Monthly Financials
At a Glance

Publication of:
The Finance Department

700 WEST LIBERTY STREET
LOUISVILLE, KY 40203
## Performance Metrics

1

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- **Statement of Net Position**

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- **Monthly Operating Expenditures**  
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- **Detail of MSD Operating Expenses**  
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FY 2014 MSD Performance Metrics

Submitted by: Saundra Gibson
Date: 10/24/13

Operational Budget Expenditures
FY 13 $115,280,596

Capital Expenditures
FY 13 $108,669,797

Regulatory
Violation Free Months

Safety
Lost Time/Prevent Acc /OSHA

Diversity
MBE/WBE Expenditures
**NET INCOME:**

<table>
<thead>
<tr>
<th></th>
<th>YTD</th>
<th>YTD</th>
<th>Variance</th>
<th>%</th>
<th>FYTD 2014</th>
<th>FY 2014</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(thousands)</td>
<td>FY 2014</td>
<td>FY 2013</td>
<td>Change</td>
<td>Budget</td>
<td>Budget Var</td>
<td>%</td>
</tr>
<tr>
<td>Net Operating Income</td>
<td>20,683</td>
<td>20,855</td>
<td>(172)</td>
<td>(0.82%)</td>
<td>22,846</td>
<td>(2,163)</td>
<td>(9.47%)</td>
</tr>
<tr>
<td>Investment Income</td>
<td>998</td>
<td>3,141</td>
<td>(2,143)</td>
<td>(68.23%)</td>
<td>4,497</td>
<td>(3,499)</td>
<td>(77.81%)</td>
</tr>
<tr>
<td>Interest Expense</td>
<td>(14,727)</td>
<td>(16,790)</td>
<td>2,063</td>
<td>(12.29%)</td>
<td>(20,091)</td>
<td>5,364</td>
<td>(26.70%)</td>
</tr>
<tr>
<td>Other Non-operating</td>
<td>2</td>
<td>2,605</td>
<td>(2,603)</td>
<td>(99.92%)</td>
<td></td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Change in Fair Value/Swap</td>
<td>3,911</td>
<td>4,323</td>
<td>(412)</td>
<td>(9.53%)</td>
<td>3,911</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Net Income</strong></td>
<td>$ 10,867</td>
<td>$ 14,134</td>
<td>$ (3,267)</td>
<td>(23.11%)</td>
<td>$ 7,252</td>
<td>$ 3,615</td>
<td></td>
</tr>
</tbody>
</table>

- Net Income from Operations through September 2013 was $20.7 million compared to $20.9 million for the same period last year, a decrease of $.2 million or .8%.

- Investment Income through September 2013 of 1.0 million is $2.1 million or 68.2% less than the same period last year. This is attributable to an unrealized loss $2.4 million in the market value of municipal securities held in the Bond Reserve funds.

- Interest expense through September 2013 is $2.1 million or 12.3% less than the same period last year. This decrease is due to interest savings resulting from the refinance of the Series 2001, 2004 and 2005 Bonds, a reduction in interest expense from the last roll-over of the Bond Anticipation Note, as well as a reduction in swap interest expense.

- Net Income / (loss) including non-operating revenue and non-operating expense totaled $10.9 million through September 2013 compared to $14.1 million for the same period last year, a decrease of $3.3 million. This decrease is primarily due to grant funds received in FY 2012 of $2.6 million.

Prepared by: Maria Mullaney
October 22, 2013
MSD  
FINANCIAL OVERVIEW  
REVENUE & EXPENSE ANALYSIS  
SEPTEMBER 2013  
*Preliminary/Unaudited*

