitoring Program, ensured compliance with water quality regulations
      - Served as a project manager, team leader or team member on divisional, departmental and outside agency projects including:
        - Project Manager for \$8.5 million project to rehabilitate and expand the Water Quality and Treatment Facility
        - TEAM Team member. Development of the GCWW asset management and work order system
        - Consumer Confidence Report Team, AWWA Ohio Section, GCWW Representative
      - Responsible for recommending, preparing and monitoring the section's operational and capital budgets
      - Supervised technical staff
  - WQT – Chemist 2
    - Conducted research projects to collect and evaluate data, determine impacts, recommend appropriate actions, implement effective strategies and prepare and present project reports in the areas of groundwater quality, distribution system water quality and technical equipment including:
      - Depressurization Policy Study

- Evaluation, selection and implementation of continuous water quality monitors in the distribution system
- Evaluation of induced infiltration impact on groundwater quality
- Development of a groundwater parasite monitoring program
- WQT – Chemist 1
  - Development of the WQT Parasite Control Strategy
  - Evaluation, selection and implementation of particle counting technology
  - Customer Water Quality Response Team
  - Revise, enhance and lead CWQ REACT Investigation Procedures
  - Certified organic analyst: GC/ECD and GC/MS
  - Chemical Hygiene Officer

### **Metropolitan Sewer District of Greater Cincinnati, OH**

- Chemist 1
- Laboratory Technician 3

### **University of Dayton, Department of Biology, Dayton, OH**

- Research Assistant and Teaching Assistant

### **Howard Laboratories, Inc., Dayton, OH**

- Microbiologist and Chemist

### **PROFESSIONAL MEMBERSHIPS**

- American Water Works Association, (AWWA)

### **AWARDS, ACHIEVEMENTS, AND CERTIFICATIONS**

- University of North Carolina – Kenan Flagler Business School Water and Wastewater Leadership Center. 2006
- City of Cincinnati Outstanding Manager Certificate. 2006
- Commercial Services Division Employee of the Year Nominee. 2005, 2004, 2003
- Middle Management Association, Inspirational Award Nominee. 2000
- City of Cincinnati, Customer Service Award. 1998
- Seasongood Innovation Award, Bronze Tier for the Water Main Flushing Program. 1998
- Water Quality and Treatment Division, Employee of the Year. 1995

## Paul Vonder Meulen

### AREAS OF EXPERTISE

- Information technology strategy and implementation
- Communication
- Strategic business plan development
- Water sector industry

### EXPERIENCE OVERVIEW

Customer focused and results-oriented technology leader with proven problem-solving and leadership abilities. Background spans all facets of software implementation, enterprise information technology strategic planning, and enterprise system maintenance and system integration from business and systems analysis to strategic technology leader. Focused on understanding the business needs and business challenges in order to deliver the most effective information technology solutions. Formerly responsible for all technology support for the GCWW customer service function.

### EDUCATION

- Bachelor of Science, Computer Science, Xavier University, Cincinnati, OH

### EXPERIENCE HIGHLIGHTS

#### Greater Cincinnati Water Works (GCWW), OH

- Chief Information Officer (CIO)
  - The first CIO at GCWW. Responsible for delivering technology solutions to enable business strategy and enable business change for the entire department. Responsibilities include establishing the new IT Services Division, facilitating technology leadership meetings, working closely with all Division leaders on business strategy, developing technology strategies to help enable business change to deliver the business strategy, and leading the technology team for the department. Ensured high level of customer service technology support was maintained as a matrix organization was implemented.
  - Currently providing leadership and direction for the business, operational, and technical improvements in support of enhanced customer service with an upgrade to the GCWW contact center.
  - Formed and continue to improve the IT Services Division and the IT governance structure for the Greater Cincinnati Water Works.

- 
- Provided leadership and direction for many business improvement projects. Examples include: contact center business and technology improvements, data network equipment upgrade, geographic information system
  - GIS improvements, delivery of an enterprise-wide field mobile solution, delivery of an upgrade to the customer information, billing, and collections system, delivery of the hydraulic model in support of water quality and water distribution system investment, delivery of an enterprise content management and business process management solution, transition from traditional printing/copying to multi-function devices, EPA water security system, and laboratory information management system (LIMS).
  - Provided leadership and direction for the potential transition to a public water district, e.g., researching the impact to the business with the implementation of an enterprise resource planning (ERP) solution, data and network security, telephony/radio, and network infrastructure to support a wide area network.
  - Presently providing leadership and vision in the implementation of IT service management and Information Technology Infrastructure Library (ITIL) best practices to improve IT effectiveness and customer service focus. Led the IT staff in the implementation of improvements to Incident Management.
  - Currently providing leadership and vision in the development of a strategic business plan. Includes developing goals, strategies, and action item and revisiting the mission, vision, and values for the utility.
- Customer Service Technology Program Manager
    - Technology program manager leading a dedicated team composed of business analysts and technology experts. Responsible for the operations and delivery of technology systems to support customer service strategies/needs. Worked closely with customer service and field managers to understand business needs and challenges and to deliver related information technology solutions.
    - Led a team of business and technical experts, consultants, and key client experts to implement the Butler County billing system, contact center, and supporting systems. Led the business experts in examining Butler County's business rules which were configured into the billing system. Led the technical experts in the data conversion and system implementation from Butler County's previous system. Coordinated activities related to setting up technologies for the call center to support a separate utility. Developed and led executive management meetings with Butler County and GCWW leaders. The implementation was on-time and was a successful public to public relationship between GCWW and Butler County.
    - Led two successful upgrades of the GCWW Customer Information System. Led a team of business and technical experts, consultants, and end users from GCWW and sewer department in all facets of the upgrade project from developing the project plan, requirements gathering, data conversion, testing and implementation.

- 
- Led a team of business and technical experts in the development of processes and procedures to support the radio meter installation, named H2O Radio. Over 200,000 meters were replaced over four years. Data integrity and accuracy were critical; therefore automation processes were designed and developed to ensure the integrity and accuracy of customer and meter data. Presented the automated processes at the American Water Works Association National Conference and Exposition.
  - Directed the design, development, testing, and implementation of the Electronic Customer Account Management (ECAM) system. This system allows customers to access their utility account information via the internet and allows them to pay their bill with a credit card, electronic check, and access other services.
  - Led a team of technical experts, business experts, consultants, and key users in the redesign and implementation of a new utility bill and customer letters.
  - Led a team of technical experts, business experts, consultants, and client experts in the data conversion and implementation of the City of Mason utility billing system.
  - Led the development of the GCWW Information Technology Strategic Plan (ITSP). Led the development of the RFP, vendor selection, contract development, coordination of many meetings at all levels of the organization, obtaining executive management approval, and presentation of the results to the entire organization. Maintained the plan's focus (that business strategy/needs should drive technology investments). Presented the methodology and results at the American Water Works Association Customer Service Conference.

### **City of Cincinnati / Cincinnati Financial System (CFS)**

- Program Manager
  - Project manager in support of the City of Cincinnati financial system and budget systems. Responsible for a team of business and technical specialists in the operation and improvements delivery. Led the team in completing a major upgrade in 1998 so the financial system would be Y2K compliant.
- Computer Systems Analyst
  - Led many technology development and implementation projects in support of the City of Cincinnati finance, budget, and purchasing departments.

### **PROFESSIONAL MEMBERSHIPS**

- 2008 – Present. Member of the Water and Wastewater CIO Forum
- 2010 – Present. Member of the IT Service Management Forum (itSMF) USA
- 2004 – 2007. Secretary of the American Water Works Association National Customer Service Committee
- 2004. Participated on the Water Research Foundation project titled "Customer Information Systems: Effective Selection, Acquisition, and Implementation Practices"



- 2000 – Present. Member of the American Water Works Association
- 2006 – Present. Chair for the Emily Vonder Meulen Memorial Fund.



## Kristi R. Irick

### EXPERIENCE HIGHLIGHTS

#### Greater Cincinnati Water Works (GCWW), OH

- Business Services Division – CFO and Superintendent. Responsibilities include:
  - Analyzing revenues and expenses for purpose of forecasting potential rate increases;
  - Debt issuance;
  - Financial statement preparation;
  - Preparing divisional budget, compiling and monitoring departmental budget;
  - Performance measure monitoring and reporting;
  - Capital improvement program;
  - Oversight of Accounts Payable, Accounts Receivable, Billing Operations, Premise Services, Purchasing, Stores/Fleet, HR, Security and Training;
  - Engaging and educating potential Utility customers, City Council and other city organizations on rate impact studies.

#### City of Wichita, Kansas

- Water Utilities – Customer Services Manager, Superintendent
  - Analyze revenues and expenses for purpose of forecasting potential rate increases;
  - Prepare divisional budget, performance measures and capital improvement program;
  - Supervise bookkeeping and records, meter reading, billing, payroll, and labor distribution;
  - Supervise and participate in the handling of dispute resolution;
  - Oversee relationships with current and prospective wholesale customers;
  - Create and manage contracts;
  - Work with legal staff to develop large customer contracts, interpret and administer City Code, State Statutes and Departmental Operating Procedures and Policies;
  - Engage and educate potential Utility customers, City Council and other city organizations on rate impact studies;
  - Direct administration for over 140,000 accounts.
- Water Utilities – Senior Management Analyst
  - Analyzed revenues and expenses for purpose of forecasting potential rate increases;

- 
- Prepared and oversaw \$280 million departmental budget;
  - Monitored project expenses and funding for \$750 million, 10-year Capital Improvement Program (CIP);
  - Implemented capitalization process to reduce project closure time and improve asset cataloging;
  - Coordinated revenue bond sales with Finance Department;
  - Created database to track bond financing of CIP projects;
  - Designed Finance Department's main benefit fee database to transfer special assessments due to the Utilities;
  - Collaborated on water and sewer agreements with existing and potential wholesale customers;
  - Assisted consultants on numerous initiatives including Cost of Service Analysis, Bond Feasibility Study, and the Aquifer Storage and Recovery Project;
  - Supervised intern program and Accounting section of the Customer Service Division;
  - Served on strategic budget teams, communication team and as departmental EEO Officer.
- Finance Department – Debt Coordinator
    - Assisted in preparation of the City of Wichita's 10-year CIP;
    - Maintained Debt Service Fund including preparation of annual CAFR reports and quarterly financial statements;
    - Prepared Treasury Budget;
    - Supervised and managed eight employees;
    - Maintained City's \$700 million outstanding debt issues;
    - Monitored approximately 1,850 projects funded through general obligation bonds or special assessment bonds;
    - Resolved customer and employee conflict;
    - Worked extensively with Wichita Area Builders Association on special committees and site training.
  - Express Office – Administrative Assistant, Revenue Manager
    - Supervised 12 employees;
    - Prepared monthly statistical analysis, unit costs and cost-effectiveness studies;
    - Balanced cash drawers and accounted for daily business;
    - Prepared and reconciled Treasury budget.

## **EDUCATION**

- Debt Management Certification, Government Finance Officers Association, 2004
- Master of Public Administration, Wichita State University, Hugo Wall Center for Urban Studies. Emphasis in policy evaluation and analysis, 1992
- Bachelor of Arts, Minority Studies with Minor in Spanish, Wichita State University, Magna Cum Laude, 1989

## SANDIP BASU, MA, PMP

*Enabling Business Vision by Leveraging Information Technology, Smart Sense Program/  
Project Management & Energetic Team Building*

LinkedIn: <http://www.linkedin.com/in/sandipbasupmp>

[sandip@soft-vista.com](mailto:sandip@soft-vista.com)

Twitter: <http://twitter.com/#!/sandipbasupmp>

Mobile: 513.608.8934

### PROFESSIONAL SUMMARY

- Over 20 years of experience in Information Technology, managing mission-critical multi-million dollar technology projects, team building, data and network security, business continuity and disaster recovery, strong in vendor management and internal/external relationship development, budget/cost management and tactical and strategic project planning
- Deeply skilled in customer information systems, contact centers, billing, payments processing, interfaces, web/internet, IT consulting, mobile computing, finance, and training development
- Fluent in technology, business, and management level reporting, and effective communication
- Familiar and comfortable working within a matrix or project organization with diversified workforce and international experience
- Understand government and municipal procurement processes, focused on cost savings, smart choices, and long term solutions
- More than 12 years of water, sewer and storm water utility experience
- Founder/CEO of Soft Vista, Inc. (2003) – a Greater Cincinnati-based Small Business Enterprise (SBE) for Information Technology consulting, professional services and project management services
- Developed strong network with local, national and some international companies for leveraging and exploring business opportunity, collaboration, and professional knowledge growth
- Received three Master Services Agreements in six years for local government and municipalities through competitive bidding process (RFP)
- Certified as Small Business Enterprise (SBE) under City of Cincinnati
- Strong PMI based project management experience, leading complex project teams in design, development, testing, deployment, and support transition & continuing support/operations, managing data centers
- Strong experience in business analysis, process flow development, root cause analysis, documentation, procedure and policy establishment, governance practices, ITSM practices, and agile methodology

### ENTREPRENEUR

### IT PROJECT MANAGER & TECHNICAL EXPERIENCE

### SUMMARY

(CONT.)

**PM, TECHNOLOGY  
CONSULTANT, DATABASE  
ADMINISTRATOR, SYSTEMS  
ANALYST, SUPPORT ANALYST**

**Relevant Experience:**

**Project Management Tool**  
Primavera, MS Project

**Mobile Computing**  
Windows, Motorola

**Data & Network Security**  
Banking/Credit Card Industry,  
PCI DSS Compliance

**Payments Processing**  
Debit/Credit Card, ACH,  
electronic check, web, IVR  
(iNovah/SII/Harris)

**Hardware**  
HP Servers, Windows Server,  
EVA, SAN, Dell NT Servers,  
EMC Disk Array, Sun Servers,  
Juniper, CISCO

**Operating Systems**  
Windows, Linux, HP-UX, SCO  
UNIX, SUN OS, Windows NT,  
Novell Netware

**Languages**  
Oracle PL/SQL, C/Pro\*C,  
MS-COBOL/Pro\*Cobol

**Testing tools**  
HP Quality Center

**Productivity tools**  
Microsoft Office Suite (all  
products), Visio

**Collaboration**  
Share Point, Citrix

**Database Administration**  
Oracle Enterprise Manager,  
DBA Studio, Designer,  
ERWIN

▪ As a consulting IT Project Manager at the Greater Cincinnati Water Works, managed several critical projects:

- Project Manager for the customer service contact center technology upgrade and business process and operations management improvement project
- Project Manager for the Field Services Mobile workforce system deployment using Motorola's MC75 devices and hosted services for application and backend integration
- Project Manager for PCI DSS Security compliancy needs research strategy development and security cost effective security standards development
- Primavera® mentor and coach for other GCWW IT project managers, project management plan and schedule development coaching, techniques and procedural guide development
- Project Manager for full life cycle roll out for multiple versions and releases of Customer Information System (Indus/Ventyx Customer Suite) in a matrix environment, and complex business environment with high level of customer focus
- Supported contract and licensing model development and extensive negotiation with vendors on multiple product family for cost savings and long term support contracts
- Project Manager for Development and implementation of an on-line customer account management system with debit/credit card payments (ECAM)
- Project Manager for document presentation and archiving system (G1/DOC1) implementation
- Project Lead for extension of utility billing systems to cover adjacent municipalities, including Butler County and the City of Mason. Led technical teams for data conversion and interface system design between heterogonous systems.
- Led payments system deployment, integration and systems interface development (iNovah/RevenueCollector, SII/Harris Computer Systems)

▪ As a Consulting IT Project Manager and Consultant at Metropolitan Sewer District of Greater Cincinnati has managed initiatives:

- Oracle database evaluations, integration and upgrades
- Database disaster recovery planning and alternate approaches
- Share Point site design, development and deployment

**Web Technology**  
HTML, Java, J2EE, JSP,  
Adobe PhotoShop, Paint  
Shop Pro, ASP,  
FrontPage/2000

**4GL / Front End Tools**

Oracle Forms, Reports,  
Graphics, Procedure  
Builder, Browser, J  
Developer, JSP,  
JavaScript, Sybase  
Tool Set, Power  
Builder,  
Power Frame,  
FoxBase, Focus

- As an on-site Project Lead Consultant at General Electric (AE):
  - Designed, Developed, Tested, Trained, and Implemented multiple client-server custom applications (Engine tooling, training database management)
- As a Programmer/Systems Analyst at Indian Rayon MIS department (India) :
  - System Administration, Server Support, Database Maintenance work
  - Requirements gathering, systems design, systems development and implementation through users training – for sales/invoicing, purchase, finance, payroll, asset management programs for a textile manufacturing plant
  - MIS report development and scheduled distribution
- As Data Production Manager at CARE Systems (India) :
  - Team management, Systems development, Data Quality Control, Data Entry Systems Programming, Data Delivery, Management Reporting, and Client Management

**ENTREPRENEUR &  
EMPLOYMENT  
HIGHLIGHTS**

Successfully served wide range and diversified Clients, Employers, and Businesses:

- **Local government** – Greater Cincinnati Water Works, City of Cincinnati, Metropolitan Sewer District of Greater Cincinnati
- **Consulting Services** – Soft Vista, Inc., Interactive Business Systems (IBS)
- **Software Industry** Patni Computers (PCS), Tata Consultancy Services (TCS), MCS India, M. N. Dastur & Co. (India).
- **Manufacturing** – General Electric Company (GE Aircraft Engines Division), Indian Rayon and Industries (India)
- **Financial institutions** - Bank of India, Bank of Baroda, Unit Trust of India (all Indian companies)

**EMPLOYMENT  
HISTORY**

**Soft Vista, Inc.** (2003-present) – Founder/CEO, Consulting Project Manager (US)  
**Interactive Business Systems** (1998-2003) – *Oracle Consultant* (US)  
**Patni Computer Systems** (1996-1998) – *Senior Software Engineer* (India / US)  
**Indian Rayon / Jaya Shree Textiles** (1994-1996) – *Systems Analyst* (India)  
**CARE Data Processing Systems** (1992-1994) – *Data Production Manager* (India)  
**Corporate Computer Instructor/Trainer** (1991-1992) - Private Firms (India)

**EDUCATION**

Master's Degree, Economics – *University of Kalyani, West Bengal, India 1991*  
 Bachelor's Degree, Economics – *University of Kalyani, West Bengal, India 1989*

**CERTIFICATIONS**

**&**

**TRAININGS**

Project Management Professional (PMP), *Project Management Institute 2010*  
Aspect Quality Management (AQM) – Aspect Software 2011  
MS Project Level I & II – *New Horizon Computer Learning 2006*  
Primavera Planning & scheduling – *Critical Business Analysis, Inc., 2006*  
Java Programming 2003  
Project Management Methodology - *Interactive Business Systems, 2000*  
Advanced Systems Management, *National Institute of Technology (NIIT, India) 1992*  
Oracle DBA Course – *Oracle (1999 – 2001) [passed DB Admin & Security exams]*

**PROFESSIONAL ASSOCIATIONS**

Member of Project Management Institute (PMI)  
Member of South West Ohio PMI Chapter  
Ohio South PMI Chapter Volunteer & Instructor (*PMP/CAPM Exam Prep*)  
Member of Agile Cincinnati Chapter

**Other Certifications & Creative/Community Interests**

United Way Project Blue Print Community Leadership Certification (Fall 2001)  
USA National Soccer Referee (since 1999) - United States Soccer Federation (USSF)  
USSF State Level Referee Assessor (since 2010)  
USSF Associate Level Referee Instructor (since 2011)  
NCAA/NISOA Soccer Referee (since 2005)  
NFHS Soccer Referee (since 2000)  
  
Amateur Musician (Guitar, Keyboard/Synthesizer, Indian Percussions)  
Youth Coach (Soccer, Music, Theater)  
  
Open water SCUBA Diver (PADI)

**REFERENCES**

*Can be provided upon request*



## **Mark A. Menkhaus, Sr.**

### **AREAS OF EXPERTISE**

- Billing operations
- Utility support services
- Service level agreements
- Management
- Budget

### **EXPERIENCE OVERVIEW**

Mark provides departmental leadership focused on delivering best in class customer service through the efficient efforts of a dedicated and well-trained staff, enabling GCWW to meet its commitment to excellence, and GCWW's commercial customers to provide a high degree of customer satisfaction.

### **EDUCATION**

- Bachelor of Business Administration, Management and Professional Practice Certificate, University of Cincinnati, Cincinnati, OH, 1980.

### **EXPERIENCE HIGHLIGHTS**

#### **Greater Cincinnati Water Works (GCWW), OH**

- Assistant Superintendent, Commercial Services Division
  - Management of Billing Operations, Field Services and Support Services sections. Liaison for daily operations and support for billing and customer services agreements with more than a dozen communities. Major services include sewer, stormwater, and waste collection (trash).
- Acting Assistant Superintendent, Commercial Services Division.
  - Responsible for management of three sections: Accounting, Customer Service, and Delinquent Accounts. Responsibilities also included the development and management of the division's budget. Project Director for the implementation of handheld computers for meter reading. Project Director for the Utility Billing Project, and liaison to the Metropolitan Sewer District, Stormwater Management Utility, and Regional Computer Center.
  - Utility Billing Project Director. Responsibilities included all project activities related to design, development, testing and implementation of a new customer billing and

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information system, as well as liaison to the Metropolitan Sewer District, Stormwater Management Utility, and Regional Computer Center for project-related issues.

- Senior Administrative Specialist, Commercial Services Division.
  - Manage the Support Services Section with responsibility for the Commercial Services Division's budget development and monitoring, goods and services procurement, contract administration, personnel matters, quality assurance, annual report and performance measure development, and various administrative and support functions. Liaison for daily operations and support for billing and customer services agreements.
- Administrative Assistant, Commercial Services Division.
  - Responsible for all delinquent account collection activities, first as a work unit and then as a section, and served as a backup supervisor for Customer Relations Section. Revamped the entire collection process and served as City's expert for processing bankruptcy claims. Represented the City in court as an expert witness for hundreds of collection cases.
- Customer Relations Representative.
  - Responsibilities included answering customer inquiries, rewriting the complete series of collection letters, development of collection reports, and development of a referral process for collections by the City Treasurer and City Solicitor staff.
- Water Meter Reader.
  - Responsibilities included reading meters and reporting premises conditions affecting service delivery and billing.
- Clerk 2 (Co-op Student).
  - Various clerical responsibilities in Customer Relations, including answering customer inquiries, delinquent account collections, temporary water use permits and billing, fire branch usage monitoring and billing, sundry account collections, payment processing, and special assistant to supervision and management. In this latter capacity, responsible for development of procedures for each specialty assignment in the section and revision of the Customer Relations Manual.

## **PROFESSIONAL MEMBERSHIPS**

- City of Cincinnati Middle Management Association Board Member elected to three-year term beginning 2001; served as Vice President for two years. Chaired the Communications and Newsletter Committee for three years, and also served on the Significant Issues Committee and the Benefits Committee.
- SCT/Indus Utility Systems (now Ventyx) Users Group Board of Directors. Twice elected to three year terms (2001 – 2007). Represented Indus clients using the Customer Suite (formerly Banner Advantage CIS) product for customer billing and information. Chaired the Product Advisory Committee (2005 to 2007), providing client input for product development. Worked with Indus management team to resolve client issues and concerns.

- Served as an Equal Employment Opportunity Counselor for the City of Cincinnati from 1997 through 2009. Counseled City employees on EEO issues, documented communications and complaints, and acted as a mediator as assigned by the City EEO Officer.
- American Water Works Association (AWWA). Founding member of the Ohio Section Customer Service Activities Committee in 1991. Routinely participate and contribute to district, state, and national meetings, workshops, and conferences since 1989.



## **Daniel W. Campbell**

### **AREAS OF EXPERTISE**

- Contracts Administration
- Business Reporting
- Vendor Selection
- Budgeting and Capital Planning

### **EXPERIENCE OVERVIEW**

Dan is an experienced public administrator specializing in contracts administration, budgeting, business analysis and reporting, and capital planning.

### **EDUCATION**

Master of Public Administration, Economics, Xavier University, Cincinnati, OH

Bachelor of Arts, Urban and Regional Planning, Miami University, Oxford, OH

### **EXPERIENCE HIGHLIGHTS**

#### **Greater Cincinnati Water Works (GCWW), OH**

- Senior Administrative Specialist
  - Responsible for preparing, developing and monitoring the Greater Cincinnati Water Works (GCWW) Commercial Services Division's annual \$9.1 million operating and capital budget. Duties include administering contracts and the vendor procurement process, certifying funds for purchase orders through the Cincinnati Financial System, processing and approving all payables, preparing the Division's end-of-year Final Adjustment Ordinance, and serving on the GCWW Capital Improvement Program Committee.
  - Responsible for preparing the Commercial Services Division's Annual Report, including developing and auditing all associated financial and operational tables and the preparation of the Division's Report to the Director section of the Annual Report.
  - Assists with the operation and administration of the Commercial Services Division's Client Services Section. Duties include assisting with the preparation of new contracts for retail and wholesale water service, billing services, and laboratory testing services, preparing contract amendments, including term extensions for existing water service contracts, and preparing the annual rate adjustment notifications for all retail, wholesale and standby water service political jurisdiction contract clients.

