

**KENTUCKY-AMERICAN WATER COMPANY
CASE NO. 2007-00143**

**COMMISSION STAFF'S SECOND SET
OF INFORMATION REQUESTS**

Item 1 of 80

Witness: Linda C. Bridwell

1. List all Kentucky-American's sewer facilities.

Response:

KAWC owns the Rockwell Village wastewater plant in Clark County, and Owenton Wastewater, in Owen County. KAWC has not included any of the wastewater operations in this rate filing.

For electronic version, refer to KAW_R_PSCDR2#1_061807.pdf

**KENTUCKY-AMERICAN WATER COMPANY
CASE NO. 2007-00143**

**COMMISSION STAFF'S SECOND SET
OF INFORMATION REQUESTS**

Item 2 of 80

Witness: Linda C. Bridwell

2. List all Kentucky-American facilities and contract operations that are not subject to the Commission's regulation.

Response:

KAW operates, under contract, the water and wastewater facilities at Bluegrass Station in Fayette County.

For electronic version, refer to KAW_R_PSCDR2#2_061807.pdf

**Kentucky-AMERICAN WATER COMPANY
CASE NO. 2007-00143**

**COMMISSION STAFF'S SECOND SET
OF INFORMATION REQUESTS**

Item 3 of 80

Witness: Nick Rowe/Linda Bridwell/Michael A. Miller

3. Refer to Kentucky-American's Response to Commission Staff's First Set of Information Requests, Item 1(a), W/P3, pages 20 through 27 of 118.
 - a. Identify the Kentucky-American employees, by name, who are expected to provide services to Kentucky-American's non-regulated or sewer operations during the forecasted test period and state the amount of time each employee is expected to spend providing services to the non-regulated or sewer operations.
 - b. Identify the Kentucky-American employees, by name, who are expected to provide services to American Water Works Company ("AWWC") or any AWWC-affiliated entity other than Kentucky-American during the forecasted test period and state the amount of the time that he or she is expected to spend providing such services to entities other than Kentucky-American.
 - c. Identify each employee, by name, who holds a position title with AWWC or an AWWC affiliate other than Kentucky-American. For each employee identified, state his or her non-Kentucky-American position and state his or her title(s).
 - d. Describe the duties of each salaried Kentucky-American employee.

Response:

The Company did not reflect the elimination of the hours below for Owenton Waste Water, Rockwell Village Waste Water and Tim Coy and Joe White for Bluegrass Station in its filing. The company is making the adjustment in its updated filing to correct for mathematical errors.

- a. **Owenton Wastewater:**
 - Tony Callan – 40 Hrs. per week
 - Rick Buchanan – 4 Hrs. per week
 - Marshall Gibson – 4 Hrs. per week
 - David Shehee – 0.5 Hrs. per week
 - Shana Carr – 1 Hr. per month
 - Dillard Griffin – 1 Hr. per month

Rockwell Village Wastewater:

Tim Coy – 2 Hrs. per week
Joe White – 3 Hrs. per week
David Shehee – 0.5 Hrs. per week
Shana Carr – 7 Hr. per month
Dillard Griffin – 2 Hrs. per month

Bluegrass Station:

Tim Coy – 3 Hrs. per week
Joe White – 3 Hrs. per week
David Shehee – 0.5 Hrs. per week
Shanna Carr – 7 Hrs. per month
Dillard Griffin – 2 Hrs. per month

- b. None
- c. None.
- d. Please see attached job descriptions for salaried positions.

For the electronic version, refer to KAW_R_PSCDR2#3_061807.pdf

President / General Manager

SD 20

Role Purpose: Manage the personnel, capital resources and business processes that are engaged in the functional area of water and/or wastewater operations.

Key Accountabilities

- Develop and support a team of front-line supervisory and technical staff engaged in distribution and production operations.
- Be the lead in establishing and managing personal relationships and rapports with political, civic and key stakeholders within area of responsibility. Be interface with regulatory entities and represent company positions at regulatory proceedings and hearings.
- Implement training and development programs to ensure that personnel obtain and maintain appropriate operator certifications from regulating agencies
- Manage union and/or non-union labor issues and participate in the collective bargaining process.
- Monitor the financial performance of network operations to ensure that business plan goals are met.
- Direct the planning, acquisition or construction of new and/or upgraded production facilities in accordance with approved CAPEX budget.
- Implement and manage a preventative maintenance program for capital assets that provides OPEX savings and defers CAPEX spending, where possible.
- Manage and monitor the effectiveness of security efforts at all production facilities, including the preparation of Vulnerability Assessments and Emergency Response Plans.
- Support the Business Development function in the operational analysis pricing and integration of water and wastewater business opportunities in both the regulated and non-regulated markets
- Oversee business processes to ensure that American Water policies are followed, best practices are implemented, and

Performance Measures

- Acts as an interface between the team and the rest of business. Communicates a vision of success for the team, and empowers the team to reach new levels of achievement.
- Good relations with the communities and leaders with positive influence achievements
- Ensures that employees are fully supported in addressing their development needs. All applicable employees maintain appropriate operator certifications.
- Gives constructive and objective feedback on performance. Supports collective efforts to resolve problems and promote the effectiveness of a team.
- Tracks and measures results, effectively communicates individual and team progress, and makes adjustments to targets in line with OPEX budget.
- Strategically implements the CAPEX business plan on time and within budget.
- Realizes measurable OPEX savings through an effective maintenance program, and avoids any unplanned water outages longer than 4 hours.
- Implements a robust and effective security program, and meets all regulatory deadlines for submittals of assessments and reports.
-
- Maintains compliance with internal policies, best practices and reporting deadlines. Achieves 100 percent compliance with

<p>internal/external reporting requirements are satisfied.</p> <ul style="list-style-type: none"> • Contribute to effective communication by listening and providing constructive feedback; supporting the creation of an open and honest work environment; cascading and sharing knowledge and information relevant to other members of the team and colleagues across the business. 	<p>regulatory reporting requirements.</p> <ul style="list-style-type: none"> • Feedback
<p>Skills/Knowledge/Experience required: Demonstrated leadership and management abilities. Excellent written and verbal communication skills. Strong interpersonal skills. High level of computer literacy.</p> <p>Knowledge of the regulated water business and the regulations impacting the business. Knowledge of company policies and procedures and management theories, practices, and trends. Expert knowledge of process and operational areas.</p> <p>Bachelor’s Degree in operational discipline, management, or related technical discipline or equivalent experience. Advanced degree preferred. 7-10 years of relevant experience.</p>	
<p>Key Interfaces/Relationships: Senior management, employees, regulators, customers, elected and appointed public officials, and key business and community leaders.</p>	
<p>Reports to: Regional President</p>	
<p>Competencies (from the Water Division Competency Dictionary):</p> <ul style="list-style-type: none"> • Team Working – Is committed to working collaboratively to achieve business goals, building cohesiveness and identity within a work group, and valuing individual perspectives and contributions • Champions Change – Seizes new ways of thinking and working. Articulates and leads change, energizes others with a clear, compelling picture of the future and inspires and empowers other to champion the change themselves • Delivers Results – Delivers bottom line results through bold, decisive actions, working through risks and uncertainty to create opportunity. Continually raises standards and promotes entrepreneurial behavior. • People Development – Creates opportunities and builds shared commitment in order to develop capabilities and improve business performance through individual and team development. • Market/Customer Focus – Identifying, understanding and meeting customer expectations both internally and externally. • Drives Performance – Setting clear, challenging, collaborative goals and expectations for people, which are aligned with business objectives. Tracking and measuring progress, providing feedback and making adjustments as necessary. 	

Executive Assistant

Role Purpose: Responsible for advanced and complex administrative support to appropriate client group (senior managers and teams)

Key Accountabilities

Oversees the daily administration for the client group including:

Partners the client group to ensure a productive working environment

Undertakes project work as required in support of the client group

Generates and maintains confidential files, records, and reports.

Handles travel arrangements.

Oversees the client schedule.

Composes correspondence, handle telephone requests and respond to department inquiries.

Takes and transcribes advanced level dictation.

Provides confidential administrative support.

Assists with the coordination of functions reporting to the manager(s).

Schedule manager(s) appointments and meetings;

Collect, edit and compile executive reports for board presentations and meetings with executives inside and outside the company.

Prepare reports and correspondence of a highly confidential nature.

Performance Measures

-

Makes high level contacts both inside and outside of the company.

Studies and make recommendations regarding management methods or department regime in order to improve workflow, simplify reporting procedures or reduce cost.

Prepare reports including conclusions and recommendations to solve administrative problems.

Research and abstract information and supporting data in preparation for meetings, projects and reports.

Coordinate collection and preparation of operating reports, such as time and attendance records, terminations, new hires, transfers, budget expenditures and records of performance management.

Coordinate and supervise activities of other administrative personnel within department.

Independently compose letters and respond to department inquiries.

Prepare and maintain department's operating and capital budget; support project budgeting activities

Serve as backup or replacement to peer and subordinate secretarial as office and clerical roles.

Performs other duties as assigned by the client group

Contribute to effective communication by listening and providing constructive feedback; supporting the creation of an open and honest work environment;

<p>cascading and sharing knowledge and information relevant to other members of the team and colleagues across the business.</p> <p>Must be able to work independently, plan and prioritize work and make decisions.</p> <p>Must have strong organization and planning skills.</p>	
<p>Skills/Knowledge/Experience required</p> <p>Five years experience at the executive level supporting senior managers and teams High school degree and formal secretarial training, Associates degree in Secretary Science and/or CPS designation desired. Broad knowledge of company operations and policies and procedures. Knowledge of advanced secretarial procedures and executive protocol. Ability to work under minimal supervision. Strong administrative skills; flexible and willing to work for the benefit of the whole team Advance computer skills (EXCEL Spreadsheets, PowerPoint, Internet, Word, etc.) Strong interpersonal skills (e.g., tact/diplomacy, cooperation, negotiation). High level of initiative, judgment and discretion.</p>	
<p>Key Interfaces/Relationships:</p> <ul style="list-style-type: none">• Senior Managers, team members• Functional peers• External suppliers• Internal support functions	
<p>Reports to: Senior Manager</p>	
<p>Competencies (from the Water Division Competency Dictionary):</p> <ul style="list-style-type: none">• Decision Making – must be able to work independently and make necessary decisions in order to deliver results and complete assigned work• Market/Customer Focus – <i>Identifying, understanding and meeting customer expectations both internally and externally.</i>• Sharing Knowledge & Expertise – <i>Drives business performance by developing and contributing specific technical or professional knowledge, skills and experience. Demonstrates a professional attitude.</i>• Delivers Results – <i>Delivers bottom line results through bold, decisive actions, working through risks and uncertainty to create opportunity. Continually raises standards and promotes entrepreneurial behavior.</i>• Team Working – <i>Is committed to working collaboratively to achieve business goals, building cohesiveness and identity within a work group, and valuing individual perspectives and contributions.</i>• Influence – <i>The ability to articulate an objective or idea in a compelling manner, so that others are persuaded to act on its merit.</i>	

- **Analysis & Problem Solving** – *Analyses and resolves business issues through the application of critical reasoning skills a general business experience.*

KENTUCKY-AMERICAN WATER COMPANY

POSITION DESCRIPTION: EXECUTIVE SECRETARY

FUNCTION:

The Executive Secretary performs secretarial duties for an officer of the company or a person responsible for a major function or geographic operation.

RESPONSIBILITY:

The Executive Secretary is responsible for doing work of a high confidential nature and relieves principal of designated administrative details. Requires initiative, judgement, knowledge of company practices, policy and organization.

AUTHORITY:

The Executive Secretary has limited authority to act or make decisions necessary to the exercise of assigned responsibilities.

REPORTABILITY:

The Executive Secretary reports to the individual's immediate supervisor.

COORDINATION:

The Executive Secretary will coordinate and communicate as directed by immediate supervisor with other department heads on matters which affect their areas of responsibility or the attainment of their objectives.

MINIMUM ENTRANCE REQUIREMENTS:

Position Title

Education and Experience

Executive Secretary

High school graduate or state recognized Educational Equivalency Certificate with secretarial training in dictation and typing plus 2 years experience in stenographic and office procedures or secretarial experience; and

POSITION DESCRIPTION: EXECUTIVE SECRETARY (Continued)

Demonstrated ability to pass a 3-minute dictation test given at the rate of 80 words per minute with a maximum of 6 errors in the total transcript; and

Demonstrated ability to type 60 words per minute with no more than 5 errors.

Communications & Corporate Social Responsibility Manager

EA3 3-3-04

Role Purpose: Develop skills, procedures, and systems necessary to implement programs which support the corporate social responsibility, communication, media relations, and community affairs activities for the business.

Key Accountabilities

- Contribute to the development of business plans and policies associated with corporate social responsibility, internal and external communications, media relations, and community affairs.
- Implement a Corporate Social Responsibility program in line with Americas Region strategy and policies, champion the CSR vision, generating commitment to the principles of CSR within the Region.
- Promote the understanding of and focused activities for corporate citizenship, community investment/sponsorships, corporate accountability, environmental stewardship and sustainability within the business
- Locally embed CSR into all business operations, supply chains, and decision making processes
- Support the Regional External Affairs Director and leadership team on social, environmental, and ethical issues
- Translate the business strategy and goals into effective communication processes, which are sensitive to multiple stakeholder needs.
- Raise awareness and gain management buy-in to the importance and need for good quality communication to help deliver business goals
- Implement regional communication programs, covering all media relations, new media (internet and intranet) and related communication activity in line with the regional communication plan; eg: newsletter, bill inserts, management cascades, etc.
- Develop proactive internal and external communication materials and programs. Ensure that brand and reputation are enhanced in the market and community and that business development opportunities are promoted
- Monitor and evaluate the application of AW communication policies and frameworks across the Region
- Advise and guide Regional management on media relations, internal communication and new media issues.
- Support a network of communication representatives across the Region.
- Build the communication capabilities within line managers and employees
- Work with HR to support employee research into communication effectiveness and monitor local

Performance Measures

- Communication plans, calendar; resources; and capabilities in place.
- Line management awareness of CSR agenda and values
- Number of CSR projects in community and value derived from them.
- Line management awareness of CSR agenda and values
- Number of CSR projects in community and value derived from them
- Profile of CSR raised to the point of its automatic inclusion in business initiatives
- Feedback
- Feedback (improvements in Employee Opinion index)
- Feedback
- Feedback
- Customer, time, quality
- Appropriate monitoring and audit processes in place
- Policies and frameworks applied
- Timeliness and quality
- Peer feedback
- Growth in management capability
- Employee opinion survey results
- Client satisfaction of communication contacts
- Improved quality
- Feedback
- Performance Improvements
- Appropriate research commissioned

<p>employee research (opinion survey) projects</p> <ul style="list-style-type: none"> • Build influential and constructive relationships with stakeholders (journalists, opinion formers, etc) to leverage and provide AW's business interests • Monitor and evaluate media relations and new media activities to ensure best value for money and ensure effective governance and protection of our brand. • Manage and evaluate effectiveness of external agency support as required • Serve as the champion of the benefits of private involvement in water and wastewater in local markets and represents the organization by membership and participation in Regional industry organizations, associations and meetings • Develop and implement feedback programs for employees, customers and AW stakeholders • Represent the organization and make presentations before internal and external committees, boards, commissions and/or other governmental agencies concerning programs, requirements and policies. • Act as "stakeholder advocate" to ensure the business is sensitive to all our stakeholder needs and responds in a way that protects and enhances our brand and reputation. • Provide internal consulting and support services to Business Unit communications personnel on various projects; especially those with a change focus, e.g : Ideas into Action, Reorganization; Process Changes, educational programs; reputation and brand building, etc. • Promote the interests of the business with local governments and political decision makers. • Support Business Development activities in the region and facilitate business growth; liaise with Proposals Managers/Bid teams to support BD activity; operate within the corporate marketing and brand frameworks • Contribute to effective communication by listening and providing constructive feedback; supporting the creation of an open and honest work environment; cascading and sharing knowledge and information relevant to other members of the team and colleagues across the business. 	<ul style="list-style-type: none"> • Access and influence • Quality and cost • Quality, cost, timeliness, alignment with corporate frameworks • • Track and measure employee and customer perceptions. Use feedback to identify and effectively close expectation/delivery gaps • Feedback • Feedback • Understands key internal and external business trends and effectively communicates to facilitate public awareness of basic and critical issues. • Increased brand awareness and brand equity • Feedback • Feedback
---	---

Skills/Knowledge/Experience required: Excellent written and verbal communications skills including demonstrated writing ability and effective public speaking abilities. Computer literacy (e.g Word, PowerPoint, Excel, Access). Proven skills and ability to effectively coordinate work assignments at all levels within the Company and with outside services and organizations. Knowledge of printing, audiovisual and video production. Experience in media relations, corporate social responsibility, industry/trade/non-governmental organization relationship management. B. A Degree in Public Relations or related field: Journalism, English, etc Ten years industry or equivalent experience

Key Interfaces/Relationships:

- MD

- Communications team at Corporate Center
- Director, External Affairs
- Marketing Manager at Corporate Center
- Regional Leadership Team

Reports to Regional Director External Affairs

- **Influence** – The ability to articulate an objective or idea in a compelling manner, so that others are persuaded to act on its merit.
- **Team Working** – Is committed to working collaboratively to achieve business goals, building cohesiveness and identity within a work group, and valuing individual perspectives and contributions
- **Market/Customer Focus** – Identifying, understanding and meeting customer expectations both internally and externally
- **Strategic Focus – Sharing Knowledge and Expertise** – Drives business performance by developing and contributing specific technical or professional knowledge, skills and experience. Demonstrates a professional attitude
- **Organizational Awareness** – The knowledge and development of formal and informal business relationships with key stakeholders within and outside the organization that enables business objectives to be accomplished
- **Sharing Knowledge and Expertise** – Drives business performance by developing and contributing specific technical or professional knowledge, skills and experience. Demonstrates a professional attitude.

Role Description: Communications & Corporate Responsibility Specialist

Role Purpose: Promote the image of American Water at the local level. Facilitate internal/external communications.

Key Accountabilities

- Proactively pursue opportunities to educate target audiences (e.g. trade shows) about American Water and the services we provide. Manage these events in cooperation with Business Development team.
- Clearly understands market influences and trends including political, economic, social and technical trends and can correlate this with strategy.
- Establish a network of key contacts (media, journalists, business leaders, etc.) so that we can respond in a proactive manner to issues and situations that arise.
- Serve as Company spokesperson relative to media and other pertinent events.
- Provide accurate and timely information for regional newsletters, communiqués, news releases, etc.
- Seek to align Company sponsorships with external affairs and corporate responsibility initiatives.
- Collaborates with Business Development team to provide all necessary support for growth initiatives.

Performance Measures

- Initiates and participates in meetings to engage target audiences and establish a network of key contacts that will facilitate growth opportunities.
- Understands the company's competitive advantage and identifies opportunities to promote it.
- Establishes strategic coalitions and alliances to support the business agenda by generating chains of influence. Envisions coalitions that will give maximum value to the business in the long-term.
- Raises the reputation of the Company by applying talent, knowledge and proactive approaches to communication.
- Tracks and remains current on events, projects and employee data and assimilates information for inclusion.
- Recognizes projects that are aligned with American Water's strategies. Shows personal commitment to corporate responsibility initiatives.
- Prepares power point presentations, news releases and collateral materials. Contacts media and arranges for VIP attendance at events as appropriate.

Skills/Knowledge/Experience required: Excellent written and verbal communications skills including demonstrated writing ability and effective public speaking abilities. Computer literacy (e.g. Word, PowerPoint, Excel, Access). Proven skills and ability to effectively coordinate work assignments at all levels within the Company and with outside services and organizations. Knowledge of printing, audiovisual and video production.
B. A. Degree in Public Relations or related field: Journalism, English, etc.