### REVENUES:

<table>
<thead>
<tr>
<th>Revenue</th>
<th>YTD (thousands)</th>
<th>YTD</th>
<th>Variance</th>
<th>% Change</th>
<th>FYTD 2014</th>
<th>FY 2014</th>
<th>% Budget Var</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wastewater</td>
<td>41,846</td>
<td>43,456</td>
<td>(1,610)</td>
<td>(3.70%)</td>
<td>45,485</td>
<td>(3,639)</td>
<td>-8.00%</td>
</tr>
<tr>
<td>Stormwater</td>
<td>11,564</td>
<td>10,950</td>
<td>614</td>
<td>5.61%</td>
<td>11,353</td>
<td>211</td>
<td>1.86%</td>
</tr>
<tr>
<td>Other</td>
<td>644</td>
<td>1,097</td>
<td>(453)</td>
<td>(41.29%)</td>
<td>910</td>
<td>(266)</td>
<td>-29.22%</td>
</tr>
<tr>
<td>Total Operating Revenue</td>
<td>$ 54,054</td>
<td>$ 55,503</td>
<td>$ (1,449)</td>
<td>(2.61%)</td>
<td>$ 57,748</td>
<td>$ (3,694)</td>
<td>-6.40%</td>
</tr>
</tbody>
</table>

- Total Operating Revenue as of September 30, 2013 was $54.1 million compared to $55.5 million for the same period last year, a decrease of $1.4 million or 2.6%.

- Wastewater Service Charges totaled $41.8 million as of September 30, 2013. This is a decrease of $1.6 million or 3.7% from a year ago. The decrease in volume charges is a result of unusually high revenues early in FY 2013 due to drought conditions. The amount budgeted through September 2013 is $45.5 million.

- Stormwater service charges were $11.6 million as of September 30, 2013, an increase of $.6 million or 5.6% from the same period one year ago. The amount budgeted through September 2013 is $11.4 million.

- Other income was $.6 million or 41.3% less than the amount recorded one year ago. This decrease can be attributed to a decrease in capacity charges.

### OPERATING EXPENSES:

<table>
<thead>
<tr>
<th>Expenses</th>
<th>YTD (thousands)</th>
<th>YTD</th>
<th>Variance</th>
<th>% Change</th>
<th>FYTD 2014</th>
<th>FY 2014</th>
<th>% Budget Var</th>
</tr>
</thead>
<tbody>
<tr>
<td>Service &amp; Admin Costs</td>
<td>17,407</td>
<td>19,341</td>
<td>(1,934)</td>
<td>(10.00%)</td>
<td>19,533</td>
<td>(2,126)</td>
<td>-10.88%</td>
</tr>
<tr>
<td>Depreciation</td>
<td>15,964</td>
<td>15,307</td>
<td>657</td>
<td>4.29%</td>
<td>15,369</td>
<td>595</td>
<td>3.87%</td>
</tr>
<tr>
<td>Total Operating Expenses</td>
<td>$ 33,371</td>
<td>$ 34,648</td>
<td>(1,277)</td>
<td>(3.69%)</td>
<td>$ 34,902</td>
<td>$ (1,531)</td>
<td>-4.39%</td>
</tr>
</tbody>
</table>

- Service & Administrative Costs through September 2013 were 10.0% less than the same period last year and 10.9% less than FYTD 2014 budget.

- Total Operating Expenses through September 2013 were $33.4 million which is 3.7% or $1.3 million less than the same period last year and 4.4% or $1.5 million less than FYTD 2014 budget.

Prepared by: Maria Mullaney  
October 22, 2013
## STATEMENT OF REVENUE, EXPENSE & CHANGE IN NET POSITION, SEPTEMBER 30, 2013