- Participated in developing the strategy and Request for Proposals (RFP)/vendor selection/contract development/execution of contracts for Greater Cincinnati Water Works' mail and print, lockbox, credit card processing, and e-bill distribution services contracts.

## **Cincinnati Division of Budget and Evaluation, OH**

- **Senior Management Analyst**

- Served as the Senior Management Analyst for the City of Cincinnati's Department of Transportation and Engineering, Department of Sewers, and the Department of Human Resources. This involved assisting with the development and monitoring of each Department's annual operating and capital budgets totaling \$202.5 million, monitoring personnel staffing plans for 935 employees, and preparing budget issue reports for the City Council.
- Served as the Management Analyst for the City of Cincinnati's Department of Neighborhood Housing and Conservation, Department of Purchasing, Law Department, Parks Department, Department of Recreation, Department of Public Services, and the Division of Employment and Training.
- Served as the City of Cincinnati's Capital Budget Coordinator from 1997 through 2003. The Capital Budget Coordinator is responsible for managing the Capital Budget System, managing the city wide Capital Budget Process, and developing and publishing the \$420 million Biennial Capital Budget and the \$1.2 billion Six-Year Capital Investment Program.
- Served as the Division of Budget and Evaluation's liaison for collective bargaining agreement negotiations between the City of Cincinnati and the American Federation of State, County and Municipal Employees (AFSCME), the Fraternal Order of Police (FOP), Cincinnati Organized and Dedicated Employees (CODE), and the International Association of Firefighters (IAFF). This involved preparing various economic impact reports and analyses pertaining to wages, benefits, special pay and payroll.
- Prepared the City of Cincinnati's Small Infrastructure Bulletin. The Small Infrastructure Bulletin outlined all eligible budgeted expenditures by agency, fund, and program. This information was used as a guideline by the various City Departments and the Division of Accounts and Audits to monitor expenditures for the purpose of meeting the annual infrastructure spending requirements to implement the recommendations of the City's economic advisory committee.
- Assisted with the coordination and management of the City of Cincinnati's Annual Capital Sunset Process. The Annual Capital Sunset Process involved the closing and reallocation of capital project account funds to provide resources for the City's Capital Investment Program and to monitor capital project expenditures.
- Assisted with the administration of the City of Cincinnati's \$20 million Community Development Block Grant (CDBG) Program. Administrative duties included preparing the City's Annual Grantee Performance Report (GPR), reviewing projects and contracts for regulatory compliance, and monitoring project expenditures.

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## City of Cleveland Heights, OH

- Economic Development Planner
  - Developed and implemented a Prevailing Wage Compliance Program for the City of Cleveland Heights. This involved serving as the City's Davis-Bacon Prevailing Wage Monitor, conducting pre-construction conferences for the City's economic development and public works projects, reviewing payroll records, and corresponding with the U.S. Department of Housing and Urban Development.
  - Assisted with the administration and financial management of the Cleveland Heights Local Development Corporation's Façade Renovation Rebate Program and the Apartment Renovation Rebate Program. This involved marketing the programs, monitoring construction, design standards, contractor compliance, and coordinating all financial transactions between the property owners and the City.
  - Provided staff support services to the Coventry Village Development Corporation. These support services included developing a business plan and operating budget, establishing non-profit 501 C-3 status for the corporation, establishing a common area maintenance assessment district, establishing a shared parking plan for the commercial district, and preparing foundation grant proposals.



## **AREAS OF EXPERTISE**

- Program and Project Management
- Customer Service Information Technology Leadership

## **EXPERIENCE OVERVIEW**

Twelve years of experience in the Information Technology field which includes roles as an IT Assistant Manager, Program Manager, Project Manager, Team Leader, Programmer, and Business Analyst. These roles cover the entire software development life-cycle of analysis, design, development, systems testing and implementation. Extensive experience providing technology leadership and support for GCWW's best-in-class customer service division.

## **EDUCATION & TRAINING**

- Project Management Courses, Xavier University, 2007
- Lessons for Success, New Supervisor Training at Greater Cincinnati Water Works, 2005
- Bachelor of Science, Wilmington College, 2004
- Associates Degree, Cincinnati State, 2000
- MCSE Classes, Software School, 1998

## **EXPERIENCE HIGHLIGHTS**

### **Greater Cincinnati Water Works (GCWW), OH**

- Information Technology Division – Information Technology Assistant Manager
  - Responsible for defining needs, identifying solutions, and managing and delegating work assignments for City staff and consultants to support the customer service division. The team consists of business and technical experts responsible for the support and maintenance of GCWW's CIS, payment processing, on-line customer service site, cashiering function, and all interfaces (EAMS, GIS, mobile, and others). Work with the business to develop solutions that exceed our customer's needs. Constant oral and written communication with team members to ensure a quality product. Conduct bi-weekly meetings, monitor cost reports, monitor CS&B budgetary items, and approve vacation and timesheet tracking. Communicate to end users any system changes or upgrades.
  - Program Manager for billing system upgrade in 2008
  - Developed and monitored 2006-2012 budget
  - Assisted with development of the current contract and SOW for the ICS 4.0 project

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- Negotiated vendor contracts and rates for the City of Cincinnati
  - Implemented several Change Controls for our Butler County client
  - Commercial Technology Services – Computer Systems Analyst
    - Responsible for managing and leading projects within GCWW and for Butler County. Lead for all the technology related tasks which included the network connection, contact center technologies, auto-dialer, FTP server, etc. Additional tasks included gathering requirements from users and developing solutions that would meet the customer's needs. Liaison between Commercial Technology Services team and the GCWW Help Desk. Lead technical support person for the Butler Portal and for the DocView application that is used here at GCWW by the CSR's. Managed several Butler County Change Controls during the past year. Part of the core team and participated in the Steering Committee meetings with Butler County business staff and senior management.
    - Technical advisor and Contact Center lead for the Butler County implementation
    - Led the technology implementation of GCWW's Call Center upgrade
    - Successfully led the Banner (CIS) team when supervisor was temporary reassigned
    - Implemented several GCWW Call Center software products for the City Wide Call Center
  - Commercial Technology Services – Senior Computer Programmer Analyst
    - Responsible for development and support of custom GCWW reports. Lead analyst for GCWW's Call Center and led the IT portion of automated Meter Reading project. Designed and developed PL/SQL reports for customers. Assisted in successful upgrades of the GCWW Customer Information System (Banner). Provided software and hardware support for the Commercial Technology team. Conducted end user training for GCWW applications.
    - Implemented auto dialer solution
    - Developed a procedure for handling multiple Oracle clients on GCWW workstations
    - Created WinRunner test scripts for functional staff
    - Provided a process to automate the creation of "Certified Mail" envelopes for returning keys to customers
    - Assisted team members in the data conversion and implementation of the City of Mason utility billing system
    - Assisted in the development of processes and procedures in support of the H2O radio meter installation
  - Commercial Technology Services, Regional Computer Center –Computer Programmer Analyst



- Developed, tested, implemented and supported custom interfaces to the Banner billing system. Created technical specifications for GCWW processes and applications. Developed and maintained Focus reports. Supported various GCWW applications.
- Improved zip code update procedures
- Reorganized duplicate bill print process
- Developed Focus reports

## **PROFESSIONAL MEMBERSHIPS**

- American Water Works National Customer Service Committee Secretary
- IMTech Committee Member
- American Water Works Association



## Mimi McGarry

### AREAS OF EXPERTISE

- Customer service
- Personnel administration
- Community outreach coordination
- Recruiting and training
- Performance management
- Rewards and recognition development
- Strategic planning
- Safety and compliance
- Facilities / budget management

### EXPERIENCE OVERVIEW

Results-focused professional with extensive experience in call center management. Progressive responsibilities utilizing proven skills in innovative leadership, employee motivation, team development and project management. Accomplished, energetic leader with comprehensive experience in call center operations, change planning and performance management. Proactive communication and employee engagement in application of change management process resulted in positive employee morale and high sales and productivity while managing through corporate bankruptcy, departmental restructuring and downsizing. Successfully incorporated private sector call center practices into water sector. Two years experience with nationally recognized water utility (GCWW).

### EDUCATION

- Bachelor of Arts, Communications and Public Relations, University of Dayton, Dayton, OH.
- Meridian Breakthrough Leadership Training, Atlanta, GA
- Earning the Right to Lead Training, Dan Lumpkin & Associates, Mobile, AL.

### EXPERIENCE HIGHLIGHTS

#### Greater Cincinnati Water Works (GCWW), OH

- Assistant Superintendent for Customer Contact Center Operations, Commercial Services Division.
  - Manage Customer Contact Center Section. Responsible for providing direct customer service, primarily through calls received via GCWW's Interactive Voice Response (IVR)

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telephone system, and email. Contact Center staff responds to customer questions and requests for GCWW, and also for billing questions for the Metropolitan Sewer District, Butler County Water and Sewer Department, and Cincinnati's Stormwater Management Utility, in addition to other entities for whom GCWW provides customer service. The Contact Center handles more than 800,000 contacts annually.

- Improved GCWW Contact Center performance through business process modifications. Reduced Customer Service Representative (CSR) off-phone time and implemented ongoing recognition programs, achieving highest service levels and lowest call abandoned rate since measures were introduced in 2000.
- Developed a dedicated "Agent Assist" support system to provide timely, consistent resource for CSR's questions, resulting in enhanced customer service, elevated CSR job knowledge and increased first call resolution.
- Introduced "Supervisor Assist" process for escalation of more complex customer issues to optimize resolution, achieving improved productivity, greater consistency and enhanced customer service.
- Established recurrent training program, elevating CSR knowledge and abilities, Upgraded knowledge base, resulting in a more robust CSR resource and achieving more consistent messaging.
- Promoted to Acting Assistant Superintendent - Commercial Division, responsible for GCWW Contact Center operation, leadership role in Contact Center Business and Technology Upgrade Project design and implementation, and Client Services partnership.

## **Delta Airlines, Inc., Cincinnati, OH**

- Call Center Director
  - Responsible for leading ten direct and thirty-seven indirect reports and a frontline staff of over 600 employees, driving performance to meet targeted goals. Accountable for business objectives, leadership development, hiring and training, quality assurance, operational functions, personnel administration and facility management. Actively fostered an environment which celebrates diversity of our employees. Our staff clearly represented the face of our broad customer base, in the U.S. and globally.
  - Achieved highest performance results in 2008 of sales conversions and revenue generation, productivity and customer service metrics among Delta's domestic and international call centers, accomplished through strong team leadership and innovative initiatives.
  - Restructured call center's management team to align with corporate model, building talented leadership personnel designed around new roles.
  - Increased earned revenue 92% in call center by leading a Reservations project team to design and execute Company's first revenue and performance based incentive program.

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- Managed expenses for call center's \$15MM annual budget, submitting on-target forecasts, identifying and implementing cost reduction measures, achieving budget expectations each year.
  - Earned coveted Reservations Sales departmental annual safety award for 2006 and 2007 through heightened safety awareness, employee engagement and emphasis on personal responsibility.
  - Operations and Sales Manager
    - Managed Call Center operation including facility issues and contract vendor relationships, effectively addressed call volume projections, and met service level targets. Responsible for call center reports, reviews and frontline staff management to meet goals. Accountable concurrently for team of up to ten direct reports; responsible for elite and leisure lines of business with over 400 employees, achieving assigned performance goals.
    - Managed \$2.4 MM local operating plan; achieved targeted goals annually.
    - Led leadership team to improve productivity to top performance among nine call centers.
    - Introduced innovative recruiting initiative to increase quality candidate numbers, leveraging employee referrals. Resulted in an improved hiring process, attracted greater talent and reduced attrition
    - Managed development, promotion and administration of Delta's Cincinnati volunteer outreach "Community Partners Program," growing employee participation and fundraising activities annually.
    - Managed local coordination of new call center building project; executed seamless office move and relocation of staff of over 700 employees, achieved through active employee engagement throughout each process phases.
    - Administered Human Resources responsibilities for direct reports and frontline employees in absence of a corporate HR division created in 1999.
  - Marketing DATAS II Sales and Training / Chief Supervisor
    - Established Cincinnati marketing site for DATAS II agency reservations system sales demonstrations, building initial client base. Conducted onsite sales presentations to travel agencies in five state region and follow-up training at account sites.
    - As Chief Supervisor, accountable to meet business objectives and maximize sales, call table analysis, staffing and coaching for up to nine Supervisors with over 300 frontline employees. 100% of teams consistently met customer availability expectation of 95%.
    - Responsible for Human Resources responsibilities, including: recruiting, hiring, benefits, administrative action and terminations.
  - Supervisor, Reservation Sales
  - Sales Representative, Reservation Sales

## **AWARDS, ACHIEVEMENTS, AND CERTIFICATIONS**

- Recipient of Delta's SOAR Award for leadership and team contribution
- Recipient of multiple Chairman's Club nominations, the Company's most prestigious peer recognition award.

**Appendix C – List of All Service Contracts**

## GCWW Contracts

Client Name	Services Provided	# of Accounts	Start Date	Expiration Date	Schedule	Cost
Amberley Village - Waste Collection	Billing	1,424	12/28/2010	Indefinite	On time	On budget
Amberley Village - Stormwater	Billing	1,461	6/2/2003	Indefinite	On time	On budget
Arlington Heights - Waste Collection	Billing	293	2/23/2007	12/31/2017	On time	On budget
Butler County Dept of Water and Sewer - Water & Sewer	Billing	38,552	5/17/2004	12/31/2010	On time	On budget
Deer Park - Waste Collection	Billing	2,221	11/20/2007	12/31/2017	On time	On budget
Elmwood Place - Waste Collection	Billing	672	9/22/2011	Indefinite	On time	On budget
Forest Park - Waste Collection	Billing	5,322	10/1/2008	9/30/2013	On time	On budget
Golf Manor - Waste Collection	Billing	1,205	10/1/2008	9/30/2018	On time	On budget
Lincoln Heights - Fire Hydrant Fee	Billing	1,075	9/22/2003	12/31/2033	On time	On budget
Mason - Water	Billing	10,442	2/25/2002	3/1/2032	On time	On budget
Mason - Sewer	Billing	10,202	2/25/2002	3/1/2032	On time	On budget
Mason - Stormwater	Billing	10,371	2/25/2002	3/1/2032	On time	On budget
Mason - Waste Collection	Billing	8,758	2/25/2002	3/1/2032	On time	On budget
Metropolitan Sewer District	Billing	209,179	7/1/1948	12/31/2018	On time	On budget
North College Hill - Waste Collection	Billing	3,232	12/30/2010	Indefinite	On time	On budget
Silverton - Waste Collection	Billing	1,759	8/27/2003	Indefinite	On time	On budget
Stormwater Management Utility - City of Cincinnati	Billing	81,938	1/1/1997	Indefinite	On time	On budget
Whitewater Township - Wastewater	Billing	98	7/9/2010	Indefinite	On time	On budget
Woodlawn - Waste Collection	Billing	820	5/3/2004	12/31/2014	On time	On budget
Addyston	Retail Water			12/31/2017	NA	NA
Arlington Heights	Retail Water			12/31/2047	NA	NA
Butler County	Retail Water			12/31/2025	NA	NA
Butler County - Venice Gardens	Retail Water			12/31/2025	NA	NA
Clermont County	Retail Water			Indefinite	NA	NA
Indian Hill	Retail Water			12/31/2047	NA	NA
Mason	Retail Water			3/1/2032	NA	NA
Norwood	Retail Water			12/31/2047	NA	NA
Reading	Retail Water			12/31/2017	NA	NA
Warren County	Retail Water			12/31/2025	NA	NA
Hamilton County Incorporated*	Retail Water			12/31/2047	NA	NA
<p>*Includes: Amberley Village, Blue Ash, Cheviot, Deer Park, Elmwood Place, Evendale, Fairfax, Forest Park, Golf Manor, Greenhills, Lincoln Heights, Madeira, Mariemont, Montgomery, Mt. Healthy, Newtown, North College Hill, St. Bernard, Sharonville, Silverton, Springdale, Woodlawn</p>						
Hamilton County Unincorporated**	Retail Water			12/31/2017	NA	NA
<p>**Includes Townships of: Anderson, Colerain, Columbia, Crosby, Delhi, Green, Harrison, Miami, Springfield, Sycamore, Symmes, Whitewater</p>						

## GCWW Contracts

Client Name	Services Provided	# of Accounts	Start Date	Expiration Date	Schedule	Cost
Amberley Village - Waste Collection	Billing	1,424	12/28/2010	Indefinite	On time	On budget
<b>Boone/Florence Water Commission</b>	<b>Wholesale Water</b>			<b>3/2/2028</b>	<b>NA</b>	<b>NA</b>
Butler County	Wholesale Water			12/31/2025	NA	NA
Indian Hill	Wholesale Water			12/31/2047	NA	NA
Lebanon	Wholesale Water			12/10/2048	NA	NA
Norwood	Wholesale Water			12/31/2047	NA	NA
Reading	Wholesale Water			12/31/2017	NA	NA
South Lebanon	Wholesale Water			6/3/2050	NA	NA
Warren County	Wholesale Water			12/31/2025	NA	NA
Western Water Company	Wholesale Water			12/31/2026	NA	NA
Addyston	Standby Water			12/31/2017	NA	NA
Clermont County	Standby Water			11/1/2007	NA	NA
Cleves	Standby Water			12/31/2024	NA	NA
Fairfield	Standby Water			12/31/2025	NA	NA
Glendale	Standby Water			12/31/2017	NA	NA
Indian Hill	Standby Water			12/31/2047	NA	NA
Lockland	Standby Water			Indefinite	NA	NA
Loveland	Standby Water			12/31/2019	NA	NA
SW Ohio Water Company	Standby Water			12/31/2047	NA	NA
Warren County	Standby Water			12/31/2025	NA	NA
Wyoming	Standby Water			12/31/2017	NA	NA
<b>Boone County</b>	<b>Laboratory Testing</b>			<b>1/10/2012</b>	<b>NA</b>	<b>NA</b>
<b>Florence</b>	<b>Laboratory Testing</b>			<b>1/24/2013</b>	<b>NA</b>	<b>NA</b>
Hamilton County Board of Health	Laboratory Testing			9/22/2013	NA	NA
Indian Hill	Laboratory Testing			10/26/2012	NA	NA
Norwood - City Health Department	Laboratory Testing			4/8/2016	NA	NA
Ameritech - Mt. Washington Tower	Cell Phone Provider Lease			11/2/2018	NA	NA
Ameritech - Delhi Hills Tower	Cell Phone Provider Lease			6/14/2019	NA	NA
Sprint - Mt. Washington Tower	Cell Phone Provider Lease			10/26/2023	NA	NA
T-Mobile - 3064 Wardell Ave.	Cell Phone Provider Lease			7/3/2037	NA	NA
Lincoln Heights	Fire Hydrant Maint.			12/31/2033	NA	NA
Mason	Fire Hydrant Maint.			3/1/2032	NA	NA
Arlington Heights	Fire Hydrant Maint.			12/31/2047	NA	NA
Mason	O&M of Water System			3/1/2032	NA	NA
<b>Boone/Florence Water Commission***</b>	<b>O&amp;M of Water System</b>			<b>3/2/2028</b>	<b>NA</b>	<b>NA</b>

\*\*\*Infrastructure Maintenance only

**Bold = Located in Kentucky**



## **Appendix D – Summary of Litigation**

GCWW is involved or has been involved in 25 law cases to date since January 1, 2007. These cases involve 14 personal injury and /or property damage matters, five personnel matters, three contractor-subcontractor disputes, a petition to wrap-up corporate affairs of a private business, a City collection of past due charges, and a water service territorial dispute. Of these 25 cases, 13 are now pending. None of these 25 cases involve GCWW's Customer Assistance or Billing Operations Sections. A list of all these cases, including the case number, caption, governing jurisdiction, status, and a brief description, are attached.

## Legal Cases Involving Greater Cincinnati Water Works - 1/1/2007 to 11/14/2011

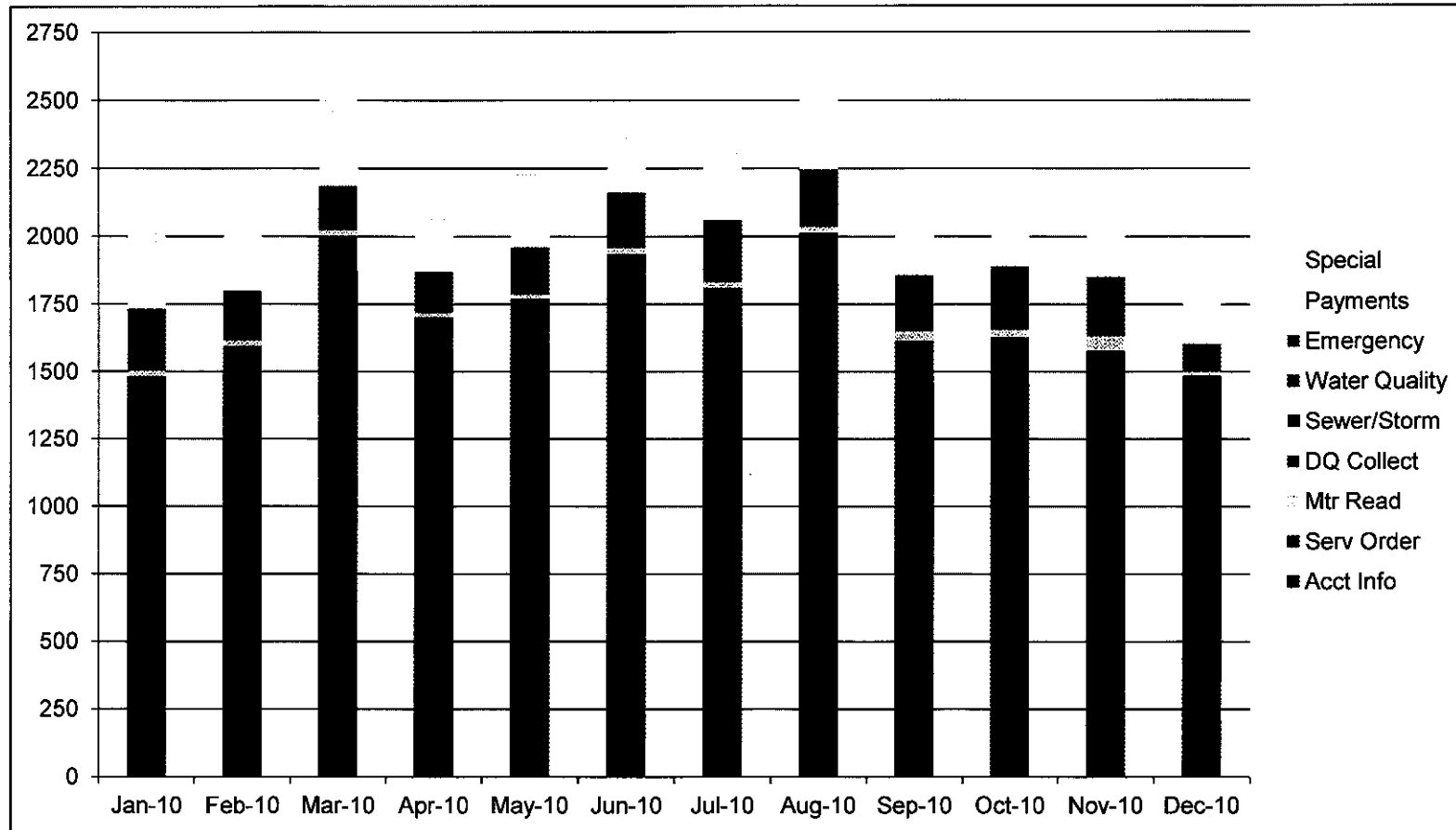
Case No.	Case Caption	Court	Status	Description
09CV494	Diana Hunter v. City of Cincinnati	United States District Court	Dismissed	Personnel matter
10CV627	James Partridge v. City of Cincinnati	United States District Court	Pending	Personnel matter
10CV671	Hernandez v. Pro-Touch, et al.	United States District Court	Pending	Personnel matter
A0707852	Joan Vonderhaar v. City of Cincinnati	Hamilton County Court of Common Pleas	Settled	Personal Injury
A0709838	Miguel Avila v. Karim Khrrissi, et al.	Hamilton County Court of Common Pleas	Settled	Personal Injury
A0801829	Gladys Cox v. City of Cincinnati	Hamilton County Court of Common Pleas	Settled	Property Damage
A0804102	Raymond Thornton v. City of Cincinnati	Hamilton County Court of Common Pleas	Settled	Property Damage
A0804103	James Williams v. City of Cincinnati	Hamilton County Court of Common Pleas	Settled	Property Damage
A0810551	Carol Fierro v. GCWW, et al.	Hamilton County Court of Common Pleas	Dismissed	GCWW collection effort
A0900755	City of Cincinnati v. City of Harrison	Hamilton County Court of Common Pleas	Pending	Water service territorial dispute
A0907778	Starks v. GCWW	Hamilton County Court of Common Pleas	Dismissed	Personal Injury
A0912106	Gregory Mellett, et al. v. GCWW	Hamilton County Court of Common Pleas	Dismissed	Property Damage
A1000587	Ken Randolph v. GCWW	Hamilton County Court of Common Pleas	Dismissed	Personnel matter
A1001129	Jack Orthman v. George Lorenza, et al.	Hamilton County Court of Common Pleas	Pending	Personal Injury/property
A1001223	Beverly Carter v. City of Cincinnati, et al.	Hamilton County Court of Common Pleas	Pending	Personal Injury
A1007312	Eiler Towing and Wrecker Service v. Ohio Dept. of Taxation	Hamilton County Court of Common Pleas	Pending	Petition to wrap up corporate affairs
A1009017	Gregory Mellett, et al. v. GCWW	Hamilton County Court of Common Pleas	Pending	Property Damage
A1100066	Elaine Huntley, et al. v. General Western Highland Company	Hamilton County Court of Common Pleas	Settled	Personal Injury
A1100562	Joe Dirt, LLC v. City of Cincinnati, et al.	Hamilton County Court of Common Pleas	Pending	Contractor-subcontractor dispute
A1100588	Brownmor Co. v. Joe Dirt, LLC, et al.	Hamilton County Court of Common Pleas	Pending	Contractor-subcontractor dispute
A1100664	Jerry Ritter Trucking v. Joe Dirt, LLC, et al.	Hamilton County Court of Common Pleas	Pending	Contractor-subcontractor dispute
A1100765	Fred Hensley v. City of Cincinnati, et al.	Hamilton County Court of Common Pleas	Pending	Property Damage
A1101080	Jermaine Slaughter v. City of Cincinnati, et al.	Hamilton County Court of Common Pleas	Settled	Personal Injury
A1105959	Rodney Simpson v. City of Cincinnati	Hamilton County Court of Common Pleas	Pending	Personnel matter
A1106795	Gayle Laterro, Executor v. City of Cincinnati	Hamilton County Court of Common Pleas	Pending	Property Damage

**Note:** None of the cases listed above involved action against GCWW's Customer Assistance or Billing Operations Sections.