Key Interfaces/Relationships: Employees, customers, elected and appointed political officials, local officials, key business and other community leaders including chambers of commerce and economic development councils.

Reports to Communications & CR Manager**Competencies (from the Water Division Competency Dictionary)**

Influencing.	Organizational Awareness.
Teamworking.	Strategic Focus.
Intercultural Sensitivity.	Market/Customer Focus.

Government and Regulatory Affairs Manager

EA2 3-3-04

Role Purpose: Improve business climate for the Company through positive interactions with legislators and regulators and external opinion formers. Influence at state level to promote initiatives that support Company and other stakeholder goals and objectives.

Key Accountabilities

- Understand and articulate in a compelling way the Company position on key legislative issues.
- Shape and influence legislative programs and other critical business issues in alignment with Company goals and objectives
- Establish constructive relationships with elected and appointed officials on a federal, state and local level and invest considerable time and energy in prioritized networking activity
- Prepare briefing documents that can be cascaded to key stakeholders (employees, public officials, etc.) to communicate pertinent issues (legislative, Company investment projects, business change, etc.)
- Apprise senior management relative to pertinent legislative issues and other external facts which impact on the business.
- Work cooperatively with affiliated industry, trade or consumer groups to accomplish company goals and benefit our stakeholders.
- Track and monitor legislative bills and trends which will have an impact on our current business
- Support our business development projects as required and provide potential new business leads to developers
- Build knowledge and skills (external communication and influence) with the Senior Management team to build their capabilities
- Contribute to effective communication by listening and providing constructive feedback; supporting the creation of an open and honest work environment; cascading and sharing knowledge and information relevant to other members of the team and colleagues across the business.

Performance Measures

- Understands key internal and external business trends and effectively communicates and leverages Company position.
- Shapes and influences industry trends in support of American Water's strategic goals and objectives
- Establishes strategic coalitions and alliances to support the business agenda by generating chains of influence.
- Creates and supports systems and processes that facilitate access to and sharing of knowledge and information.
- Provides insight on issues that shape the future of our industry.
- Enlists the support of experts or other third parties to influence where appropriate
- Monitor industry trends in support of American Water's strategic goals and objectives
- Number of opportunities identified and shared
- Feedback
- Feedback

Skills/Knowledge/Experience required: Strong verbal and written communication skills, strong interpersonal skills. Knowledge of water industry issues and trends. Good knowledge of local and state legislative and political functioning. Sophisticated influencing skills, personal network, and ability to gain access to decision makers and opinion formers

B S. Degree, preferably in communications, political science, business administration.

Broad business knowledge (operational, financial, regulatory)

Key Interfaces/Relationships: Employees, elected and appointed public officials at federal, state and local level, regulators, business leaders, chambers of commerce, economic development councils, special interest groups.

Reports to Regional External Affairs Director

Competencies (from the Water Division Competency Dictionary)

- **Strategic Focus** – Looks at the big picture, thinks about the business as a whole both within its own environment and in the global marketplace and creatively identifies new horizons
- **Influence** – The ability to articulate an objective or idea in a compelling manner, so that others are persuaded to act on its merit
- **Market/Customer Focus** – Identifying, understanding and meeting customer expectations both internally and externally.
- **Team Working** – Is committed to working collaboratively to achieve business goals, building cohesiveness and identity within a work group, and valuing individual perspectives and contributions.
- **Delivers Results** – Delivers bottom line results through bold, decisive actions, working through risks and uncertainty to create opportunity. Continually raises standards and promotes entrepreneurial behavior.
- **Sharing Knowledge and Expertise** – Drives business performance by developing and contributing specific technical or professional knowledge, skills and experience. Demonstrates a professional attitude.
- **Organizational Awareness** – The knowledge and development of formal and informal business relationships with key stakeholders within and outside the organization that enables business objectives to be accomplished.

Specialist, Human Resources

Role Purpose- To provide assistance to business managers and the Regional HR office in key areas including Family and Medical Leave administration and DOT compliance. When needed, provide assistance with employment, employee/labour relations, organizational development, change management, and other opportunities to add value to the business goals.

Key Accountabilities

- Provide assistance with administering Family and Medical Leave
- Ensure the region is in compliance with Department of Transportation guidelines.
- Help with the hiring process including recruiting, selection, and screening.
- Assist in investigating and resolving employee relations issues
- Support and help drive business change
- Assist in administration of wage, salary and incentive programs for the region that will allow us to ensure consistency and fairness.
- Assist in employee projects and committees, which develop programs to help employees feel part of a team, fully engaged and valued
- Ensure compliance with various state, local and federal laws and/or agencies throughout a diverse region
- Respond to employee and management needs which build relationship in the business
- Provide guidance and support to other business teams and areas as needed as well as to company managers
- Contribute to effective communication by listening and providing constructive feedback; supporting the creation of an open and honest work environment; cascading and sharing knowledge and information relevant to other members of the team and colleagues across the business.

Performance Measures

- TBD
- TBD
- Competent employee hired and retained
- Diversity of hires
- Compliance with govt. regulation is maintained throughout the process
- Exit interviews
- Reduction in numbers of issues
- Effective results
- Business Performance
- Employee attitudes
- Costs controlled
- Equitable treatment in the region
 - Employee survey
 - Employee attitudes
 - Costs controlled
- Compliance audits
- Reputation of department and success
- Goals of regional office attained
- Feedback

Skills/Knowledge/Experience required

At least 1year Human Resources experience.
Minimum Associates degree Bachelors degree in related field or equivalent experience preferred.
Current knowledge of all Human Resources areas including employment law, labour laws, EEO, ERISA, HIPPA, AAP and other compliance issues, compensation knowledge, training, and employee relations.
Analytical and problem solving skills, including conflict resolution skills and change management skills.
Ability to communicate effectively with all levels within and outside the organization

Key Interfaces/Relationships Ability to interface with all employees at all levels and areas of the Company and its affiliates Ability to be an advocate for employees while protecting the Company's interests Ability to build relationships with Business Agents and officers for various Union Locals in the region Appropriate and successful interaction with the public during recruiting, job fairs, or other activities which promote the Company
Reports to: Human Resources Regional Lead or designee
Competencies (from the Water Division Competency Dictionary) Influencing The ability to articulate an objective or idea in a compelling manner, so that others are persuaded to act on its merit Organizational Awareness The knowledge and development of formal and informal business relationships with key stakeholders within and outside the organization that enables business objectives to be accomplished. Champions Change Seizes new ways of thinking and working. Articulates and leads change, energises others with a clear, compelling picture of the future and inspires and empowers others to champion the change themselves Delivers Results Delivers bottom line results through bold, decisive actions, working through risks and uncertainty to create opportunity. Continually raises standards and promotes entrepreneurial behaviour. People Development Creates opportunities and builds shared commitment in order to develop capabilities and improve business performance through individual and team development Strategic Focus Looks at the big picture, thinks about the business as a whole both within its own environment and in the global marketplace and creatively identified new horizons

Network Ops Superintendent

SD - 49

<p>Role Purpose - Manages the day-to-day operations of water and/or wastewater distribution/collection system(s) in accordance with Company policies and procedures and all applicable governmental laws and regulations.</p>	
<p>Key Accountabilities</p> <ul style="list-style-type: none"> • Prepare and control local construction, operations, and maintenance within established budget limitations. • Be the lead in establishing and managing personal relationships and rapport with political, civic and key stakeholders within area of responsibility. Be interface with regulatory entities and represent company positions as regulatory proceedings and hearings. • Ensure local water and/or wastewater operations meet the required standards and are in compliance with regulatory targets • Manage the implementation of standards, targets, policies, and plans to ensure the continuing and increasing operational efficiency, effectiveness, and profitability. • Ensure that operational integrity (quality, environment, reliability, health, safety, security, etc.) is maintained. • Develop and direct cost effective solutions to meet customers' expectations and technical requirements and to encourage best practice and innovation throughout all operational areas • • Implement effective reporting processes Provide analysis and support to Network Director with information required for various reports, budgets, and business plans. • Implement and foster the coaching and development of employees, including idea generation, within respective functional areas • Support Directors and local operational managers in ensuring effective people management policies and practices are developed and implemented (e.g. time and attendance, workforce management, etc.) and ensure resources are developed and deployed appropriately. • Continue to reinforce the importance of developing a diverse work force. • Support the Business Development function in the operational analysis pricing and integration of water and wastewater business 	<p>Performance Measures</p> <ul style="list-style-type: none"> • Actual performance compared to O & M and CAPEX budgets. • • Achieves 100% compliance with water and/or wastewater regulations. • The overall goals of the Region and Company are met. • No violations of required or governing federal, state, or local/Company rules, regulations, permits, etc. • Maintains compliance with internal policies, best practices and reporting deadlines. Maintains overall customer and public official satisfaction of 85 percent. • • Meet all reporting and data request deadlines. Achieves 100 percent compliance with regulatory reporting requirements. • Completion of employee performance reviews and facilitation of training programs. Ensure that employees are fully supported in addressing their development needs • Regional efficiency gains and maintains compliance with goals, policies, guidelines, etc

<p>opportunities in both the regulated and non-regulated markets</p> <ul style="list-style-type: none"> • Work collaboratively with other functional leads to mitigate business risks (Work order completion, unaccounted for water) • Implement effective communications at all levels of our operations. • Provide effective leadership that will enhance our abilities to be flexible to changing business environments. • Contribute to effective communication by listening and providing constructive feedback; supporting the creation of an open and honest work environment; cascading and sharing knowledge and information relevant to other members of the team and colleagues across the business. 	<ul style="list-style-type: none"> • Feedback
---	--

<p>Skills/Knowledge/Experience required Strong written and verbal communication skills (e.g. fluency, report writing, developing materials and presentations). Strong interpersonal skills (e.g. persuasion, negotiation, listening, cooperation, tact, diplomacy, problem solving, internal consulting, etc). Effective leadership skills and presence and strong team building, collaboration and talent evaluation skills. Good quantitative skills (e.g. analytical, technical, problem solving). Ability to manage a geographically diverse and dispersed organization. High level of computer literacy required</p> <p>Knowledge of the regulated water/wastewater business within the region and the regulations impacting the business as well as applicable regulations, requirements, and trends within water/wastewater business, Knowledge of company policies and procedures and management theories, practices, and trends, expert knowledge of process and operational areas.</p> <p>Bachelor's degree in operational discipline, management, or related technical discipline or equivalent experience. 4years experience in supervising operational areas and operating units, and managing and meeting performance targets</p>
<p>Key Interfaces/Relationships Management, employees, elected and appointed public officials at federal, state and local level, regulators, and business leaders</p> <p>Reports to Network Manager.</p>

<p>Competencies (from the Water Division Competency Dictionary)</p> <ul style="list-style-type: none"> • Influence – The ability to articulate an objective or idea in a compelling manner, so that others are persuaded to act on its merit. • Team Working – Is committed to working collaboratively to achieve business goals, building cohesiveness and identity within a work group, and valuing individual perspectives and contributions • Delivers Results – Delivers bottom line results through bold, decisive actions, working through risks and uncertainty to create opportunity. Continually raises standards and promotes entrepreneurial behavior.

- **People Development** – Creates opportunities and builds shared commitment in order to develop capabilities and improve business performance through individual and team development
- **Sharing Knowledge and Expertise** – Drives business performance by developing and contributing specific technical or professional knowledge, skills and experience. Demonstrates a professional attitude.
- **Analysis & Problem Solving** – Analyses and resolves business issues through the application of critical reasoning skills and general business experience

Network Operations Supervisor

SD - 50

<p>Role Purpose - Manages the day-to-day operations of water and/or wastewater plant(s), operations and/or distribution systems in accordance with Company policies and procedures and all applicable governmental laws and regulations.</p>	
<p>Key Accountabilities</p> <ul style="list-style-type: none"> • Assist with preparing and controlling local construction, operations, and maintenance within established budget limitations. • Establish a program that will ensure all EPA Partnership for Safe Water Goals will be met on a period-by-period basis. • Ensure local water and/or wastewater operations meet the required standards and are in compliance with regulatory targets • Supervise the implementation of standards, targets, policies, and plans to ensure the continuing and increasing operational efficiency, effectiveness, and profitability. • Ensure that operational integrity (quality, environment, reliability, health, safety, security, etc.) is maintained. • Develop and direct cost effective solutions to meet customers' expectations and technical requirements and to encourage best practice and innovation throughout all operational areas • Implement effective reporting processes. Provide analysis and support to Production and/or Network Director with information required for various reports, budgets, and business plans. • Implement and foster the coaching and development of employees, including idea generation, within respective functional areas. • Ensure effective people management policies and practices are developed and implemented (e.g. time and attendance, workforce management, etc.) and ensure resources are developed and deployed appropriately. • Continue to reinforce the importance of developing a diverse work force. • Support the Business Development function in the operational analysis pricing and integration of water and wastewater business opportunities in both the regulated and non-regulated markets • Work collaboratively with other functional leads to mitigate business risks. 	<p>Performance Measures</p> <ul style="list-style-type: none"> • Actual performance compared to O & M and CAPEX budgets • Achieves 100 percent compliance with Partnership for Safe Water goals and state/federal drinking water regulations. No boil orders or other use restrictions issued to public. • Achieves 100% compliance with water and/or wastewater regulations. • The overall goals of the location, Region and Company are met. • No violations of required or governing federal, state, or local/Company rules, regulations, permits, etc • Maintains compliance with internal policies, best practices and reporting deadlines. Maintains overall customer and public official satisfaction of 85 percent. • Meet all reporting and data request deadlines. Achieves 100 percent compliance with regulatory reporting requirements. • Completion of employee performance reviews and facilitation of training programs. Ensure that employees are fully supported in addressing their development needs • Regional efficiency gains and maintains compliance with goals, policies, guidelines, etc.

<ul style="list-style-type: none"> • Implement effective communications at all levels of our operations. • Provide effective leadership that will enhance our abilities to be flexible to changing business environments • Contribute to effective communication by listening and providing constructive feedback; supporting the creation of an open and honest work environment; cascading and sharing knowledge and information relevant to other members of the team and colleagues across the business. 	<ul style="list-style-type: none"> • Feedback
---	--

<p>Skills/Knowledge/Experience required Effective written and verbal communication skills (e.g. fluency, report writing, developing materials and presentations). Strong interpersonal skills (e.g. persuasion, negotiation, listening, cooperation, tact, diplomacy, problem solving, internal consulting, etc.) Effective leadership skills and presence and strong team building, collaboration and talent evaluation skills. Good quantitative skills (e.g. analytical, technical, problem solving) Ability to supervise a geographically diverse and dispersed organization. High level of computer literacy required.</p> <p>Knowledge of the regulated water/wastewater business within the region and the regulations impacting the business as well as applicable regulations, requirements, and trends within water/wastewater business, Knowledge of company policies and procedures and management theories, practices, and trends, expert knowledge of process and operational areas.</p> <p>2-year or 4-year degree in operational discipline, management, or related technical discipline or equivalent. 3-5 years experience in supervising operational areas and operating units, and managing and meeting performance targets.</p>
<p>Key Interfaces/Relationships Management, employees, elected and appointed public officials at federal, state and local level, regulators, and business leaders</p>
<p>Reports to Superintendent.</p>

<p>Competencies (from the Water Division Competency Dictionary)</p> <ul style="list-style-type: none"> • Influence – The ability to articulate an objective or idea in a compelling manner, so that others are persuaded to act on its merit • Team Working – Is committed to working collaboratively to achieve business goals, building cohesiveness and identity within a work group, and valuing individual perspectives and contributions. • Delivers Results – Delivers bottom line results through bold, decisive actions, working through risks and uncertainty to create opportunity. Continually raises standards and promotes entrepreneurial behavior. • People Development – Creates opportunities and builds shared commitment in order to develop capabilities and improve business performance through individual and team development • Sharing Knowledge and Expertise – Drives business performance by developing and contributing specific technical or professional knowledge, skills and experience. Demonstrates a professional attitude.

- **Analysis & Problem Solving** – Analyses and resolves business issues through the application of critical reasoning skills and general business experience

JOB DESCRIPTION	
POSITION TITLE:	OPERATIONS SPECIALIST - NETWORK
POSITION SUMMARY	
Basic Function or purpose of this position.	
Assist in coordination and performing tasks in the assigned department including data input/ analysis for department processes and report generation, procurement duties, capital program spend tracking, expense spend tracking, inventory control and special projects.	
POSITION RESPONSIBILITIES	
Principal responsibilities of this position.	
Assists in the preparation of documents related to the Business Plan.	
Provides limited local training and support for meter reading, customer service and accounting software	
Maintains employee records.	
Coordinates Managed Contracts.	
Prepares various Monthly Reports from ORCOM, JDE and DAP.	
Input and analyze data for Operations performance reports	
Analyze JDE reports on Capital Spend and report status to supervisor	
Analyze JDE reports on Expense Spend and report status to supervisor.	
Prepare Costs Center Variance Reports for review by management.	
Coordinate inventory tracking and reporting for Cost Centers.	
Data collection, analysis and preparation of Regulatory Reports.	
Data collection, analysis and preparation of Department Key Performance Indicators (KPI) Reports.	
Data collection, analysis and preparation of department inputs into the Balanced Scorecard	
Log and tract action items for area of responsibility	
Log and track training programs and activities for area of responsibility.	

POSITION KNOWLEDGE

Specialized knowledge required for this position, including licenses and/or certifications.

General knowledge of water utility distribution, field services and/or production operations
 General knowledge of accounting and business practices
 General knowledge of engineering mapping and terminology
 General knowledge of water utility construction practices

POSITION SKILLS

Specific expertise required for this position.

Effective interpersonal and communications skills – both verbal and written.

Extensive software experience with Microsoft Word, Excel, Access and Power Point as well as basic knowledge of AutoCAD LT and J D. Edwards enterprise software. Basic knowledge of computer networking.

Basic computer hardware skills, i.e., the ability to setup computer peripherals.

POSITION EXPERIENCE/ EDUCATION

Experience and or education required for this position.

Type of Experience: Five years experience in utility operations, engineering, construction or related discipline or administrative support of aforementioned disciplines

Education: College degree in engineering or other applicable technical degree is desirable or high school graduate with five years experience in water utility operations, engineering, construction or related discipline.

COMPETENCIES

Competencies (from the Water Division Competency Dictionary)

- **Team Working** – Is committed to working collaboratively to achieve business goals, building cohesiveness and identity within a work group, and valuing individual perspectives and contributions.
- **Champions Change** – Seizes new ways of thinking and working. Articulates and leads change, energizes others with a clear, compelling picture of the future and inspires and empowers other to champion the change themselves
- **Strategic Focus** – Looks at the big picture, thinks about the business as a whole both within its own environment and in the global marketplace and creatively identifies new horizons.
- **Organizational Awareness** – The knowledge and development of formal and informal business relationships with key stakeholders within and outside the organization that enables business objectives to be accomplished.
- **Market/Customer Focus** – Identifying, understanding and meeting customer expectations both internally and externally.
- **Drives Performance** – Setting clear, challenging, collaborative goals and expectations for people, which are aligned with business objectives. Tracking and measuring progress, providing feedback and making adjustments as necessary.
- **Analysis & Problem Solving** – Analyses and resolves business issues through the application of critical reasoning skills and general business experience.

Supervisor Storeroom

Role Purpose- Maintain, set and control inventory levels for constructions and maintenance projects. Manage clothing allowance, and assist in other building and ground maintenance as required.