### PRELIMINARY / UNAUDITED

<table>
<thead>
<tr>
<th>Operating Expenses</th>
<th>YTD SEPTEMBER 2013</th>
<th>YTD SEPTEMBER 2012</th>
<th>VARIANCE %</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sewer Charges</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Residential</td>
<td>22,137,950.14</td>
<td>23,013,708.62</td>
<td>(875,758.48) [0.038]</td>
</tr>
<tr>
<td>Commercial</td>
<td>16,467,263.99</td>
<td>16,831,980.79</td>
<td>(364,716.80) [0.022]</td>
</tr>
<tr>
<td>Industrial</td>
<td>4,550,439.34</td>
<td>4,986,947.14</td>
<td>(436,507.80) [0.088]</td>
</tr>
<tr>
<td>Other</td>
<td>622,218.07</td>
<td>571,843.30</td>
<td>50,374.77  [0.088]</td>
</tr>
<tr>
<td>Free Sewer Charges</td>
<td>(1,932,392.38)</td>
<td>(1,948,102.74)</td>
<td>15,710.36  [0.008]</td>
</tr>
<tr>
<td>Total Sewer Charges</td>
<td>41,845,479.16</td>
<td>43,456,377.11</td>
<td>(1,610,897.95) [0.037]</td>
</tr>
<tr>
<td>Operating Revenue</td>
<td>54,054,208.23</td>
<td>55,502,903.17</td>
<td>(1,448,694.94) [0.026]</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Service Charges</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Service Charges</td>
<td>53,409,937.12</td>
<td>54,405,947.51</td>
<td>(996,010.39) [0.018]</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Change in Fair Value of Swaps</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Change in Net Position before change in Swaps</td>
<td>6,955,877.93</td>
<td>9,809,934.13</td>
<td>(2,854,056.20) [0.291]</td>
</tr>
<tr>
<td>Change in Net Position after change in Swaps</td>
<td>10,867,302.57</td>
<td>14,132,496.95</td>
<td>(3,265,194.38) [0.231]</td>
</tr>
<tr>
<td>Contributions</td>
<td>2,000.00</td>
<td>2,605,000.00</td>
<td>(2,603,000.00) [0.999]</td>
</tr>
<tr>
<td>Non-Operating Revenue (Expenses)</td>
<td>2,267,861.20</td>
<td>3,140,624.69</td>
<td>(973,763.48) [0.309]</td>
</tr>
<tr>
<td>Investment Income</td>
<td>997,542.83</td>
<td>3,140,624.69</td>
<td>(2,143,081.86) [0.682]</td>
</tr>
<tr>
<td>Interest Expense (4,916,597.65)</td>
<td>(14,726,851.99)</td>
<td>(16,790,571.77)</td>
<td>2,063,719.78 [0.123]</td>
</tr>
<tr>
<td>Total Non-Operating Revenue (Expenses)</td>
<td>(2,648,736.45)</td>
<td>(79,362.08)</td>
<td>(2,648,736.45) [0.006]</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Other Operating Income</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Operating Income</td>
<td>54,054,208.23</td>
<td>55,502,903.17</td>
<td>(1,448,694.94) [0.026]</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Variance</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>salaries &amp; Wages</td>
<td>9,446,992.73</td>
<td>9,272,874.20</td>
<td>174,118.53 [0.019]</td>
</tr>
<tr>
<td>Labor Related Overhead</td>
<td>4,275,044.47</td>
<td>4,286,023.28</td>
<td>(10,978.81) [0.003]</td>
</tr>
<tr>
<td>Utilities</td>
<td>3,470,387.18</td>
<td>2,729,456.39</td>
<td>741,130.79 [0.272]</td>
</tr>
<tr>
<td>Materials &amp; Supplies</td>
<td>1,966,493.65</td>
<td>2,184,022.44</td>
<td>(217,528.79) [0.100]</td>
</tr>
<tr>
<td>Contractual Services</td>
<td>3,894,212.33</td>
<td>4,475,337.37</td>
<td>(581,125.04) [0.130]</td>
</tr>
<tr>
<td>Chemicals</td>
<td>785,467.75</td>
<td>844,117.08</td>
<td>(58,649.33) [0.069]</td>
</tr>
<tr>
<td>Fuel</td>
<td>445,032.84</td>
<td>456,130.01</td>
<td>(11,097.17) [0.024]</td>
</tr>
<tr>
<td>Insurance Premiums &amp; Claims</td>
<td>411,688.12</td>
<td>343,350.75</td>
<td>68,337.37 [0.199]</td>
</tr>
<tr>
<td>Bad Debt</td>
<td>496,116.54</td>
<td>296,781.78</td>
<td>199,334.76 [0.672]</td>
</tr>
<tr>
<td>Other</td>
<td>189,670.42</td>
<td>66,130.00</td>
<td>123,536.42 [1.868]</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Operating Income</td>
<td>54,054,208.23</td>
<td>55,502,903.17</td>
<td>(1,448,694.94) [0.026]</td>
</tr>
</tbody>
</table>