## **Appendix E – Contract Performance Metrics**

Attached is a sample of performance against metrics set forth in a billing services contract.

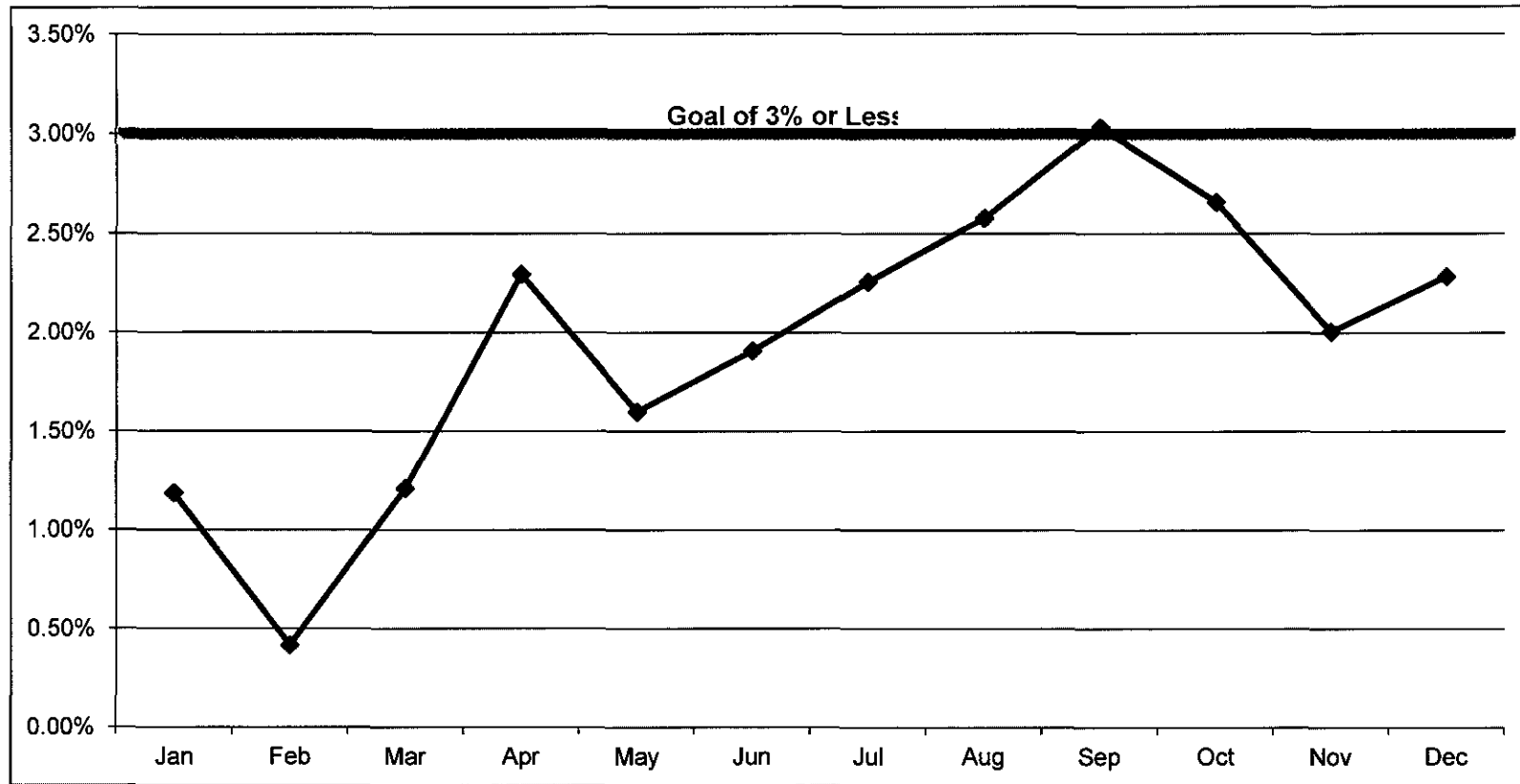
# Chart of Monthly Calls by Code



## Monthly Calls by Code Detail

Month	ACD Calls Answered	Event 1 Acct Info	Event 2 Serv Order	Event 3 Mtr Read	Event 4 DQ Collect	Event 5 Sewer Stormswr	Event 6 Water Quality	Event 7 Emergency	Event 8 Payments	Event 9 Special	Sum All Coded	% Coded
Jan-10	2695	1382	101	21	220	3	1	5	226	57	2016	74.8%
Feb-10	2645	1496	99	20	179	2	1	2	247	35	2081	78.7%
Mar-10	3470	1877	126	19	162	1	0	2	258	72	2517	72.5%
Apr-10	2962	1568	135	17	143	2	0	5	186	22	2078	70.2%
May-10	3125	1567	204	16	173	1	0	0	259	12	2232	71.4%
Jun-10	3353	1781	155	23	194	5	0	5	202	24	2389	71.2%
Jul-10	2967	1660	151	21	221	2	0	6	229	22	2312	77.9%
Aug-10	3104	1826	188	21	203	5	2	2	242	15	2504	80.7%
Sep-10	2902	1459	156	36	201	0	1	6	203	24	2086	71.9%
Oct-10	2857	1459	168	29	222	2	0	11	199	21	2111	73.9%
Nov-10	2691	1462	117	53	214	2	0	5	164	13	2030	75.4%
Dec-10	2451	1371	114	15	96	0	0	8	258	3	1865	76.1%
<b>Totals</b>	<b>35222</b>	<b>18908</b>	<b>1714</b>	<b>291</b>	<b>2228</b>	<b>25</b>	<b>5</b>	<b>57</b>	<b>2673</b>	<b>320</b>	<b>26221</b>	<b>0.7444495</b>

# Monthly % of Abandoned Calls



### Monthly % of Abandoned Calls & Profile Detail

Month	0-15 seconds	15-30 seconds	30-35 seconds	35-45 seconds	45-60 seconds	60-90 seconds	90-120 seconds	120-180 seconds	180-240 seconds	240 > seconds	Total Calls
<b>January 10</b>											
ACD Calls	1610	417	96	164	181	134	53	36	3	1	2695
Abandon Calls	16	6	1	4	2	1	1	1	0	0	32
<b>February 10</b>											
ACD Calls	2024	245	45	79	90	86	45	28	3	0	2645
Abandon Calls	7	2	1	0	0	0	1	0	0	0	11
<b>March 10</b>											
ACD Calls	2398	358	92	111	136	168	77	72	23	35	3470
Abandon Calls	22	8	2	0	1	3	2	0	1	3	42
<b>April 10</b>											
ACD Calls	1372	351	105	156	215	285	175	171	76	56	2962
Abandon Calls	28	7	2	4	3	3	2	8	5	6	68
<b>May 10</b>											
ACD Calls	1236	466	117	213	254	362	204	190	48	35	3125
Abandon Calls	15	9	3	5	4	5	4	3	1	1	50
<b>June 10</b>											
ACD Calls	1255	507	138	245	312	384	242	181	44	45	3353
Abandon Calls	21	11	3	2	3	9	2	10	0	3	64
<b>July 10</b>											
ACD Calls	1294	409	116	169	254	278	159	160	58	70	2967
Abandon Calls	20	13	3	4	4	7	4	8	1	3	67
<b>August 10</b>											
ACD Calls	1124	487	127	214	279	376	224	183	52	38	3104
Abandon Calls	27	15	5	4	6	11	6	4	1	1	80
<b>September 10</b>											
ACD Calls	1084	430	131	201	229	323	185	213	61	45	2902
Abandon Calls	31	17	3	7	8	6	3	9	1	3	88
<b>October 10</b>											
ACD Calls	1233	393	105	174	207	288	169	152	64	72	2857
Abandon Calls	33	11	2	3	4	7	3	4	4	5	76
<b>November 10</b>											
ACD Calls	1097	473	116	234	203	277	143	109	30	9	2691
Abandon Calls	24	13	2	4	0	3	3	2	3	2	54
<b>December 10</b>											
ACD Calls	1317	348	69	103	145	218	97	74	38	42	2451
Abandon Calls	25	11	3	3	3	3	2	3	0	6	56

## Appendix F – Testing Strategies

For several years, GCWW has used an automated testing tool (HP's Quality Center) to manage the application testing process to verify that requirements are properly implemented and functioning. Projects that have benefitted from the use of Quality Center are: multiple billing system upgrades, expansion to include Butler County, customer contact center upgrades, electronic billing and payments, bad debt module, field work scheduling and meter reading software improvements.

HP Quality Center helps GCWW to organize, manage and track all phases of the application testing process as follows:

- **Specify Releases and Cycles** - define releases and cycles for a particular project. This means that when GCWW upgrades their CIS, any LFUCG requirements will be incorporated into the upgrade release, as desired.
- **Specify Requirements** - define requirements, view and modify requirements, convert requirements to tests, and track project progress.
- **Plan Tests** - create a test plan tree, design test steps, copy test steps and link tests to the requirements. The test plan also includes the expected result for the test.
- **Running Tests** – organize test sets, perform test runs and analyze the results of these runs.
- **Adding and Tracking Defects** - add new defects that were detected, search for similar defects, update defects, link defects to tests and trace changes. Attachments can also accompany the defect.
- **Alerting on Changes** –create alerts automatically and send an email notification when certain changes occur. This enables GCWW to can keep track of changes made to your requirements, tests, and defects as project testing is performed.
- **Analyzing the Testing Process** – monitor the testing process by creating reports and graphs to assist with decisions about application readiness.
- **Customizing Projects** – set up project users, and create project fields and lists.
- **Status reporting** – for testing, requirements, defects/issues or change requests

GCWW has dedicated functional team members who are thoroughly trained and use this tool on a regular basis to successfully complete their work assignments. As additional testers are needed for a project, they are trained quickly - using established procedure and practices. Presently, there are 15 people trained in Quality Center as testers.

This tool is also used by GCWW to track change requests for the billing system and interfaces. A change request is logged into Quality Center by the support staff or any one of 10 functional/technical team members. The Change Advisory Board meets bi-weekly on these requests and assigns a technical and functional resource if needed. All follow-up, research and/or development are entered into the defects area of Quality Center.

When a change request is created it defaults to a status of "New." Upon assignment, the status is changed to "Open." When code changes are made and the item is



ready for testing, the status is changed to "Dropped." The status is changed to "Tested-OK" after the code is thoroughly tested and all test scripts are passing. Once the new code is put into production from the test side, the status is changed to "Fixed."

This approach to testing ensures traceability of functional requirements into a successful implementation of the software. It also ensures good version control, so that changes in one version are automatically incorporated into the testing of the next version.

## **Appendix G – GCWW Information**

- IT Certifications
- Other Staff Credentials
- Credit Rating with Moody's Investor Services and Standard & Poor's
- Recommendation Letter
- GCWW Fact Sheet
- AMWA Platinum Award Announcement & Application
- Annual Report
- Major Customer Service Enhancements and Client Service Activities

## **GCWW Staff Technology Education and Credentials**

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### Associate's Degree

- Computer Programming*
- Information Systems*

### Bachelors of Science

- Mathematics and Computer Science*
- Computer Science*
- Information Systems*
- Information Technology*

### Masters of Science Coursework, Computer Science

### Oracle

- Oracle Certified Internet Application Developer Certification*
- Oracle SQL and PL/SQL training*
- Oracle Developer Foundation Training*
- Oracle Forms 1 Training*
- Oracle Forms 2 Training*
- Oracle Reports Training*
- Oracle New Features Training*
- Oracle 10g New Features for Developers*
- Oracle 9i/10g Forms and Reports New Features*
- Oracle 9i: Build J2EE Applications*
- Enterprise Oracle DBA Part 1A Architecture & Administrator*

### Fundamentals of HP UNIX training

### Aspect

- Aspect Unified Command and Control Real-Time Reporting Essentials Training*
- Aspect Unified IP Historical Reporting Essentials Training*
- Aspect Unified IP Systems Training*
- Aspect Unified IP Quality Management Training*
- Aspect PerformanceEdge Performance Management Administration Training*

### Project Management

- Project Management - University Level Courses*
- Fundamentals of Project Management Training*
- GEAE Project Management*

### Java Programming

### Data Warehouse Modeling

- IBM Certified Specialist -- DB2 UDB V6/V7 User*
- IBM Certified Specialist -- DB2 UDB V6/V7 Database Administrator*
- Data Modeling & Database Design with Erwin*
- GEAE Six Sigma Training*
- Software School, MCSE Classes*

### Indus Customer Suite 4.0

### ITIL

- ITIL V3 Foundation, MAX Technical Training*
- ITIL V3 Foundation*
- ITIL Advanced Service Operation Training, MAX Technical Training*
- ITIL Advanced Service Transition Training, MAX Technical Training*

### Mercury Test Director

## **Greater Cincinnati Water Works Other Staff Credentials**

GCWW has a strong commitment to ongoing training and staff development. The following highlights this commitment.

GCWW emphasizes skill enhancement and professional development by providing extensive and varied training offerings in order for all employees to meet a 40hour annual training commitment. New employees typically participate in 150 – 180 hours of training within their first year. Two of our Senior CSR's are dedicated to training development and delivery for our Contact Center staff, allowing us to enhance knowledge through continuous education/recurrent training.

GCWW Billing Operations is staffed by 6 Senior Customer Service Representatives responsible for collections and bankruptcies, in high volume. They are all veteran employees ranging in experience from 6 to 22 years experience with GCWW. Six Accounting Techs handle a full range of adjustments, resets and exceptions for more than 240,000 GCWW accounts, as well as the municipalities for which we provide billing services.

GCWW's Contact Center staff of 38 combined frontline and Senior Customer Service Representatives represents collective contact center knowledge and experience serving 12 different municipal utilities. The range of staff billing experience extends from waste collection only to full service water, sewer, storm water and waste collection bill interpretation, billing adjustments, payment arrangements and related services. Contact Center staff members are regularly trained on systems, process improvements and procedures as part of a recurrent training plan. Contact Center has full capacity training team & necessary tools for instructor led as well as online training development & delivery.

GCWW's Customer Service training program, focused on "Fulfilling the Customer Service Commitment" was developed in partnership with NorthStar Consulting and delivered to GCWW's Contact Center Reps over an eight month period in 2010. The curriculum was tailored to CSR staff needs, designed for relevancy and optimal impact. Twelve highly interactive 2 hour sessions were co-facilitated by an external consultant and a GCWW Supervisor or Senior CRR and emphasized: GCWW's Customer Service Vision, Meeting the Customer Personal and Business Needs, Empathy and Listening, Service Recovery and Managing Difficult Customers and Problem Solving : Provide training designed to ensure agent ability to deliver the Call Center Customer Commitment to "Be the Standard for Excellence in Customer Service". Our Customer Service training continues to be planned strategically based on staffing changes or targeted customer service needs.

From the Business Courier:

<http://www.bizjournals.com/cincinnati/news/2011/07/22/cincinnati-water-works-lands-high.html>

# Cincinnati Water Works lands high marks from Moody's, S&P

**Business Courier**

Date: Friday, July 22, 2011, 12:02pm EDT

Greater Cincinnati Water Works has received high ratings from both **Moody's Investors Service** and **Standard & Poor's**.

Water Works' long-term credit was given an "Aaa" rating from Moody's and "AAA" rating from S&P, according to a new release. The triple-A is the highest rating for a municipal water utility, and ratings are based on financial strength, possible future risk and potential outside support during financial distress, among other factors.

"These ratings are an endorsement of GCWW's fiscal governance," says Biju George, interim director of Greater Cincinnati Water Works. "The ratings agencies have confidence in our financial management processes and in our ability to sustain our finances long-term."

Water Works' broad service area, regular rate increases and diversity of revenue sources were also listed as strengths, according to the release.

Greater Cincinnati Water Works provides water to more than 1.1 million people in Hamilton, Butler, Warren, Clermont and Boone counties.



November 22, 2011

Mr. Todd Slatin  
Buyer Senior  
Lexington-Fayette Urban County Government  
Room 338, Government Center  
200 E. Main Street  
Lexington, KY 40507

Dear Mr. Slatin:

It is with great pleasure that the Metropolitan Sewer District writes this reference letter to support the proposal of GCWW to provide the billing, collections and contact center services for the Lexington Fayette Urban County Government.

The Metropolitan Sewer District of Greater Cincinnati is a publicly operated wastewater utility with a ratepayer base of approximately 230,000 residential and commercial users. The Board of County Commissioners of Hamilton County created MSD in 1968. During that time, they established a 50-year contractual arrangement with the City of Cincinnati for the management of MSD's daily operations and sustainability, thereby creating a strong long-standing history of public-to-public partnership with the Greater Cincinnati Water Works.

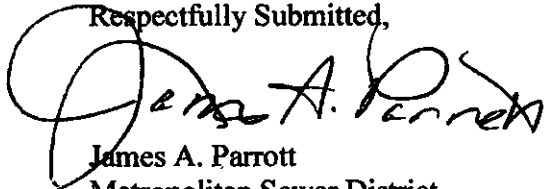
The Greater Cincinnati Water Works has been the billing agent for the Metropolitan Sewer District for numerous years. Sewer charges are based on water consumption. One meter reading produces charges for both services, thereby creating a natural partnership. The Stormwater Management Utility is also operated by MSD. When the City of Cincinnati began billing for stormwater services in 1997, we expanded our partnership to include the stormwater utility charges to the GCWW utility bill as well.

This partnership provides for shared services for meter readings to generate accurate and timely utility billings, customer contact to address questions or concerns, and the use of the latest technology to provide outstanding billing and customer service and billing. These services are provided at an affordable rate in a very professional manner.

The departments work very close together to identify workflows or operations to enhance efficiencies and explore the use of the latest or emerging technologies that can be used to provide enhanced services to our customers and the community we serve. GCWW employees know and understand our work rules and billing rate structure. The trained professionals and dedicated staff at GCWW do an outstanding job of assisting our customers with questions or concerns.

In closing, this long-standing partnership has been very beneficial to us and I highly recommend GCWW for this project.

Respectfully Submitted,

A handwritten signature in black ink, appearing to read "James A. Parrott". The signature is written in a cursive style with a large initial "J" and "P".

James A. Parrott  
Metropolitan Sewer District  
Executive Director



GREATER CINCINNATI  
WATER WORKS

## Greater Cincinnati Water Works Statistics

- On average, 133 million gallons of water were pumped each day in 2010. Total treatment capacity is 280 million gallons a day.
- GCWW supplies water from two sources, the Ohio River, which supplies about 88% of GCWW's drinking water, and the Great Miami Aquifer.
- More than 60 billion gallons of water in the Ohio River flow past Cincinnati each day -- GCWW pumps and treats just 0.16% of that water.
- GCWW's service area is over 811 square miles and includes parts of Hamilton, Butler, Warren and Clermont counties in Ohio and Boone County Kentucky. The City of Cincinnati is 78 square miles -- less than 10% of GCWW's total service area.
- GCWW's distribution system includes more than 3,100 miles of water mains (enough to stretch from Boston to San Diego), 32,290 fire hydrants, and 33,699 valves.
- Along with water mains, the total water system includes 2 treatment plants, 24 pump stations to lift the water up the hills, 33 elevated tanks and reservoirs.
- GCWW spends on average approximately \$60 million annually on capital asset replacement and maintenance.
- GCWW's bond rating is AAA from S & P and Aaa from Moody's
- GCWW is not tax supported.

### **MISSION**

*To provide customers within our regional communities a plentiful supply of the highest quality water and excellent services.*

### **VISION**

*We will be the standard of excellence in water and service delivery to contribute towards the competitive advantage of the region.*





## 2011 AMWA AWARD WINNERS

Twelve public drinking water systems were honored with AMWA's top utility management awards at the association's 2011 Annual Meeting in Newport, R.I.

Winners of the 2011 AMWA Platinum Awards for Utility Excellence were:

**Beaufort-Jasper Water & Sewer Authority**  
**Greater Cincinnati Water Works**  
**Jordan Valley Water Conservancy District**  
**Minneapolis Water Works**  
**City of North Las Vegas Utilities Department**  
**Orange Water and Sewer Authority**  
**City of Riverside Public Utilities**  
**City of Tempe Water Utilities Department**  
**Washington Suburban Sanitary Commission**

AMWA's 2011 Gold Awards for Exceptional Utility Performance were presented to:

**Arlington Water Utilities**  
**South Central Connecticut Regional Water Authority**  
**WaterOne**

### **Platinum Award Winners**

**Beaufort-Jasper Water and Sewer Authority (BJWSA)** shifted its capital program from one driven by growth to one focused on renewal and replacement, accomplished major debt restructuring for significant savings, reduced staff by attrition, and restructured operations and consolidated major facilities for significant savings. The utility acquired the assets and a fifty-year franchise for utility service on the four military bases in its service area. BJWSA's integrated water resources plan focuses the utility on an ambitious demand management program, major efforts in source water protection and significant increases in the reclamation and reuse of its wastewater effluent.

**Greater Cincinnati Water Works (GCWW)** began construction in 2010 on a 240-mgd ultraviolet treatment facility. When the facility becomes operational, GCWW will be the largest water utility in North America to use UV disinfection following sand filtration and granular activated carbon adsorption. In 2009, Standard & Poor's upgraded the

utility's bond rating to AAA, and in 2010, Moody's elevated its rating to Aaa, placing GCWW among the elite water utilities in America holding twin AAA ratings. The U.S. Environmental Protection Agency selected the utility to partner in its Water Security Initiative, which allows GCWW to proactively detect and respond to potential water contamination events.

**Jordan Valley Water Conservancy District** implemented sound financial management practices that yielded improved bond credit ratings and successful funding of an aggressive capital improvements program. Broad stakeholder involvement brought extensive community support in creating the Conservation Garden Park and Education Center and development of one of the nation's largest groundwater remediation and potable water supply projects. Water demand management programs resulted in an 18 percent reduction in per capita water use. Safety incident rates were improved, and aggressive water quality goals are consistently reached. Asset management and best management practices provide efficient maintenance of infrastructure capacity and service levels.

**Minneapolis Water Works (MWW)** has improved its product quality, customer service, product cost and staff development. An ambitious project to optimize the lime softening process, along with a laboratory opened to reassess methods, allowed MWW to significantly improve its water quality. Its centralized call center can track, interpret and give results providing information needed to improve customer service. For financial viability, expenses were reduced to match the loss in revenue due to decreased sales caused by water conservation. An improved forecasting tool was developed that allows prediction of future revenues, and an expanded capital program will provide additional infrastructure stability.

**City of North Las Vegas Utilities Department** improvements include an automated payment system for increased customer convenience, infrastructure improvements based upon planning projections, and capacity analyses and maintenance surveys. Recent completion of a Membrane Bio-Reactor Water Reclamation Facility eliminates reliance on other agencies, provides a more stable rate structure for customers and enhances local

water supply stewardship through higher levels of treatment. To optimize efficiency, an automated meter reading system was implemented, infrastructure models were updated and the GIS and asset management systems were enhanced. The Utilities Department is increasing citizen knowledge via outreach programs and is participating in an aquifer recovery program.

While **Orange Water and Sewer Authority's (OWASA)** customer base grew 3.6 percent in the last five years, water demand dropped 18 percent. Conservation initiatives included increasing block water rates, public information, mandatory year-round conservation standards, and a reclaimed water system that will meet about 12 percent of the community's overall water demand. OWASA reduced its workforce by 15 percent without affecting service quality through reorganization, greater use of technology, and a more highly trained and flexible workforce. Financial reserves grew to over \$20 million and the debt service coverage ratio improved to over 2.0.