Key Accountabilities

- Maintain the MRP including inventory procedural documents and the integrity of system data (SAP) at each of the Company's storage locations.
- Maintain via spreadsheet, contracts, purchasing of tools, equipment, clothing and materials required for Operations.
- Adhere to departmental budget and provide input into quarterly forecast and annual budget process.
- Maintain contract services for building and grounds
- Perform other duties as requested.
- Contribute to effective communication by listening and providing constructive feedback; supporting the creation of an open and honest work environment; cascading and sharing knowledge and information relevant to other members of the team and colleagues across the business.

Performance Measures

- Inventory control
- Efficient Materials Resource Planning
- Maintain and update inventory and purchasing systems
- Budget control
- Inventory levels
- Budget / Forecasting results
- Employee feedback
- Inefficiencies corrected within reasonable timeframes.
- Manager/Employee Feedback
- Feedback

Skills/Knowledge/Experience required

- 3-5+ years of Operations Support Services experience
- High School Diploma required, Associates Degree desired
- Understanding of inventory control, materials resource planning, basic understanding of waterworks operation and maintenance, project planning experience a plus
- Technical skills required for utilization of inventory and purchasing software (SAP experienced desired)
- Strong written and oral communication skills
- Commercial Driver's License Class A with an Air Brake Endorsement desired, or must be obtained within the 120 day probationary period
- Ability to develop and supervise staff, communicate effectively with all levels within and outside the organization, assist and interact with other departments
- General knowledge of building, grounds maintenance, and security required

Key Interfaces/Relationships

- Ability to interface and build relationships with all employees at all levels and areas of the Company and it affiliates

Reports to Manager Operations Support

Competencies (from the Water Division Competency Dictionary)**Influencing**

The ability to articulate an objective or idea in a compelling manner, so that others are persuaded to act on its merit.

Organizational Awareness

The knowledge and development of formal and informal business relationships with key stakeholders within and outside the organization that enables business objectives to be accomplished.

Champions Change

Seizes new ways of thinking and working. Articulates and leads change, energises others with a clear, compelling picture of the future and inspires and empowers others to champion the change themselves.

Delivers Results

Delivers bottom line results through bold, decisive actions, working through risks and uncertainty to create opportunity. Continually raises standards and promotes entrepreneurial behaviour.

People Development

Creates opportunities and builds shared commitment in order to develop capabilities and improve business performance through individual and team development.

Strategic Focus

Looks at the big picture, thinks about the business as a whole both within its own environment and in the global marketplace and creatively identified new horizons.

Service Delivery Specialist

P-24

<p>Role Purpose - Responsible for researching and resolving problems presented by the NER Customer Field Services involving Service First and other processes. Responsible for researching, resolving and responding to inquiries and complaints submitted by the state regulatory boards. Responsible for effecting collections for special accounts and ensuring that all water usage is billed.</p>	
<p>Key Accountabilities</p> <ul style="list-style-type: none"> • Interact with Regulatory Board personnel in resolving and responding to regulatory board complaints within established targets. • Respond to customer complaints by providing explanation of billing methodology, clarification of tariff provisions and state regulations, and engaging in billing negotiations. • Interact with municipal authorities, fire commissioners and key account personnel to effect payment of aged revenue from Special Accounts. • Identify, research and resolve theft of service and inactive with consumption. Identify responsible parties and initiate billing. • Perform all Service First back office functions related to error correction and field follow up. • Create and close service orders as necessary. • Issue access letters to customers identified by field personnel as necessary. • Identify field process and individual handling needing improvement or correction and provide this assessment to supervisor. • Identify regulatory complaint trends and relay to supervisor. • Perform system testing for Service First issue updates as necessary. • Assist company legal counsel in addressing issues by providing account review and billing explanation. Represent the company at legal and regulatory proceedings as assigned. 	<p>Performance Measures</p> <ul style="list-style-type: none"> • Response targets are met. • Regional and departmental goals are met. • Regional and departmental goals are met. • Regional and departmental goals are met. • Reduction in number of accounts with Service First errors.

- Maintain adherence to all policies, procedures, programs, standards of performance and approved business objectives including those involving affirmative action, communications, community relations, human resources, labor relations, health and safety, and security.

Skills/Knowledge/Experience required

High school diploma, GED, or equivalent and two (2) years experience in a Water Utility. Knowledge of the regulated water/wastewater business within the region and the regulations impacting the business.

Strong interpersonal skills (e.g. negotiation, listening, tact, diplomacy).

Good quantitative skills (e.g. analytical, technical, problem solving.)

Effective written and verbal communication skills.

Proficiency in using the Customer Service operating system.

Personal computing experience, including Microsoft Office applications.

Key Interfaces/Relationships

Customers, Regulatory Board representatives, Field Service employees, FRCC employees, Customer Service Center employees, Legal Counsel.

Reports to Customer Advocacy Supervisor

Key Competencies (from the Water Division Competency Dictionary)

Analysis and Problem Solving

Analyzes and resolves business issues through the application of critical reasoning skills and general business experience

Delivers Results

Delivers bottom line results through bold, decisive actions, working through risks and uncertainty to create opportunity. Continually raises standards and promotes entrepreneurial behavior.

Influence

The ability to articulate an objective or idea in a compelling manner, so that others are persuaded to act on its merit

Market/ Customer Focus

Identifying, understanding and meeting customer expectations both internally and externally.

Sharing Knowledge and Expertise

Drives business performance by developing and contributing specific technical or professional knowledge, skills and experience. Demonstrates a professional attitude.

Teamwork

Is committed to working collaboratively to achieve business goals, building cohesiveness and identity within a work group, and valuing individual perspectives and contributions.

Production Superintendent

SD - 58

<p>Role Purpose: Supervise and manage the personnel, capital resources and business processes that are engaged in the functional area of Production.</p>	
<p>Key Accountabilities</p> <ul style="list-style-type: none"> • Develop and support a team of front-line supervisory and hourly staff engaged in production operations. • Support and promote training and development activities to ensure that personnel obtain and maintain appropriate operator certifications from regulating agencies • Resolve union and/or non-union labor issues, with the assistance of Human Resources. • Collect data to track the financial performance of production operations to ensure that business plan goals are met, within area of responsibility. • Oversees the construction of new and/or upgraded production facilities in accordance with approved CAPEX budget. • Implement a preventative maintenance program for capital assets that provides OPEX savings and defers CAPEX spending, where possible. • Monitor the effectiveness of security efforts at all production facilities, including assistance in the preparation of Vulnerability Assessments and Emergency Response Plans. • Implement work activities and systems to ensure that adequate quantities of treated water meeting all regulatory standards are provided to customers at all times. • Oversee operational and business processes to ensure that American Water policies are followed, best practices are implemented, and internal/external reporting requirements are satisfied. 	<p>Performance Measures</p> <ul style="list-style-type: none"> • Acts as an interface between the team and the functional manager. Communicates a vision of success for the team, and empowers the team to reach new levels of achievement. • Ensures that employees are fully supported in addressing their development needs. All applicable employees maintain appropriate operator certifications. • Gives constructive and objective feedback on performance. Supports collective efforts to resolve problems and promote the effectiveness of a team. • Tracks and measures results, effectively communicates individual and team progress, and makes adjustments to targets in line with OPEX budget. Communicates variances in a timely manner to functional manager. • Implements the CAPEX business plan on time and within budget. Communicates variances in a timely manner to functional manager. • Realizes measurable OPEX savings through an effective maintenance program, and avoids any unplanned water outages longer than 4 hours. • Implements a robust and effective security program, and meets all regulatory deadlines for submittals of assessments and reports. • Achieves 100 percent compliance with Partnership for Safe Water goals and state/federal drinking water regulations. No boil orders or other use restrictions issued to public. Maintains overall customer and public official satisfaction of 85 percent. • Maintains compliance with internal policies, best practices and reporting deadlines. Achieves 100 percent compliance with regulatory reporting requirements.

<p>Skills/Knowledge/Experience required: Demonstrated leadership and management abilities. Excellent written and verbal communication skills. Strong interpersonal skills. High level of computer literacy.</p> <p>Knowledge of the regulated water business and the regulations impacting the business. Knowledge of company policies and procedures and management theories, practices, and trends. Expert knowledge of process and operational areas.</p> <p>Bachelor's Degree in operational discipline, management, or related technical discipline. Five (5) years of relevant experience. State water and/or wastewater operator's certification.</p>
<p>Key Interfaces/Relationships: Functional manager, employees, regulators, customers, local public officials and community leaders.</p>
<p>Reports to: Manager, Production</p>
<p>Competencies (from the Water Division Competency Dictionary): Drives performance, analysis and problem solving, delivers results, people development, influencing, and team working.</p>

Supervisor-Production

SD - 50

<p>Role Purpose - Manages the day-to-day operations of water and/or wastewater plant(s), operations and/or distribution systems in accordance with Company policies and procedures and all applicable governmental laws and regulations.</p>	
<p>Key Accountabilities</p> <ul style="list-style-type: none"> • Assist with preparing and controlling local construction, operations, and maintenance within established budget limitations. • Establish a program that will ensure all EPA Partnership for Safe Water Goals will be met on a period-by-period basis. • Ensure local water and/or wastewater operations meet the required standards and are in compliance with regulatory targets • Supervise the implementation of standards, targets, policies, and plans to ensure the continuing and increasing operational efficiency, effectiveness, and profitability. • Ensure that operational integrity (quality, environment, reliability, health, safety, security, etc.) is maintained. • Develop and direct cost effective solutions to meet customers' expectations and technical requirements and to encourage best practice and innovation throughout all operational areas • Implement effective reporting processes. Provide analysis and support to Production and/or Network Director with information required for various reports, budgets, and business plans. • Implement and foster the coaching and development of employees, including idea generation, within respective functional areas • Ensure effective people management policies and practices are developed and implemented (e.g. time and attendance, workforce management, etc.) and ensure resources are developed and deployed appropriately. 	<p>Performance Measures</p> <ul style="list-style-type: none"> • Actual performance compared to O & M and CAPEX budgets • Achieves 100 percent compliance with Partnership for Safe Water goals and state/federal drinking water regulations. No boil orders or other use restrictions issued to public. • Achieves 100% compliance with water and/or wastewater regulations. • The overall goals of the location, Region and Company are met • No violations of required or governing federal, state, or local/Company rules, regulations, permits, etc • Maintains compliance with internal policies, best practices and reporting deadlines. Maintains overall customer and public official satisfaction of 85 percent. • Meet all reporting and data request deadlines. Achieves 100 percent compliance with regulatory reporting requirements. • Completion of employee performance reviews and facilitation of training programs. Ensure that employees are fully supported in addressing their development needs. • Regional efficiency gains and maintains compliance with goals, policies, guidelines, etc.
<ul style="list-style-type: none"> • Continue to reinforce the importance of developing a diverse work force • Support the Business Development function in the operational analysis pricing and integration of water and wastewater business opportunities in both the regulated and non-regulated markets • Work collaboratively with other functional leads to mitigate business risks. 	

<ul style="list-style-type: none"> • Implement effective communications at all levels of our operations. • Provide effective leadership that will enhance our abilities to be flexible to changing business environments. 	
<ul style="list-style-type: none"> • Contribute to effective communication by listening and providing constructive feedback; supporting the creation of an open and honest work environment; cascading and sharing knowledge and information relevant to other members of the team and colleagues across the business 	<ul style="list-style-type: none"> • Feedback

<p>Skills/Knowledge/Experience required Effective written and verbal communication skills (e.g. fluency, report writing, developing materials and presentations). Strong interpersonal skills (e.g. persuasion, negotiation, listening, cooperation, tact, diplomacy, problem solving, internal consulting, etc.) Effective leadership skills and presence and strong team building, collaboration and talent evaluation skills. Good quantitative skills (e.g. analytical, technical, problem solving) Ability to supervise a geographically diverse and dispersed organization. High level of computer literacy required</p> <p>Knowledge of the regulated water/wastewater business within the region and the regulations impacting the business as well as applicable regulations, requirements, and trends within water/wastewater business, Knowledge of company policies and procedures and management theories, practices, and trends, expert knowledge of process and operational areas.</p> <p>2-year or 4-year degree in operational discipline, management, or related technical discipline or equivalent. 3-5 years experience in supervising operational areas and operating units, and managing and meeting performance targets.</p>
<p>Key Interfaces/Relationships</p> <p>Management, employees, elected and appointed public officials at federal, state and local level, regulators, and business leaders.</p>
<p>Reports to Superintendent.</p>

<p>Competencies (from the Water Division Competency Dictionary)</p> <ul style="list-style-type: none"> • Influence – The ability to articulate an objective or idea in a compelling manner, so that others are persuaded to act on its merit • Team Working – Is committed to working collaboratively to achieve business goals, building cohesiveness and identity within a work group, and valuing individual perspectives and contributions. • Delivers Results – Delivers bottom line results through bold, decisive actions, working through risks and uncertainty to create opportunity. Continually raises standards and promotes entrepreneurial behavior. • People Development – Creates opportunities and builds shared commitment in order to develop capabilities and improve business performance through individual and team development • Sharing Knowledge and Expertise – Drives business performance by developing and contributing specific technical or professional knowledge, skills and experience. Demonstrates a professional attitude • Analysis & Problem Solving – Analyses and resolves business issues through the application of critical reasoning skills and general business experience
--

Supervisor – Operations II

SD - 50

<p>Role Purpose - Manages the day-to-day operations of water and/or wastewater plant(s), operations and/or distribution systems in accordance with Company policies and procedures and all applicable governmental laws and regulations.</p>	
<p>Key Accountabilities</p> <ul style="list-style-type: none"> • Assist with preparing and controlling local construction, operations, and maintenance within established budget limitations. • Establish a program that will ensure all EPA Partnership for Safe Water Goals will be met on a period-by-period basis • Ensure local water and/or wastewater operations meet the required standards and are in compliance with regulatory targets • Supervise the implementation of standards, targets, policies, and plans to ensure the continuing and increasing operational efficiency, effectiveness, and profitability. • Ensure that operational integrity (quality, environment, reliability, health, safety, security, etc) is maintained • Develop and direct cost effective solutions to meet customers' expectations and technical requirements and to encourage best practice and innovation throughout all operational areas. • Implement effective reporting processes Provide analysis and support to Production and/or Network Director with information required for various reports, budgets, and business plans. • Implement and foster the coaching and development of employees, including idea generation, within respective functional areas • Ensure effective people management policies and practices are developed and implemented (e.g. time and attendance, workforce management, etc.) and ensure resources are developed and deployed appropriately. • Continue to reinforce the importance of developing a diverse work force * Support the Business Development function in the operational analysis pricing and integration of water and wastewater business opportunities in both the regulated and non-regulated markets 	<p>Performance Measures</p> <ul style="list-style-type: none"> • Actual performance compared to O & M and CAPEX budgets • Achieves 100 percent compliance with Partnership for Safe Water goals and state/federal drinking water regulations No boil orders or other use restrictions issued to public • Achieves 100% compliance with water and/or wastewater regulations • The overall goals of the location, Region and Company are met. • No violations of required or governing federal, state, or local/Company rules, regulations, permits, etc. • Maintains compliance with internal policies, best practices and reporting deadlines Maintains overall customer and public official satisfaction of 85 percent. • Meet all reporting and data request deadlines Achieves 100 percent compliance with regulatory reporting requirements • Completion of employee performance reviews and facilitation of training programs. Ensure that employees are fully supported in addressing their development needs. • Regional efficiency gains and maintains compliance with goals, policies, guidelines, etc

<ul style="list-style-type: none"> • Work collaboratively with other functional leads to mitigate business risks. • Implement effective communications at all levels of our operations. • Provide effective leadership that will enhance our abilities to be flexible to changing business environments. • Contribute to effective communication by listening and providing constructive feedback; supporting the creation of an open and honest work environment; cascading and sharing knowledge and information relevant to other members of the team and colleagues across the business. 	<ul style="list-style-type: none"> • Feedback
--	--

<p>Skills/Knowledge/Experience required Effective written and verbal communication skills (e.g. fluency, report writing, developing materials and presentations). Strong interpersonal skills (e.g. persuasion, negotiation, listening, cooperation, tact, diplomacy, problem solving, internal consulting, etc.) Effective leadership skills and presence and strong team building, collaboration and talent evaluation skills. Good quantitative skills (e.g. analytical, technical, problem solving). Ability to supervise a geographically diverse and dispersed organization. High level of computer literacy required.</p> <p>Knowledge of the regulated water/wastewater business within the region and the regulations impacting the business as well as applicable regulations, requirements, and trends within water/wastewater business, Knowledge of company policies and procedures and management theories, practices, and trends, expert knowledge of process and operational areas</p> <p>2-year or 4-year degree in operational discipline, management, or related technical discipline or equivalent. 3-5 years experience in supervising operational areas and operating units, and managing and meeting performance targets</p>
<p>Key Interfaces/Relationships Management, employees, elected and appointed public officials at federal, state and local level, regulators, and business leaders.</p>
<p>Reports to Superintendent.</p>

Competencies (from the Water Division Competency Dictionary)

- **Influence** – The ability to articulate an objective or idea in a compelling manner, so that others are persuaded to act on its merit.
- **Team Working** – Is committed to working collaboratively to achieve business goals, building cohesiveness and identity within a work group, and valuing individual perspectives and contributions.
- **Delivers Results** – Delivers bottom line results through bold, decisive actions, working through risks and uncertainty to create opportunity. Continually raises standards and promotes entrepreneurial behavior.

- **People Development** – Creates opportunities and builds shared commitment in order to develop capabilities and improve business performance through individual and team development. **Sharing Knowledge and Expertise** – Drives business performance by developing and contributing specific technical or professional knowledge, skills and experience. Demonstrates a professional attitude.
- **Analysis & Problem Solving** – Analyses and resolves business issues through the application of critical reasoning skills and general business

Specialist Water Quality/Cross Connection		SD - 46
<p>Role Purpose - Responsible for the protection of the water supply once the water exits the treatment facilities. Develops programs and implements them in the Business Units to ensure compliance with Environmental/Water Quality regulations relating to Cross Connections and Backflow Prevention.</p>		
Key Accountabilities	Performance Measures	
<ul style="list-style-type: none"> * Fully understands the Federal, state and local regulations related to development of cross connection and backflow prevention programs. * Maintains Cross Connection Program and advises the business units on local development of their plans * Retains membership in prominent organizations. * Provides listing of certified backflow device inspectors to all Regional operations and updates at frequent intervals. * Coordinates the local enforcement of the Cross Connection Program. Must have knowledge of Company tariff requirements and local regulations within a 6 month period of employment. * Trains business unit personnel in the proper management of established cross connection/backflow protection programs. * Serves as expert on this topic, reviews proposed Federal, State and local regulations/policies and comments accordingly to support the Company interest. * Assists with the integration of new acquisitions to insure compliance with Cross Connection Program 	<ul style="list-style-type: none"> * Knowledgeable of Federal, state, and local regulations related to Cross Connection Programs * Monthly reporting on program status * Becomes an active member in professional organizations and seeks to attain a leadership role. * Maintains active listing of certified/approved inspectors on Intranet site accessible 24/7/365. * Initiate compliance with the targets for device inspection on an annual basis Report progress via monthly reports and through queries of electronic tracking system. * Provides frequent local training of key performance targets of the system * Keeps abreast of regulatory activities and interfaces with regulatory agencies as needed. * Cross connection program implementation 	

Skills/Knowledge/Experience Required

Strong mechanical skills needed and good knowledge of water system hydraulics

Knowledge of the operation of water distribution systems required

Bachelors Degree in a Mechanical Science or related science is preferred.

Past involvement with local ordinance creation with municipalities is preferred.

Two (2) to Five (5) years experience in distribution system operations preferred.