**Operating Expenses**

<table>
<thead>
<tr>
<th>Operating Expenses</th>
<th>YTD SEPTEMBER 2013</th>
<th>YTD SEPTEMBER 2012</th>
<th>VARIANCE %</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries &amp; Wages</td>
<td>9,446,992.73</td>
<td>9,272,874.20</td>
<td>174,118.53 [0.019]</td>
</tr>
<tr>
<td>Labor Related Overhead</td>
<td>4,275,044.47</td>
<td>4,286,023.28</td>
<td>(10,978.81) [0.003]</td>
</tr>
<tr>
<td>Utilities</td>
<td>3,470,387.18</td>
<td>2,729,456.39</td>
<td>741,130.79 [0.272]</td>
</tr>
<tr>
<td>Capitalized Overhead</td>
<td>(7,975,182.93)</td>
<td>(7,953,728.33)</td>
<td>(2,454.60) [0.003]</td>
</tr>
<tr>
<td>Total Operating Income</td>
<td>54,054,208.23</td>
<td>55,502,903.17</td>
<td>(1,448,694.94) [0.026]</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Operating Income</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Operating Income</td>
<td>20,854,881.21</td>
<td>(171,694.12) [0.008]</td>
<td></td>
</tr>
</tbody>
</table>

### Preliminary/Unaudited

*Prepared by: Maria Mullaney*  
*October 22, 2013*
<table>
<thead>
<tr>
<th>Description</th>
<th>SEPTEMBER 2013</th>
<th>JUNE 2013</th>
<th>VARIANCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current Assets</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unrestricted Cash &amp; Cash Equivalents</td>
<td>54,235,532.65</td>
<td>66,475,856.64</td>
<td>(12,240,323.99)</td>
</tr>
<tr>
<td>Sewer &amp; Drainage Receivable</td>
<td>16,145,212.21</td>
<td>13,514,706.98</td>
<td>2,630,505.23</td>
</tr>
<tr>
<td>Assessment Warrants Receivable</td>
<td>1,840,559.81</td>
<td>1,916,632.99</td>
<td>(76,073.18)</td>
</tr>
<tr>
<td>Miscellaneous Receivables</td>
<td>5,376,270.68</td>
<td>2,616,692.05</td>
<td>2,759,578.63</td>
</tr>
<tr>
<td>Inventories</td>
<td>3,611,911.82</td>
<td>3,579,207.78</td>
<td>32,704.04</td>
</tr>
<tr>
<td>Prepaid Expenses</td>
<td>1,854,185.88</td>
<td>884,256.21</td>
<td>969,929.67</td>
</tr>
<tr>
<td>Restricted Funds</td>
<td>160,448,074.77</td>
<td>152,822,771.71</td>
<td>7,645,797.06</td>
</tr>
<tr>
<td>Accrued Interest Receivable</td>
<td>1,226,220.56</td>
<td>1,226,220.56</td>
<td>0</td>
</tr>
<tr>
<td><strong>Total Current Assets</strong></td>
<td>244,757,968.38</td>
<td>243,035,850.92</td>
<td>1,722,117.46</td>
</tr>
<tr>
<td>Non-Current Assets</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Utility Plant in Service</td>
<td>2,709,574,112.59</td>
<td>2,702,448,024.34</td>
<td>7,166,088.25</td>
</tr>
<tr>
<td>Accumulated Depreciation</td>
<td>(899,829,375.23)</td>
<td>(884,198,996.76)</td>
<td>(15,630,378.45)</td>
</tr>
<tr>
<td>Construction in Progress</td>
<td>393,359,192.09</td>
<td>371,816,063.19</td>
<td>21,543,128.90</td>
</tr>
<tr>
<td><strong>Non-Current Receivables</strong></td>
<td>16,916,510.32</td>
<td>17,549,336.57</td>
<td>(632,826.25)</td>
</tr>
<tr>
<td><strong>Total Current Liabilities</strong></td>
<td>2,483,232,282.27</td>
<td>2,469,363,550.15</td>
<td>13,868,732.12</td>
</tr>
<tr>
<td>Non-Current Liabilities</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Miscellaneous Accounts Payable</td>
<td>5,065,096.49</td>
<td>7,420,215.65</td>
<td>(2,355,119.16)</td>
</tr>
<tr>
<td>Accounts Payable - Construction</td>
<td>691,698.63</td>
<td>10,724,189.49</td>
<td>(10,032,490.86)</td>
</tr>
<tr>
<td>Contract Retainage</td>
<td>5,814,343.04</td>
<td>5,443,645.45</td>
<td>370,697.59</td>
</tr>
<tr>
<td>Accrued Interest Payable</td>