**Riverside Public Utilities' (RPU)** strong local partnerships create new opportunities in water supply, conservation and watershed management while maximizing regional efficiencies. Open communication fosters stakeholder support and builds collaborative relationships to help ensure a safe and reliable water supply for future generations. The utility's proactive approach to groundwater management through the development of an integrated water management plan is consistent with its reputation as an innovator. Prudent fiscal management can be credited for RPU's Water Division upgrade to an AAA credit rating by Standard and Poor's. This strong financial position is in line with both the utility's short and long-term goals of protecting its financial health.

**City of Tempe Water Utilities Division (WUD)** piloted an organization-wide management initiative elevating its strategic planning efforts to new levels. The 4D operating system became the foundation of a participatory and collaborative learning and improvement environment and empowered WUD to effectively execute top-priority business and process improvements. Continuous strategic planning became an integral part of the utility culture and positively impacted various utility operations in providing

clean, safe drinking water; collecting and safely treating wastewater; creating and maintaining a sustainable environment; maintaining competitive user rates; and providing a superior level of customer service. Emphasis was placed on efficiency, cost-effectiveness and energy conservation.

The **Washington Suburban Sanitary Commission (WSSC)** plans to replace 41 miles of water pipe in FY2012, and formed a Bi-County Working Group to assess funding alternatives. The utility established five asset management plans and uses acoustic fiber optics to monitor large prestressed concrete cylinder pipe transmission lines for signs of weakness. Sustainability is clearly demonstrated in issues related to water supply, green and efficient acquisition of energy, reduction of greenhouse gas and community outreach and education. Its Potomac Water Filtration Plant has the largest active UV disinfection system in the country. And, WSSC was one of the first utilities to have its own smart phone “app.”

#### **Gold Award Winners**

**Arlington Water Utilities (AWU)** places an emphasis on long-term financial stability and managing assets through continuous process improvements. The utility works closely with the community to strengthen its commitment to environmental issues through collaborative outreach projects such as the Lake Arlington Master Plan, developed in collaborative effort with stakeholders to protect the ecology and water quality of the area for decades to come. AWU has initiatives such as the online water quality monitoring project, which provides the city with the dual benefits of water quality monitoring and a more timely detection and response to drinking water contamination incidents from both operational and intentional sources.

The **South Central Connecticut Regional Water Authority (RWA)** is achieving its mission to provide high quality water and service at reasonable cost while advancing watershed land conservation in the face of sharply reduced industrial water needs and gradually declining residential demand. Its strategic plan transforms its culture to greater agility and efficiency. RWA customers enjoy water that surpasses state and federal

standards, and the utility is committed to assiduous maintenance of its infrastructure. Systems, such as supervisory control and data acquisition and hydraulic modeling, and the Incident Management plan, which encompasses hazard-specific emergency response and recovery plans, document institutional knowledge and buffer employee attrition.

At **WaterOne** (Water District No. 1 of Johnson County), completion of a state-of-the-art treatment facility and laboratory in 2010 positions the utility to meet the needs of current and future customers. Attention to operational optimization and efficient use of resources is seen in innovative energy savings software and unique pipe-bursting equipment to replace water mains. The success of WaterOne's strong concentration on training, wellness and safety results in a healthier work force and advancement of its employees. Through careful financial planning and fiscal responsibility, WaterOne enjoys support from ratepayers for new projects and has been awarded high bond ratings.

2011



GREATER CINCINNATI  
**WATER WORKS**



or Utility Excellence



## 1. MISSION, VISION & VALUE STATEMENTS

**Our Mission-** To provide our customers with a plentiful supply of the highest quality water and outstanding services in a financially responsible manner

**Our Vision-** Greater Cincinnati Water Works will be the standard for excellence in the water utility industry

**Our Values-** Above all, the Greater Cincinnati Water Works values our customers; they are the sole reason we exist. Anticipating and exceeding their expectations guides our strategic planning, drives our decision making and prioritizes our actions. To that end, we recognize that successful customer relationships directly depend on our employees. The people who work here are the Greater Cincinnati Water Works, and we value their loyalty, contributions, accomplishments, and their dedication to our customers. Greater Cincinnati Water Works employees, in turn, commit themselves to the following values that will enable us to realize our vision - to be the standard of excellence in the water utility industry.

- Quality Drinking Water
- Involvement in the Community
- Innovation and Creativity
- Integrity and Professionalism
- The Environment
- Efficiency and Cost Effectiveness

## 2. KEY TO MANAGEMENT SUCCESS: STRATEGIC BUSINESS PLANNING

Since 1995, Greater Cincinnati Water Works (GCWW) has used strategic business planning to take a long-term view of the utility's goals and operations and to determine strategies and objectives that support the overall mission and vision. Over the years, strategic planning has helped explain the utility's goals to employees and stakeholders, as well as stimulated change and started improvement efforts throughout the organization.

GCWW has just completed its fourth strategic business plan. This plan covers Fiscal Years 2012-2014 and serves as a roadmap for the next three years. The plan outlines the Mission, Vision and Values along with the Goals, Strategies, and Action items to continue to move the utility forward. A Strategic Development Team comprised of senior management, middle management and union members created the plan. Engagement exercises were held so all employees could participate and provide feedback. A SWOT analysis was initially done to assess the current conditions, strengths, weaknesses, opportunities, and threats to the utility. Existing business drivers (underlying causes and effects) were then reviewed to determine their impact on new strategic initiatives. All strategic initiatives were then aligned with the "Ten Attributes of Effectively-Managed Water Sector Utilities" and the balanced scorecard. A systematic approach was used to prioritize the strategic initiatives, further develop divisional budgets and resource plans and identify performance measures for the initiatives. The strategic plan development process also identified new ways to communicate, new methodologies to manage organizational change, and new ways to engage employees in improvement efforts.

Monthly meetings are now held with senior management to review the status of the strategic planning efforts and initiatives, as well as to update performance measures pertaining to strategic initiatives.



### 3. KEY TO MANAGEMENT SUCCESS: PERFORMANCE MEASUREMENT

Since 2004, GCWW has used strategic performance measures in making management and operational improvement efforts. In 2009, GCWW implemented a new software system for tracking and reporting performance measures. Operational and strategic performance measures were evaluated and updated to represent the desired outcome of day-to-day tasks and strategic choices made by the organization. Senior management reviews divisional and departmental dashboards every month to check on the health of the utility, to improve key areas, and to strategize on future endeavors.

All measures are aligned within the organization using the balanced scorecard. The balanced scorecard helps GCWW align strategic and operational activities to the mission, vision and goals of the organization, improve internal and external communications, and monitor organization performance against strategic goals. Senior management and section leads within each division regularly access the performance measurement system to review key indicators and make operational changes, if needed. All operational measures are aligned within the performance measurement system and are linked to support strategic measures for the organization. Since the 2012-2014 strategic business plan was recently completed and identifies new strategic initiatives, GCWW is revisiting the measures to determine what updates are needed to align with this new strategic business plan. GCWW will further incorporate the 22 key performance indicators for water and wastewater utilities from the AWWA/WEF QualServe Benchmarking Program along with other suggested performance measures outlined in "Effective Utility Management: A Primer for Water and Wastewater Utilities."

### 4. KEY TO MANAGEMENT SUCCESS: CONTINUAL IMPROVEMENT MANAGEMENT FRAMEWORK

For more than 10 years, succession planning and aging workforce have been key topics in the utility industry. Responding to this need, GCWW embarked on an initiative called WKRP - Workforce Knowledge Retention Project. One element of this project was to capture Standard Operating Procedures (SOPs) across the department. A key benefit of this initiative was capturing the institutional knowledge held only in the minds of many legacy employees, who will soon retire. Many infrequent but important processes were also documented and catalogued. GCWW now has a central repository for all that knowledge. After validation by an approval process, the SOPs are linked to positions in the chain of command where that process lies.

For many years, GCWW has networked regularly with other publicly-owned water utilities to answer questions, review day-to-day experiences, and to share best operating practices for running a utility. To date, this group includes 14 utilities, and has evolved from its early focus on water supply and engineering issues to all aspects of water utility operations and management. Questions and answers collected over the last 17 years have been compiled into a searchable Knowledge Database to make this valuable information accessible to all GCWW employees. GCWW views this workshop membership as a way to continually network with other utilities experiencing many of the same issues and to help stay current on trends and new practices and techniques in the industry.

In 2008, 60 GCWW project managers attended a formal Project Management training course based upon the principles of the Project Management Institute. As part of the training, project management experts from other water utilities and consultants also shared their companies' project management practices. From this training, GCWW developed its own project management system in order to insure consistency and proper project management practices throughout the organization. The project management system includes project chartering, business case development, project plans, and stage gates throughout the life cycle of the project. Project reporting tools and performance measures are also part of the new project management system. GCWW has already seen many benefits from employing successful project management practices across the organization.



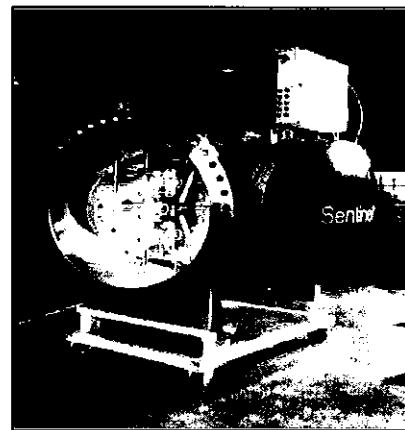
Two years ago, GCWW migrated all enterprise documents from our old Curator system to a new OnBase product. In all, 1.4 million documents were transferred during the one year conversion. The new tool allows for easier saving and retrieving of documents and much better querying and tracking. Now, GCWW is developing e-forms, which will allow for greater tracking capability and an electronic workflow of internal forms throughout the department. OnBase integrates well with SharePoint, which is fast becoming GCWW's tool of choice for work groups and projects.

## 5. ATTRIBUTE - PRODUCT QUALITY

Our water quality meets or exceeds all local, state, and federal safe drinking water standards and operating permits. GCWW staff optimizes both product and service quality on a continuous basis. Annually, we perform well over 221,000 analyses to ensure that the water quality throughout our system is of the highest standard. In fact, almost 80% of our customers rate our quality as very good or excellent. GCWW has achieved and maintained superior product quality by using strategic initiatives which focus on active participation in the regulatory process, proactive applied research, and partnerships with other organizations and regulators. GCWW has established performance measures for a variety of products and services, which are regularly reviewed. Goals have been set for each measure and specific actions are taken if the measures fall outside established criteria. In addition, GCWW seeks input from independent external advisory groups on water quality initiatives and projects. One such group is an independent committee made up of professionals from various scientific and engineering disciplines. The role of the committee is to facilitate discussion of water issues associated with GCWW from source water to the customer's tap.

GCWW is in the process of installing a 240-mgd UV disinfection treatment facility as an added inactivation barrier against emerging microbes. We are the first utility in the nation to design and implement a UV facility for 4-log (99.99%) *Cryptosporidium* inactivation. Moreover, when the facility is operational in 2013, GCWW will be the largest water utility in all of North America to use UV disinfection, post sand filtration, with granular activated carbon (GAC) adsorption.

As a charter member of the Partnership for Safe Water for Distribution Systems, we strive to maintain the integrity of our water quality. To assure water quality at the tap, GCWW has online monitors at storage facilities and pumping stations. SCADA is set up to display hydraulic detention time, water level and free chlorine residual at each facility. A daily report on water quality in the distribution system is prepared and distributed for review.



GCWW is implementing a 240-mgd UV treatment facility

GCWW also recently developed an "All-Pipes" distribution system model for both hydraulic and water quality parameters—pressure, flow, source of water, age, free chlorine residual and THMs. We run the model under current and future operations to identify areas with water quality concerns, to test what-if scenarios, and to develop both temporary and permanent solutions for operational changes and capital improvement projects. We also use the model to select locations for our contamination warning system. Under emergency conditions, including intentional and unintentional contamination, the model can be used to diagnose incidents, to plan response, and to ensure safe drinking water to our customers.

GCWW is very involved with the Water Research Foundation and has participated in numerous studies. Currently, we are Principal Investigators for two water quality studies; "Evaluation of Granular Activated Carbon Filter Caps for Control of Disinfection By-Product Precursors and Trace Organic Contaminants", and

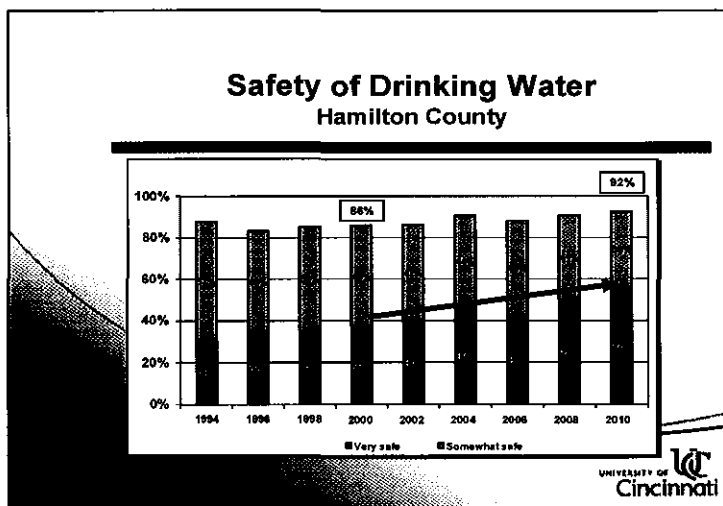


“New Concepts of UV/H<sub>2</sub>O<sub>2</sub> oxidation”. Our research findings have been shared nationally and internationally through presentations and publications.

## 6. ATTRIBUTE – CUSTOMER SATISFACTION

GCWW serves approximately 1.1 million people in the Greater Cincinnati area. To understand our customers’ service level expectations, GCWW routinely participates in the Greater Cincinnati Survey (GCS) conducted by the University of Cincinnati Institute for Policy Research (IPR). GCWW initially participated in the survey in 1991 and now participates every two years. Many of the questions have been asked since the initial survey, allowing GCWW to track changing customer expectations and levels of satisfaction for almost 20 years. In the most recent survey (Spring 2010), a random sample of 1,045 GCWW customers were interviewed. Customers were asked to provide feedback on a wide variety of topics including: the most important service GCWW should provide, water quality, customer service, pricing and payments, internet access, increased environmental protection and service interruption.

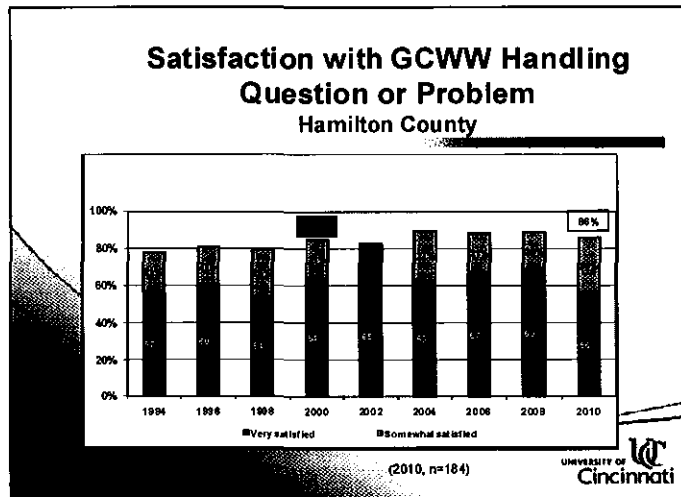
Recent results show that our customers believe the most important thing GCWW should provide is high quality, safe water. Ninety-two percent (92%) said that the water provided by GCWW is safe to drink. Seventy-six percent (76%) rated the quality of their drinking water as “Excellent” or “Good”. Overall, 58% are willing to pay more for improved water quality. Following water quality, the cost of service is most important. Eighty percent (80%) of customers indicated that they receive good value for the money they pay for their water service. Customer service ranks next highest in priority. Ninety percent (90%) of customers reported satisfaction with the way GCWW handles problems or questions. The survey identified changes in the way our customers want to interact with GCWW. More than half (57%) of customers with internet access are likely to get GCWW information via the internet. Fifty-three percent (53%) with internet access would sign up to receive their water bill on-line and over half (59%) say they are likely to pay their bill on-line.



Feedback from the GCS guides GCWW’s decision making in terms of continual improvement. With regard to our customers’ number one priority of water quality, GCWW is in the process of implementing UV disinfection. To address our customers’ expectations for enhanced customer service, a Customer Contact Center Technology Enhancement project is currently underway. The project will deliver additional communication channels, including web-chat as well as additional self-service options and streamlined business processes for increased ease and efficiency. Enhancements to our internet services are also currently underway. In 2010, GCWW implemented electronic bill presentment. In addition to viewing the customer e-bill, GCWW customers are now able to make a one-time, scheduled, or recurring payment via a new automated clearing house (ACH) payment option. From August through the end of 2010, a total of 3,886 customers requested electronic bill activation and 104,698 e-bill and ACH payment transactions occurred totaling \$17.8 million. Also in July 2010, GCWW implemented a monthly billing program to assist customers in need. In the fall of 2011, GCWW will begin working on additional on-line and customer self-service options to further enhance our customers’ on-line experience.



In addition to the extensive and highly structured GCS, GCWW routinely solicits customer feedback through two additional customer surveys focused on areas with high levels of direct customer interaction. The Customer Water Quality Survey is mailed to all customers who have contacted GCWW with a water quality concern that prompted a GCWW site investigation. Since 2000, about 86% of the respondents to the survey were satisfied with GCWW handling their question or problem. The Distribution Division Survey is delivered to 10% of the customers with whom GCWW has had direct contact in the field. GCWW consistently receives high marks for professionalism, courtesy and problem solving skills. Both of these surveys allow GCWW to continually monitor, measure and improve our customer service delivery and are an integral part of our overall mission to deliver superior service.



As part of the Customer Contact Center Enhancement project, GCWW will implement a customer satisfaction survey through all communication channels: phone, e-mail, web-chat. This new survey is designed to evaluate customer satisfaction on timeliness of service, resolution, interaction quality and overall satisfaction with GCWW services. The survey results will be monitored on a daily basis to address immediate customer concerns and on a long-term basis to evaluate customer satisfaction trends and identify areas for potential improvement.

**7. ATTRIBUTE – EMPLOYEE & LEADERSHIP DEVELOPMENT**

GCWW believes in developing all employees, but the development of strong leadership is especially vital to continued growth and improvement as an organization. Since 2001, GCWW has enrolled 21 employees in the University of North Carolina’s Water and Wastewater Leadership Program. This intensive 12-day training program has benefitted GCWW by exposing most upper management to what is considered one of the finest water and wastewater management training programs available. The focus on professional as well as personal development, strategic leadership, change management, business culture, industry analysis, and peer networking has strengthened our upper management team.

In addition to executive level training, GCWW has developed its own comprehensive managerial/supervisor training program called “Lessons for Success”. More than 60 GCWW employees have benefitted from this program. Each year, newly promoted or hired supervisors/managers participate in the 10-module program designed to encourage a culture that values GCWW’s managerial core competencies, that practices effective supervisory skills, and develops leadership skills. Further objectives are to promote a coaching and participative style of management, to provide a training atmosphere designed to encourage teamwork, trust and mutual support, and to regularly reinforce the skills learned. The program lasts the better part of a year in order to give trainees time to implement lessons learned at each session. The sessions are lead by a combination of consultants and City/GCWW HR experts, and are kicked off and closed by the GCWW Director. Feedback from participants over the years has been extremely positive and a positive shift in managerial culture is evident throughout the organization.

For many years, GCWW has shared its expertise in the water industry with both its own employees and others in the region by offering classes in Water Treatment. Taught by our own experts, these classes are approved



by the Ohio EPA and can be credited toward required contact hours in either Water Supply or Water Distribution. In addition, the classes are geared toward preparation for the Ohio Operator Class I, II or III license examination. GCWW opens the classes to all employees and to other water professionals in the region. Students and employees from other Ohio counties and utilities have participated in these 15-week sessions. These courses provide individuals with important background knowledge in applied chemistry, microbiology, physics, theory of operation, unit process descriptions, SOPs and operator responsibilities relative to working at a water treatment plant. Best of all, this learning opportunity is free of charge to all who enroll. GCWW's Classes in Water Treatment program is a good example of GCWW developing its own employees and acting as a water industry leader in the region.

For more than a decade, the City of Cincinnati has offered a tuition reimbursement program to all City employees, which is funded by each department. GCWW employees have taken full advantage of this educational opportunity. The program allows for up to 6 credit hours per academic session at an accredited college or university. The tuition is reimbursed at 100% if the student receives an "A", 80% if the student receives a "B" and 60% for a "C". Since 2005, 57 GCWW employees have successfully completed college coursework and thereby increased their opportunities for promotion. The cost to GCWW for this program has been nearly \$256,000 during this time, and the investment in "human capital" has been a win-win for both employees and the organization.

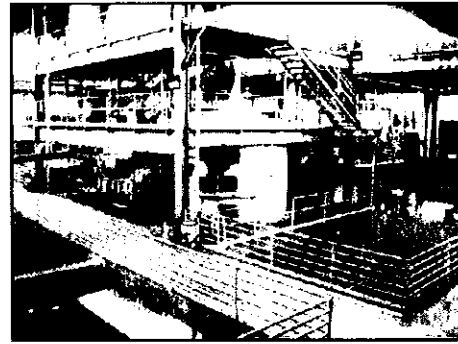
#### 8. ATTRIBUTE - OPERATIONAL OPTIMIZATION

GCWW optimization strategies are focused on streamlining business processes and providing technology applications to support GCWW operations, employees, and customer needs. Through the development and update of strategic plans for business and IT needs, strategies have been identified and outlined for enterprise-wide initiatives and continued investments in optimization technologies. Information is documented through numerous IT interfaces and databases to provide easy access to plans, procedures, and historical information for current and future staff use. Together, these systems have allowed GCWW to increase work process efficiency and maximize the output of existing assets to continually improve operations and reduce costs.

As part of a multi-year SCADA system master plan, GCWW recently completed a project to upgrade the SCADA system with a new user interface. The new system allows for browser-based access and contains an extremely powerful trending and data management package. Using these enhanced tools has allowed employees in operations, water quality, distribution, and engineering to access real-time system information, resulting in quicker analysis and decision-making. GCWW maintains an increasing number of on-line water quality monitors within the distribution system, which have been instrumental in optimizing tank turnover and system chlorine levels, as well as acting as indicators for source water tracing and water age.

GCWW's energy management program was optimized in 2010 through new agreements for real-time electrical purchases. GCWW now purchases electricity at current market pricing and estimated hourly system megawatt usage is submitted on a day-ahead schedule. Through diligent SCADA monitoring of the system tank elevations, water usage, and weather conditions, the actual energy usage is carefully managed. The new real-time energy program has resulted in over \$1.0 million in annual savings. A recent addition to our energy strategy has been the purchase of a base 10 megawatt per hour load for 2011. This will help protect GCWW against spikes in electrical generation prices, which may be more volatile under future conditions. Continuing to optimize our familiar on/off peak pumping schedule is still very beneficial considering day-ahead pricing trends and the electrical distribution demand charges.

Treatment plant and field operations continue to be enhanced. An example is GCWW's on-site carbon regeneration facility. GCWW made a major change in the operating protocol by switching to seasonal reactivation of granular activated carbon, making better use of carbon conditions for disinfection by-product control and resulting in over \$500,000 per year savings in operating costs. More effective use of laboratory instrumentation and implementation of a laboratory information management system (LIMS) have reduced service costs and increased analytical efficiencies. Through the use of GCWW's computerized maintenance management system (CMMS), the Supply Division now completes 98% of its preventative maintenance tasks. This success rate, coupled with improvements in tracking work hours, has reduced reactive work and equipment downtime. Predictive tools, such as thermography, power quality monitoring, and vibration analysis, continue to be developed and used. Field mobile computing has been expanded to provide near real-time updates from the field to the office, work routing to reduce drive time, and electronic communication and processing of service orders. A web-based geographic information system (GIS) map is also available to quickly access all water infrastructure data and other useful field information such as valve closures. Additionally, completion of a project to install an automatic meter reading system (AMR), one of the largest AMR projects in North America, has resulted in improved billing and other operational savings targeted to reach \$22 million by 2012.



GCWW has reduced operating costs at its on-site carbon regeneration facility, saving \$500,000 annually

GCWW has optimized its capital planning program by completing periodic plant audits and distribution system master plans using state-of-the-art computerized hydraulic and water quality models. GCWW uses project management software (Primavera) to track and manage project schedules and costs, which includes an annual 1% water main replacement target (about 32 miles). In conjunction with the GIS, these tools allow GCWW to improve the overall capital planning processes. GCWW has created an enterprise-wide project management system that is used for infrastructure, IT, and other business improvement projects.

GCWW has also implemented and integrated several systems to further enhance operational planning, capital expenditures, and budget monitoring. Budget and accounting software is interfaced with several work process applications, such as the CMMS for fixed asset and stores inventory information and Primavera for capital improvement projects cost tracking. GCWW implemented a monthly budget monitoring system to closely track operating expenditures, revenues, and GCWW's financial position throughout the year. We plan an upgrade to this system that will include utilization of business intelligence software to more accurately predict monthly budget amounts based on current information and historical trends.