Must obtain State License for Backflow Inspection License or equivalent certification within one (1) year of job appointment.

Must obtain State Certification for Distribution System Operation within one (1) year of job appointment. If Certification requires a minimum time requirement to obtain the certificate, applicant must pass any required written exam within a 1 year period of job appointment.

Key Interfaces/Relationships

Regional Director - Environmental Management and Compliance

Environmental Compliance Manager

Cross Connection Supervisor

Management in Region

Operations Personnel - Production and Networks

Reports to:

Cross Connection Supervisor

Competencies (from the Water Division Competency Dictionary)

* **Influence** - the ability to articulate an objective or idea in a compelling manner, so that others are persuaded to act on its merit

* **Team Working** - is committed to working collaboratively to achieve business goals, building cohesiveness and identity within a work group, and valuing individual perspectives and contributions.

* **Sharing Knowledge and Expertise** - Drives business performance by developing and contributing specific technical or professional knowledge, skills and experience. Demonstrates a professional attitude

* **Relationship Building** - Establishes rapport easily; develops and maintains a network of key contacts; provides information access to other people and influences decisions.

* **Delivers Results** – Delivers bottom line results through bold, decisive actions, working through risks and uncertainty to create opportunity. Continually raises standards and promotes entrepreneurial behavior.

* **Job/Technical Knowledge** - Knowledgeable in job disciplines; keeps informed of current information related to job.

Operations Specialist-Production

<p>Role Purpose: Assist front-line personnel and implement operational processes that are engaged in the functional area of Production.</p>	
<p>Key Accountabilities</p> <ul style="list-style-type: none"> • Assist the supervisory team of front-line staff engaged in production operations. • Schedule training and development activities to ensure that personnel obtain and maintain appropriate operator certifications from regulating agencies • Participate in the resolution of union and/or non-union labour issues. • Record, compile and provide operating data to track the financial performance of production operations. • Assist with the operations of treatment activities to ensure compliance with appropriate budgets • Assist with preventative maintenance program for capital assets that provides OPEX savings and defers CAPEX spending, where possible. • Day-to-day implementation of security efforts at all production facilities. • Monitor daily activities to ensure that adequate quantities of treated water meeting all regulatory standards are provided to customers at all times • Monitor operational and business processes to ensure that American Water policies are followed, best practices are implemented, and internal/external reporting requirements are satisfied. 	<p>Performance Measures</p> <ul style="list-style-type: none"> • Communicates a vision of success for the team, and empowers the team to reach new levels of achievement. • Ensures that employees are fully supported in addressing their development needs. All applicable employees maintain appropriate operator certifications. • Gives constructive and objective feedback on performance. Supports collective efforts to resolve problems and promote the effectiveness of a team. • Tracks and measures results, effectively communicates individual and team progress, and makes adjustments to targets in line with OPEX budget. Communicates variances in a timely manner to functional manager and/or superintendent. • Implements the CAPEX business plan on time and within budget. Communicates variances in a timely manner to functional manager and/or superintendent. • Realizes measurable OPEX savings through an effective maintenance program, and avoids any unplanned water outages longer than 4 hours. • Implements a robust and effective security program. • Achieves 100 percent compliance with Partnership for Safe Water goals and state/federal drinking water regulations. No boil orders or other use restrictions issued to public. Maintains overall customer and public official satisfaction of 85 percent. • Maintains compliance with internal policies, best practices and reporting deadlines. Achieves 100 percent compliance with regulatory reporting requirements.
<p>Skills/Knowledge/Experience required: Demonstrated operational abilities. Excellent communication skills. Strong interpersonal skills. Computer literacy. Knowledge of the regulated water business and the regulations impacting the business. Knowledge of company policies and procedures, practices, and trends. Knowledge of process and operational areas.</p>	
<p>Associates Degree in Science or Engineering or five years of relevant work experience. Bachelor's</p>	

Degree preferred. A Kentucky Water Treatment Plant Class IV-A license is desirable. Three years' experience at a water treatment plant.

Key Interfaces/Relationships: Functional supervisor, employees, regulators, customers, local public officials and community leaders.

Reports to: Superintendent, Production

Competencies (from the Water Division Competency Dictionary): Drives performance, analysis and problem solving, delivers results, people development, influencing, and team working.

PHYSICAL REQUIREMENTS SUMMARY

JOB TITLE Operations Specialist - Production

JOB DESCRIPTION ATTACHED Yes No

A WORK ACTIVITIES

To complete this section, use the following frequency definitions to record the appropriate symbol for a normal work day Remember that the task is to be performed in the standard accepted method and within the normal work schedule
C-CONSTANT – Activity exists 66 2/3% to 100% (e g , five (5) hours per eight (8) hour day)
F-FREQUENT – Activity exists 33 1/3% (e g , up to 2 ½ to 5 hours per eight (8) hour work day)
O-OCCASIONAL – Activity exists up to 33 1/3 % (e g , up to 2 ½ hours per eight (8) hour work day)
N-NEVER – Activity does not exist as regular requirement

To complete the essential functions the employee is required to:
 (For each item give an example of the type of task requiring that physical capacity)

Stand	(F)	Supervising plant inspections. <u>normal work function</u>	Crawl	(O)	Low areas, pipe gallery
Walk	(F)	Supervising plant inspections. <u>normal work function</u>	Climb	(O)	Tank inspections, ladders, stairs & incline
Sit	(F)	Reports, data entries, reading & phone calls	Balance	(O)	Filter piping and ladders
Lift			Bend/Stoop	(F)	Lifting boxes, equipment, normal work function
up to 20 lbs	(F)	Files, phone equipment, boxed	Kneel/Squat	(F)	Lifting boxed, equipment, normal work function
21 to 50 lbs	(O)	Moving boxes & supplies	Twist	(F)	Lifting boxes, equipment, normal work function
Over 50 lbs	(O)	Equipment & boxes	Reach	(C)	Lifting boxes, equipment, normal work function
Carry			Handle	(C)	Lifting boxes, equipment, normal work function
up to 20 lbs	(F)	Files, telephone, equipment & boxes	Finger	(C)	Keyboard, equipment & telephone
21 to 50 lbs	(O)	Moving boxes	Simple grasping	(F)	Hand tools, pens, telephones & writing
Over 50 lbs	(O)	Equipment, boxes & bagged chemicals	Fine Manipulation	(O)	Repairing instruments & detail work
Push/Pull	()		Feel	(C)	Everything – normal work function
up to 20 lbs	(F)	Boxes, files & equipment	Talk	(F)	Co-workers & phone calls
21 to 50 lbs	(O)	Hand truck with boxes	Hear	(C)	Everything – normal work function
Over 50 lbs	(O)	Hand truck with boxes	See	(C)	Everything – normal work function
			Drive Vehicle	(F)	Company vehicles, forklift and backhoe
			Operate Machinery	(O)	Forklift, pumps & motors
			Working at Heights	(O)	Ladders, top of buildings at <u>25</u> ft

Employee works: 8 hrs per day, 5 days per wk , 8:00a – 5:00p shift schedule (e g , 8 am to 5 pm)

B. PHYSICAL CONDITIONS

Place an X if worker is exposed to condition 20% or more of the normal workday. For each item marked, give an example of the condition.

Confined areas		
Exposed to weather		
Extreme temperatures		
Atmospheric conditions		
Chemicals		
Potential allergenic/irritant conditions		
Potential hazards		
Noise exposure		
Vibrations		
Customer Contact		
Other		

List any other issues that are relevant to safely performing the work required for this position: _____

Supervisor's Signature

Department Head's Signature

Date

Date

Water Quality Supervisor

SD 42

Role Purpose – Works with a specific facility to ensure they continually meet all Water Quality and Clean Water Act Requirements. Provides technical expertise on water quality, treatment and regulatory compliance issues. Assists in the implementation of Company policy on water quality matters. Assists in the maintenance of permit and regulatory conditions.

Key Accountabilities	Performance Measures
Oversees plant and laboratory procedures for testing and sampling to ensure Company and government requirements are met.	<ul style="list-style-type: none"> • Performance to standard
Supports water quality activities related to the Environmental Management Plans	
Gives technical guidance to operations in dealing with water quality related issues.	
Recommends treatment and procedures for maintaining approved Water Quality.	
Assists in the procurement of treatment chemicals and manages receipt of chemical supplies to assure adequate supply.	<ul style="list-style-type: none"> • Budget • Price • Supply
Monitors equipment, chemical feeds, etc. to ensure standards are maintained.	
Responds (on-call) to Water Quality problems, taking appropriate corrective action including documentation to advise management.	<ul style="list-style-type: none"> • Service level • Feedback
Ensure wastewater disposal activity is in accordance with regulatory requirements and secure the necessary permits.	<ul style="list-style-type: none"> • Compliance
Reports on problems and issues regarding Water Quality and standards	<ul style="list-style-type: none"> • Feedback
Supports programs in place to ensure compliance with Environmental/SDWA regulations are continually met	<ul style="list-style-type: none"> • Adheres to a checks and balances program to ensure total compliance with water quality regulations are continually met

<p>Assists with audits of treatment plant operations to ensure proper treatment is being applied to reach all goals at a reasonable price</p>	<ul style="list-style-type: none"> • Audits • Results • Chemical costs within budgeted amounts
<p>Assists with training of plant operating staff and other water quality personnel in treatment practices and environmental initiatives</p>	<ul style="list-style-type: none"> • Quality delivery of training programs
<p>Ensure compliance to capital, operations and maintenance budgets for water quality related items</p>	<ul style="list-style-type: none"> • Adheres to annual budgets
<p>Assures that policies, programs, standards of performance and approved objectives related to water quality are adhered to.</p>	<ul style="list-style-type: none"> • Implements programs
<p>* Contribute to effective communication by listening and providing constructive feedback; supporting the creation of an open and honest work environment; cascading and sharing knowledge and information relevant to other members of the team and colleagues across the business.</p>	<ul style="list-style-type: none"> • Feedback

Skills/Knowledge/Experience Required

Must have excellent knowledge of water quality and environmental standards and, regulations (State and Federal) affecting the business.

Must also have familiarity with various water treatment technologies and instrumentation used in the business.

Bachelors Degree in Chemistry, Biology or Environmental Science or two (2) to four(4) years operating experience in water/wastewater treatment

Operator's License

Key Interfaces/Relationships

Environmental Operations Personnel - Production and Networks
 Manager, Environmental Compliance
 Director of Environmental Management.

Reports to: Manager, Water Quality
Competencies (from the Water Division Competency Dictionary)
<ul style="list-style-type: none">• Influence – The ability to articulate an objective or idea in a compelling manner, so that others are persuaded to act on its merit.• Team Working – Is committed to working collaboratively to achieve business goals, building cohesiveness and identity within a work group, and valuing individual perspectives and contributions.• Strategic Focus – Looks at the big picture, thinks about the business as a whole both within its own environment and in the global marketplace and creatively identifies new horizons.• Sharing Knowledge and Expertise – Drives business performance by developing and contributing specific technical or professional knowledge, skills and experience. Demonstrates a professional attitude.• Organizational Awareness – The knowledge and development of formal and informal business relationships with key stakeholders within and outside the organization that enables business objectives to be accomplished.• Analysis & Problem Solving – Analyses and resolves business issues through the application of critical reasoning skills and general business experience.

Lab Analyst

Role Purpose

Provide complex chemical and/or microbiological testing for wastewater and/or potable water and analytical support for customers and employees.

Key Accountabilities

- Generate sample data within method required holding times and laboratory goals
- Understand and follow all QA/QC protocols to ensure all data generated meets EPA and accrediting authority standards and laboratory requirements
- Train other employees to ensure continuity of service
- Conduct troubleshooting as necessary
- Participate in internal and external audits including preparation and follow-up

Performance Measures

Metrics to include sample turn around times, certification status and data quality (i.e. number of resamples due to QC failures).

Lab Analyst

<ul style="list-style-type: none"> Evaluate and control spending to support laboratory business plan 	<p>Metrics to include actual business expenses including capital purchases</p>
<ul style="list-style-type: none"> Promote a positive team environment in the laboratory 	<p>Metrics to include employee moral and level of teamwork</p>
<ul style="list-style-type: none"> Cultivate productive customer relationships with utility subsidiaries and other business partners 	<p>Metrics to include customer satisfaction ratings</p>
<p>Skills/Knowledge/Experience Required:</p> <p>Education</p> <ul style="list-style-type: none"> Bachelor’s Degree in a Science related field and a minimum of three years of environmental laboratory experience preferred. Additional experience may be substituted for Bachelor’s Degree. <p>Skills</p> <ul style="list-style-type: none"> Ability to operate analytical instrumentation and/or perform microscopy and conduct related data analysis. Strong quantitative skills (e.g. analytical, technical, problem solving, attention to detail) Good interpersonal skills (e.g. cooperation, teamwork, tact/diplomacy, persuasion, and ability to motivate others) Business knowledge Good verbal and written communication skills Computer literacy (competent in the use of spreadsheets, LIMS and other software as needed) 	
<p>Key Interfaces</p> <ul style="list-style-type: none"> Regions/Business Units 	
<p>Reports to Chemistry Manager</p>	

Lab Analyst

Competencies (from the Water Division Competency Dictionary)

Analysis and Problem Solving

Analyzes and resolves business issues through the application of critical reasoning skills and general business experience

Team Working

Is committed to working collaboratively to achieve business goals, building cohesiveness and identity within a work group, and valuing individual perspectives and contributions

Market/Customer Focus

Identifying, understanding and meeting customer expectations both internally and externally

Champions Change

Seizes new ways of thinking and working. Articulates and leads change, energises others with a clear, compelling picture of the future and inspires and empowers others to champion the change themselves

Delivers results

Delivers bottom line results through bold, decisive actions, working through risks and uncertainty to create opportunity. Continually raises standards and promotes entrepreneurial behavior.

Sharing Knowledge and Expertise

Drives business performance by developing and contributing specific technical or professional knowledge, skills and experience. Demonstrates a professional attitude.

Lab Analyst

PHYSICAL REQUIREMENTS SUMMARY

JOB TITLE Lab Analyst JOB DESCRIPTION ATTACHED Yes No

A. WORK ACTIVITIES

To complete this section, use the following frequency definitions to record the appropriate symbol for a normal work day Remember that the task is to be performed in the standard accepted method and within the normal work schedule

- C-CONSTANT – Activity exists 66 2/3% to 100% (e.g., five (5) hours per eight (8) hour day).
- F-FREQUENT – Activity exists 33 1/3% (e.g., up to 2 ½ to 5 hours per eight (8) hour work day)
- O-OCCASIONAL – Activity exists up to 33 1/3 % (e.g., up to 2 ½ hours per eight (8) hour work day).
- N-NEVER – Activity does not exist as regular requirement

To complete the essential functions the employee is required to: (For each item give an example of the type of task requiring that physical capacity)

Stand	(C)	Daily routine	Crawl	(N)	
Walk	(C)	Daily routine	Climb	(O)	Tank sites
Sit	(C)	Daily routine	Balance	(N)	
			Bend/Stoop	(F)	Retrieving reagents
Lift			Kneel/Squat	(F)	Retrieving reagents from cabinets
up to 20 lbs	(F)	Daily tasks	Twist	(O)	Handling packages
21 to 50 lbs	(O)	Packages for shipment	Reach	(F)	Retrieving reagents from cabinets
Over 50 lbs	(O)	Packages for shipment	Handle	(F)	Opening doors
			Finger	(O)	Typing
Carry			Simple grasping	(F)	Running analysis
up to 20 lbs	(F)	Daily tasks	Fine Manipulation	(F)	Repairing items
21 to 50 lbs	(O)	Packages for shipment	Feel	(C)	Daily routine
Over 50 lbs	(O)	Packages for shipment	Talk	(C)	Daily routine
			Hear	(C)	Daily routine
Push/Pull			See	(C)	Daily routine
up to 20 lbs	(O)	Moving equipment	Drive Vehicle	(F)	Sampling locations
21 to 50 lbs	(N)		Operate Machinery	(N)	
Over 50 lbs	(N)		Working at Heights	(N)	

at _____ ft

Employee works: 8 hrs per day, 5 days per wk, 8:00a – 5:00p shift schedule (e.g., 8 am to 5 pm)

B. PHYSICAL CONDITIONS

Place an X if worker is exposed to condition 20% or more of the normal workday For each item marked, give an example of the condition.

Confined areas	X	Tank sites
Exposed to weather	X	Sample collection
Extreme temperatures	X	Sample collection
Atmospheric conditions		
Chemicals	X	Running analysis in laboratory and in field
Potential allergenic/irritant conditions	X	Outside in natural environments performing sampling (e.g. fields, reservoir)
Potential hazards	X	Plant / Chemical building / Chemical deliveries
Noise exposure	X	Pump room
Vibrations		
Customer Contact	X	Solo customer calls
Other	X	Communicable diseases spread from contact with raw sewage

List any other issues that are relevant to safely performing the work required for this position: There is a risk of contracting communicable diseases (Hepatitis A, Hepatitis B, HIV/AIDS or unknown illnesses/viruses) from analyzing wastewater samples. Proper vaccination is necessary.

Supervisor's Signature

Department Head's Signature

Date

Date

Revised October 27, 2005

Senior Engineer

SD

<p>Role Purpose: Responsible for independently completing engineering assignments and managing major or complex scope projects related to water resource systems.</p>	
<p>Key Accountabilities</p> <p>Manages and/or performs Engineering activities involving planning, design and construction projects.</p> <p>Ensures engineering compliance with all Design Concepts and Company standards for Capacity, performance, reliability, safety and regulatory compliance.</p> <p>Prepares and monitors budgets and schedules for assigned projects</p> <p>Coordinates maintenance of technical and engineering records for project activities and Company facilities</p> <p>Assists in developing, implementing and monitoring conformance with comprehensive and strategic plans.</p> <p>Coordinates with field and contract personnel to ensure timely completion of assignments, on budget.</p> <p>Provide engineering assistance to Service Delivery as needed.</p> <p>Ensures that policies, procedures, programs, standards of performance and approved objectives are adhered to and/or achieved.</p> <p>Coordinates contract engineering services and liaisons with AW functional engineering groups and local regulatory officials</p> <p>Develop strategic and strong working relationships with engineering firms, vendors, and contractors.</p> <p>Contribute to effective communication by listening and providing constructive feedback; supporting the creation of an open and honest work environment; cascading and sharing knowledge and information relevant to other members of the team and colleagues across the business.</p>	<p>Performance Measures</p> <ul style="list-style-type: none"> • Quality execution • On plan, minimal errors, omissions, etc. • On budget • Record-keeping accurate/timely • In compliance with company standard • In compliance • On time • On Budget • Feedback • Results • Feedback • Feedback • Feedback

<ul style="list-style-type: none"> • Lead and oversee development of Engineering Standards, specifications, equipment manufacturer recommendations to support Center of Excellence initiatives established by the Regional Engineering Directors. • Participation in special assignments including regulatory workshops, business development, rate case testimony, technology research and other matters of strategic interest to Company • Pursues educational opportunities and professional development to enhance performance and contributions to the organization. 	<ul style="list-style-type: none"> • Standards issued to central knowledge management database, consultancy, training and functional committee presentations. • Documentation of assignments and completion, participation in industry meetings and seminars and personnel development plans reflecting the same. • Continuing education and Lead seminars in order to stay current and address development needs.
<p>Skills/Knowledge/Experience Required: Process, project and program management Skills. Quantitative Skills (e.g. analytical, technical, problem solving). Effective people management (e.g. planning, organizing, controlling and leading teams). Written and verbal communications (e.g. fluency in report writing and presentations) Interpersonal (e.g. persuasion, negotiation, listening, cooperation, tact, diplomacy, problem solving, internal consulting) Demonstrated knowledge of engineering design theory and practice, project management, construction and contract management, water resources, water/wastewater facilities and utility operations. Knowledge of current trends in water quality and treatment and other aspects of the regulated and non-regulated water industry.</p> <p>General understanding of US regulations (commercial and environmental), legislation and trends impacting the water industry.</p> <p>Sound business acumen and judgment</p> <p>Minimum 5 to 7 years experience in water resources design and project management.</p> <p>Bachelor's Degree in Engineering, Advanced Engineering or Management degree preferred. Professional Engineers license required.</p>	
<p>Key Interfaces/Relationships:</p> <ul style="list-style-type: none"> • Director of Engineering at the Region level • Engineering and Technical Services Manager • Manager Project Delivery • Manager Asset Planning and Capital • All Service Delivery Managers within the region • Employees within the region 	
<p>Reports to: Any of the Following: Director of Engineering, Capital/Asset Planning Manager, Technical Services Manger, Project Delivery & Developer Services Manager.</p>	
<p>Competencies (from the Water Division Competency Dictionary):</p> <ul style="list-style-type: none"> • Influence – The ability to articulate an objective or idea in a compelling manner, so that others are persuaded to act on its merit • Team Working – Is committed to working collaboratively to achieve business goals, building cohesiveness and identity within a work group, and valuing individual perspectives and contributions. 	