<td>33,083,277.55</td>
<td>12,458,431.63</td>
<td>20,624,845.92</td>
</tr>
<tr>
<td>Current Maturities of Bonds Payable</td>
<td>27,035,000.00</td>
<td>27,035,000.00</td>
<td>0</td>
</tr>
<tr>
<td>Bond Anticipation Notes</td>
<td>228,690,867.09</td>
<td>228,690,867.09</td>
<td>0</td>
</tr>
<tr>
<td>Deposits Payable</td>
<td>1,110,378.95</td>
<td>1,137,480.13</td>
<td>(27,101.18)</td>
</tr>
<tr>
<td>Accrued Salaries &amp; Wages</td>
<td>1,308,056.48</td>
<td>1,162,057.62</td>
<td>146,498.86</td>
</tr>
<tr>
<td>Accrued Workers’ Comp Insurance</td>
<td>1,832,161.79</td>
<td>1,832,161.79</td>
<td>0</td>
</tr>
<tr>
<td>Employee Comp Absences Payable</td>
<td>2,043,110.08</td>
<td>2,278,793.80</td>
<td>(235,683.72)</td>
</tr>
<tr>
<td><strong>Total Current Liabilities</strong></td>
<td>306,674,439.10</td>
<td>298,182,842.65</td>
<td>8,491,596.45</td>
</tr>
<tr>
<td><strong>Total Liabilities</strong></td>
<td>1,466,058,296.20</td>
<td>1,465,686,628.64</td>
<td>371,667.56</td>
</tr>
<tr>
<td>Unamortized Debt Premium</td>
<td>55,103,952.62</td>
<td>56,763,868.03</td>
<td>(1,659,915.41)</td>
</tr>
<tr>
<td>Other Deferred Debts</td>
<td>78,031,283.88</td>
<td>82,233,202.93</td>
<td>(4,201,919.05)</td>
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<tr>
<td><strong>Total Deferred Inflow of Resources</strong></td>
<td>133,135,236.50</td>
<td>138,997,070.96</td>
<td>(5,861,834.46)</td>
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<td><strong>Total Liabilities &amp; Deferred Inflow of Resources</strong></td>
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<td>1,902,866,542.25</td>
<td>3,001,429.55</td>
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<tr>
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<td>577,364,310.47</td>
<td>566,497,007.90</td>
<td>10,867,302.57</td>
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FY14
MSD Operating Performance
as of 9/30/13

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<th>July</th>
<th>August</th>
<th>September</th>
<th>October</th>
<th>November</th>
<th>December</th>
<th>January</th>
<th>February</th>
<th>March</th>
<th>April</th>
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<th>June</th>
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<td>8,850,109</td>
<td>7,851,341</td>
<td>9,040,318</td>
<td>8,747,213</td>
<td>8,932,186</td>
<td>7,661,459</td>
<td>9,567,360</td>
<td>7,677,838</td>
<td>10,239,672</td>
<td>11,625,964</td>
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<td>FY12 Budget</td>
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<td>8,576,673</td>
<td>9,335,042</td>
<td>9,121,497</td>
<td>9,575,862</td>
<td>7,561,275</td>
<td>9,333,951</td>
<td>8,651,037</td>
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<td>10,079,761</td>
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<td>FY13 Budget</td>
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<td>8,233,728</td>
<td>9,177,573</td>
<td>8,774,161</td>
<td>9,326,840</td>
<td>9,527,659</td>
<td>7,624,472</td>
<td>9,312,560</td>
<td>9,658,143</td>
<td>9,495,244</td>
<td>9,495,244</td>
<td>10,555,382</td>
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<td>FY14 Budget</td>
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<td>9,284,980</td>
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Submitted by: Patrick Meador
10/24/2013
## FY14
### Summary of MSD Operating Expense
#### as of 9/30/13