The GCWW Customer Contact Center (CCC) handles over 800,000 customer contacts annually and strives to be the standard for excellence in customer service. In 2009, GCWW assessed the CCC's IT infrastructure, business processes, and operations management to determine recommendations for enhancement based on customer expectations, service goals, and industry best practices. As a result, GCWW initiated a project to optimize the CCC's level of service delivery by upgrading CCC technologies. In doing so, GCWW will realize improved levels of customer satisfaction and operational efficiency by providing new and enhanced self-service options, expanded channels for customer interactions, and reduced queue and talk times.

Employee performance appraisals are done annually and step pay increases are given to eligible full-time union employees whose performance meets or exceeds expectations, and similarly for unrepresented employees as budgets allow. Part-time Customer Relations Representatives earn an annual performance incentive payment (\$200/\$350 for meets/exceeds expectations, respectively). An additional compensation

program is the employee wellness program, which was initiated in 2007. Through this voluntary program, employees are rewarded for choosing activities that support a healthy lifestyle, and can earn up to \$500 annually in financial incentives.

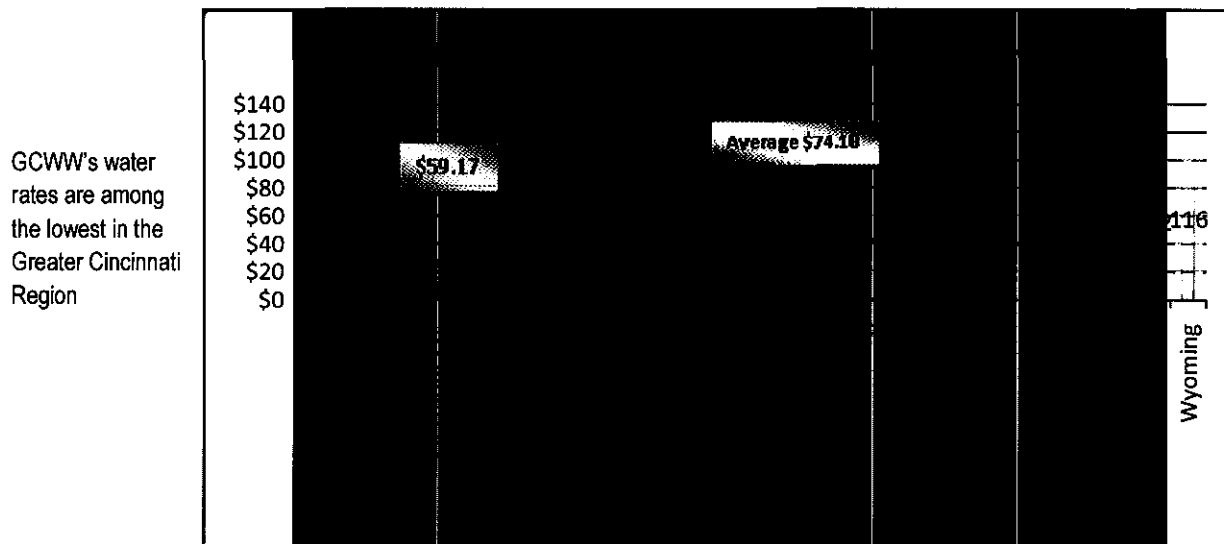
### 9. ATTRIBUTE – FINANCIAL VIABILITY

GCWW continues to be recognized for its strong financial management. Until 2001, GCWW issued general obligation bonds in the name of the City of Cincinnati. GCWW's first rating based on its own merits was issued in February 2001. Moody's rating of Aa2 and Standard & Poor's AA+ rating placed GCWW among the top rated water enterprises in the country. With the bond issuance in 2009, S&P upgraded GCWW's rating to AAA. Of approximately 1,000 water utilities rated by S&P, GCWW became one of 69 to have a AAA rating. Moody's recalibrated GCWW's rating in 2010 and subsequently raised the rating to Aaa, giving the utility twin triple A ratings and placing GCWW among the elite utilities in the country. The ratings were based on numerous positive characteristics which included, but were not limited to:



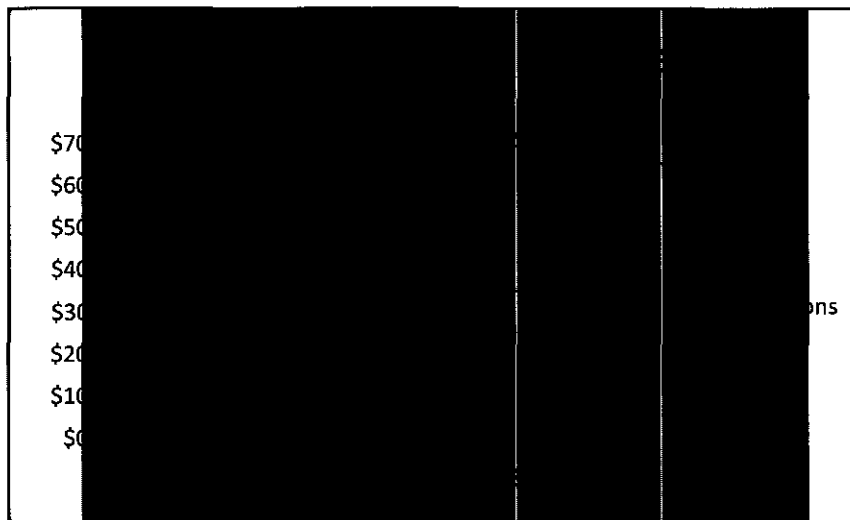
GCWW has dual AAA ratings

- Status as a regional provider - The strength of GCWW's system comes in large part from the economic vitality, industrial diversity and size of its service area. Taking advantage of treatment plant capacity to share the benefits of economies of scale, GCWW has been able to expand its service area well beyond the Cincinnati city limits in the last 15 years and on average has added a new wholesale or retail customer every 25 months. Today, 20% of water consumption is by new communities added to GCWW's service area.
- Deep and diverse employment base - Fifty-four percent of the nation's population, 53% of the nation's purchasing power, 54% of the nation's manufacturing establishments, and 57% of the nation's value added by manufacturing is located within 600 miles of the city. The diverse economic base has been and continues to be a source of financial stability for the area.
- Long-term rate stability - GCWW receives no share of any state or local property or income taxes. Revenue from the sale of water provides for GCWW's operation, maintenance and debt service requirements. Water rates are approved by City Council. GCWW's Director is responsible for allocating the approved rates for water to customer classes within the City and in Hamilton County outside the City limits. Contractual agreement rates are negotiated and linked to various commodity block rates effectively changing when new rates are approved by City Council. Water rates remain competitive in the Cincinnati area as well as with other nearby municipal providers.
- Coverage of annual debt service – The City has historically implemented annual rate increases pursuant to cost of service analyses and other financial rate studies.



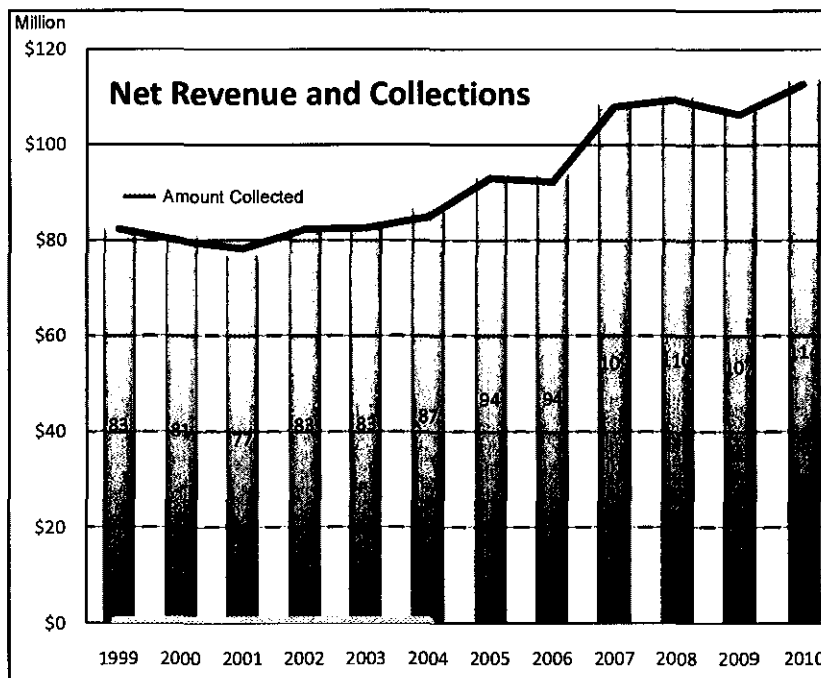
GCWW has had to effectively plan for the future while meeting multiple challenges brought on by the downturn in the economy, regulatory/technology requirements, aging infrastructure, and the competing demands for limited resources. While GCWW has always been proactive in its attempts to lessen the impacts of these challenges, we also recognize that planning methods of the past must be adapted to remain a premier water utility.

Strong financial management has enabled GCWW to withstand economic instability and still increase cash balances over the last decade.



The City adopts a biennial budget. Rate increases are presented to City Council as part of the adoption of GCWW's annual budget submittal. Increases necessary to support GCWW's capital and financial needs are monitored through the use of an annual proforma. Key to the proforma is the annual allocation of resources needed to support the Capital Improvement Program. The CIP is a six-year plan that is reviewed annually and modified as necessary. GCWW uses a number of models to appropriately plan for the support of new expansion as well as the need for replacement of aging infrastructure.

Consistent collection practices have proven successful for GCWW allowing for revenue collections to be nearly 100% of billed revenue.





GCWW completes a Cost of Service Analysis every five years. The findings of the COSA are used when proposing rate increases or when requesting changes to rate structures. COSA helps to ensure that the costs of treating and delivering water are being appropriated to the correct customer classes and that the rates cover the cost of doing business. Rate structures had commonly been designed around consumption. As conservation, economics and weather patterns have altered consumption trends, rate structures have been modified to focus on fixed charges. GCWW anticipates the completion of the current COSA analysis by the end of the summer.

#### 10. ATTRIBUTE – INFRASTRUCTURE STABILITY

Asset management is a critical activity at GCWW and encompasses all treatment facility assets, the distribution system assets, and IT assets. Our capital improvement program is typically around \$55 million per year and about 75% is usually dedicated to asset management, particularly the timely replacement of aging infrastructure.

GCWW implemented a computerized maintenance management system (CMMS) in 2001. The CMMS maintains an inventory of approximately 10,000 discrete assets in the water treatment facilities and the distribution system facilities. All maintenance work on these assets is tracked within the CMMS to facilitate data analysis and reporting. Continuous efforts are made to ensure that the maintenance is in-line with the philosophy of the lowest cost of ownership of the assets, while providing the proper level of service.

A number of dramatic improvements and efficiencies have been achieved by tracking maintenance in the CMMS. After the first year of data collection, maintenance forces realized that only 3.1% of their time was used for preventive maintenance activities, while 19.9% of maintenance time was used to repair failures. With this information, GCWW reprioritized and optimized maintenance tasks, resulting in decreased reactive maintenance. In 2010, GCWW maintenance forces spent 23.3% of their time on preventive maintenance activities and 12.3% on repair of failed equipment. In addition to work optimization, GCWW has started to incorporate predictive maintenance techniques into the preventive maintenance program, including thermographic imaging, vibration analysis, on and off-line motor analysis, oil analysis, and real time pump efficiency monitoring. These tools have allowed GCWW to perform proven needed services to assets and extend their service availability. Predictive maintenance techniques currently make up approximately 10% of the overall preventive maintenance activity time.

With energy costs being a substantial portion of GCWW's operating budget, the pumping equipment is carefully monitored for efficient operation. Efficiency tests are performed annually on over 70 water production pumps and performance measures track pump efficiency. Pump overhauls are scheduled when the pump efficiency drops by 4% from the original pump curve information. In addition, the operating efficiency of the largest pumps is monitored in real-time through the SCADA system. This allows the operators to select the most efficient pumps for the particular task at hand, and provides maintenance forces a useful diagnostic tool.

The inventory of distribution system linear assets (primarily pipes and valves) is also contained within the GIS, with specific information such as installation date, materials of construction, joint type, C-factor, etc. With over 3,200 miles of water main in the distribution system, and about 40 % installed between 1900 and 1960, GCWW focuses on proactively dealing with aging infrastructure. Since 1989, GCWW has replaced 1% (about 32 miles) of water mains in the distribution system per year.



One of the goal areas of the new strategic business plan is to implement comprehensive and consistent asset management across the entire organization. The goal is to build on the asset management that has been performed for many years on the plant, distribution system, and IT assets with a focus on condition assessment, level of service, criticality, and total lifecycle costs. Strategies and action projects are designed to further enhance the concept of the lowest cost of ownership of the assets throughout their life cycles.

Managing risk is also incorporated within the GCWW Capital Improvement Plan. Business cases that are in line with asset management practices are prepared for each project in order to determine the most worthy projects for implementation. Projects are further prioritized by considering the consequence of failure and the probability of failure for each project, relative to each other.

GCWW engages in a robust public notification effort to provide our customers, and the traveling public, adequate information related to construction impacts and interruptions to water service associated with capital project improvements. Prior to construction, all residents within the project's limits receive a "Resident Letter", which includes information on construction hours, traffic restrictions, duration of construction, and GCWW contact information. All customers within the project limits who have been identified as having a lead service branch at their residence receive an additional notice. The "Lead Letter" includes a detailed information pamphlet from the EPA and details about GCWW's water sample testing. Customers are also notified 24-hours in advance of all scheduled water service interruptions. GCWW staff members visit each residence involved to inform our customers of the upcoming water outage.

#### 11. ATTRIBUTE - OPERATIONAL RESILIENCY

GCWW has developed and adopted emergency response plans and other risk reduction practices for use internally and in conjunction with local, state, and federal agencies. GCWW participates in local and regional emergency response activities, including the City of Cincinnati's Continuity of Operations Plan for maintaining operations over a prolonged event, and the Urban Area Security Initiative region of Southwestern Ohio, Southeastern Indiana, and Northern Kentucky (SOSINK). Training, drills, exercises, and evaluations are routinely held to practice and insure sustainability of various plan elements. GCWW also maintains multi-barrier treatment processes and a highly interconnected distribution system to provide redundancy and aid in operational resiliency and risk reduction. The system contains many backup facilities, and GCWW is currently implementing a multi-year plan to enhance backup power capability at critical locations. GCWW is proactive in water sector research and keeps abreast of changing regulatory trends by participating in industry organizations.

Response plans include an Emergency Operations Plan (EOP) and a Pandemic Influenza Plan. GCWW's EOP provides a systematic approach for management of threats and disasters. The plan identifies the responsibilities, functions, operational procedures, and working relationships among stakeholders. It includes sections on contingency plans, alternative operating plans for catastrophic facility loss, labor strikes, source water loss, and flooding events. The Pandemic Influenza Plan provides a framework for maintaining operations during a major disease outbreak. It describes pandemic phases, action triggers, notifications, communication, staffing, and operating plans. To aid in emergency response practices, GCWW personnel have received National Incident Management System/Incident Command System (ICS) training. GCWW staff members have also participated in USEPA water security message mapping workshops.

Because of our work in this area, the USEPA selected GCWW as the first utility in the nation to partner in the Water Security Initiative (WSi). This program allows GCWW to proactively detect and respond to potential water contamination events, and has promoted stronger relationships with external agencies such as the Department of Health, Drug and Poison Information Center, and FBI. Real-time information is gathered and compared to baseline using a comprehensive contamination warning system, including on-line water quality

monitoring, sampling and analysis, enhanced security monitoring, consumer complaint and public health surveillance and threat notification. These parameters are continuously monitored as part of GCWW's routine operations, and protocols are in place for investigation if triggers are alarmed. Response actions for a possible contamination incident are guided by a consequence management plan which uses GCWW's ICS structure, field investigation procedures, threat level determination protocols, operational responses, crisis communication plans, and response partner roles. Remediation and recovery steps are also included in the plan. This innovative initiative has attracted attention from utilities around the world, including Israel, France, and Portugal.

GCWW routinely reviews risk and response plans and practices protocols following the Department of Homeland Security's Exercise and Evaluation Program. Personnel at all levels participate in these events. This includes participation in the regional Emergency Operations Center as a member of SOSINK, where recent drills have included catastrophic situations such as earthquake disaster response. As part of the WSi pilot, several full-scale exercises have been conducted which have tested GCWW's response to detection of a water contamination event, threat determination, ICS structure, and consequence management phases. Local, state, and federal agency response partners participated in these exercises to test response communication and coordination.



GCWW regularly conducts disaster drills

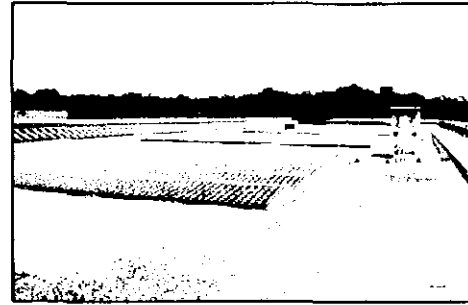
This extensive training and practice was put to the test in 2008 when a regional power outage occurred as a result of significant damage caused by hurricane force winds. Power was lost to several key facilities for periods ranging from one hour to more than two days. Due to extensive training in crisis management, GCWW successfully maintained system operations and supported neighboring utilities. After this event, GCWW personnel reviewed and optimized procedures and plans based on lessons learned.

## 12. ATTRIBUTE - COMMUNITY SUSTAINABILITY

To manage increasing energy costs, GCWW has been very active in implementing strategies to control its energy budget. Electric energy consumption is monitored 24/7 through the SCADA system and appropriate pumping rates are strictly adhered to during on-peak and off-peak hours. The use of off-peak pumping, power factor correction, and demand management through the entire distribution system has helped achieve a high level of efficiency in the use of electric energy.

As part of its 240-mgd post filter Granular Activated Carbon (GAC) treatment process, GCWW operates its own on-site GAC regeneration facility. Operational cost drivers associated with the GAC regeneration process are natural gas and new GAC to make-up for any losses that occur during the regeneration process. In 2001, GCWW implemented an optimization strategy in its regeneration process and has continued to refine that strategy over the last 10 years while maintaining high quality treated water. This strategy has yielded over \$5 million in cost savings over the 10-year period.

To further reduce its reliance on power produced by fossil fuels, GCWW constructed a large solar panel system at its administrative offices. This solar system generates approximately 350,000 Kwh of electricity per year and reduces annual greenhouse gases by 550,000 lbs. The solar panels offset about 12% of the energy consumed at the administrative offices for a savings of approximately \$35,000 per year. In conjunction with the solar panel installation, GCWW is selling “Solar Renewable Energy Credits” back to its electric supplier at a revenue stream of \$110,000 per year.



Solar panel are implemented to reduce carbon footprint and energy costs

GCWW continues to focus on its water loss reduction program through a combination of leak detection crews, regular leak testing of its reservoirs, and aggressive replacement of water mains that exhibit high maintenance. With a policy goal of replacing 1% of its 3,200 miles of water mains annually, GCWW has replaced approximately 300 miles of high maintenance water mains since receiving the AMWA Gold Award.

Long-term sustainability of the utility while controlling water rates requires extensive planning. GCWW maintains and regularly updates its comprehensive Distribution System Master Plans, Facility Audits, and IT Master Plans. These plans identify long-term projects needed to support the effectiveness of the utility. A strong focus is on replacement of aging infrastructure. Typically, 75% of the annual capital program (around \$55 million) is spent on asset replacement.

GCWW is a founding member of the Hamilton to New Baltimore Ground Water Consortium. This unique regional cooperative effort between seven different public and private water suppliers has the sole purpose of protecting ground water resources in the vicinity of our Bolton well field. The Consortium pools its resources to provide public education, land use controls, and water quality monitoring more effectively and efficiently than any one utility alone.

GCWW works with several agencies to protect the Ohio River including the Ohio River Valley Sanitation Commission (ORSANCO) – an interstate commission created in 1948 to “protect and preserve” the waters of the Ohio River. We participate in ORSANCO’s spill detection and reporting network. Several sites along the river collect water samples and analyze them for contamination. If contamination is detected, all drinking water utilities downstream are notified so they may take precautionary measures. GCWW maintains one of those detection sites. We also closely communicate with utilities along the river to discuss river conditions, treatment challenges, and ways to improve our water source. GCWW serves on ORSANCO’s Water User Advisory Committee which provides technical input and guidance to ORSANCO on how it can best balance the needs of drinking water utilities with other river users.

With its new Strategic Business Plan, GCWW is adopting a triple bottom line based decision making process as part of the business case development for each project.

### 13. ATTRIBUTE – WATER RESOURCE ADEQUACY

Since winning the AMWA Gold Award in 2001, GCWW has continued to aggressively grow its wholesale and retail water service in order to further spread the fixed costs over a larger customer base, thereby reducing the unit cost of water produced. In 2001, GCWW served approximately 940,000 people in a 400 square mile area with 2,800 miles of water mains. By 2010, this has grown to about 1,100,000 people in an 800 square mile area with over 3,200 miles of water main. Numerous retail and wholesale water service expansions contributed to this, but the most significant expansion occurred in 2003 with a 30-year wholesale water

agreement between GCWW and Boone County, Kentucky and the City of Florence, Kentucky. To date, this is still one of the largest interstate water agreements in the country.

To ensure that customers receive a plentiful supply of quality water GCWW regularly evaluates and updates its Water Distribution System Master Plan, its hydraulic and water quality computer models, and its water treatment plant audits. All planning tools are integrated to provide our planners, engineers, and operational staff with a comprehensive understanding of the capacity and capability of our assets. In 2009, we completed a new Water Distribution System Master Plan. This Master Plan has a 20-year planning horizon and considers current and future service areas, population, and residential and commercial water demands. Water demand estimates for minimum-day, average-day, maximum-day, and maximum-hour were established throughout the entire service area for the 20-year planning horizon. To determine the hydraulic capabilities of the distribution system and the improvements necessary over the next 20 years, a new hydraulic computer model was created to simulate the system's operation under various demand scenarios. The hydraulic model includes all water mains larger than 4-inches in diameter and is only one of a few large "All Pipes" water models in the country. Not only do we model our distribution system for maintaining proper flow and pressure, GCWW also developed an "All Pipes" water quality model that allows us to estimate chlorine residual and disinfection by-products throughout our current and future water distribution system.



The Richard Miller Plant was expanded by 20 mgd through the optimization of existing processes

Consistent with the growing customer base and the future water demands established in the Master Plan, GCWW has been proactively expanding the capacities of its two water treatment plants. We have increased the capacity of the Richard Miller Treatment Plant from 220 mgd to 240 mgd without constructing new facilities. This was accomplished by modeling the treatment processes throughout the plant to determine their maximum hydraulic capacity while maintaining proper treatment performance acceptable to the Ohio EPA. The 20-mgd capacity increase was achieved with a capital investment of less than \$2 million (primarily larger pumps).

The hydraulic capacity of our Bolton Plant, a groundwater treatment plant, has a design capacity of 40-mgd with 10 ground water wells. Through experience and aquifer modeling, GCWW engineers and geologists determined that interference between wells actually reduced the production capacity of the well field by as much as 8 mgd. To compensate for this, additional wells were installed to sustain the 40-mgd capacity of the treatment plant while adding flexibility and redundancy to the well field.

With these treatment plant capacity increases along with developing a 20-year master plan and capital improvement plan for the distribution system, GCWW has positioned itself to meet the water needs of its current and future customers.

#### 14. ATTRIBUTE – STAKEHOLDER UNDERSTANDING AND SUPPORT

GCWW’s current strategic business plan is focused on all customers, including individual consumers, elected officials, industrial users, wholesale entities, contractors, water industry partners, regulators, and GCWW employees. This plan was developed and shared with various regional stakeholders including Cincinnati City Council, which approves GCWW’s rates, as well as with local business and consumer groups. This provides the framework GCWW uses to manage change, and sharing the plan shows transparency to GCWW’s stakeholders. Upon completion of the plan, GCWW developed performance measures which were aligned with the plan and designed to measure specific progress in each of these areas.

With such a diverse range of customers, GCWW uses many mechanisms to engage stakeholders. The City of Cincinnati has a mayor and City Council which set the overall city policies and approve the City’s budget, including GCWW’s budget and requested rate increase. GCWW informs the City’s elected officials of our activities and direction. As part of the annual budgeting process, GCWW presents its proposed budget and any requested rate increase to City Council. City Council holds public meetings to gather public input on the request, which they carefully consider in their decision-making process. In general, the contracts that GCWW has with wholesale and retail customers outside the city are tied to the rates within the city; therefore, rate adjustments made within the city are automatically reflected in these contracts as well. GCWW routinely meets with wholesale and retail customers to ensure adequacy of service and to explore further opportunities for cooperation.

GCWW plays an essential role in the region and, as such, works with communities to promote public understanding of drinking water through various activities. GCWW participates in community activities demonstrating water related issues and education, including regional festivals and events. GCWW also meets regularly with an advisory committee made up of local scientists and engineers to exchange information and receive advice from leaders in the local scientific community. GCWW’s treatment plants are open to academic and civil groups for guided tours, and GCWW collaborates with local groups by sending speakers to water related classes and providing expert representatives to local civic groups. These activities provide opportunities for GCWW to interact with and educate stakeholders.