- **Sharing Knowledge and Expertise** – Drives business performance by developing and contributing specific technical or professional knowledge, skills and experience. Demonstrates a professional attitude.
- **Organizational Awareness** – The knowledge and development of formal and informal business relationships with key stakeholders within and outside the organization that enables business objectives to be accomplished.
- **Intercultural Sensitivity** – Embracing and valuing differences in everyone. This includes the commitment to work constructively and collaboratively with all people in all aspects of our business.
- **Analysis & Problem Solving** – Analyses and resolves business issues through the application of critical reasoning skills and general business experience.

Planning Engineer

<p>Role Purpose- Reports to the Capital/Asset Planning Manager and is responsible for strategic long term water system planning and recommending projects or approaches to address complex issues related to source of supply, treatment, storage, pumping and transmission of water. The analysis and recommended solutions could have a major impact on the performance and operational integrity of water systems within American Water. A Planning Engineer has technical and project management supervision over consulting Engineers. This position is also responsible for conducting or reviewing water system capacity and service evaluations associated with water service extension projects or other potential service growth opportunities. Prepare or assist in the preparation and management of detailed asset investment plans considering the cost, timing, prioritization, operational need and risk, strategic investment fit and other pertinent factors surrounding individual projects or investment programs.</p>	
<p>Key Accountabilities</p> <ul style="list-style-type: none"> • Coordination and preparation of strategic water system planning studies (comprehensive or targeted, issue based studies as appropriate) as assigned. • Preparation and maintenance of asset investment plans and strategic capital expenditure plans as assigned. Plans to accurately address operational needs, operational efficiencies, asset management and strategic investment goals set by the Corporation based upon prioritization models • System capacity evaluations, analysis of source, production, distribution, storage, or other system deficiencies as assigned to support ongoing operations, service extension requests or regional growth opportunities • Ability to serve as a competent technical resource on Water System Planning matters including capital planning, safe yield analysis, demand projections, production adequacy, transmission & distribution adequacy, computerized hydraulic modelling & analysis, water conservation, regionalization, and other pertinent subjects as needed to support operational and business needs. Present results of engineering analysis to interested parties within and outside of the company • Pursues educational opportunities and professional development to enhance performance and contributions to the organization 	<p>Performance Measures</p> <ul style="list-style-type: none"> • Timely, accurate and complete reports that support the development of effective capital investment plans or changes in operational approaches. Technical analysis to comply with American Water System Planning Standards. • Approved Strategic Capital Expenditure Plan (SCEP) in accordance with established policies and procedures. Capital & Operational risk assessment, project prioritization and alternatives evaluation prepared to support submitted SCEP • Accurate, issue based, studies prepared and issued to support operations. System capacity analysis issued in a timely manner, consistent with KPIs, to support service extension project schedules • Successful representation of American Water in this capacity • Continuing education and seminars in order to stay current and address development needs.

- | | |
|---|--|
| <ul style="list-style-type: none"> • Contribute to effective communication by listening and providing constructive feedback; supporting the creation of an open and honest work environment; cascading and sharing knowledge and information relevant to other members of the team and colleagues across the business. • Support Center of Excellence initiatives established by the Regional Engineering Directors (i.e., asset management or other operational excellence initiatives). | <ul style="list-style-type: none"> • Feedback • As determined between employee and supervisor. |
|---|--|

<p>Skills/Knowledge/Experience required Leadership ability and interpersonal skills, as well as, strong verbal and written communication skills and keen listening abilities. Detail oriented to conduct through analysis and evaluations, render and implement timely decisions and recommendations.</p> <p>Knowledge: Demonstrated competency in asset planning, water system comprehensive master planning, distribution system hydraulic modelling or equivalent water system design experience. Broad knowledge of Engineering (planning, design, construction) related to water facilities. Working knowledge of regulatory developments, new technology and current trends in water quality, treatment and Engineering economics. Applicable knowledge of water resources industry, business and environmental regulatory field. Computer competent in Word, Excel, Water CADD and Sewer CADD</p> <p><u>Experience</u> Minimum 5 years experience in water resources planning Bachelor's Degree in Engineering; advanced degree in engineering and or management preferred, Professional Engineering (PE) license required.</p>
<p>Key Interfaces/Relationships Management, capital/asset management colleagues, direct reports, operations personnel and supervision, consulting engineers, technical services and project delivery employees, environmental management employees and supervision, rates department, state and local level regulators.</p>
<p>Reports to: Capital/Asset Planning Manager</p>

<p>Competencies (from the Water Division Competency Dictionary)</p> <p>Analysis and Problem Solving Analysis and resolves business issues through the application of critical reasoning skills and general business experience.</p> <p>Team Working Is committed to working collaboratively to achieve business goals, building cohesiveness and identity within a work group, and valuing individual perspectives and contributions</p> <p>Delivers Results Delivers bottom line results through bold, decisive actions, working through risks and uncertainty to create opportunity. Continually raises standards and promotes entrepreneurial behaviour</p> <p>Sharing Knowledge and Expertise Drives business performance by developing and contributing specific technical or</p>

<p>professional knowledge, skills and experience. Demonstrates a professional attitude</p> <p>Influencing Definition: The ability to articulate an objective or idea in a compelling manner, so that others are persuaded to act on its merit</p> <p>Organizational Awareness Definition: The knowledge and development of formal and informal business relationships with key stakeholders within and outside the organization that enables business objectives to be accomplished.</p> <p>Strategic Focus Definition: Looks at the big picture, thinks about the business as a whole both within its own environment and in the global marketplace and creatively identifies new horizons.</p>

Job Title: Senior Project Manager

April 28, 2004

Role Purpose - Reporting to the Project Delivery Manager, this position is responsible for managing (through a team as appropriate) all activities concerned with the delivery of multiple large and complex capital investment projects, the size and importance of which are of critical importance to Company objectives related to Production, Networks, and/or other water resource or operations systems from inception to completion.

Key Accountabilities

- Monitoring and managing budgets and schedules for multiple large and complex Capital Investment Projects and programs of varying scope.
- Driving efficiency into project delivery through the monitoring of delivery metrics (unit costs, target costs vs. actual, etc.) and pursuit of more effective delivery and procurement approaches.
- Delivery of assigned Capital Projects in accordance with policies and procedures set for in the Capital Investment Management (CIM) system to meet asset needs.
- Ensure Asset Owner satisfaction in accordance with the scope of work agreed upon for each project. Interacts with Operations personnel to ensure project delivery program meets operations needs. And coordinated with operations personnel on operational impacts related to project delivery program.
- Ensures compliance with established regulatory criteria, specifications and standards.
- Interacts with property group, technical services, and other internal groups and external governmental agencies to coordinate land acquisition, easements, rights of ways, permits, certificates, and other project approvals for assigned projects and programs.
- Pursues education and other opportunities for professional development to enhance performance and contributions to the organization.

Performance Measures

- Interim and final project/program reporting meets Strategic Capital Expenditure Plan targets and approved reforecast.
- Target – 10% to 20% delivery cost reduction has been set by the CIM Integration Project.
- Meet project delivery goals for schedule, cost, benefit, and quality. Compliance with policy, procedures and quality management programs. CIM project development and documentation (PNI, PIP, etc) and CIM reporting, budgeting and forecasting.
- Post Project Review customer satisfaction ratings in accordance with established KPIs.
- Project Delivery and completed work in compliance with all company, local and state standards and regulations.
- Property coordination and regulatory or other approvals received to support project delivery.
- Continuing education and internal training/development programs completed in order to stay current and address development needs.

Skills/Knowledge/Experience required

Skills

Strong project management skills (e.g., planning, organizing, directing, monitoring and reporting of project activities).

Ability to interact with colleagues, governmental agencies, consultants and the general public with effective skills.

<p>Project planning skills. Good verbal and written communication skills (e.g., presentation, listening, report writing)</p> <p>Strong interpersonal skills (tact/diplomacy, persuasion, cooperation and ability to motivate others)</p> <p>Computer literacy. Competent in the use of word processing, spreadsheet, flow-charting, project scheduling.</p> <p>Financial analysis skill, including budget management and basic accounting knowledge.</p> <p><u>Knowledge</u></p> <p>Broad knowledge of Engineering, Project Management and construction management practices related to planning, design, construction and operations for water resource facilities, engineering and utility economics and contract administration and construction technology. Good working knowledge of regulatory developments, new technology and current trends in water quality, water treatment, developer services and other related water resource management disciplines. Knowledge of applicable state and federal regulations.</p> <p>Knowledge of company procedures, policies and operations</p> <p>Knowledge of employee relations, applicable safety and environmental regulations, federal and state water quality and design regulations and technical standards.</p> <p><u>Experience</u></p> <p>Minimum 5 to 7 years experience in project delivery of major water resources projects.</p> <p>Bachelor's Degree in Engineering, Construction Management or related field.</p> <p>Professional Engineering (PE) license preferred.</p>
<p>Key Interfaces/Relationships</p> <p>Management, technical services colleagues, operations personnel and supervision, consulting engineers, contractors, equipment vendors, project delivery employees, environmental management employees and supervision, rates department, state and local level regulators</p>
<p>Reports to: Project Delivery Manager</p>

<p>Competencies (from the Water Division Competency Dictionary)</p> <p>Analysis and Problem Solving Analysis and resolves business issues through the application of critical reasoning skills and general business experience</p> <p>Team Working Is committed to working collaboratively to achieve business goals, building cohesiveness and identity within a work group, and valuing individual perspectives and contributions</p> <p>Delivers Results Delivers bottom line results through bold, decisive actions, working through risks and uncertainty to create opportunity. Continually raises standards and promotes entrepreneurial behaviour.</p> <p>Sharing Knowledge and Expertise Drives business performance by developing and contributing specific technical or professional knowledge, skills and experience. Demonstrates a professional attitude</p> <p>Influencing The ability to articulate an objective or idea in a compelling manner, so that others are persuaded to act on its merit</p> <p>Market /Customer Focus</p>
--

Identifying, understanding and meeting customer expectations both internally and externally.

Drives Performance

Setting clear, challenging, collaborative goals and expectations for people, which are aligned with business objectives Tracking and measuring progress, providing feedback and making adjustments as necessary.

American Water System
JOB DESCRIPTION

POSITION TITLE: OPERATIONS SPECIALIST		
DEPARTMENT: ENGINEERING		
IMMEDIATE SUPERVISOR'S/MANAGER'S TITLE: MGR PROJ DELIVERY & SERVICE, PROJECT ENGINEER, SENIOR PROJECT ENGINEER, OR OPERATIONS SUPERINTENDENT		
IMMEDIATE SUBORDINATES TITLE (S):		
TOTAL NO. SUPERVISED: Directly: Indirectly:		
POSITION SUMMARY		
Basic Function or purpose of this position.		
The Operations Specialist performs accounting, clerical and administrative duties assigned by supervision.		
POSITION RESPONSIBILITIES		
Principal responsibilities of this position.		
Process and maintain deposits and refunds for main extensions.		
Accounting reconciliation of subsidiary database to general ledger using Access and Excel		
Trouble-shooting, research and analysis required to maintain different types of external party agreements to include, but not be limited to: On-Site, Off-Site and 3-T developer agreements, special connections, special main extension agreements		
Interaction with other departments' processes in relation to the new customer and extension deposit refund process		
Process analysis of the extension deposit process for continuous improvement		
Respond to developer inquiries within timely manner.		
Identify expired agreements, audit agreements, process final refunds, notify accounting annually of all expired agreements for transfer balance to CIAC.		
Provide monthly reports for account balance, refunds processed, and potential concerns.		
Process invoices for Operations Specialists – New Development.		
Receipt all pipe and inventory invoices for Stock Clerk.		
Update Special Connection agreements as needed.		
Support accounting functions as needed.		
Provide back-up to task order process and other engineering clerical functions		
Coordinate street cut/lane blockage permits.		
Process miscellaneous in-service notification.		
Perform other duties, as assigned, that may be determined by Operations Supervision.		
Prepares various monthly reports from ORCOM, JDE and DAP.		
Analyze JDE reports on Capital and Expense Spend and report status to supervisor.		
Data collection, analysis and preparation of department key performance indicators (KPI) reports.		

PHYSICAL REQUIREMENTS SUMMARY

JOB TITLE _____ JOB DESCRIPTION ATTACHED ____ Yes ____ No

A WORK ACTIVITIES

To complete this section, use the following frequency definitions to record the appropriate symbol for a normal work day. Remember that the task is to be performed in the standard accepted method and within the normal work schedule

- C-CONSTANT** – Activity exists 66 2/3% to 100% (e.g., five (5) hours per eight (8) hour day).
- F-FREQUENT** – Activity exists 33 1/3% (e.g., up to 2 1/2 to 5 hours per eight (8) hour work day).
- O-OCCASIONAL** – Activity exists up to 33 1/3 % (e.g., up to 2 1/2 hours per eight (8) hour work day).
- N-NEVER** – Activity does not exist as regular requirement.

To complete the essential functions the employee is required to:
(For each item give an example of the type of task requiring that physical capacity.)

Stand	() _____	Crawl	() _____
Walk	() _____	Climb	() _____
Sit	() _____	Balance	() _____
	() _____	Bend/Stoop	() _____
Lift	() _____	Kneel/Squat	() _____
up to 20 lbs	() _____	Twist	() _____
21 to 50 lbs	() _____	Reach	() _____
Over 50 lbs	() _____	Handle	() _____
	() _____	Finger	() _____
Carry	() _____	Simple grasping	() _____
up to 20 lbs	() _____	Fine Manipulation	() _____
21 to 50 lbs	() _____	Feel	() _____
Over 50 lbs	() _____	Talk	() _____
	() _____	Hear	() _____
Push/Pull	() _____	See	() _____
up to 20 lbs	() _____	Drive Vehicle	() _____
21 to 50 lbs	() _____	Operate Machinery	() _____
Over 50 lbs	() _____	Working at Heights	() _____

at _____ ft.

Employee works: _____ hrs per day, _____ days per wk., _____ shift schedule (e.g., 8 am to 5 pm)

B PHYSICAL CONDITIONS

Place an X if worker is exposed to condition 20% or more of the normal workday. For each item marked, give an example of the condition

Confined areas		
Exposed to weather		
Extreme temperatures		
Atmospheric conditions		
Chemicals		
Potential allergenic/irritant conditions		
Potential hazards		
Noise exposure		
Vibrations		
Customer Contact		
Other		

List any other issues that are relevant to safely performing the work required for this position: _____

Supervisor's Signature

Department Head's Signature

Date

Date

AMERICAN WATER SYSTEM JOB DESCRIPTION

POSITION TITLE: Operations Specialist		
DEPARTMENT: Construction/Operations/Engineering	SALARY GRADE: R	
IMMEDIATE SUPERVISOR'S/MANAGER'S TITLE: Operations Supervisor		
IMMEDIATE SUBORDINATES TITLE(S):		
TOTAL NO SUPERVISED:		
DIRECTLY:		
INDIRECTLY:		
POSITION SUMMARY		
Basic Function or purpose of this position.		
The Operations Specialist assists in coordinating, and administering the developer funded main process and related functions; work order process; maintaining and preparation of documents and drawings related to construction of facilities; and the investment budget process.		
POSITION RESPONSIBILITIES		
Principal responsibilities of this position.		
Assists and coordinates process related to developer funded mains, including supervision of main installations.		
Administers and coordinates the preparation and completion of work orders in accordance with the policies and practices of the Company.		
Assists in preparation of documents related to the investment budget. Assists in monitoring expenditures to budget according to Company guidelines.		
Administers and coordinates the maintaining of reports, maps, charts and records related to the construction of facilities.		
Conducts field inspections of proposed distribution facilities to assure sufficient material and cost estimations.		
Obtain necessary required permits and modifications to various State and Local agencies for street cuts, asbestos abatement permits, etc.		

OPERATIONS SPECIALIST

-2-

POSITION KNOWLEDGE

Specialized knowledge required for this position, including licenses and/or certificates.

General knowledge of water distribution.

General knowledge of construction practices.

General knowledge of laws governing easements and contracts.

General knowledge of engineering mapping and terminology.

General knowledge of accounting and/or business practices.

Class IV-D – Water Distribution System is desired.

POSITION SKILLS

Specific expertise required for this position.

Effective interpersonal and communication skills, including oral and written skills.

Computer literate, i.e. software including LOTUS, Word Processing, Windows, LOTUS Notes, and D. Base IV.

POSITION EXPERIENCE/EDUCATION

Experience and/or education required for this position:

Type of Experience: Three (3) years in construction or distribution departments.

Education: College degree in Engineering desirable, or high school graduate with five (5) years experience in water distribution and construction.

PHYSICAL REQUIREMENTS SUMMARY

JOB TITLE Operations Specialist JOB DESCRIPTION ATTACHED Yes No

A. WORK ACTIVITIES

To complete this section, use the following frequency definitions to record the appropriate symbol for a normal work day. Remember that the task is to be performed in the standard accepted method and within the normal work schedule. **C-CONSTANT** – Activity exists 66 2/3% to 100% (e.g., five (5) hours per eight (8) hour day). **F-FREQUENT** – Activity exists 33 1/3% (e.g., up to 2 1/2 to 5 hours per eight (8) hour work day). **O-OCCASIONAL** – Activity exists up to 33 1/3 % (e.g., up to 2 1/2 hours per eight (8) hour work day) **N-NEVER** – Activity does not exist as regular requirement.

To complete the essential functions the employee is required to:
(For each item give an example of the type of task requiring that physical capacity)

Stand	(F)	Field Work	Crawl	(N)	_____
Walk	(F)	Field Work	Climb	(N)	_____
Sit	(C)	Paper Work	Balance	(N)	_____
	()	_____	Bend/Stoop	(N)	_____
Lift	()	_____	Kneel/Squat	(N)	_____
up to 20 lbs	(N)	_____	Twist	(N)	_____
21 to 50 lbs	(N)	_____	Reach	(C)	Paper Work
Over 50 lbs	(N)	_____	Handle	(C)	Paper Work
	()	_____	Finger	(C)	Paper work, computer
Carry	(O)	_____	Simple grasping	(C)	Paper work, mouse
up to 20 lbs	(N)	_____	Fine Manipulation	(C)	Paper work, mouse
21 to 50 lbs	(N)	_____	Feel	(C)	Paper work, keyboard
Over 50 lbs	(N)	_____	Talk	(O)	Meetings co-workers, etc
	()	_____	Hear	(C)	Meetings co-workers, etc
Push/Pull	()	_____	See	(C)	Paper work, field work, etc
up to 20 lbs	(N)	_____	Drive Vehicle	(F)	To check on job-sites
21 to 50 lbs	(N)	_____	Operate Machinery	(N)	_____
Over 50 lbs	(N)	_____	Working at Heights	(N)	_____

at _____ ft

Employee works: 9 hrs per day, 5 days per wk., 7:00a – 5:00p shift schedule (e.g., 8 am to 5 pm)

B. PHYSICAL CONDITIONS

Place an X if worker is exposed to condition 20% or more of the normal workday. For each item marked, give an example of the condition.