<table>
<thead>
<tr>
<th>Operating Expenses</th>
<th>FY14 Budget</th>
<th>FY14 YTD Actual</th>
<th>FY13 YTD Actual</th>
<th>Variance Actual to Budget</th>
<th>Variance Actual to Prior Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries &amp; Wages</td>
<td>10,086,583</td>
<td>9,446,993</td>
<td>9,272,874</td>
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<td>174,119</td>
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<td>4,282,297</td>
<td>4,275,044</td>
<td>4,286,023</td>
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<td>(10,979)</td>
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<td>3,470,689</td>
<td>2,729,456</td>
<td>740,289</td>
<td>741,233</td>
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<td>Materials &amp; Supplies</td>
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<td>904,934</td>
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<td>(146,313)</td>
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<td>3,192,376</td>
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<td>1,135,755</td>
<td>784,962</td>
<td>839,387</td>
<td>(1,304,808)</td>
<td>(54,425)</td>
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<td>445,033</td>
<td>456,130</td>
<td>(10,107)</td>
<td>(11,097)</td>
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<td>411,688</td>
<td>343,249</td>
<td>(9,715)</td>
<td>68,439</td>
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<td>405,000</td>
<td>496,117</td>
<td>296,782</td>
<td>91,117</td>
<td>199,335</td>
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<td>Other Operating Expense</td>
<td>687,370</td>
<td>185,112</td>
<td>65,391</td>
<td>(502,258)</td>
<td>119,721</td>
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<td>2,058,651</td>
<td>2,265,847</td>
<td>207,196</td>
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System Roll-up Variance $9,091*

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<th>DIVISIONS</th>
<th>FY14 Budget</th>
<th>FY14 YTD Actual</th>
<th>FY13 YTD Actual</th>
<th>Variance Actual to Budget</th>
<th>Variance Actual to Prior Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Engineering</td>
<td>1,131,005</td>
<td>1,049,464</td>
<td>1,021,785</td>
<td>(81,541)</td>
<td>27,679</td>
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<tr>
<td>Executive</td>
<td>1,076,672</td>
<td>453,918</td>
<td>301,613</td>
<td>(622,754)</td>
<td>152,305</td>
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<td>Finance</td>
<td>3,416,785</td>
<td>2,372,477</td>
<td>1,912,714</td>
<td>(1,044,308)</td>
<td>459,763</td>
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<td>Human Resources</td>
<td>901,135</td>
<td>756,510</td>
<td>750,924</td>
<td>(144,625)</td>
<td>5,569</td>
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<tr>
<td>I&amp;FP</td>
<td>5,633,412</td>
<td>5,023,075</td>
<td>5,032,194</td>
<td>(60,127)</td>
<td>9,119</td>
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<tr>
<td>Information Technology</td>
<td>2,473,785</td>
<td>2,080,575</td>
<td>2,841,831</td>
<td>(761,256)</td>
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<tr>
<td>Legal Services</td>
<td>485,283</td>
<td>368,778</td>
<td>289,096</td>
<td>(116,685)</td>
<td>79,682</td>
</tr>
<tr>
<td>Metro</td>
<td>4,936,467</td>
<td>4,519,959</td>
<td>4,123,137</td>
<td>(416,508)</td>
<td>396,822</td>
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<tr>
<td>MFWTP</td>
<td>5,698,110</td>
<td>5,460,515</td>
<td>4,965,569</td>
<td>(502,542)</td>
<td>494,947</td>
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<td>Physical Assets</td>
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<td>1,866,379</td>
<td>2,031,364</td>
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<tr>
<td>Regulatory Services</td>
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<td>1,420,564</td>
<td>1,382,206</td>
<td>(38,359)</td>
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</table>