Our staff regularly participates in community events

GCWW also communicates with customers through its website, social media and direct mailing of the Consumer Confidence Reports. When special issues arise, GCWW reaches out directly to numerous community councils and municipalities to explain the impact on water quality, services, and rates.

GCWW also engages the industry and regulatory stakeholders in numerous ways. GCWW staff members are very actively involved in industry organizations such as AMWA and AWWA with several members serving as chairs of various divisions and workgroups. GCWW’s reputation is stellar with the regulatory bodies on a state and national level and staff expertise is routinely requested to assist in the development and evaluation of regulations and policies. The Total Coliform Rule, Stage 2 D/DBP Rule, and the LT2 ESWTR are examples of national regulations in which GCWW staff members have been involved. On the state level, GCWW works with the Ohio EPA on developing guidance and policies for many topics needed for state implementation rules.

# 2015 ANNUAL REPORT

GCWNGCWW





**YOUR FUTURE  
IS OUR FOCUS.**

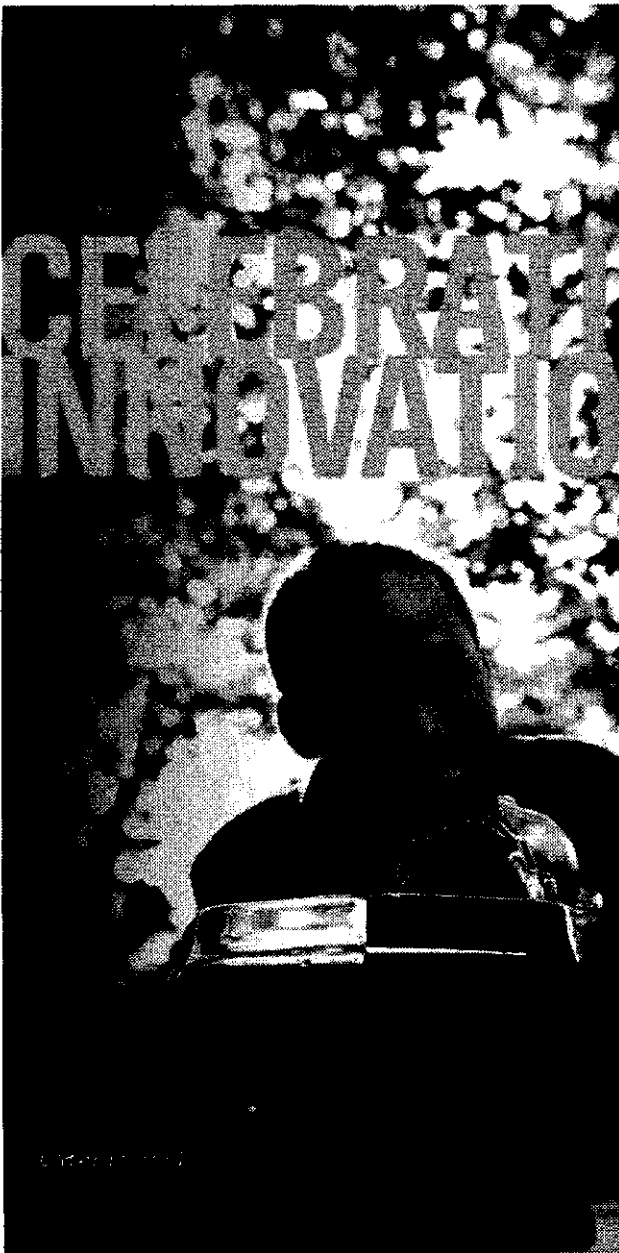
*Water lets me do the things I love.*

SMART WAYS WE'RE  
IMPROVING EFFICIENCY AND  
PLANNING FOR THE FUTURE

**COMMITTED TO EXCELLENCE**

GCWW Receives Upgraded  
Credit Rating from Moody's

In April of 2010, the credit rating agency Moody's recalibrated GCWW's long-term credit rating from Aa1 to Aaa, the highest rating possible for a municipal water utility. Only 19 of the 54,000 water utilities have achieved an Aaa rating from Moody's. The way Moody's now calculates long-term municipal ratings allows investors to more easily compare municipalities to private sector companies when looking for growth opportunities. GCWW continues to receive a Aaa grade from Standard & Poors.



# CELEBRATING INNOVATION.

## TAKING YOU FORWARD

### Bolton Baffling Project

The year 2010 saw upgrades to the Charles M. Bolton Treatment Plant. These improvements included the installation of baffles in the reservoir to help improve disinfection at the facility. We conducted a tracer study to demonstrate to the Ohio Environmental Protection Agency (EPA) how well the new system worked. The process of changing all eight filter media at the plant, a project started in 2008, was completed in 2010. And improvements were made to increase the Bolton Plant's capacity to 40 million gallons of drinking water per day.

Leading the Way: Water

### Research Foundation Project

GCWW began assisting the firm Camp Dresser & McKee (CDM) in the Water Research Foundation Project, "Assessing and Enhancing Biological Filtration in North America." The objective of the project is to produce a new system for biological filtration as well as the effective monitoring of biological activity in drinking water. GCWW is one of only several utilities participating in the project and delivers the unique benefits of in-depth understanding of biological processes. GCWW provides information for case studies, sampling and analyses services, and full-scale operational data. The data collection phase is set to conclude in May 2011 and the Toolbox and Guidance Manual will be published early in 2012.

### UV Facility Construction

In November of 2010 GCWW broke ground on a new ultraviolet (UV) disinfection facility at the Richard Miller Treatment Plant (RMTP). When it opens in 2013, the new facility will be the sixth largest of its kind in North America, and will have the capacity to treat up to 240 million gallons of drinking water per day. GCWW took the initiative to adopt UV disinfection technology in an effort to continue to provide the highest quality water and protect customers from contaminants in the Ohio River. It is the largest water treatment investment made by GCWW since the granular-activated carbon (GAC) filtering project in the early 1990s. Once completed, GCWW will be the largest water utility in North America to use UV following sand filtration and GAC.

### All-pipes Model/Master Plan Completed

We're always future-focused, developing detailed plans to ensure that we are able to distribute high quality water for years to come. Development of an all-pipes distribution system model was completed in 2010 as

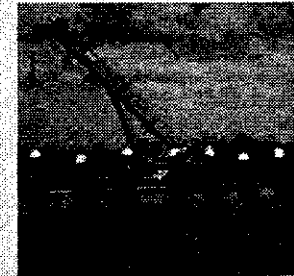
part of a capital improvement project. As part of the Distribution Master Plan, the model will identify areas for distribution improvement through 2030.

### Filtered Water Pump Upgrades

Installation of larger filtered water pumps at the Richard Miller Treatment Plant's (RMTP) Granular Activated Carbon (GAC) facility was completed at the end of 2010. These larger pumps have increased the capacity of the GAC facility, and RMTP as a whole, from 220 to 240 million gallons of drinking water per day.

### Upgraded Ground Water Model

The Ohio EPA endorsed GCWW's new Source Water Protection Area based on an upgraded ground water model developed by the Hamilton to New Baltimore Groundwater Consortium. The purpose of the Consortium, of which we are a member, is to protect the ground water resources in the Hamilton/Fairfield area. This upgrade provides for greater protection of the area's wells and the ability to more easily identify potential sources of contamination. Through an on-going grant from the Miami



Conservancy District, the Consortium has permanently sealed several unused residential wells that posed a risk to ground water quality.

### Turbine Generator Upgrades at the RMTP

GCWW operates two turbine generators, which were built in the 1930's, at RMTP. They capture electrical energy as water flows downhill into the treatment process. Together they produce about 300 kW of electricity per day. It has been challenging to keep the generators fully operational recent years. In 2010, we installed new controls and generators have been running smoothly ever since.



## DOING MORE WITH LESS

### REDUCING FOR OUR FUTURE Installation of Our Second Solar Array

Through a grant from the State of Ohio via the American Recovery and Reinvestment Act, GCWW's second solar array was installed on top of the garage at the Chester Park Complex (CPC). The photovoltaic system is capable of generating approximately 318,000 kWh of electricity per year. That offsets an equal amount of electricity that otherwise would have had to be purchased from Duke Energy. This new system, in combination with the existing 40 kw solar array, will be able to offset about 12% of the energy consumed at CPC.

### Less Fossil Fuel Consumed Due to Energy Credits

A contract with Duke Energy was developed in 2010 for the sale of Solar Renewable Energy Credits (SRECs) from GCWW. This sale involves not only solar energy credits related to the CPC arrays, but also hydro credits generated at the RMTP facilities. This effort will off-set hundreds of thousands of dollars in energy expenses. In addition to the cost savings, we're proud to be using less energy and reducing our carbon footprint.

### Less Paper Through E-Billing

In an effort to improve our environmentally conscious business practices and use less paper, GCWW launched E-Billing in August of 2010. Now, in addition to viewing

### IMPROVEMENTS AND REFINEMENTS

As GCWW considered the opportunity of becoming a public regional water district, our research identified many ideas to streamline processes and gain efficiencies. While the decision has been made not to pursue the district status, we plan to implement these improvements and refinements within our current structure as a City department.

facilities required to provide continued service to the City of Lebanon and to begin service to the Village of South Lebanon. Two of the four phases of this project were bid and completed in 2010. GCWW water will begin flowing into South Lebanon in 2013.

### Big Mains

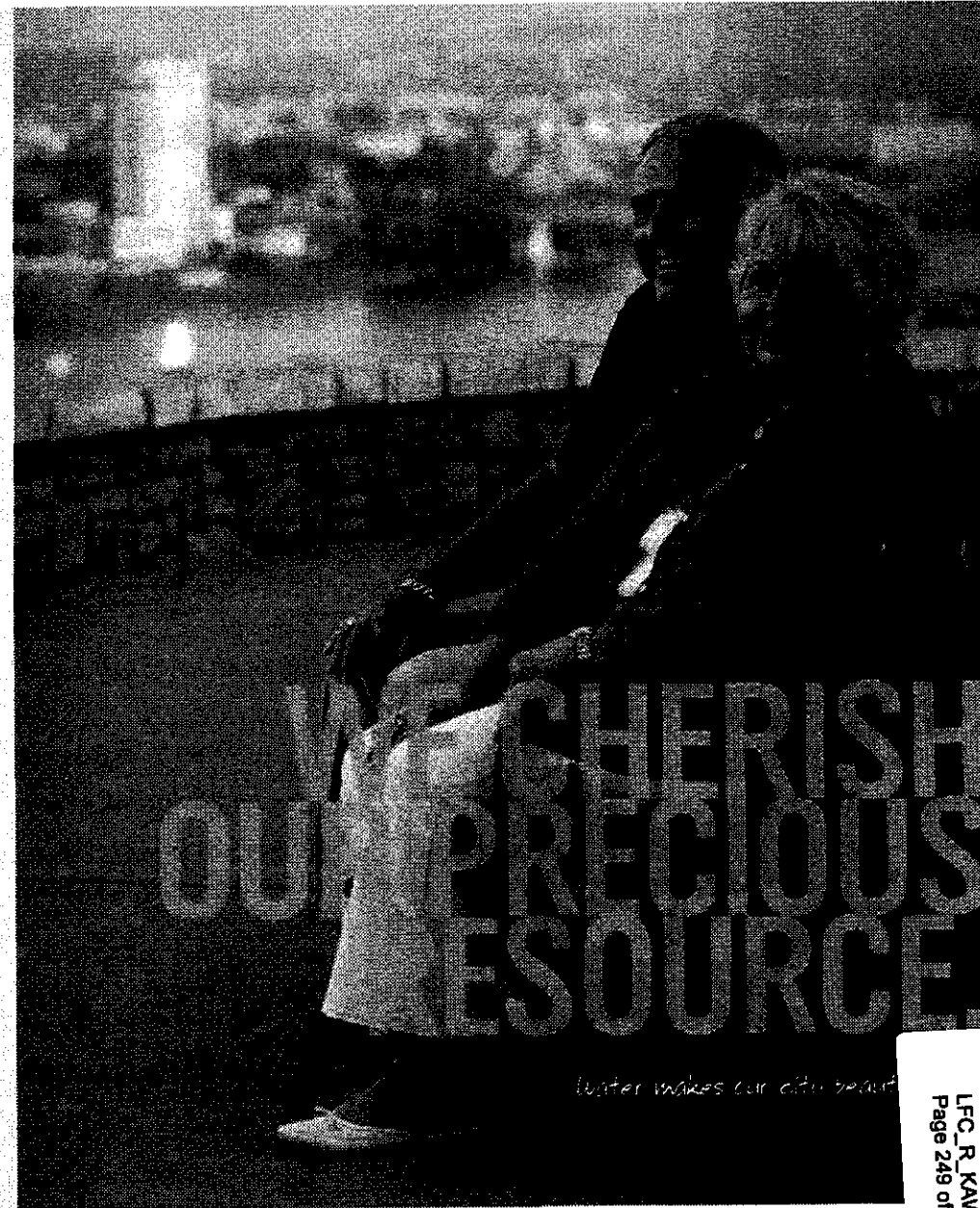
In our continued efforts to reach our entire community as efficiently as possible, we completed the design of over \$40 million worth of water mains, including several transmission mains to help convey large volumes of water. Major water main projects completed in 2010 included three phases of main along the Madison Road corridor. In addition, nearly 17,000 feet of main were installed through the communities of Blue Ash and Montgomery to convey water from Kenwood Road to Montgomery Road.

your e-bill online, you can simply click to make a one-time, scheduled, or recurring payment. These options are free and can be easily activated from the GCWW website.

### EXTENDING TO SUPPORT OUR NEIGHBORS

#### Flowing into South Lebanon

A 40-year water service agreement was signed in 2010 between GCWW and the Village of South Lebanon. We began a water system extension, featuring 40,000 feet of 16 and 24-inch water mains along with other



Water is fun.

## CELEBRATING YOU

This past year, we communicated in the ways that are most convenient for you. And went to the places you go. From cooling you down, to cleaning up our city, to just playing around, GCWW had a presence at many of the area festivals, races, and events that our customers love.

### Spring Launch of Social Networking

GCWW started using Twitter (@CincinnatiWater) in 2010 to share key messages, water industry articles, and newsworthy information about key projects. We also began sharing photos from community outreach events on Facebook and produced several YouTube videos that tell the GCWW story.

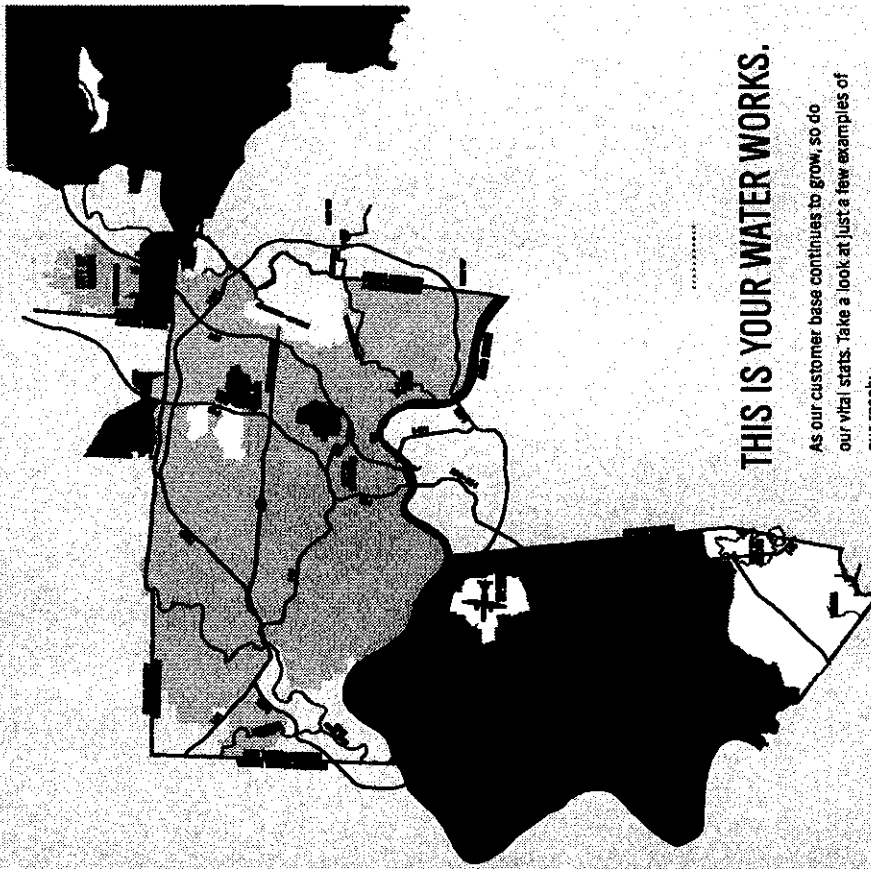
### Launch of E-TapNews

In 2010 we launched E-TapNews, an e-newsletter sent every other month to more than 67,000 customers. It includes important news and information regarding programs, new projects, and community events. The e-newsletter has also been a great platform for promoting GCWW's social media involvement and has provided another new avenue to communicate with our customers.

### We Go Where You Are

It was great seeing you at the many GCWW sponsored events throughout the year! We look forward to bringing GCWW to you again next year — wherever you are in your community.

- Earth Day
- Hoxworth Blood Drive
- Educators Expo
- Butler County Children's Water Festival
- DROP (Dispose Responsibly of Pharmaceuticals) Take Back Event
- Great Miami River Cleanup
- Taste of Cincinnati
- Paddlefest
- Race for Global Water



## THIS IS YOUR WATER WORKS.

As our customer base continues to grow, so do our vital stats. Take a look at just a few examples of our reach:

- The City of Cincinnati is 78 square miles. GCWW serves 811 square miles.
- We maintained an 811 square mile region with 2 water treatment plants, 24 pumping stations, 33 storage facilities.

**Map Legend**  
City of Cincinnati (Water Service Area)  
GCWW (Water Service Area)  
Whispering Area  
County Boundaries



# WATER QUALITY DATA

In 2010, GCWW met or exceeded all state and federal health standards, as it always has. The following tables show the substances reported in the GCWW 2009 Safe Drinking Water Report, which was prepared to meet the EPA's National Primary Drinking Water Regulation for Consumer Confidence Reports. For more information

on the potential health effects of various substances, call the EPA's Safe Drinking Water Hotline at (800) 426-4791 or visit [www.epa.gov/safewater/hfacts.html](http://www.epa.gov/safewater/hfacts.html). Consumers may request printed copies of GCWW's 2009 Water Quality Report or view the report online at: [www.chicinnati-oh.gov/gcww](http://www.chicinnati-oh.gov/gcww).

**Regulated Contaminants:** Substances subject to a Maximum Contaminant Level (MCL), Action Level (AL) or Treatment Technique (TT)\*. These standards protect drinking water by limiting the amount of certain substances that can adversely affect public health and are known or anticipated to occur in public water systems.

2010 Report			Miller Water (from the Ohio River)				Typical Source of Contamination (for more details, visit <a href="http://www.epa.gov/safewater/hfacts.html">www.epa.gov/safewater/hfacts.html</a> )
Substance (Unit)	Maximum Allowed (MCL*)	MCLG*	Highest Compliance Level Detected	Range of Detections	Violation	Year Sampled	
Fluoride (ppm)	4	4	0.97	0.84 - 1.09	No	2010	Additive which promotes strong teeth. May come from erosion of natural deposits.
Nitrate (ppm)	10	10	1.14	0.58 - 1.14	No	2010	Runoff from fertilizer use, leaching from septic tanks, sewage, erosion of natural deposits.
THMs (ppb) (Trihalomethanes)	80	na	43.0	17.7 - 78.6	No	2010	Byproduct of drinking water chlorination.
HAAS (ppb) (Haloacetic Acids)	60	na	9.84	2.66 - 20.6	No	2010	Byproduct of drinking water chlorination.
Beta-photon emitters (pCi/l)	4 mrem/yr (AL = 50 pCi/l)	0	24	nd - 24	No	2007	Decay of natural and man-made deposits. (EPA considers 50 pCi/l to be the level of concern.)
Turbidity (NTU)	TT1 < 1 NTU Max and TT2 < 0.3 NTU 95% of the time	na	0.10 100% <0.3 NTU	0.04 - 0.10	No	2010	Soil runoff.
Lead <sup>1</sup> (ppb)	AL = 15	0	90th percentile: 5.1 0 out of 112 samples tested were > the AL	na	No	2010	May come from erosion of natural deposits. There is no detectable lead in our water as it leaves the treatment plants. However, corrosion of household plumbing is a source of lead and copper contamination. GCWW tests water samples collected at customer taps, as required by the Safe Drinking Water Act to ensure safe water.
Copper <sup>2</sup> (ppm)	AL = 1.3	1.3	90th percentile: 0.0338 0 out of 112 samples tested were > the AL	na	No	2010	
Total Organic Carbon	TT <sup>1</sup>	na	2.30	1.74 - 3.11	No	2010	Naturally present in the environment.
Total Chlorine <sup>3</sup> (ppm)	MROL=4	MROLG=4	1.01	0.88 - 1.06	No	2010	Water additive used to control microbes.
Barium (ppm)	2	2	0.0382	na	No	2010	Erosion of natural deposits; Discharge of drilling wastes; Discharge from metal refineries.
Chromium (ppb)	100	100	1.25	na	No	2010	Erosion of natural deposits; Discharge from steel and pulp mills.

**Foot Notes**

1 The value reported under "Highest Compliance Level Detected" for Total Organic Carbon (TOC) is the lowest ratio between percentage of TOC actually removed to the percentage of TOC required to be removed. A value of greater than one (1) indicates that the water system is in compliance with TOC removal requirements. A value of less than one (1) indicates a violation of the TOC removal requirements. 2 Miller and Bottom were considered as one distribution system for regulatory purposes by Ohio EPA during 2009. Data listed for each system represents the combined distribution system. 3 In 2009 only 2 of 2659 distribution samples were positive for coliform bacteria and only one of these

were E. coli positive. All repeat samples were negative. 4 A routine sample and a repeat sample are total coliform positive and one is also fecal coliform or E. coli positive.

**Abbreviations**

ppb: parts per billion or micrograms per liter (ppm); parts per million or milligrams per liter; not regulated; na: not applicable; NTU: Nephelometric Turbidity Unit, used to measure clarity in drinking water; nd: not detectable at testing limits; pCi/l: picocuries per liter, a measure of radioactivity in water; THMs: Trihalomethane; HAAS: Haloacetic Acids

Substance (Unit)	2010 Report		Bottom Water (from the Brown River Aquifer)				Typical Source of Contamination (for more details, visit <a href="http://www.epa.gov/safewater/hfacts.html">www.epa.gov/safewater/hfacts.html</a> )
	Maximum Allowed (MCL*)	MCLG*	Highest Compliance Level Detected	Range of Detections	Violation	Year	
Fluoride (ppm)	4	4	0.98	0.81 - 1.24	No	2010	Additive which promotes strong teeth. May come from erosion of natural deposits.
Nitrate (ppm)	10	10	0.98	na	No	2010	Runoff from fertilizer use, leaching from septic tanks, sewage, erosion of natural deposits.
THMs (ppb) (Trihalomethanes)	80	na	26.5	18.4 - 41.0	No	2010	Byproduct of drinking water chlorination.
HAAS (ppb) (Haloacetic Acids)	60	na	6.21	1.57 - 9.65	No	2010	Byproduct of drinking water chlorination.
Beta-photon emitters (pCi/l)	4 mrem/yr (AL = 50 pCi/l)	0	8	nd - 8	No	2007	Decay of natural and man-made deposits (EPA considers 50 pCi/l to be the level of concern.)
Turbidity (NTU)	TT1 < 1 NTU Max and TT2 < 0.3 NTU 95% of the time	na	na	na	na	na	Soil runoff.
Lead <sup>1</sup> (ppb)	AL = 15	0	90th percentile: 5.1 (5 out of 112 samples tested were > the AL)	na	No	2010	May come from erosion of natural deposits. There is no detectable lead in our water as it leaves the treatment plants. However, corrosion of household plumbing is a source of lead and copper contamination. GCWW tests water samples collected at customer taps, as required by the Safe Drinking Water Act to ensure safe water.
Copper <sup>2</sup> (ppm)	AL = 1.3	1.3	90th percentile: 0.0338 (0 out of 112 samples tested were > the AL)	na	No	2010	
Total Organic Carbon	TT <sup>1</sup>	na	na	na	na	na	Naturally present in the environment.
Total Chlorine <sup>3</sup> (ppm)	MROL=4	MROLG=4	1.01	0.88 - 1.06	No	2010	Water additive used to control microbes.
Barium (ppm)	2	2	0.0180	na	No	2010	Erosion of natural deposits; Discharge of drilling wastes; Discharge from metal refineries.
Chromium (ppb)	100	100	2.78	na	No	2010	Erosion of natural deposits; Discharge from steel and pulp mills.
Selenium (ppb)	50	50	2.34	na	No	2010	Erosion of natural deposits; Discharge from petroleum and metal refineries.

**Unregulated Contaminants:** Substances for which EPA requires monitoring to determine where certain substances occur and whether it needs to regulate those substances.