Confined areas		
Exposed to weather	X	Field work for construction jobs
Extreme temperatures	X	Field work for construction jobs
Atmospheric conditions	X	Field work for construction jobs
Chemicals		
Potential allergenic/irritant conditions		
Potential hazards	X	Around heavy equipment during field work
Noise exposure	X	Around heavy equipment during field work
Vibrations		
Customer Contact	X	Dealers with customers
Other	X	Some risk of back fatigue from being seated at the computer

List any other issues that are relevant to safely performing the work required for this position: _____

Supervisor's Signature

Department Head's Signature

Date

Date

Intermediate Financial Analyst

FIN - 41

<p>Role Purpose: Support management in shaping, driving, and influencing the business; identify ways to drive value from financial analysis and rate cases.</p>	
<p>Key Accountabilities</p> <ul style="list-style-type: none"> • Analyse business performance; help identify options to secure or deliver value • Shape, drive, and influence planning and reporting/rate case strategy for the Management Team • Ensure accuracy of business plans, financial statements and technical compliance in US GAAP and International Accounting Standards. • Represent Senior Team Members internally as well as to external regulatory and legal bodies, lending institutions and industry throughout the Region • Provide assistance in building the Water Division Finance Knowledge Community and developing "best practices." • Assist in the formulation of corporate policies and procedures and compliance with such policies and procedures. • Provide advice and expertise on a pro-active basis to Senior Team Members • Perform other projects as assigned • Contribute to effective communication by listening and providing constructive feedback; supporting the creation of an open and honest work environment; cascading and sharing knowledge and information relevant to other members of the team and colleagues across the business. 	<p>Performance Measures</p> <ul style="list-style-type: none"> • Resulting affects on business • Resulting affects on business • Budgetary metrics • Feedback and results • Feedback and results • Resulting affects on business • Participation, influence and engagement • Participation, influence and engagement • Feedback • Corporate success levels • Results of policy and procedure effectiveness and enforcement • Feedback from others • Measures will vary depending on task • Feedback

<p>Skills/Knowledge/Experience required:</p> <ul style="list-style-type: none"> • Degreed in business with preference in accountancy or finance. • Advanced degree or accountancy/finance certification preferred • At least 5 years regulatory/accounting/finance experience. • Committed to quality • Good understanding of industry issues, including US GAAP and International Accounting Standards • Experience with major ERP, Hyperion, budgeting and planning systems. • Strong excel and word skills • Strong communication skills, both written and oral. • Ability to translate financial issues. • Ability to testify on select financial rate case issues • Excellent analytical, systemic skills • Strong interpersonal skills with an emphasis on initiative, knowledge sharing, teambuilding, and decision-making.

<ul style="list-style-type: none">• Ability to handle confidential or sensitive information in an appropriate and professional manner.
Key Interfaces/Relationships: <ul style="list-style-type: none">• Ability to successfully interact with and be responsive to other management, professional and non-professional employees of the Corporation and its affiliates.• Ability to interact in a professional and persuasive manner with the appropriate stakeholders.• Ability to professionally and successfully interact with regulatory and lending institution representatives.
Reports to: Performance, Planning & Reporting Lead and/or Rates & Regulation Lead

Competencies (from the Water Division Competency Dictionary) <ul style="list-style-type: none">• Influence – The ability to articulate an objective or idea in a compelling manner, so that others are persuaded to act on its merit• Team Working – Is committed to working collaboratively to achieve business goals, building cohesiveness and identity within a work group, and valuing individual perspectives and contributions.• Delivers Results – Delivers bottom line results through bold, decisive actions, working through risks and uncertainty to create opportunity. Continually raises standards and promotes entrepreneurial behavior.• Sharing Knowledge and Expertise – Drives business performance by developing and contributing specific technical or professional knowledge, skills and experience. Demonstrates a professional attitude• Market/Customer Focus – Identifying, understanding and meeting customer expectations both internally and externally.• Analysis & Problem Solving – Analyses and resolves business issues through the application of critical reasoning skills and general business experience

**KENTUCKY-AMERICAN WATER COMPANY
CASE NO. 2007-00143**

**COMMISSION STAFF'S SECOND SET
OF INFORMATION REQUESTS**

Item 4 of 80

Witness: Nick Rowe

4. Refer to Kentucky-American's Response to Commission Staff's First Set of Information Requests, Item 1(a), W/P3, pages 20 through 27 of 118. For each vacant personnel position listed in forecasted labor costs, state:
- a. The reason(s) why the position must be filled.
 - b. The reason(s) why the position is currently vacant.
 - c. The current status of Kentucky-American's efforts to fill the position and the anticipated hire date.
 - d. The total cost of the position included in the forecasted test period (i.e., payroll expenses, payroll capitalized, retirement, taxes, insurance benefits), stated separately, and the accounts to which each amount was charged.

Response:

a. b. c.

Production Maintenance Tech – Northern Division - This newly created position is essential to aid in maintaining equipment at our water and wastewater facilities in our Northern Division. The position will provide more efficient maintenance and repairs with a goal of preventing service interruptions. This position was posted internally and externally and we are currently reviewing resumes in order to arrange interviews with candidates.

Treatment Plant Operators (2) - Treatment plant operators are essential to produce quality water and maintain service reliability. We had two vacancies, one due to a recent promotion and another due to a retirement. We filled one of the vacancies last month and are continuing to try to fill the other, but we are finding it very difficult to find qualified Class IV operators within the State of Kentucky who are available to work the shift required. In the meantime, the Company covers the vacant position with overtime.

Administrative Assistant - Cross Connection- This is a new position that will support the Water Quality Specialist-Cross Connection position. The cross connection role is part of a critical process to insure that our customers are protected from contamination by way of cross connections. Some of the initial clerical needs are being fulfilled on a part-time basis by another employee.

Filling this position is vital in order to effectively monitor the thousands of potential cross connection sites in our system. The full requirements of this position are being developed. We will begin our search for a candidate after a roundtable of American Water cross connection professionals held this month and expect to have the position filled before the end of this year.

- d. See the attachment that indicates the cost for each position vacant at the time of filing included in the forecasted test period.

For electronic version, refer to KAW_R_PSC2#4_061807.pdf

**Kentucky-AMERICAN WATER COMPANY
CASE NO. 2007-00143**

**COMMISSION STAFF'S SECOND SET
OF INFORMATION REQUESTS**

Item 5 of 80

Witness: Michael Miller

5. Refer to Kentucky-American's Response to Commission Staff's First Set of Information Requests, W/P3, page 2 of 18. Incentive pay included in forecasted labor is \$252,550.
- a. Describe the incentive pay plan and explain why such a plan is necessary and reasonable.
 - b. (1) State whether the forecasted incentive pay is being awarded under the same long-term incentive compensation and annual incentive plan compensation pay plans whose costs the Commission disallowed in Case No. 2004-00103.¹

(2) If the incentive plan is the same, explain why Kentucky-American proposes to include its costs in the determination of rates in this proceeding.

(3) If the incentive plan differs from that reviewed in Case No. 2004-00103, describe how the plan differs from the plan previously reviewed.
 - c. List all Kentucky-American employees who are eligible to participate in the program.
 - d. State the level of incentive pay available to each participant in the forecasted period.
 - e. State the level of incentive pay awarded to all individuals participating in the program for the previous 5 years compared to the level of incentive pay available to each participant in the forecasted period.
 - f. Explain how incentive payment awards in previous years were determined.
 - g. State the amounts of incentive payment awards included in the forecasted test period and explain how the amounts were determined.

¹ Case No. 2004-00103, Adjustment of the Rates of Kentucky-American Water Company (Ky. PSC Feb. 28, 2005) at 47 – 49.

Response:

- a. Please see the attached copy of the 2007 Annual Incentive Plan (“AIP”) which fully describes the AIP and its administration. The AIP is not, nor is it intended to be, an entitlement program. The AIP incorporates very stringent and specific financial, operational and individual goals that are an integral part of the overall performance review and compensation program for the Company. An AIP is a common part of the overall compensation package for most utilities. If KAWC is to continue to attract and retain top quality employees capable of carrying out the challenging task of effectively managing a major water utility, the overall compensation package must be competitive. The Company believes the best way to drive efficient and effective management of the operations is to make a portion of the compensation of its management subject to performance, and meeting challenging goals and objectives. Performance at or above those goals and objectives results in more efficient operations, greater customer satisfaction, greater reliability of service and lower costs to the customer. The absence of performance at or above those goals results in lower compensation to the employee and serves as an incentive to improve those performance deficiencies to the benefit of the customers. In order for the Company to be competitive in its overall compensation package absent the AIP, the Company believes base wages would have to be increased. The Company does not believe an overall compensation package absent AIP provides the level of incentive for high performance by management employees and therefore would not be in the best interest of its customers. The Company’s customers benefit when financial targets are met. Financial goals are met through efficient use of human and capital resources to operate in the most efficient and cost effective manner possible. Meeting financial goals lowers costs and leads to lower rates for the customers when those efficiency gains and cost savings are returned to the customers in general rate filings. The operational goals are related to customer satisfaction, customer service quality, water quality, safety, and service levels. Meeting these important operational goals result in high levels of service, customer satisfaction, and lower costs which benefit the customers. Finally, meeting stringent and specific individual goals provides motivation for each employee in the plan to not only perform at a high level, but to continuously develop new skills and abilities that improve service to the customers. Meeting the personal development goals provides for a pipeline of highly motivated and skilled employees to fill succession planning needs and fill vacant management positions of increasing authority as they occur due to retirements or other reasons.

- b. (1) The Company does not currently have a Long-term Incentive Plan and the base period or forecasted test-period does not include cost for a LIP. The 2007 AIP has been modified to be more heavily weighted to the operational and individual goals than the AIP in place at the time of the Company’s last rate filing. In 2004, 60% of the AIP was related to financial goals and 40% was related to operational and individual goals. The 2007 AIP establishes 30% of the target to financial goals and 70% to operational and individual goals. In addition,

the current AIP places more emphasis on the development of financial, operational and individual goals that drive performance of employees toward improved service, water quality and customer satisfaction. The AIP is more closely tied to employee performance reviews that are monitored on a regular basis during the year to assure better job performance or puts in place measures to improve job performance on a regular basis.

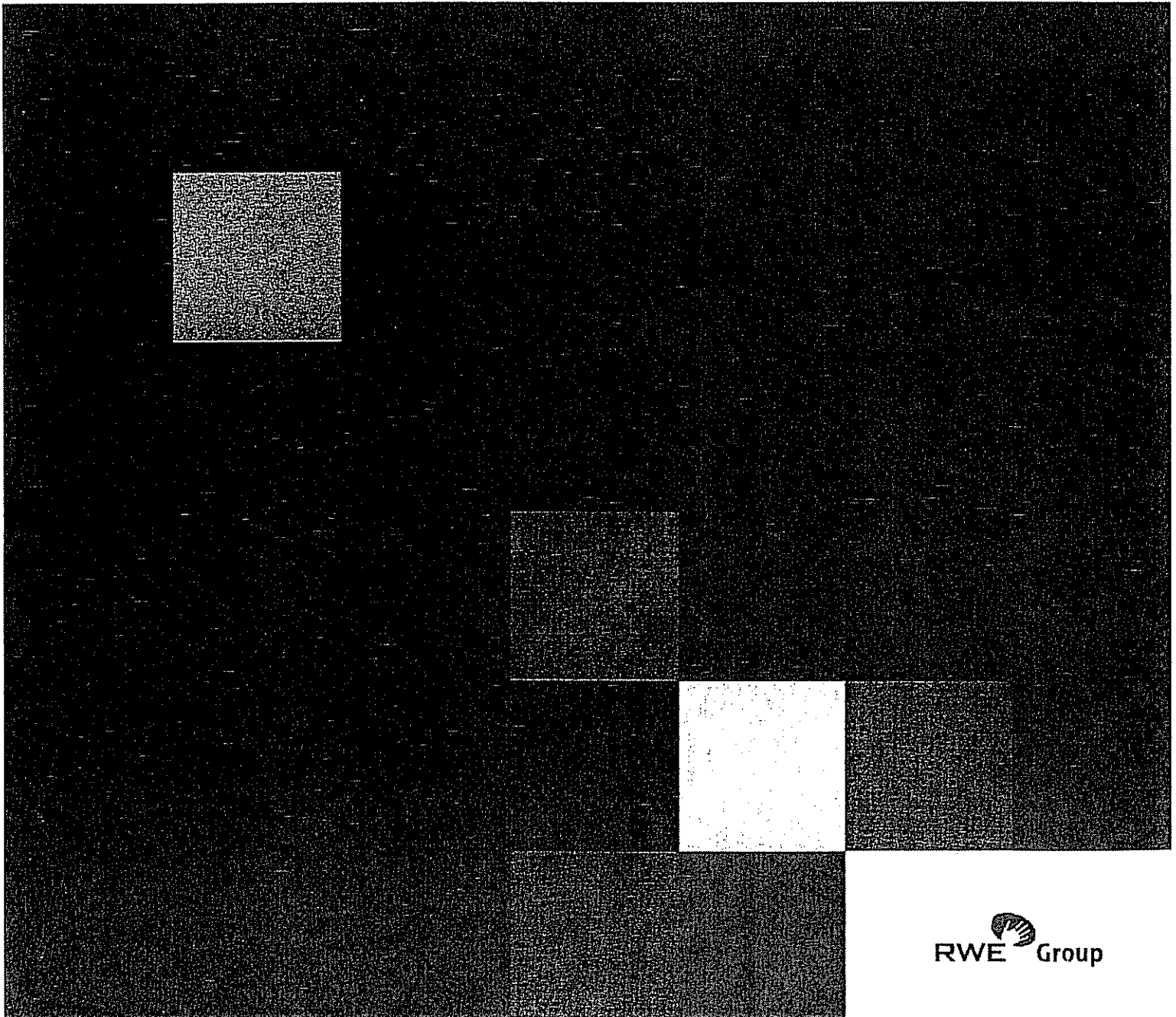
- (2) See the response to part b. (1) above.
- (3) See the response to part b. (1) above.

- c. Please the attached schedule which provides the list of employees eligible for the AIP and the amount of AIP pay included in the forecasted test-year.
- d. Please see the response to part c. above.
- e. Please see the schedule attached that compares the AIP results for the previous five years to the level included in the forecasted test-year.
- f. The performance of each employee was measured by their performance regarding the financial, operational and individual goals established in the AIP effective for that period.
- g. Please see the response to part c. above.

For electronic version, refer to KAW_R_PSCDR2#5_061807.pdf



The 2007 Annual Incentive Plan
REWARDING ACHIEVEMENT



The 2007 American Water Annual Incentive Plan

The 2007 American Water Annual Incentive Plan (AIP) recognizes the opportunity and the accountability we share for achieving our goals. Your accomplishments have helped to build American Water's success to this point, and the AIP will reward you for the contribution you make to the achievement of our 2007 goals.

Who Is Eligible for the 2007 AIP

All full-time management, professional and technical employees (exempt from overtime) in American Water are eligible to participate in the 2007 AIP.

Eligible employees who join American Water on or before September 30 of a plan year (January 1 – December 31) are also eligible to participate in the plan on a prorated basis. Employees transferred from non-exempt to exempt status on or after September 30 are not eligible in the transfer year.

Individuals who do not meet their individual performance expectations will not be eligible to receive an incentive award. The American Water Board, or its designee for these purposes, reserves the right to determine whether incentives are payable to any individual or group of individuals. The Board may withhold all incentive payments in certain circumstances.

Your Award Opportunity

Your award opportunity is based on your role. Your manager will confirm your award opportunity to you in writing. Any award you earn is based on your salary as of December 31, 2007.

If you are promoted during the plan year to a position with a higher target level, your bonus plan will be prorated to reflect participation at each award level. Similarly, if you are reclassified to a position with a lower AIP award level, your bonus plan will be prorated to reflect your participation at each award level.

What the Plan Measures

The AIP is designed to reward participants for the performance results they and the Company attain during the plan year. There are three performance components: 'Financial' (Corporate, Regional), 'Operational' and 'Individual'.

- The **Financial** component is based on Operating Income. The performance level will be determined at the Corporate and Regional levels. For 2007, more than 80% of the Operating Income target for the entire Company must be achieved before any payment will be made on the corporate financial component of the Plan (although a payment could be made on the regional financial component if the regional operating income exceeds 80% of target). In addition, more than 70% of the Operating Income target must be achieved before any payment will be made on any component of the Plan for the entire Company (including regional financial, operational and individual components).

Operating Income – is defined as earnings before interest, taxes and other non-operating expenses.

See Attachment A for the 2007 Target Level Achievement Schedule.

Your AIP letter will provide you with your Company component targets.

- The **Operational** component includes performance measures tied to the American Water business objectives through which customer satisfaction, customer service quality, service level, environmental, health & safety, and quality measures and compliance goals are the key performance indicators. If you are an employee of the Business Center or the Belleville Lab, you will not have an operational component. See Attachments B and C for the 2007 operational components.

The Customer Satisfaction Study measures overall satisfaction with the services offered by American Water that directly benefits the customer. This study is conducted annually in the fourth calendar quarter and surveys approximately 1,100 American Water regulated water or sewer customers.

The Customer Service Quality Study measures customer satisfaction levels as a result of field and Customer Service contacts. This study is conducted throughout the year and surveys approximately 900 American Water regulated water or sewer customers each quarter.

Service Level (Customer Service Centers): Measures the percentage of customer calls answered within a specified period of time.

Notices of Violation (NOV): The number of times that an official notice is issued by a primacy agency for failure to comply with a federal, state, or local environmental statute or regulation that is covered by the Environmental Management Plan (EMP).

Lost Work Day Case Rate (LWCR): The number of total OSHA recordable injuries and/or illness cases with lost workday(s) per 200,000 hours worked.

Service Level measures the percentage of customer calls (Customer Service Centers) answered within a specified period of time.

Quality Measures (Shared Services Center - SSC):

- SSC Error Rate - Number of Financial Statements errors (Annual).
- Reconciliations - Calendar Year Average of accounts beyond policy.
- Timeliness of Processes - Annual percentage of process conducted according to schedule -Tax filings, Financial Statements available for consolidation, External Audit information submissions, days to image and process invoices, and Orcom rate changes.

Compliance (Shared Services Center - SSC):

- External Audit Findings - Number of unrecorded differences and topside entries.
 - Internal Audit Findings - Number of instances of deviations from policy/procedures during SOX testing.
 - External Filing Requirements - Annual Reports and Commission Reports completed by established deadlines for SSC.
- The **Individual** component includes Performance Targets as agreed by you and your manager within the companywide standard performance management process.

How Your Award Is Weighted

Your award opportunity is based on two or four performance components (see pages 3 and 4), depending on your role. However, you could earn part of your award based on individual, operational and regional financial components if Company Operating Income is more than 70%. If Company Operating Income is 70% or less, no award will be paid on any component.