Submitted by: Patrick Meador
10/24/2013
## Detail of MSD Operating Expense
### as of 9/30/13

<table>
<thead>
<tr>
<th>Operating Expenses</th>
<th>ENGINEERING</th>
<th>EXECUTIVE</th>
<th>FINANCE</th>
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<tr>
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<td>FY14 Budget</td>
<td>FY14 YTD Act</td>
<td>FY14 Budget</td>
</tr>
<tr>
<td>Salaries &amp; Wages</td>
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<td>Materials &amp; Supplies</td>
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<td>1,365</td>
<td>246,714</td>
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<td>0</td>
</tr>
<tr>
<td>Fuel</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Insurance Premiums &amp; Claims</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Bad Debt</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Other Operating Expense</td>
<td>2,590</td>
<td>2,979</td>
<td>442,844</td>
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<tr>
<td>Operational Improvements</td>
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<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>1,131,005</td>
<td>1,049,464</td>
<td>1,076,672</td>
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<table>
<thead>
<tr>
<th>Operating Expenses</th>
<th>LEGAL SERVICES</th>
<th>METRO</th>
<th>MFWTP</th>
</tr>
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<tbody>
<tr>
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<td>FY14 Budget</td>
<td>FY14 YTD Act</td>
<td>FY14 Budget</td>
</tr>
<tr>
<td>Salaries &amp; Wages</td>
<td>156,450</td>
<td>159,298</td>
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<tr>
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<td>53,380</td>
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<td>1,371,233</td>
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<td>Materials &amp; Supplies</td>
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<td>1,520</td>
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<tr>
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<tr>
<td>Operational Improvements</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>485,283</td>
<td>368,778</td>
<td>4,936,467</td>
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Submitted by: Patrick Meador
10/24/2013
### Detail of MSD Operating Expense as of 9/30/13

#### HUMAN RESOURCES

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<tr>
<th>Operating Expenses</th>
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<th>FY14 YTD Act</th>
<th>IF&amp;P</th>
<th>FY14 Budget</th>
<th>FY14 YTD Act</th>
<th>INFORMATION TECHNOLOGY</th>
<th>FY14 Budget</th>
<th>FY14 YTD Act</th>
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<tr>
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#### PHYSICAL ASSETS

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<th>FY14 Budget</th>
<th>FY14 YTD Act</th>
<th>REGULATORY SERVICES</th>
<th>FY14 Budget</th>
<th>FY14 YTD Act</th>
<th>TOTAL</th>
<th>FY14 Budget</th>
<th>FY14 YTD Act</th>
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<td>Insurance Premiums &amp; Claims</td>
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<td>0</td>
<td>0</td>
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<td>411,688</td>
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</tr>
<tr>
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<td>0</td>
<td>405,000</td>
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<tr>
<td>Other Operating Expense</td>
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<tr>
<td>Operational Improvements</td>
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<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
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</tr>
<tr>
<td><strong>Total</strong></td>
<td>2,165,560</td>
<td>1,866,379</td>
<td>1,645,551</td>
<td>1,420,564</td>
<td>29,563,765</td>
<td>25,372,215</td>
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<td></td>
</tr>
</tbody>
</table>