Substance (Unit)	2010 Report		Miller Water			Bottom Water			Typical Source of Contamination
	MCLG*	Avg. Level Detected	Range of Detections	Violation	Year Sampled	Avg. Level Detected	Range of Detections	Violation	
Chloroform (ppb)	70	2.27	na	na	2010	1.28	na	na	2009
Bromodichloromethane (ppb)	0	3.15	na	na	2010	3.35	na	na	2009
Dibromodichloromethane (ppb)	60	4.06	na	na	2010	7.89	na	na	2009
Bromoform (ppb)	0	0.99	na	na	2010	8.43	na	na	2009
Sulfate (ppm)	na	76	54-115	na	2010	na	na	na	na

**\*Definitions**

**Maximum Contaminant Level Goal or MCLG:** The level of a contaminant in drinking water below which there is no known or expected risk to health. MCLGs allow for a margin of safety.

**Maximum Contaminant Level or MCL:** The highest level of a contaminant that is allowed in drinking water. MCLs are set as close to the MCLGs as feasible using the best available treatment technology.

**Action Level or AL:** The concentration of a contaminant, which, if exceeded, triggers treatment or other requirements which a water system shall follow.

**Treatment Technique or TT:** A required process intended to reduce the level of a contaminant in drinking water.

**Maximum Residual Disinfection Level or MRODL:** The highest level of a disinfectant allowed in drinking water. There is convincing evidence that addition of disinfectant is necessary for control of microbial contaminants.

**Maximum Residual Disinfection Level Goal or MRODLG:** The level of drinking water disinfectant below which there is no known or expected risk to health. MRODLGs do not reflect the benefits of the use of disinfectants to control microbial contaminants.

**Turbidity:** Utilities who treat surface water are required to report on turbidity as an indication of the effectiveness of the filtration system. Turbidity is a measure of the cloudiness of water. The turbidity limit set by the EPA is 0.3 NTU in 95% of the daily samples and shall not exceed 1 NTU at any time. As reported in the table, GCWW's highest recorded turbidity result for 2010 was 0.10 NTU (Miller Water) and lowest monthly percentage of samples meeting the turbidity limits was 100%.

**The < symbol:** A symbol which means less than. A result of <5 means that the lowest level that could be detected was 5 and the contaminant in that sample was not detected.

**GREATER CINCINNATI WATER WORKS  
STATEMENT OF NET ASSETS  
FOR THE YEAR ENDED DECEMBER 31, (000'S OMITTED)**

ASSETS	Change			LIABILITIES	Change		
	2010*	2009	2010/2009		2010*	2009	2010/2009
<b>Current Assets</b>				<b>Current Liabilities</b>			
Cash and Cash Equivalents	\$ 1,882	\$ 1,443	\$ 439	Accounts Payable	\$ 3,229	\$ 3,404	\$ (175)
Equity in City Treasury Cash	24,458	22,867	1,591	Due to Other Funds	180	168	12
Receivables				Due to Fiduciary (Pensions)	260	245	35
Accounts, Net	18,549	17,779	770	Due to Other Governmental Agencies	1,153	788	365
Accrued Interest	717	1,667	(950)	Accrued Payroll	1,949	1,739	210
Due from Other Funds	3,083	1,630	1,453	Accrued Interest	27	34	(7)
Due from Other Governments	10,311	11,583	(1,272)	Compensated Absences Payable	4,063	3,746	317
Prepaid Items	3,567	2,141	1,426	Employee Reimbursements Payable	17	25	(8)
Inventory	5,937	5,118	819	Unpaid Claims Payable	194	193	1
Advances to Other Funds	50	50		Short-Term Obligation — Leased Assets	59	52	7
<b>Restricted Assets:</b>				Ohio Public Works Commission Loans	187	156	31
Cash and Cash Equivalents	3,038	21,880	(18,842)	Ohio Water Development Authority Loans	211	224	(13)
Equity in City Treasury Cash	5,610	4,745	865	General Obligation Bonds Payable	2,000	2,000	
Investments at Fair Value	41,103	40,582	521	Revenue Bonds Payable	15,429	14,865	564
<b>Noncurrent</b>				Payable from Restricted Assets			
Equity in City Treasury Cash	36,218	36,746	(528)	Construction Contracts	5,530	5,078	452
Restricted Equity in City Treasury Cash	8,286	7,615	671	Deposits Payable	73	59	14
Restricted Cash and Cash Equivalents	4,477	35,113	(30,636)	<b>Noncurrent</b>			
Accounts Receivable	0	0	0	Compensated Absences Payable	3,530	3,626	(96)
Deferred Charges (Issuance)	1,171	1,248	(77)	Net Pension Obligation	19,538	9,986	9,550
Land	2,727	2,727	0	Net Other Post Employment Obligation	13,570	7,979	5,591
Buildings	188,180	195,431	(7,251)	Long-Term Obligation — Leased Assets	120	158	(38)
(Accumulated Depreciation)	(75,548)	(71,045)	(4,503)	Ohio Public Works Commission Loans	3,382	2,416	966
Improvements	856,590	625,895	230,695	Ohio Water Development Authority Loans	4,481	4,698	(216)
(Accumulated Depreciation)	(76,880)	(70,511)	(6,369)	Revenue Bonds Payable	399,153	415,777	(16,624)
Machinery and Equipment	232,464	226,856	5,608	General Obligation Bonds Payable	5,800	7,900	(2,100)
(Accumulated Depreciation)	(136,023)	(124,882)	(11,141)	<b>Total Liabilities</b>	<b>4,4183</b>	<b>4,5214</b>	<b>(1,051)</b>
Leased Assets	285	269	16	<b>NET ASSETS</b>			
(Accumulated Amortization)	(116)	(59)	(57)	Invested in Capital Assets, Net of Related Debt	488,063	471,407	16,656
Construction in Progress	107,053	77,312	29,741	Reserved for Restricted Assets	46,737	47,037	(300)
<b>Total Assets</b>	<b>\$ 1,077,179</b>	<b>\$ 1,074,030</b>	<b>\$ 3,149</b>	Unrestricted	58,216	73,196	(14,980)
				<b>Total Net Assets</b>	<b>\$ 583,016</b>	<b>\$ 591,640</b>	<b>\$ 1,376</b>

\*Note: At the time of printing this Annual Report, the audit report of the City of Cincinnati, which includes the Greater Cincinnati Water Works, had not yet been approved and released by the Ohio Auditor of State. The audit report for the previous year is generally available by the beginning of the fourth quarter. For current information, please visit the Finance Department on the City's website at [www.cincinnati-oh.gov](http://www.cincinnati-oh.gov), then go to Annual Financial Reports or visit the State Auditor's website at [www.auditor.state.oh.us](http://www.auditor.state.oh.us) and use the Online Audit Search to select City of Cincinnati.

**GREATER CINCINNATI WATER WORKS STATEMENT OF REVENUES,  
EXPENSES AND CHANGES IN FUND NET ASSETS  
FOR THE YEAR ENDED DECEMBER 31, (000'S OMITTED)**

OPERATING REVENUES		2010	2009	NONOPERATING REVENUES (EXPENSES)		2010	2009
Metered Water Revenue	\$ 114,017	\$ 105,866	Loss On Disposal of Fixed Assets	\$ (1,320)	\$ (1,621)		
Service Charges	1,865	2,020	Loss On Fixed Asset Impairment	0	0		
Nonmetered Water Revenue	93	132	Interest Revenue	2,560	2,403		
Servicing Customers Installations	22	62	Build America Subsidy	1,701	563		
Miscellaneous Revenue	1,479	1,865	Interest Expense	(12,695)	(13,525)		
Operating Interest Revenue	298	320	<b>Nonoperating Revenues (Expenses)</b>	<b>(9,754)</b>	<b>(12,190)</b>		
Rental Income	153	151	Income Before Contributions and Transfers	(1,863)	4,020		
Billing and Collection Services	7,046	6,668	Transfers In	0	0		
Mason Fees	199	233	Transfers Out	0	0		
Purchasing Agent Sales Revenue	85	24	Capital Contributions	3,039	9,704		
<b>Total Operating Revenues</b>	<b>125,277</b>	<b>117,441</b>	<b>Change in Net Assets</b>	<b>1,376</b>	<b>13,724</b>		
<b>OPERATING EXPENSES</b>			<b>Net Assets at January 1,</b>	<b>591,640</b>	<b>577,916</b>		
Personal Services	58,805	42,827	<b>Net Assets at December 31,</b>	<b>593,016</b>	<b>591,640</b>		
Contractual Services	8,628	9,249					
Maintenance and Repair	3,980	3,704					
Materials and Supplies	8,007	8,475					
Utilities	11,427	10,821					
Insurance	121	117					
Taxes	6	1					
Rent	1,302	1,256					
Other	630	620					
Depreciation and Amortization	24,206	24,061					
Amortization Mason Agreement	84	80					
<b>TOTAL OPERATING EXPENSES</b>	<b>117,196</b>	<b>101,231</b>					
<b>Operating Income</b>	<b>\$ 8,081</b>	<b>\$ 16,210</b>					

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**GREATER CINCINNATI WATER WORKS  
STATEMENT OF CASH FLOWS, DIRECT METHOD  
FOR THE YEAR ENDED DECEMBER 31, (000'S OMITTED)**

	2010*	2009
<b>CASH FLOW FROM OPERATING ACTIVITIES</b>		
Receipts from Customers	\$ 25,851	\$ 118,970
Payments to Suppliers	(36,096)	(37,906)
Payments to Employees	(40,410)	(37,206)
Payments for Property Taxes	(6)	(1)
<b>Net Cash Provided (Used) by Operating Activities</b>	<b>43, 57</b>	<b>55,156</b>
<b>CASH FLOW FROM NON CAPITAL FINANCING ACTIVITIES</b>		
Transfers in from Other Funds	0	0
Transfers out to Other Funds (City Note)	(1,513)	175
Repayments of Advances Made to Other Funds	0	0
<b>Net Capital Used by Non Capital Financing Activities</b>	<b>(1,513)</b>	<b>175</b>
<b>CASH FLOW FROM CAPITAL AND RELATED FINANCING ACTIVITIES</b>		
Capital Contributed by Other Sources	87	71
Proceeds from Sale of Fixed Assets	37	107
Additions to Construction in Progress	(66,681)	(35,272)
Acquisition of Property, Plant and Equipment	(2,012)	(14,970)
Interest Paid on Bonds	(14,316)	(13,060)
Proceeds from Ohio Public Works Bonds	1,181	0
Proceeds from Ohio Water Development Authority Loans	(4)	(86)
Proceeds from Revenue Bonds	0	136,030
Payments on Long-Term Capital Lease Obligations	(31)	(38)
Principal Paid on Bonds	(16,865)	(54,700)
Principal Paid on Ohio Public Works Bonds	(185)	(156)
Principal Paid on Ohio Water Development Authority Loans	(218)	(217)
<b>Net Cash Used by Capital and Related Financing Activities</b>	<b>(89,007)</b>	<b>17,70</b>
<b>CASH FLOW FROM INVESTING ACTIVITIES</b>		
Interest and Dividends on Investments	5,758	2,268
Investments Purchased	(1,067)	(8,616)
<b>Net Cash Provided by Investing Activities</b>	<b>4,691</b>	<b>(6,348)</b>
<b>Net Increase (Decrease) in Cash and Cash Equivalents</b>	<b>(46,490)</b>	<b>55,382</b>
Cash and Cash Equivalents at Beginning of Year	130,439	75,047
<b>Cash and Cash Equivalents at End of Year</b>	<b>\$ 83,949</b>	<b>\$ 130,439</b>

	2010*	2009
<b>RECONCILIATION OF OPERATING INCOME TO NET CASH PROVIDED (USED) BY OPERATING ACTIVITIES</b>		
Operating Income	8,091	16,210
Depreciation and Amortization	24,230	24,161
Changes in Assets and Liabilities (Increase) Decrease in:		
Receivables	(770)	179
Due from Other Funds	80	152
Due from Other Governments	1,272	1,188
Prepaid Assets	(1,426)	(78)
Inventory	(819)	170
Deferred Charge		(484)
Increase (Decrease) in:		
Accounts Payable	(179)	(875)
Accrued Payroll	210	552
Due to Fiduciary Funds	35	
Deposits Payable	15	(1,478)
Due to Other Funds	12	(229)
Due to Other Governments	365	(675)
Liability for Compensated Absences	221	764
Net Pension Obligation	9,986	3,400
Net Other Post Employment Obligation	7,979	904
Employee Reimbursements Payable	(8)	(14)
Estimated Liability for Unpaid Claims	1	10
<b>Net Cash Provided (Used) by Operating Activities</b>	<b>49,339</b>	<b>43, 57</b>
<b>SCHEDULE OF NONCASH INVESTING, CAPITAL AND FINANCING ACTIVITIES</b>		
Change in Fair Value Investments	(272)	
Property Plant and Equipment Acquired through Capital Lease	25	
Acquisition of Property, Plant and Equipment from Contributed Capital	2,952	9,633
<b>Total Noncash Investing, Capital and Financing Activities</b>	<b>2,705</b>	<b>9,633</b>

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**GREATER CINCINNATI WATER WORKS  
NOTES TO FINANCIAL STATEMENTS DECEMBER 31, 2010  
SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

The Greater Cincinnati Water Works is a municipally owned and operated utility. The financial statements of the Greater Cincinnati Water Works are included in the Comprehensive Annual Financial Report of the City of Cincinnati. An annual audit of the financial statements of the City of Cincinnati is performed by or at the direction of the Auditor of State.

**Deposits and Investments with Financial Institutions** — Cash balances of the Greater Cincinnati Water Works are included in a pool of City Treasury Cash. The City Treasurer determines the amounts to be kept on hand to meet current obligations and amounts and timing of investments. All deposits and investments by the City are insured by the Federal Deposit Insurance Corporation or some other instrumentality of the Federal government, or are covered by securities held by the City or its agent in the City's name.

**Accrued Interest Receivable** — Interest receivable on Greater Cincinnati Water Works funds has been accrued and recognized as revenue for 2010 and 2009; the amounts are \$117,000 and \$1,657,000 respectively.

**Inventories of Materials and Supplies** — Inventories are valued at cost which is determined on the moving average basis.

**Restricted Assets and Related Liabilities and Reserves** — Assets, the uses of which are restricted by City Council ordinance for improvements, extensions and construction of the system, are segregated on the balance sheet.

**Fixed Assets and Depreciation** — Fixed Assets are stated at cost and are depreciated by the straight-line method over estimated useful lives up to 100 years. The capitalization threshold is \$5,000. Typical lives are as follows:

Buildings	67 Years
Transmission and Distribution Mains	100 Years
Machinery and Equipment	3 to 30 Years

**Capitalization of Interest** — Interest is capitalized by the Greater Cincinnati Water Works when it is determined to be material. The Water Works capitalizes interest in accordance with Statement of Financial Accounting Standard No. 62, *Capitalization of Interest Costs in Situations Involving Certain Tax Exempt Borrowing and Certain Gifts and Grants*. The statement requires that the interest cost capitalized during construction be reduced by interest income

earned on investments of the bond proceeds from the date of the borrowing until the assets constructed from the bond proceeds are ready for their intended use. The capitalized interest for December 31, 2010 was \$5,560,000 and for the year ending December 31, 2009 was \$3,212,000.

**Compensated Absences** — NCGA Statement 4 requires state and local governments to recognize the liabilities associated with employees' compensated absences. Therefore, the following obligations have been included in the Greater Cincinnati Water Works Comparative Statement of Long-Term Liabilities:

**Vacation** — Vacation benefits are considered to be vested benefits of the employees. The obligation at December 31, 2010 for vacation benefits of Greater Cincinnati Water Works employees is approximately \$3,262,000.

**Sick Leave** — Sick leave benefits are included in the estimated liability for the employees, based upon the portion of accumulated sick leave liability that is estimated to eventually be paid as a retirement or death benefit. At December 31, 2010 this liability is approximately \$4,282,000 for Greater Cincinnati Water Works employees.

**Compensatory Time** — Employees are permitted to accumulate Compensatory Time for work in excess of their normal forty-hour week. The amount of the obligation at December 31, 2010 is \$49,000.

The following is a Summary of the Changes in the Estimated Liability for Compensated Absences of GCWW for the year ended December 31, 2010 (000's omitted):

	ACCUMULATED VACATION	ACCUMULATED SICK PAY	COMPENSATORY TIME	TOTAL
Estimated Liability for Compensatory Absences January 1, 2010	\$3,204	\$4,121	\$48	\$7,373
Earned During 2010	2,210	1,314	6	3,530
Used/Forfeited During 2010	(2,152)	(1,153)	(6)	(3,311)
<b>Estimated Liability for Compensatory Absences December 31, 2010</b>	<b>\$3,262</b>	<b>\$4,282</b>	<b>\$48</b>	<b>\$7,593</b>

**Pension Plans** — Full time employees of the Greater Cincinnati Water Works participate in one of two pension plans — either the Retirement System of the City of Cincinnati, administered by the City of Cincinnati, or the Public Employee's Retirement System (PERS), administered by the State of Ohio. The Greater Cincinnati Water Works contributions to the City administered retirement system during 2010 and 2009 were \$5,062,000 and \$4,710,000 respectively. Contributions to PERS during 2010 and 2009 were \$299,000 and \$292,000 respectively. The actuary annually determines employer contributions to the City system for the current and following years. The actuarially computed value of vested and non-vested benefits on the plan's net assets available for plan benefits for each of the respective plans is not determined separately for the Water Works.

**Unfunded Pension and Net Other Post Employment Benefit Obligations** — Beginning in 2005, the Greater Cincinnati Water Works began to report on its financials a long-term liability for the unpaid portion of the actuarial annual required contribution for pension and other post employment benefits. As part of this adjustment, Personnel Expenses is also increased for this non-cash expense. The amount for the additional 2010 liability was \$9,986,000 for unfunded pension and \$7,979,000 for net other post employment benefits. In 2009 the annual adjustments were \$2,678,000 and \$2,056,000 respectively.

**Revenue** — Unbilled revenues on metered accounts are accrued at year-end. Rates are authorized by City Council based on operating costs and anticipated capital expenditures. A contract between the City and the Hamilton County Board of Commissioners specifies a differential between the rates for City and for Hamilton County consumers, declining from 55% to 25% over the life of the contract ending December 31, 2017. Rates applicable to residents of other counties and some municipalities in Hamilton County are negotiated separately.

**Long Term Debt**

**Long Term Debt** — This consists of General Obligation Bonds which are issued for the purpose of various Greater Cincinnati Water Works Improvements. The bonds are self-supporting and serviced by water user charges; however, should the user charges be insufficient to cover debt service, the principal and interest are to be paid from the proceeds of the levy of ad valorem taxes on all property in the City without limitation as

to the rate or the amount. The Greater Cincinnati Water Works for the first time issued Revenue Bonds during 2002. The Greater Cincinnati Water Works expects to finance future capital requirements utilizing revenue bonds. The annual requirements to amortize all debt outstanding as of December 31, 2010 is as follows (000's omitted):

YEAR ENDING DECEMBER 31,	TOTAL	PRINCIPAL	INTEREST
Current 2011	\$ 37,808	\$ 17,430	\$ 20,378
Long Term			
2012	37,816	18,175	19,641
2013	37,637	18,710	18,927
2014	37,441	18,400	18,041
2015	38,436	21,300	17,136
2016-2034	367,411	313,885	73,526
Total Long Term	\$ 59,741	\$ 381,470	\$ 147,271
	<b>\$ 576,549</b>	<b>\$ 40,900</b>	<b>\$ 167,840</b>

As of December 31, 2010 and 2009 Long Term Debt consisted of the following (000's omitted):

BOND	ORIGINAL PRINCIPAL AMOUNT	INTEREST RATE (PERCENT)	MATURITY DATE	2010 PRINCIPAL OUTSTANDING	2009 PRINCIPAL OUTSTANDING
G-1210	28,800	4.2	2014	7,800	8,800
S-2001	92,685	4.912	2021	1,500	5,575
S-2003	112,360	4.377	2023	5,440	9,955
S-2005A	80,585	4.188	2022	32,785	36,925
S-2005B	30,000	3.411	2025	30,000	30,000
S-2007A	124,415	4.2	2024	128,960	127,070
S-2007B	73,885	4.43	2032	68,570	70,410
S-2009A	58,065	2.883	2034	57,930	58,085
S-2009B	77,935	4.178	2034	77,935	77,935
	\$ 679,760			\$ 40,900	\$ 426,785
	Less Current Maturity			(17,430)	(16, 66)
	Long Term Debt			<b>\$ 291,470</b>	<b>\$ 40,900</b>

**Other City Agency Transactions**

Metropolitan Sewer District and Storm Water Management — The Greater Cincinnati Water Works provides billing and collection services of customers' accounts for the Metropolitan Sewer District and the Storm Water Management Utility. The

charges for these services are recognized as revenue and included in the Statement of Revenue, Expense and Changes in Net Assets. During 2010 and 2009 the fees for these services were \$5,458,000 and \$5,237,000 respectively.

**Free Water** — The Greater Cincinnati Water Works provides free water service to the City of Cincinnati for municipal purposes. During 2010 and 2009 the values of these services were \$1,190,000 and \$1,278,000 respectively.

**Other City Agency Transactions** — The City provides various services to the Greater Cincinnati Water Works for which a fee is charged. These services include personnel, purchasing, legal service, etc. During 2010 and 2009 these fees were \$1,977,000 and \$2,057,000 respectively. Also, the City's Municipal Garage provides gasoline and maintenance service for Water Works vehicles. During 2010 and 2009 these fees were \$1,126,000 and \$1,003,000 respectively. In addition, the City's Regional Computer Center provides a variety of services for the Greater Cincinnati Water Works. The primary service provided to the Greater Cincinnati Water Works by the Regional Computer Center is billing and collection system support. During 2009 and 2009 the fees for these services were \$448,000 and \$537,000 respectively.

**Other Issues**

During 1993, the Water Works entered into an agreement with the Hamilton County Board of Commissioners to extend water service to previously un-served, unincorporated areas of western Hamilton County. This agreement specifies that a portion of those water collections received from current customers in unincorporated areas of Hamilton County be segregated for the purpose of financing construction of the utility necessary to serve the additional customers. This amount is reflected as Due to Other Governments in the financial statements.

ACTIVITY FUND	JANUARY 31, 2010	ADDITIONS	DEDUCTIONS	DECEMBER 31, 2010
<b>Assets:</b>				
Equity in City Treasury Cash	\$ 398	\$ 610	\$ 608	\$ 400
<b>Liabilities:</b>				
Accounts Payable	\$ 0	\$ 610	\$ 610	\$ 0
Fund Balance	399	610	608	400
Total Liabilities	\$ 399	\$ 1,220	\$ 1,218	\$ 400

**MAYOR**

Mark Mallory

**CITY MANAGER**

Milton R. Dohoney, Jr.

**MEMBERS OF CITY COUNCIL**

Jeff Barding	Chris Bortz	Y. Laketa Cole*
Leslie Ghiz	Chris Monzel	Roxanne Qualls
Laure Quillivan	Cecil Thomas	Charles Winburn
Wendell Young*		

\*During 2010, Wendell Young replaced Y. Laketa Cole

**SENIOR MANAGEMENT**

David E. Rager, Director  
 Steven C. Hellman, CPA, CGFM,  
 Business Services Division  
 Connie Roesch, Commercial Services Division  
 Jeff Pieper, P.E., Distribution Division  
 Carol Vandermeijden, P.E., Engineering Division  
 Paul D. Vonder Meulen, Information Technology Division  
 Frederick G. Merz, P.E., Supply Division  
 Deborah H. Metz, Water Quality & Treatment Division





## **Greater Cincinnati Water Works**

### **Major Customer Service Enhancements and Client Service Activities**

#### **2002 – 2011**

GCWW has a strong commitment to continuous improvement. The following pages highlight some of our recent customer service improvement projects.

#### **2011**

- In June of 2011, GCWW entered into an agreement with FIS-Metavante for the provision of credit card processing services for our customers. In addition to providing on-line, Call Center/IVR and lobby credit card processing services, the FIS-Metavante agreement ensures that GCWW complies with all relevant Payment Card Industry (PCI) security regulations.
- In April of 2011, GCWW implemented an automated process to close out delinquent payment work orders when a payment has been made. An automated process now runs all day looking for payments that have been made in order to cancel work orders before they are electronically transferred to GCWW Field Services staff's mobile devices. This new process also has the capability to close work orders that have already been loaded into the mobile devices and the capability to notify the staff in the field that the service order has been canceled due to a payment being received and directs staff to not turn the water service off.
- GCWW implemented a new automated process for making adjustments to customer accounts. Using some new technologies from OnBase and Microsoft InfoPath, with the new automated workflow process, Call Center Customer Relations Representatives can now click on a link in the billing system to open a new electronic form that can be filled out to request a billing adjustment. All relevant documentation is attached electronically and then forwarded electronically to the Billing Operations Section. A note is also automatically inserted in the billing system. Prior to this enhancement, the research and the transfer of documents were carried out manually.
- In September, GCWW executed a waste collection billing agreement with the Village of Elmwood Place.