The portion of your award opportunity you can earn for each component is reflected in weightings assigned to each, based on your role in the organization, as the following charts show. The award has a target and a maximum opportunity.

BUSINESS CENTER 2007			
Level	Company Financial (30%)	Individual ⁽¹⁾ (70%)	Target Opportunity
L5 – L6	6.00%	14.00%	28%
L7	4.50%	10.50%	15%
L8 – L9	3.00%	7.00%	10%
*L10 – L14	1.50%	3.50%	5%

* Exempt only

REGION 2007						
Level		Company Financial (30%)	Regional Financial (10%)	Individual ⁽¹⁾ (30%)	Operational ⁽²⁾ (30%)	Target Opportunity
Financial 30%	Individual/ Operational/ Regional Financial 70%					
L5 – L6		6.00%	2.00%	6.00%	6.00%	20%
L7		4.50%	1.50%	4.50%	4.50%	15%
L8 – L9		3.00%	1.00%	3.00%	3.00%	10%
*L10 – L14		1.50%	0.50%	1.50%	1.50%	5%

* Exempt only

Note that award opportunities for all Business Center (Voorhees) roles will have a mix of Financial and Individual measures, but no Operational component.

Your manager will discuss these with you and confirm in writing the performance measures, weightings and target maximums that apply to you.

SHARED SERVICES CENTER / CUSTOMER SERVICE CENTER 2007						
Level		Company Financial (30%)	Individual ⁽¹⁾ (35%)	Operational ⁽³⁾ (35%)	Target Opportunity	
Financial 30%	Individual/ Operational 70%					
L5 – L6		6.00%	7.00%	7.00%	20%	
L7		4.50%	5.25%	5.25%	15%	
L8 – L9		3.00%	3.50%	3.50%	10%	
*L10 – L14		1.50%	1.75%	1.75%	5%	

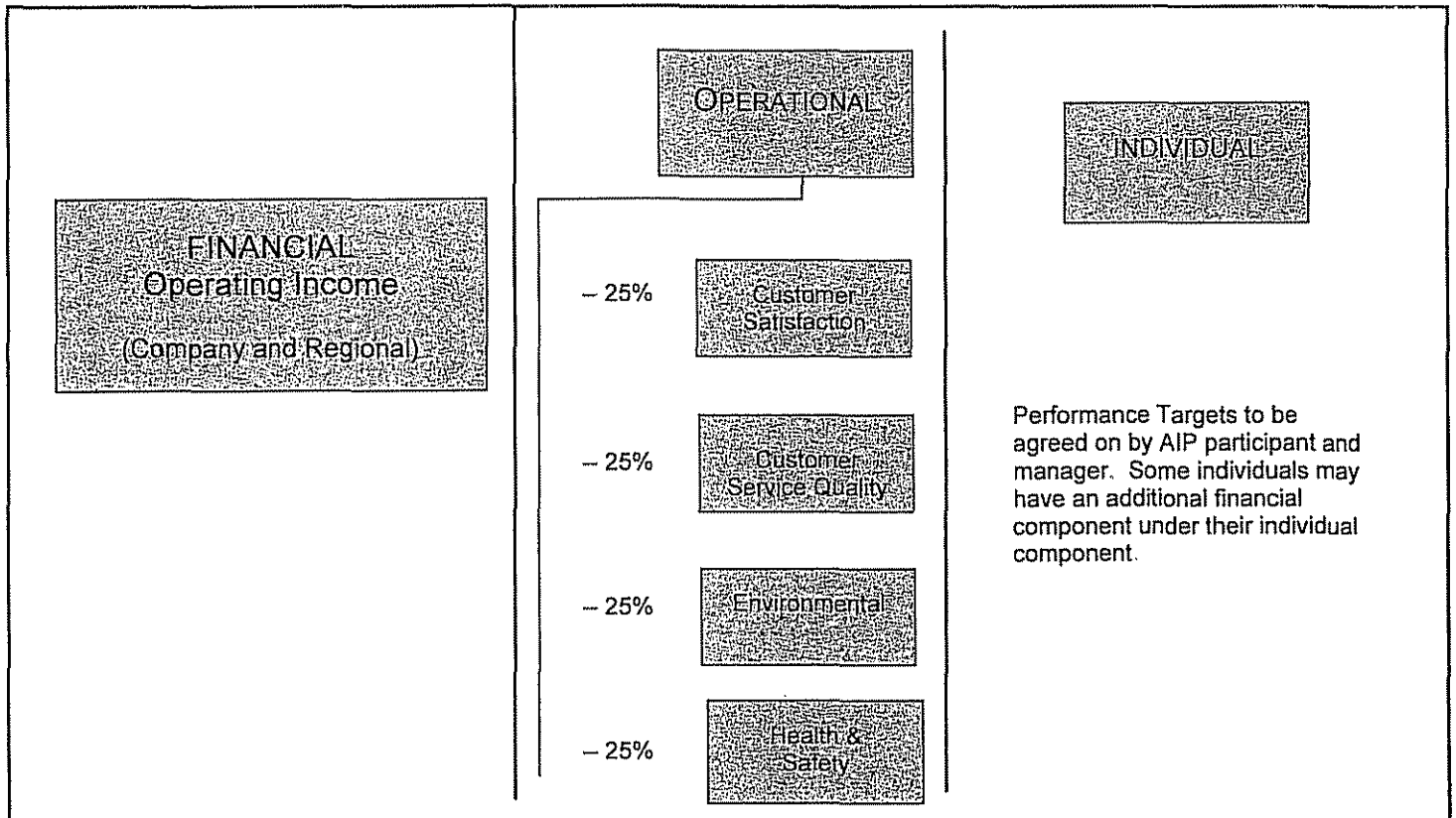
* Exempt only

- (1) This component is defined as Target Agreement or Performance Targets.
- (2) 50% of the Operational component is allocated to Customer Satisfaction/Customer Service Quality.
- (3) This component is defined by Customer Service Center as: 34% Customer Satisfaction; 33% Customer Service Quality, 33% Service Level

How the Weightings Come Together

Here is an **example** of how the three/four performance components and their weightings come together. As you can see, the measures within each component are also weighted.

EXAMPLE



American Water or Business Unit (e.g., Customer Service Center, Northeast Region, etc.) Objectives and Outcomes

Performance Management Process
(Individual Performance Targets aligned with the company balanced scorecard)

Operational

Regional Operational components are performance measures tied to the American Water objectives. Customer Service Quality is 25% of this component and is measured on a state-by-state basis. Customer Satisfaction (25%), Environmental Notice of Violations (NOVs) (25%) and Lost Workday Health and Safety Case Rate (LWCR) (25%) (Attachments B & C). Shared Services and Customer Service operational components are described in Attachments B & C.

Operational components are evaluated on a range from 0 to 120%.

Performance You Can Impact

We believe it is essential that you are accountable for, measured on and rewarded for performance that you can directly impact or influence.

You and your manager have agreed on your individual performance targets. These targets should relate back to the performance scorecard for your business unit or region and should directly reflect your role.

Individual Performance

Individual performance will be assessed using American Water's Performance Management and Development Review (PDR) process. The first section of the PDR form contains a scorecard in which your individual Performance Targets will be documented. You and your supervisor will jointly identify and agree to your individual Performance Targets and relative weightings to be achieved during the year.

In overview, the PDR requires each individual to have 5 Performance Targets. The Performance Targets should be specific and measurable and aligned with the Company performance targets. Each target needs to be evaluated on a range of 0 to 120% according to its importance relative to other targets. In this way excelling at your highest priority target, which has the heaviest weighting, will drive a bigger award. At least one of the targets should be linked to a personal development objective. At the beginning of 2008, a structured performance review will be conducted to determine how well you performed against your targets in 2007. **It will be the Performance Scorecard Summary Rating for these 5 Performance Targets and NOT the "overall" performance rating that will be used for AIP award purposes (see below).**

American Water
Annual Performance and Development Review

Name: _____ Local: _____
 Position Title: _____ Approval Period: _____

Performance Rating: E=Exceeds Expectations, M=Meets Expectations, P=Progressing, D=Does Not Meet Expectations, T=Too Soon To Rate

Double-click here to make selections.

Performance Scorecard						
BSC Quadrant	Performance Target	Target Measure	Weight %	Results/Comments	Emp. Rating	Sup. Rating
Finance						
Customer						
Process						
Employee						

Scorecard Summary Rating (click one box) Exceeds Meets Progressing Does Not Meet Too Soon

Performance Category

Each participant in the AIP plan should have 5 performance targets. An assessment should be made of performance against each target. Once evaluated, each individual performance target rating will be added and averaged to determine an overall rating.

Example #1

Performance Target Rating (PT)	AIP Performance Rating	Percentage Amount	Weighting	Subtotal
PT#1 (Meets Expectation)	Target fully achieved	100 x	20% =	20
PT#2 (Meets Expectations)	Target largely achieved	85 x	20% =	17
PT#3 (Does Not Meet Expectation)	Target not achieved	0 x	20% =	0
PT #4 (Progressing)	Target partially achieved	60 x	20% =	12
PT #5 (Exceeds Expectation)	Target exceeds expectations	120 x	20% =	24

Take each performance target percentage amount and multiply it by its assigned weight. Add the subtotal numbers = 73 (Individual Weighting Factor) 73% would be used as the INDIVIDUAL weighting factor in the AIP plan.

Example #2

Performance Target Rating (PT)	AIP Performance Rating	Percentage Amount	Weighting	Subtotal
PT#1 (Exceeds Expectation)	Target exceeds expectations	120 x	10% =	12
PT#2 (Meets Expectations)	Target largely achieved	90 x	20% =	18
PT#3 (Does Not Meet Expectation)	Target not achieved	0 x	10% =	0
PT #4 (Progressing)	Target partially achieved	55 x	20% =	11
PT #5 (Meets Expectation)	Target fully achieved	100 x	40% =	40

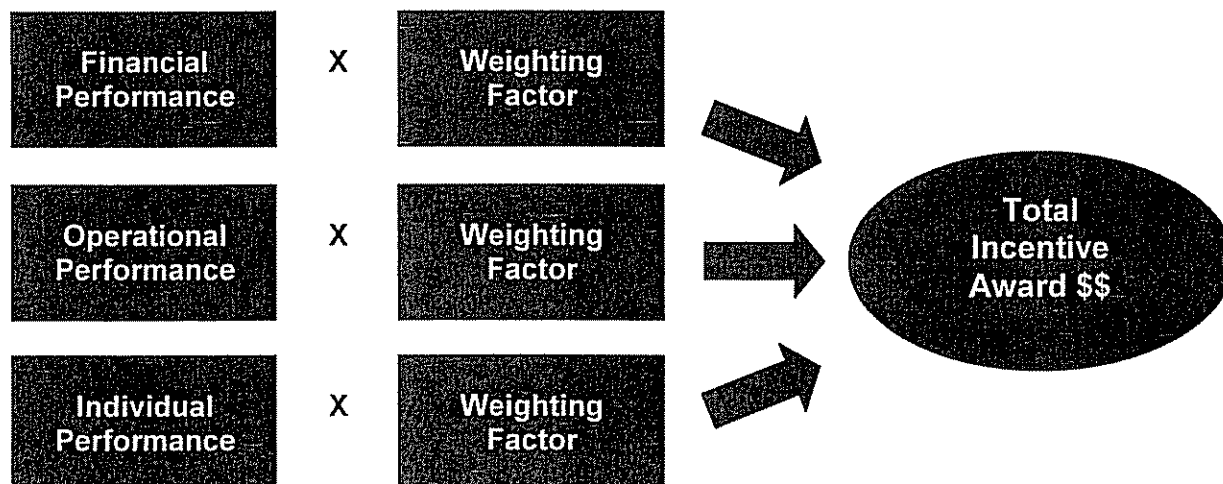
81 would be the subtotal and 81% would be used as the INDIVIDUAL weighting factor in the AIP plan.

2007 Target Rating Scale	
Rating	Scale
Exceeds Expectations	101 – 120%
Meets Expectations	
- Target Fully Achieved	100%
- Target Largely Achieved	75 – 99%
Progressing	
- Target Partially Achieved	25 – 74%
Does Not Meet Expectations	0%
- Not Achieved	
Too Soon to Rate	0%

Performance ratings can range from 0% - 120%. The degree of percentage given will be based on the supervisor's assessment of performance on the performance target. The maximum payment you can receive under the Individual component is 120%. This would only be awarded if an individual exceeded all 5 performance targets. This should be used only in cases of exceptional and outstanding performance against a target. If an individual received a "too soon to rate" or "does not meet expectations" on their performance scorecard they would not be eligible for an AIP award.

How Your Payout Is Determined

At the end of the year, the amount for each component is based on performance against each goal within the component and its relative weighting. Here is a simplified way to think of it.



(See example on page 10.)

2007 AIP Payout Example

L9 REGION EXAMPLE:

Target Opportunity is 10% with 30% Company Operating Income, 10% Regional Operating Income, 30% Operational and 30% Individual Components

Financial Performance

Company (Operating Income)

Achievement against financial target = 103.000% x 3.000% (Target) =3.090%

Regional (Operating Income)

Achievement against financial target = 101.000% x 1.000% (Target) =1.010%

Operational Performance

Achievement against operational targets = 97.95% x 3.000% (Target) =2.939%

Individual Performance

Achievement against 5 Performance targets = 98.70% x 3.000% (Target) = 2.961%

Total AIP payable is 3.090% (Company Operating Income) + 1.010% (Regional Operating Income) + 2.939% (Operational) + 2.961% (Individual) is 10.00% of annual base salary of \$65,000 or \$6,500

Salary	x	AIP Target	equals	Target Payout	Maximum Payout
\$65,000		10%		\$6,500	\$6,500
Company Operating Income (30%)				Financial/Operational/Individual (70%)	
Company Operating Income =3%		Regional Operating Income =1.00%		Operational Results =3.00%	Individual Performance Targets =3.00%
Target		Target		Target	Target
\$1,950		\$650		\$1,950	\$1,950
Actual		Actual		Actual	Actual
\$2,009		\$657		\$1,910	\$1,925
Maximum = 150%		Maximum = 150%		Maximum= 120%	Maximum= 120%
\$2,925		\$975		\$2,340	\$2,340

Target Bonuses

You will have received a letter which states your target bonus opportunity. Target bonus is defined as the bonus paid at 100% for both financial and individual awards. This means business plan is achieved for the financial and operational element, and the employee has met his/her objectives for the individual element.

The maximum bonus you can receive is 150% of your Financial element (both corporate and regional), 120% of operational and 120% of your Individual element.

Adjustments for Uncontrollable Events

The financial data included in the appendices has been prepared on the basis of the business plans agreed in 2007, using the assumptions set at that time. As in previous years, the actual results used for assessment may be amended to reflect the impact of events that are not considered to be within the control of local management. Any such amendments will require the explicit approval of the Chief Executive Officer and the Chief Financial Officer, and if material, the Board, whose decision will be final. The following items are those most likely to be considered for amendment:

- Weather conditions having a material impact on the financial results
- The impact of movements in foreign exchange rates
- Disposal/acquisition of businesses not anticipated in the business plan, but subsequently mandated by the Board of Directors
- Goodwill impairments
- Costs related to the public offering

Award Payments

To be eligible to receive an AIP award, you must be actively employed on the date the payment is made. However, in case of disability, retirement, layoff or death during the plan year, a prorated award based on participation in the plan may be payable. Employees who resign or are terminated for cause at any time prior to payment are not eligible.

Awards are usually determined and paid in cash as soon as possible after the release of financial results. Awards are normally paid by April of the following year. Awards are subject to all federal, state and local income tax withholdings.

If you become eligible to join the AIP during a plan year, any payout for that year will be prorated to reflect your participation in the plan.

The American Water Board, or its designee for these purposes, reserves the right to determine whether incentives are payable to any individual or group of individuals. The Board may withhold all incentive payments in certain circumstances, such as failing to reach minimum financial goals. Individuals who do not meet their individual performance expectations will not be eligible to receive an incentive award.

Rewarding Achievement

Our AIP goals are challenging, but with your focus and contribution and effective teamwork, they can be achieved. Remember, your individual results do matter; our overall performance is the collective results of all AIP participants.

It is important that you clearly understand your goals, how we are performing against the goals, and how the AIP works so you know how you personally affect our performance. Be sure to talk to your manager or your local HR representative if you have questions.

This brochure describes the 2007 American Water Annual Incentive Plan. The American Water Board or its Designee, whose decisions will be final and binding, will determine interpretations of the Plan. The Company reserves the right to amend, modify, or discontinue the Plan during the plan year or at any time in the future. Participation in the Plan does not convey any commitment to ongoing employment. If there are any differences between the information contained here and the Plan Document, the Plan Documents will govern.

Attachment A

Company bonus 2007 for American Water will be based on Operating Income. If the Operating Income results are met, the award payout will be based on the following:

Bonus payout curve: Range between 0% and 150%	
% of Operating Income Achieved	%
125%	150%
120%	140%
115%	130%
110%	120%
105%	110%
100% *	100%
95%	75%
90%	50%
85%	25%
80%	0%
70%	0%

* Business Plan Operating Income

Operating Income is defined as earnings before interest, taxes and other non-operating expenses.

Attachment B**2007 AIP OPERATIONAL MEASURES & TARGETS**

	Weighting	NE	SE	Central	West	AWE
Notices of Violation (NOV)**	25%	4*	4*	4*	4*	4*
Lost Work Day Case Rate (LWCR) ***	25%	2.2	1.7	1.7	1.4	1.7
Customer Satisfaction Rating (Q23 of CSS)	25%	95%	95%	95%	95%	N/A
Customer Service Quality Rating (Q29 of SQS)	25%	80%	80%	80%	80%	N/A

* If total AW NOVs are less than or equal to the target of 21, everyone gets rewarded for the NOV component, regardless of their individual region result vs. target. If total AW NOVs exceed 21 rewards will be determined by region. The AW target for NOVs will be adjusted upward for any significant growth (add 1 NOV per 5% growth in customers served, rounded down).

**Definition - Notices of Violation (NOV): Number of times that an official notice is issued by a primacy agency for failure to comply with a federal, state, or local environmental statute or regulation that is covered by the Environmental Management Plan (EMP). For an acquisition in which the Company has entered into a consent agreement to correct known deficiencies, violations will not count towards the NOV target unless they are due to issues not contemplated by the consent agreement or are related to a failure to comply with the consent agreement.

** Lost Work Day Case Rate (LWCR) is the number of total OSHA recordable injuries and/or illness cases with lost workday(s) per 200,000 hours worked. $LWCR \times 5 = \text{Injury Frequency Rate (IFR)}$ which is a similar measure only per 1,000,000 hours worked. LWCR is a more recognized and tracked US metric.

Attachment C

Operational Parameters for 2007 AIP - Payout Scale and Relative Weighting

I. Relative Weighting

25%

25%

25%

25%

II. Payout Scales

CUSTOMER SATISFACTION		SERVICE QUALITY		Lost Workday Case Rate (LWCR)		ENVIRONMENTAL NOVs	
<u>% Achieved</u>	<u>Payout (%)</u>	<u>% Achieved</u>	<u>Payout (%)</u>	<u>% of Target</u>	<u>Payout (%)</u>	<u>% of Target</u>	<u>Payout (%)</u>
≤ 90%	0%	≤ 75%	0%	≤ 50%	120%	≤ 50%	120%
91%	10%	76%	10%	75%	110%	75%	110%
92%	20%	77%	20%	100%	100%	100%	100%
93%	40%	78%	40%	110%	70%	110%	70%
94%	70%	79%	70%	120%	30%	120%	30%
95%	100%	80%	100%	≥ 130%	0%	≥ 130%	0%
96%	110%	85%	110%				
≥ 97%	120%	≥ 90%	120%				

Operational Parameters for 2007 AIP - Payout Scale and Relative Weighting – Customer Service Centers

I. Relative Weighting

34%

33%

33%

II. Payout Scales

CUSTOMER SATISFACTION		SERVICE QUALITY		SERVICE LEVEL	
<u>% Achieved</u>	<u>Payout (%)</u>	<u>% Achieved</u>	<u>Payout (%)</u>	<u>% Achieved</u>	<u>Payout (%)</u>
≤ 90%	0%	≤ 75%	0%	< 72%	0%
91%	10%	76%	10%	72% - < 80%	75%
92%	20%	77%	20%	80%	100%
93%	40%	78%	40%	>80% - < 84%	105%
94%	70%	79%	70%	84% - <86%	110%
95%	100%	80%	100%	86%	120%
96%	110%	85%	110%		
≥ 97%	120%	≥ 90%	120%		

Attachment C

Operational Parameters for 2007 AIP - Payout Scale and Relative Weighting – Shared Service Center

I. Relative Weighting

55%

45%

II. Payout Scales

QUALITY

COMPLIANCE

<u>% Achieved *</u>	<u>Payout (%)</u>	<u>% Achieved *</u>	<u>Payout (%)</u>
<75%	0%	<75%	0%
75%	25%	75%	25%
80%	50%	80%	50%
85%	75%	85%	75%
90%	100%	90%	100%
95%	110%	95%	110%
100%	120%	100%	120%

* If the percentage achieved is between the range parameters of the scale, the payout percentage will be derived from the actual percentage achieved. For example, if the percentage achieved is 88%, the payout percentage will be 90%.

Kentucky American Water
PSC DR 2 Question 5c & g

NAME	POSITION TITLE	7-Dec	8-Jan	8-Feb	8-Mar	8-Apr	8-May	8-Jun	8-Jul	8-Aug	8-Sep	8-Oct	8-Nov	Total
Coile, Rachel S.	Infimrd Financial Analyst	542	594	517	568	564	618	564	591	618	537	618	591	6,919
Rowe, Nick O.	President	4,114	4,505	3,918	4,310	4,279	4,686	4,279	4,482	4,686	4,075	4,686	4,482	52,502
Siler, Bryan V.	Infimrd Financial Analyst	495	542	471	518	515	564	515	539	564	490	564	539	6,314
Adams, Peggy A.	Exec Asst	208	228	198	217	216	226	216	226	236	206	236	226	2,649
Adams, Tobey J.	Engineering Tech (N)	175	192	167	184	182	200	182	191	200	174	200	191	2,238
Galavotij, Michael D.	Sr Engr	966	1,059	920	1,013	1,005	1,101	1,005	1,054	1,101	957	1,101	1,054	12,335
Hurt, Jason M.	Project Mgr Engr	523	573	498	548	544	596	544	570	596	518	596	570	6,676
Mireault, Debra A.	Admin Asst (N)	170	186	162	178	177	193	177	185	193	168	193	185	2,169
Stigall, Eric D.	Drafter CAD (N)	152	166	145	159	158	173	158	165	173	151	173	165	1,938
Tomko, Gregory V.	Project Mgr Engr	550	602	523	576	572	626	572	599	626	545	626	599	7,017
Walker, Shannyn C.	Engr Planning	502	550	478	526	522	572	522	547	572	497	572	547	6,408
Buehler, Pamela	Specialist Human Resources	177	193	168	185	184	201	184	192	201	175	201	192	2,254
Ballard, Patricia L.	Exec Secretary	217	237	206	227	226	246	226	236	246	214	246	236	2,764
Swope, Valeria R.	Specialist Communications	218	238	207	228	227	248	227	237	248	215	248	237	2,776
Combs, Mitz R.	Supvr Production	477	522	454	500	496	543	496	520	543	472	543	520	6,087
Coy, Timothy	Specialist Opns	186	204	177	194	193	211	193	203	211	184	211	203	2,371
Griffin, Dillard	Supt Production	1,198	1,311	1,142	1,255	1,245	1,365	1,246	1,305	1,365	1,189	1,365	1,305	15,293
Johnson, Dorothy J.	Specialist Opns	225	246	214	236	234	257	234	245	257	223	257	245	2,874
Kruchinski, Ronald K.	Specialist Opns	180	197	172	188	187	205	187	197	205	178	205	197	2,296
Mullins, Mark E.	Supvr Maint Service	518	567	493	542	539	590	539	564	590	513	590	564	6,606
Pugh, Mary E.	Admin Asst (N)	153	167	146	160	159	174	159	166	174	151	174	166	1,949
White, Joe C.	Supvr Production	582	638	554	609	605	662	605	633	662	576	662	633	7,424
Buckner, William S.	Supvr Network	589	645	562	617	613	671	613	642	671	583	671	642	7,516
Floyd, Elizabeth A.	Specialist Opns	192	210	183	201	200	218	200	209	218	190	218	209	2,449
Jackson, Jarold T.	Supvr Network	532	583	506	557	553	606	553	580	606	527	606	580	6,793
Mattingly, Manon W.	Supvr Network	554	606	527	580	576	630	576	603	630	548	630	603	7,065
Owens, Stacy R	Supvr Network	444	486	422	465	462	505	462	484	505	439	505	484	5,663
Roekard, Paul E.	Supvr Network	486	532	463	510	505	554	505	529	554	482	554	529	6,205
Walters, Mark A.	Specialist Opns	189	207	180	198	197	215	197	206	215	187	215	206	2,411
White, William F.	Supt Network	1,022	1,119	973	1,070	1,063	1,164	1,063	1,113	1,164	1,012	1,164	1,113	13,039
Anderson, Richard T.	Specialist Opns	180	198	172	188	187	205	187	197	205	179	205	197	2,298
Brumfield, Robert	Specialist Opns	244	267	232	256	254	278	254	266	278	241	278	266	3,113
Farmer, Danny R.	Supvr Storeroom	407	446	388	426	423	464	423	444	464	404	464	444	5,197
Hawthorne, Richard B.	Specialist Opns	185	203	177	194	192	211	192	202	211	183	211	202	2,364
(blank)	Project Mgr Engr	652	678	590	649	619	678	619	649	678	678	678	649	7,876
Garr, Shana D.	Lab Analyst	203	223	193	212	211	231	211	222	231	201	231	222	2,590
Shehee, David B.	Supvr Water Quality	553	606	527	579	575	630	575	603	630	548	630	603	7,061
Tudor, Carol F.	Specialist Service Delivery	217	238	207	228	226	248	226	237	248	215	248	237	2,773
Buchanan, Richard A.	Supvr Opns I	649	710	618	679	675	738	675	706	738	643	738	706	8,276
		19,826	21,677	18,651	20,732	20,559	22,514	20,619	21,539	22,514	19,666	22,514	21,539	252,550

Kentucky-American Water Company
Incentive Pay Awarded 2003-2007

Employee Name	Job Title	Incentive Paid				2007 Annual Salary	Note
		2003	2004	2005	2006		
Anderson, Richard T.	Operations Specialist	\$	\$ 650.00	\$ 1,524.52	\$ 1,354.21	\$ 1,655.36	
Arv, Darrell A.	Operations Superintendent	\$	\$ 1,550.00	\$ 484.65	\$	\$ 2,034.65	(1)
Baird, Patricia L.	Exec Secretary	\$	\$ 1,050.00	\$ 2,015.13	\$ 1,762.21	\$ 1,818.04	(1)
Braxton, Donna L.	Human Resources Manager	\$	\$ 1,400.00	\$ 8,597.76	\$	\$ 9,997.76	(2)
Bridwell, Linda C.	Director, Engineering	\$	\$ 7,650.00	\$	\$	\$ 7,650.00	(2)
Brown, Barbara K.	Director, Communications	\$	\$ 4,350.00	\$ 2,958.56	\$	\$ 7,308.56	(1)
Brunfield, Robert	Operations Specialist	\$	\$ 1,100.00	\$ 2,143.66	\$ 1,916.55	\$ 2,073.66	
Buchanan, Richard	Operations Supervisor	\$	\$ 1,400.00	\$ 2,791.13	\$ 2,440.61	\$ 5,255.47	
Buckner, William S.	Operations Supervisor	\$	\$ 1,300.00	\$ 2,597.30	\$ 2,217.02	\$ 4,774.00	
Buckler, Pamela	Specialist Human Resources	\$	\$	\$	\$ 1,004.97	\$ 1,453.00	
Burns, Larry D.	Director, Customer Service	\$	\$ 5,000.00	\$ 2,440.76	\$	\$ 7,440.76	(1)
Carr, Shana D.	Lab Analyst	\$	\$ 850.00	\$ 1,783.49	\$ 1,537.77	\$ 5,743.57	
Cole, Rachel S.	Intern Financial Analyst	\$	\$ 1,250.00	\$ 2,425.98	\$ 2,060.18	\$ 10,141.19	
Combs, Mitzel R.	Supervisor Production	\$	\$	\$ 421.33	\$ 1,911.20	\$ 3,870.30	
Coy, Timothy	Operations Specialist	\$	\$	\$	\$ 33.53	\$ 1,612.63	
Cuney, Richard D.	Maint. Service Specialist	\$	\$	\$ 281.94	\$	\$ 281.94	(2)
Dickson, Janice O.	Executive Secretary	\$	\$ 850.00	\$ 1,695.44	\$	\$ 2,545.44	(1)
Farmer, Danny	Supv Storeroom	\$	\$	\$	\$	\$ 3,116.77	
Floyd, Elizabeth A.	Operations Specialist	\$	\$ 850.00	\$ 1,668.84	\$ 1,493.37	\$ 5,629.71	
Galavotti, Michael D.	Sr Project Engr	\$	\$	\$	\$ 5,789.22	\$ 5,789.22	
Garrison, Harold L.	Operations Supervisor	\$	\$ 1,250.00	\$ 802.03	\$	\$ 2,052.03	(1)
Gibson, Marshall C.	Operations Supervisor	\$	\$	\$ 316.64	\$	\$ 316.64	
Golden, Virginia-Bibb W.	Engineering Project Manager	\$	\$ 1,750.00	\$ 3,503.02	\$ 3,056.49	\$ 9,709.06	
Goffin, Dillard	Operations Superintendent	\$	\$	\$ 1,497.80	\$ 1,423.24	\$ 1,684.07	
Hawthorne, Richard B.	Operations Specialist	\$	\$	\$	\$	\$ 2,166.12	
Hurt, Jason M.	Engineering Project Manager	\$	\$ 1,000.00	\$ 2,258.57	\$ 1,984.71	\$ 4,201.58	
Jackson, Jarold T.	Operations Supervisor	\$	\$ 1,000.00	\$ 1,956.51	\$ 1,744.49	\$ 6,535.16	
Johnson, Dorothy J.	Water Quality Specialist	\$	\$	\$	\$	\$ 1,624.16	
Kauchinski, Ronald K.	Specialist Operations	\$	\$	\$	\$	\$ 1,100.24	
Leacho, Susan L.	Mgr Communications & CSR	\$	\$	\$	\$	\$ 7,630.40	
Mattingly, Marlon W.	Operations Supervisor	\$	\$ 1,150.00	\$ 2,460.93	\$ 2,060.33	\$ 4,543.68	(3)
Mullins, Mark E.	Maint. Service Specialist	\$	\$ 37,001.00	\$ 2,274.10	\$ 2,004.91	\$ 4,194.20	
Mundy, Roy W. II	President	\$	\$	\$	\$	\$ 37,001.00	(1)
Owens, David K.	Operations Supervisor	\$	\$ 850.00	\$ 1,674.45	\$ 1,673.25	\$ 3,696.09	(1)
Owens, Stacy	Supervisor Network	\$	\$ 850.00	\$ 2,141.73	\$ 1,829.46	\$ 3,956.17	
Rookard, Paul	Manager Loss Control	\$	\$ 1,200.00	\$	\$	\$ 8,777.36	(3)
Ross, Frank A., Sr.	Director, Water Quality	\$	\$ 5,050.00	\$ 10,187.75	\$	\$ 15,237.75	(1)
Rout, J.C.	President	\$	\$	\$	\$	\$ 29,472.92	
Rowe, Nick O.	Suprv Water Quality	\$	\$ 1,200.00	\$ 2,385.08	\$ 2,156.66	\$ 4,418.79	
Shehee, David B.	Suprv Water Quality	\$	\$ 1,050.00	\$ 2,087.25	\$ 1,879.70	\$ 8,838.50	
Siler, Bryan V.	Intern Financial Analyst	\$	\$ 850.00	\$ 1,688.41	\$ 1,613.46	\$ 1,727.32	
Stone, Peggy A.	Exec Asst	\$	\$ 1,750.00	\$	\$	\$ 1,750.00	
Stockton, Stanley M.	Operations Superintendent	\$	\$ 1,400.00	\$	\$	\$ 1,400.00	(1)
Svindland, Richard C.	Sr. Operations Engineer	\$	\$	\$ 445.81	\$	\$ 1,603.58	(5)
Swope, Valena R.	Specialist Communications	\$	\$ 1,150.00	\$ 1,215.76	\$	\$ 2,049.39	
Tackett, James P.	Operations Supervisor	\$	\$ 850.00	\$ 1,656.84	\$	\$ 2,365.76	(1)
Teegarden, Randy H.	Operations Specialist	\$	\$ 1,150.00	\$ 2,256.62	\$ 2,132.16	\$ 4,697.50	(4)
Tomko, Gregory V.	Engineering Project Manager	\$	\$ 950.00	\$ 1,890.57	\$ 1,585.04	\$ 6,024.63	
Tuder, Carol F.	Specialist Service Delivery	\$	\$ 900.00	\$ 1,763.97	\$ 6,052.43	\$ 12,805.65	
Walker, Shannyn C.	Planning Engineer	\$	\$	\$ 446.06	\$ 1,388.08	\$ 1,593.35	
Walkers, Mark A.	Specialist Operations	\$	\$ 1,300.00	\$ 2,523.31	\$ 2,241.96	\$ 4,712.97	
White, Joe C.	Operations Supervisor	\$	\$ 1,350.00	\$ 2,920.57	\$ 2,615.12	\$ 6,346.15	
White, William F.	Network Superintendent	\$	\$ 5,200.00	\$	\$	\$ 15,231.84	(3)
Whitehouse, David M.	Mgr Govt & Regulatory Affairs	\$	\$	\$ 6,776.63	\$	\$ 13,649.98	(5)
Williams, Thomas W.	Sr. Staff Engineer	\$	\$	\$	\$	\$ 6,776.63	
Sub Total		\$	\$ 101,901.00	\$ 83,375.04	\$ 92,772.04	\$ 159,075.46	\$ 407,127.54

Long Term Incentive	Employee Name	Job Title	Incentive Paid				2007 Annual Salary
			2003	2004	2005	2006	
	Mundy, Roy W. II	President	\$ 61,700.50	\$ 3,420.00	\$ 11,267.00	\$	\$ 76,387.50
Grand Total			\$ 61,700.50	\$ 105,321.00	\$ 94,642.04	\$ 92,772.04	\$ 483,515.04

(1) No longer with the Company
(2) Currently Service Company employee
(3) Service Company employee for some period of employment; currently Kentucky American Water employee
(4) No longer eligible for AIP due to change in status
(5) Transferred to another region within American Water

**KENTUCKY-AMERICAN WATER COMPANY
CASE NO. 2007-00143**

**COMMISSION STAFF'S SECOND SET
OF INFORMATION REQUESTS**

Item 6 of 80

Witness: Sheila Miller

6. Kentucky-American's Response to Commission Staff's First Set of Information Requests, Item 1(a), W/P3, page 3.
- a. Identify the account in which FICA Excess of \$309,400 is reported in Kentucky-American's forecasted operating expenses.
 - b. Define the term "FICA Excess."

Response:

- a. The \$309,400 are the total wages that were used for the FICA excess calculation. There were two employees that had wages that would exceed the FICA base. Wages for both employees that exceed the FICA base are included in the labor account 501200.16, but there is no segregation for only the excess amount.
- b. For the calculation of the FICA tax, there is a base amount applicable for FICA of \$101,000 for 2008. The FICA excess is the amount that exceeds the base amount.

For electronic version, refer to KAW_R_PSCDR2#6_061807.pdf

**KENTUCKY-AMERICAN WATER COMPANY
CASE NO. 2007-00143**

**COMMISSION STAFF'S SECOND SET
OF INFORMATION REQUESTS**

Item 7 of 80

Witness: Sheila Miller

7. In its Response to Commission Staff's First Set of Information Requests Item 1(a), W/P3, page 2, Kentucky-American calculates forecasted labor expense for the total company of \$6,107,575. At Schedule C-2, page 1 of 5, of its Application, however, Kentucky-American lists forecasted labor expense as \$6,318,580. Reconcile the difference.

Response:

On W/P3, page 2 the \$6,107,575 is labeled as "original budget". Below that is the "adjusted labor" which ties to Schedule C-2, Page 1 of 5 as shown below:

Total O & M for all districts	\$6,066,616
Less Bluegrass Station	(586)
Plus Incentive	<u>252,550</u>
	\$6,318,580

The "adjusted labor" includes all pro-forma adjustments including the movement of the Directors of Govt. Affairs and Communications from the Service Company payroll to KAWC payroll.

For electronic version, refer to KAW_R_PSCDR2#7_061807.pdf

**KENTUCKY-AMERICAN WATER COMPANY
CASE NO. 2007-00143**

**COMMISSION STAFF'S SECOND SET
OF INFORMATION REQUESTS**

Item 8 of 80

Witness: Sheila Miller

8. Provide the labor capitalization rates for the 5 most recent calendar years.

Response:

Labor capitalization rates for the previous 5 years:

2002	11.81%
2003	11.33%
2004	15.63%
2005	16.22%
2006	17.61%

For electronic version, refer to KAW_R_PSCDR2#8_061807.pdf

**KENTUCKY-AMERICAN WATER COMPANY
CASE NO. 2007-00143**

**COMMISSION STAFF'S SECOND SET
OF INFORMATION REQUESTS**

Item 9 of 80

Witness: Sheila Miller

9. Refer to Kentucky-American's Response to Commission Staff's First Set of Information Requests, Item 3.
- a. State whether Kentucky-American applied the 4 percent annual wage increase applied to both union and non-union employees in the forecasted test period.
 - b. If the response to Item 9(a) is no, provide the percentage annual wage increase that Kentucky-American applied in the forecasted test period for union and non-union employees.
 - c. Provide the historical percentage wage increases for Kentucky-American's union and non-union employees for each of the previous 5 calendar years.

Response:

- a. No.
- b. Kentucky American applied a 3.5% annual wage increase to both union and non-union employees in the forecasted test period.
- c.

	<u>Non-Union</u>	<u>Inside Union</u>	<u>Outside Union</u>
2002	3.80%	3.0%	3.0%
2003	3.53%	3.0%	2.5%
2004	2.88%	3.0%	3.0%
2005	3.5%	3.0%	4.0%*
2006	3.5%	3.0%	4.0%*

*3% plus 25 cent wage adjustment

For electronic version, refer to KAW_R_PSCDR2#9_061807.pdf

**KENTUCKY-AMERICAN WATER COMPANY
CASE NO. 2007-00143**

**COMMISSION STAFF'S SECOND SET
OF INFORMATION REQUESTS**

Item 10 of 80

Witness: Sheila Miller

10. Identify all amounts included in the purchased water expense forecast for water purchased for Kentucky-American's sewer and non-regulated operations.

Response:

None.

For electronic version, refer to KAW_R_PSCDR2#10_061807.pdf