#### **2010**

- In 2010, GCWW launched the Customer Contact Center Upgrade and Enhancement Implementation project to achieve its vision to be the standard for excellence in customer service. The GCWW Project Team partnered with Deloitte Consulting LLP as its key advisor and Aspect as its technology solution provider to help implement a robust solution that will achieve the following three key objectives:
  - Enhance the Customer Experience
  - Improve Business Process and Operations Management
  - Implement Enabling Technologies

The initial project work completed in 2010 included the gathering and documentation of the functional & technical requirements. The functional requirements provide an overview of the

“to-be” state of the Contact Center as it relates to the front-end functionality. The technical document describes the key requirements that will underpin the design of GCWW’s communications systems architecture.

During the functional requirements gathering sessions, the GCWW Team worked with Deloitte to review existing work flows and to develop detailed work flows intended to meet our key objectives by enhancing existing processes or designing new processes. Some key enhancements and new processes derived from the functional exercises are:

- Enhanced Interactive Voice Response (IVR) system for which new and improved menu options were designed to make it easier for the customer to make the “right” selection for their business need; to have emergency calls addressed with the highest priority; and to add more self-service options. For example, a new self-service feature to be offered is the ability for customers to extend their payment due date for two weeks.
- New “Virtual Queue” functionality will allow the customer to request a “call back” (with an estimated call-back time provided) as an alternative to waiting in queue for the next available agent.
- New “Web Chat” will be offered to customers as an alternative communication channel to phone, lobby, web and e-mail communications.
- New quality monitoring program to monitor agent performance for the purpose of continuous improvement through feedback, coaching and training.
- New/Enhanced outbound “Autodialer” system which will be integrated with our IVR allowing customers to interact with GCWW during an automated call.
- Another critical body of work completed in 2010 was the establishment of a new Contact Center performance measurement framework. To achieve the Contact Center’s vision to be the standard for excellence in customer service, the following two objectives were established:
  - Quality Centric - Optimize Customer Experience by meeting Customers’ business and personal needs
  - Quantity Centric – Optimize CCC Business Processes, Operations and Agent Productivity to provide prompt service

For each objective, Key Performance Indicators (KPIs) and Metrics were defined and aligned. A

- As part of our continuing effort to provide our customers with convenient payment options, while allowing our customers the option of receiving their utility invoice electronically, the Commercial Services Division’s technical and administrative staff implemented electronic billing (e-billing) for our customers during 2010. In addition to viewing the customer e-bill, GCWW customers are now able to make a one-time, scheduled, or recurring payment via this new automated clearing house (ACH) payment option. These options are free to the customer, can be activated without the customer contacting GCWW directly, and are available via MyCheckfree.com or one of over 3,000 banking institution web sites. The ACH payments

through the banking institutions, previously delivered in a paper check format, are now delivered electronically through the new payment process. On March 29, 2010, GCWW received our first ACH payment via this new payment option.

- In January of 2010, the Customer Contact Center introduced "**Agent Assist**," a new initiative designed to enhance customer service and increase operational efficiency. Before the introduction of this new initiative, Customer Relations Representatives (CRRs) in the Customer Contact Center requiring procedural or policy assistance, would attempt to reach a Senior CRR or Supervisor through a round robin calling effort or by walking through the Customer Contact Center in search of assistance. With the new process, CRRs can access a single "Agent Assist" phone extension staffed by Senior CRRs as the first point of contact and Supervisors as the second point of contact. This process provides the CRR staff a timelier, reliable resource to service their customers.
- In March, 2010, the Customer Contact Center introduced "**Supervisor Assist**." This assist line is staffed by Supervisors responsible for accepting transferred calls requiring a high level escalation. Previous to this change, customers wishing to escalate their concerns were advised that they would be contacted by a Supervisor within 24 hours.
- **Paperless Payment Lookup** was developed in 2010 with the goal of reducing the time CRR's are away from their desks and phones. Paperless Payment Lookup provides CRRs with an email format to request the payment information previously entered manually on a form, submit the request electronically to the Clerks, and receive the response to their request electronically. The Clerks responsible for researching the payment information check the electronic requests at 9 a.m. and 11 a.m., and at 1 p.m. and 3 p.m. each day.
- An **On-Base Document Management System Link** was added to the GCWW billing system in April 2010, allowing Customer Relations Representatives to access premise related payments and correspondence directly from the billing system. With the On-Base link addition, CRRs are now able to immediately access from the billing system any information stored in GCWW's library and address the customer's needs in one call.

## 2009

- In March of 2009, GCWW created the Enterprise Mobile Team with a primary goal of developing an enterprise-wide mobile computing solution. For the Commercial Services Division, a mobile computing solution provided our Field Services and Contact Center staff an opportunity to improve and streamline our daily service order process from the creation of the service order to closing out the service order without processing paper.

The Commercial Services Division implemented our mobile solution in December of 2009. Field Service Representatives now go to the field with handheld computing devices that allow them to receive and send service orders electronically. The software also allows supervisors to route employees work efficiently as well as track their location and view the status of their work in real time.

Our new mobile solution also allows our Contact Center staff to check the status of a service order on-line and estimate time of arrival for a Field Service Representative within a two hour

time frame. Completed service order information is now available to Contact Center staff within five minutes of the completion of the service order in the field. Response time to customers inquiring about the status of a service order has been dramatically reduced.

Prior to the introduction of the new technology, the service order process was paper based and labor intensive. With mobiles, the life cycle of the service order has been reduced from three days to five minutes.

- As part of our continuing effort to provide our customers with convenient payment options and self service technology, the Commercial Services Division's technical and administrative staff finalized a contract with CheckFree during 2009. CheckFree provides GCWW's customers with an additional on-line automatic clearing house (ACH) payment option. GCWW customers have the option of accessing CheckFree's website to pay their water service bills or make an ACH payment at various bank portals affiliated with CheckFree.
- In February of 2009, the Field Services team implemented a new, automated database for backflow tracking and notification. Prior to the introduction of this new database, backflow tracking and notification and reporting was a labor intensive process. Reporting on the status of the backflow devices was also a time intensive process. Backflow charges were billed in two different systems, making the tracking and collection of payments cumbersome.
- In June, GCWW entered into an agreement with Affordable Language Services to provide language interpretation services for our customers and Customer Contact Center agents. Our agents now have the ability to directly contact the language interpretation service vendor to provide a language interpreter on a three-way call with a customer. In 2009, Spanish, Greek, Korean and French interpreters were utilized to assist our non-English speaking customers requiring customer service assistance.
- GCWW holds property owners responsible for water service. When we implemented a new billing system in December 1996, new functionality was introduced that allowed us to offer third party billing. With this feature, property owners can opt to have duplicate copies of their bills sent to another party. It is mostly used for tenants and property managers. In March of 2009, this process was enhanced to include duplicate past due notices for third parties. This change now provides for additional notice to those identified by the property owner as the expected payees, who may have otherwise forgotten to pay for service until a notice was posted on their front door.
- With increasing cases of identity theft, the Federal Trade Commission issued new requirements for members of certain industries to develop a written policy known as "Identity Theft Red Flag Rules Policy" to address this concern. The utility industry was specifically included in this requirement. Each utility's policy states the "red flags" that could indicate identity theft attempts, such as multiple name and address changes on accounts, or the use of stolen credit cards. The Commercial Services Division responded by developing such a policy for GCWW. City Council formally approved this policy in the summer of 2009.
- The Customer Contact Center has made a commitment to be the standard for excellence in customer service by building trusting partnerships with our customers, by listening sincerely and

courteously, providing fair and knowledgeable solutions and following through promptly and thoroughly.

This customer service commitment forms the basis for our service skill enhancement program entitled "Fulfilling the Customer Service Commitment". This program, originally developed and conducted in 2005, consisted of twelve – 2 hour sessions designed to enhance the Contact Center agents' customer service skills necessary to deliver our vision of outstanding customer service. In 2009, we continued to build on this strong foundation by repeating the full 12 session program for Contact Center agents who came on board after the 2005 sessions. To maintain the skills of our veteran agents, the program was enhanced in 2009 to include two – 4 hour "Booster" sessions to reinforce the skills previously presented in the full-session.

## **2008**

- On June 2, 2008, GCWW went live with an upgraded customer billing system (Project Marvel). The conversion of Banner 3.0 to Indus Customer Suite (ICS) 4.0 involved the dedicated efforts of GCWW support and information technology staff, along with internal and external information technology consultants over a 24-month period.

Major Project Marvel milestones achieved during 2008 included the completion of the business process analysis, system level rule changes, and meter management changes, the implementation of the bad debt module and implementation of a new general ledger module, as well as a new payment system upgrade.

- As a result of business process changes related to the implementation and completion of the H2O Radio Automatic Meter Reading project, the former Premises Services Section and the Meter Services Section were consolidated in January 2008 into the Field Services Section.
- In April 2008, the Field Services Section began utilizing cell phones with Global Positioning System (GPS) capabilities. The GPS phones are used by Field Services management team to assist with job routing and job location information.
- The Customer Assistance Section implemented the Electronic Customer Relations Representative (e-CRR), the section's first on-line help and training tool in June of 2008. E-CRR contains thousands of pages of information, policies, procedures, instructions, documents, training videos, screen shots, photos, links, etc. The front page: "What's New in the Contact Center" contains daily information such as run lists and recent updates and/or changes to policies and procedures. With e-CRR, our Contact Center staff now has easy access to a single source of updated information that is accurate and consistent. The Customer Assistance Section training team continually updates e-CRR to maintain this high quality of information and enhance our customer service delivery.
- In addition to using the new GPS phones for job routing and job location capabilities, our Field Services staff also developed a process in 2008 that utilizes the GPS phones to time stamp field service jobs.

In November of 2008, the Field Services supervision staff, in conjunction with Commercial Services' Technology Services staff, developed a new process which interfaces the meter reading exception form

in HHAMR with service order system (EMPAC) and the new ICS 4.0 billing system. These interfaces now provide the Field Services staff with the capability of automating meter reading exception work orders and related customer letters.

## 2007

- In October of 2007, GCWW completed one of the largest water automatic meter reading (AMR) projects in North America. A total of 36,068 units were installed during 2007 by VSI Metering Services and GCWW service representatives, bringing the overall total units installed to 233,500 or 97% of the total accounts in the service area inventory. GCWW's 97% installation rate exceeded the installation goal by 7%.

In October 2006, GCWW's H<sub>2</sub>O Radio Project was awarded the "Best AMR (Automatic Meter Reading) Initiative in a North American Municipal Utility." The candidates for this award included municipal water, gas, and electric utilities.

- In January of 2007, GCWW introduced AutoDebit, which allowed customers to pre-register to make Automatic Clearing House (ACH) payments from their designated bank's checking/savings account on their water/sewer invoice due date. Our ECAM system automatically debits the customer's bank account. GCWW also introduced a one-time payment option for our customers in January 2007. Registered ECAM users can now make a payment by providing their checking or savings account number, as well as their bank's routing number.
- In the spring of 2007, enhancements to ECAM were introduced related to returned payments. The ECAM system now sends an email notification to the customer notifying them of an ACH return from their bank. When a return is received, the customer is automatically canceled from the AutoDebit service. In October 2007, our ECAM system was modified to allow customers with account balances to enroll in AutoDebit. Prior to this modification, customers could only enroll if they had a zero balance account.
- In September 2007, the Commercial Services Division's Field Services section (formerly Meter Reading and Premises Services sections) revised our meter reading routes and service districts in order to provide a more logical work flow for our Customer Service Representatives.
- During 2007, our Project Marvel team was primarily involved with business process analysis, data base conversion and validation, functional specification scripts and testing, new code development, interface configurations and coding, the development of end-user training materials, and server configuration and installation.
- Commercial Services Division staff actively participated in the GCWW/USEPA Water Security Initiative activities, including taking a lead role in the Consumer Complaint Surveillance (CCS) component of the Contamination Warning System.

## 2006

- Each year the CSD undertakes the review of several business processes to improve service delivery and efficiency. The six new business processes introduced in 2006 to improve customer service delivery and efficiency included:

- Same Day Water Service Reconnection
  - Automated Payment Plan Follow-up
  - Electronic Customer Service Account Management (ECAM) Enhancements
  - New Delinquent Service Order Generation Process
  - Critical Need User Application Form and Procedures
  - Meter Reading Data (HHAMR) Access from Billing System (Banner)
- A comprehensive GCWW team effort began in March of 2006 to upgrade our current Banner billing system to Indus Customer Suite (ICS) 4.0. Project Marvel was a comprehensive team effort that included staff from all sections of the Division, as well as outside information technology consultants.

## 2005

- In our first full year as an outsourcing agent for BCDES, all contractual benchmarks were successfully attained. GCWW produced 454,384 bills and handled 82,638 customer calls for them. The seamless transition of customer care services occurred without impact to the customer, so much so, that few even know there was a transition. Our staff provided technical and functional support to assist BCDES with the development of a full range of previously unavailable financial and operational reports. BCDES has used this new information, along with the capabilities of both our system and our staff, to initiate customer outreach programs, improve customer communications, and gain new insights into the operation of their utility.
- GCWW, in conjunction with our mail and print vendor, improved the accuracy of our mailing addresses by using National Change of Address (NCOA) updates. This change reduced our returned mail and provides automated address updating, saving staff time and avoiding customer inconvenience.
- In 2005 GCWW added several new features to our Electronic Customer Account Management (ECAM) application to allow customers to view payment history, billing history, and usage graphs.
- In the fall of 2004, GCWW's Call Center staff was introduced to "Fulfilling the Customer Service Commitment," a 12 module training program designed to enhance our customer service delivery skills. The Call Center staff completed this program in 2005. During 2005 GCWW further dedicated itself to fulfilling the customer service commitment through the training of our field personnel. "Team Service" training delivered a customized 6-part training program to enhance and update our customer service skills in the field as a team to both CSD and Distribution Valve Section employees. A volunteer group of field personnel crafted a customer commitment statement that reflects the type of service we expect to provide to both internal and external customers: *"With Customer Service being our #1 priority, GCWW provides a professional team of highly trained, well-equipped employees who deliver timely, reliable service to all customers."*

## 2004

- GCWW implemented the Call Center Technology Enhancement Project. Major technology enhancements implemented during this period included Expert Agent Selection (EAS), Interaction Center/Computer Telephony Integration (IC/CTI), Interaction Response System upgrade, and a workforce scheduling tool (Blue Pumpkin).
- With the acquisition of new bill print technology, Commercial Services created an entirely new billing form. The goals of including our GCWW logo, adding color and highlights for easy reference, increasing the print font size, providing for additional notes, and adding a consumption graph were all met. When the final version was approved in April 2004, we began to code the necessary changes to the bill printing application in BANNER and newly acquired DOC1 software. On August 11, 2004, GCWW introduced its new billing statement, mailed in a regular envelope with a regular return envelope for payments.
- In response to growing customer interest, GCWW implemented Electronic Customer Account Management (ECAM) to serve our customers via the Internet in April. Through ECAM, customers have easy access to their accounts. They can review billing information, check future meter reading dates, initiate credit and debit card payments, and contact us by email. ECAM was officially introduced in August with our new billing statements, and nearly 7,000 customers had signed on by the end of the year.

## 2003

- GCWW worked with the City of Mason to convert their sewer billing methodology to include a summer usage cap for residential customers.
- GCWW expanded the capacity and use of our Autodialer system for delinquent accounts, generating more payments without costly truck rolls.

GCWW's new automated meter reading project, **H<sub>2</sub>O Radio**, began using the Autodialer system to encourage customers to make appointments for the installation of meter upgrades.

**H<sub>2</sub>O Radio** opened the door to a far-reaching new level of customer service care in the 21<sup>st</sup> Century for GCWW. The key benefits of the new system are convenience to the customer, accurate and timely meter readings, and cost effectiveness with a pay-back period of 9 years.

A multifaceted communications plan was created by a team to develop and maintain communications to customers, property owners, City employees and other stakeholders throughout the duration of the project. Some of the facets of the plan are: press and media coverage, printed materials, updates to the City of Cincinnati website and the GCWW and CSD intranet sites, internal communications with all GCWW employees and other City employees, letters of introduction to community leaders and police chiefs, and community meeting presentations.

On May 21, 2003, Cincinnati City Council unanimously passed Resolution 89-2003 supporting **H<sub>2</sub>O Radio**, and the project began in earnest. The official "kick-off" with media coverage from radio, newspaper and TV stations occurred on June 4, 2003.

The contractor's performance measures of verbal response to the customer within one hour and on site within 3 hours have always been met or exceeded.



- GCWW completed a major version migration on our customer information and billing system in May. The new version reduced the number of custom modifications we needed to maintain, improved navigation and access to information for our Call Center, and provided new functionality for several processes.

## **2002**

- Hardware and software were installed at the City Treasurer's office and in the Mason Municipal Building for real-time payment processing at these locations.

**Pricing Matrix and Terms (Option 1)**

Our objectives are not only to obtain the best value via component pricing, but also to mitigate the unpredictability in the potential volatility of ongoing costs.

Please provide a description of your pricing approach, along with any associated assumptions and rationale, to accomplish this. All vendors must supply pricing information in the format below. However, if vendor has an alternative approach to pricing, that may be included as well. Prices should be stated in U.S. dollars and offered for at least 90 days. **Pricing information in hardcopy must be submitted in a separate envelope; pricing information in electronic format must be submitted in a separate file.**

*On average, LFUCG will require about 115,000 bills per month to be generated and serviced.*

Year	Billing Service Price Per Bill	Customer Service Price Per Bill	Other Price Per Bill	Total Price Per Bill
Year 1*	\$0.28	\$0.55	Not applicable	\$0.83
Year 2	\$0.29	\$0.53	Not applicable	\$0.82
Year 3	\$0.30	\$0.54	Not applicable	\$0.84
Year 4	\$0.31	\$0.55	Not applicable	\$0.86

\* In addition to the price per bill identified above, Year 1 has a one-time implementation lump sum payment upon System Acceptance, not to exceed \$751,700.

**Pricing Approach:**

Please describe your pricing model and suggest payment milestones.

We are offering LFUCG two payment options. The first option (as described here) involves a combination of a lump sum payment for implementation upon System Acceptance, and a per bill cost after the system has been accepted.

The lump sum payment will be at cost, not to exceed \$751,700. While the project plan includes project milestones other than system acceptance, these milestones are not payment milestones.

Once the system has been accepted, LFUCG will pay \$.83/bill in Year 1. This includes one-time costs related to contact center staffing and training. A 2% inflationary factor is applied for Year 2, 3, and 4.

Included in these costs are:

- Contact center services, bill and print services, payment services, delinquency management, and bad debt collection services as described in this proposal.
- Sufficient and highly skilled staff to meet the agreed to service levels.
- All software licensing and ongoing maintenance costs.
- High quality telecommunications link between LFUCG and GCWW.
- Ongoing operational and technology improvements implemented by GCWW, if applicable (for example, product upgrades such as CIS, print/mail vendor, contact center technologies, etc.), and additional capabilities that do not require additional external (to GCWW) professional services or equipment (for example, on-line chat, post-call survey, and e-check payments).
- 2% inflation factor for each of Year 2, Year 3, and Year 4.

LFUCG will be responsible for:

- Cost of printing, mail, and postage.
- Costs associated with connecting LFUCG's system to the GCWW-provided communications link.
- Telecommunications costs and activities required to connect to the GCWW-provided remote access link.
- Professional services and equipment costs that require out-of-pocket investments by GCWW for improvements during the Continuous Improvement phase (an example might be adding smart phone bill presentment and payment capabilities). LFUCG and GCWW would discuss and agree on these as part of the Year-to-Year Continuous Improvement plan prior to any costs being incurred. GCWW would not charge an additional administrative fee.

#### Lobby/In Person Payments

GCWW is committed to meeting LFUCG's requirements and to providing top notch customer service. Part of this means addressing the need to support in-person, walk-in payments. Our proposed approach is to work jointly with LFUCG to provide this service.

GCWW will install, support, and maintain up to 3 computer workstations (hardware and software required to securely access GCWW's system) at an existing County location that already handles in-person cash transactions. The workstations will be connected to GCWW's systems for cashing and CIS (Customer Suite), so that transactions are reflected in the systems real-time.

LFUCG will be responsible for providing the staff to operate the workstations; GCWW will be responsible for training these staff. GCWW has used this approach for another client, and it has worked very well. Should the volume of payments create the need for LFUCG to increase your staffing to handle the in-person payments, GCWW is open to discussing another alternative.

### **Assumptions per component:**

Please describe any assumptions associated with your pricing model.

- A total of approximately 115,000 bills per month (this includes late payment notices, delinquency notices, multiple bills to the owner/tenant/property manager, and other mailings). If the bill volume changes more than 5% for 3 consecutive months, then the price per bill calculations will need to be revisited.
- We have estimated a call volume of approximately 65,000 agent answered calls per Year. If the call volume varies by more than 5% for 3 consecutive months, then the price per bill calculations will need to be revisited.
- KAWC will perform water adjustments only. Sewer, landfill, and water quality adjustments will be handled by GCWW staff
- Payment processing convenience fees will be paid by the LFUCG customers

## Pricing Matrix and Terms (Option 2)

Our objectives are not only to obtain the best value via component pricing, but also to mitigate the unpredictability in the potential volatility of ongoing costs.

Please provide a description of your pricing approach, along with any associated assumptions and rationale, to accomplish this. All vendors must supply pricing information in the format below. However, if vendor has an alternative approach to pricing, that may be included as well. Prices should be stated in U.S. dollars and offered for at least 90 days. **Pricing information in hardcopy must be submitted in a separate envelope; pricing information in electronic format must be submitted in a separate file.**

*On average, LFUCG will require about 115,000 bills per month to be generated and serviced.*

Year	Billing Service	Customer Service	Implementation	Total
	Price Per Bill	Price Per Bill	Price Per Bill	Price Per Bill
Year 1	\$0.29	\$0.56	\$0.27	\$1.12
Year 2	\$0.30	\$0.53	\$0.27	\$1.10
Year 3	\$0.29	\$0.54	\$0.00	\$0.83
Year 4	\$0.31	\$0.54	\$0.00	\$0.85

### **Pricing Approach:**

Please describe your pricing model and suggest payment milestones.

We are offering LFUCG two payment options. The second option (as described here) spreads the implementation costs over the first two years, once the system has been accepted. The implementation cost will be incorporated into the per bill cost for the first two years at a fixed price of \$751,700. While the project plan includes project milestones other than system acceptance, these milestones are not payment milestones.

Once the system has been accepted, LFUCG will pay \$1.12/per bill during Year 1 and \$1.10 per bill during Year 2. During Year 3, the price per bill will be \$.83 (this no longer includes implementation costs, but it does include a 2.0% inflationary factor). The price per bill during Year 4, after applying the 2% inflationary factor is \$.85.

If the fixed costs are met prior to the end of Year 2, then the pricing per bill will be revisited to reflect that the obligation has been met and the pricing will be reduced. However, if fewer than 2.76 million bills are mailed in the first two Years, Lexington will be invoiced for the difference to cover the fixed costs of implementation.

Included in these costs are:

- Contact center services, bill/print/mail services, payment services, delinquency management, and bad debt collection services as described in this proposal.
- Sufficient and highly skilled staff to meet the agreed to service levels.
- All software licensing and ongoing maintenance costs.
- High quality telecommunications link between LFUCG and GCWW.
- Ongoing operational and technology improvements implemented by GCWW, if applicable (for example, product upgrades such as CIS, print/mail vendor, contact center technologies, etc.), and additional capabilities that do not require additional external (to GCWW) professional services or equipment (for example, on-line chat, post-call survey, and e-check payments).
- 2% inflation factor for each of Year 2, Year 3, and Year 4.

LFUCG will be responsible for:

- Cost of printing, mail, and postage.
- Telecommunications costs and activities required to connect to the GCWW-provided remote access link.
- Professional services and equipment costs that require out-of-pocket investments by GCWW for improvements during the Continuous Improvement phase (an example might be adding smart phone bill presentment and payment capabilities). LFUCG and GCWW would discuss and agree on these as part of the Year-to-Year Continuous Improvement plan prior to any costs being incurred. GCWW would not charge an additional administrative fee.

#### Lobby/In Person Payments

GCWW is committed to meeting LFUCG's requirements and to providing top notch customer service. Part of this means addressing the need to support in-person, walk-in payments. Our proposed approach is to work jointly with LFUCG to provide this service.

GCWW will install, support, and maintain up to 3 computer workstations (hardware and software required to securely access GCWW's system) at an existing County location that already handles in-person cash transactions. The workstations will be connected to GCWW's systems for cashing and CIS (Customer Suite), so that transactions are reflected in the systems real-time.

LFUCG will be responsible for providing the staff to operate the workstations; GCWW will be responsible for training these staff. GCWW has used this approach for another client, and it has worked very well. Should the volume of payments create the need for LFUCG to increase your staffing to handle the in-person payments, GCWW is open to discussing another alternative.

### **Assumptions per component:**

Please describe any assumptions associated with your pricing model.

- A total of approximately 115,000 bills per month (this includes late payment notices, delinquency notices, multiple bills to the owner/tenant/property manager, and other mailings). If the bill volume changes more than 5% for 3 consecutive months, then the price per bill calculations will need to be revisited.
- We have estimated a call volume of approximately 65,000 agent answered calls per Year (total). If the call volume varies by more than 5% for 3 consecutive months, then the price per bill calculations will need to be revisited.
- KAWC will perform water adjustments only. Sewer adjustments will be handled by GCWW staff
- Payment processing convenience fees will be paid by the LFUCG customers