Submitted by: Patrick Meador
10/24/2013
## FY14 MSD STAFFING
### SEPTEMBER

<table>
<thead>
<tr>
<th>Division</th>
<th>UNION</th>
<th>NON-UNION</th>
<th>HEADCOUNT</th>
<th>FY14 BUDGET</th>
</tr>
</thead>
<tbody>
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<td>ENGINEERING</td>
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<td>47.0</td>
<td>47.0</td>
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<td>EXECUTIVE</td>
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<td>9.0</td>
<td>9.0</td>
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<tr>
<td>FINANCE</td>
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<td>21.0</td>
<td>21.0</td>
<td>23.0</td>
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<td>HUMAN RESOURCES</td>
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<td>10.0</td>
<td>10.0</td>
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<tr>
<td>IF&amp;P</td>
<td>165.0</td>
<td>46.0</td>
<td>211.0</td>
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<td>LEGAL</td>
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<td>8.0</td>
<td>8.0</td>
<td>8.0</td>
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<tr>
<td>METRO</td>
<td>53.0</td>
<td>21.0</td>
<td>74.0</td>
<td>82.0</td>
</tr>
<tr>
<td>MFWTP</td>
<td>59.0</td>
<td>30.0</td>
<td>89.0</td>
<td>90.0</td>
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<td>PHYSICAL ASSETS</td>
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<td>20.0</td>
<td>36.0</td>
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<tr>
<td>REGULATORY SERVICES</td>
<td>0.0</td>
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<td>55.0</td>
<td>62.0</td>
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<tr>
<td><strong>ALL DIVISIONS</strong></td>
<td>293.0</td>
<td>326.0</td>
<td>619.0</td>
<td>655.0</td>
</tr>
</tbody>
</table>

| Prior Month - July        | 292.0 | 332.0     | 624.0     | 655.0       |
| Prior Month - August      | 291.0 | 327.0     | 618.0     | 655.0       |

Submitted by: Patrick Meador
10/24/2013
MSD's Overtime Analysis

**MSD's Overtime Analysis**

**MSD's Overtime for Fiscal Year 2013**

<table>
<thead>
<tr>
<th>Division</th>
<th>Total Overtime</th>
<th>% of Total Overtime</th>
</tr>
</thead>
<tbody>
<tr>
<td>Home Office</td>
<td>2,459,669.41</td>
<td>100.00%</td>
</tr>
<tr>
<td>Infrastructure and Flood Proc. Div.</td>
<td>843,461.53</td>
<td>34.29%</td>
</tr>
<tr>
<td>MFWTP Oper. and Maintenance</td>
<td>932,091.58</td>
<td>37.89%</td>
</tr>
<tr>
<td>Metro Oper. and Maintenance</td>
<td>408,796.94</td>
<td>16.62%</td>
</tr>
<tr>
<td>Physical Assets Div.</td>
<td>32,795.49</td>
<td>1.33%</td>
</tr>
<tr>
<td>Regulatory Services Div.</td>
<td>82,420.88</td>
<td>3.35%</td>
</tr>
<tr>
<td>Engineering Div.</td>
<td>103,387.70</td>
<td>4.20%</td>
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</tbody>
</table>

**Fiscal Year 2013 Total OT/Total Salary**

- Total Overtime: $2,459,669.41
- Total Salary: $38,477,406.75
- Overtime Percentage of Total Salary: 6.39%

**September YTD FY'14 vs. September YTD FY'13**

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
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<th></th>
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<th></th>
<th></th>
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</thead>
<tbody>
<tr>
<td>Home Office</td>
<td>9,052.98</td>
<td>13,644.79</td>
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<td></td>
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<td>579,286.60</td>
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<tr>
<td>Infrastructure and Flood Proc. Div.</td>
<td>231,095.67</td>
<td>175,799.99</td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MFWTP Oper. and Maintenance</td>
<td>207,268.14</td>
<td>201,996.58</td>
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<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>4,271.15</td>
<td></td>
</tr>
<tr>
<td>Metro Oper. and Maintenance</td>
<td>82,074.79</td>
<td>115,906.26</td>
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<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Physical Assets Div.</td>
<td>2,627.30</td>
<td>2,338.84</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>208.36</td>
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<tr>
<td>Regulatory Services Div.</td>
<td>17,797.40</td>
<td>16,176.89</td>
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<td></td>
<td></td>
<td></td>
<td>1,620.51</td>
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<tr>
<td>Engineering Div.</td>
<td>29,370.42</td>
<td>24,898.32</td>
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<td></td>
<td></td>
<td></td>
<td>4,472.10</td>
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</table>

**Total Overtime vs. Total Salary for Fiscal Year 2014**

<table>
<thead>
<tr>
<th>Month</th>
<th>Total Overtime</th>
<th>Total Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Apr-14</td>
<td>$210,049.85</td>
<td>$190,200.91</td>
</tr>
<tr>
<td>May-14</td>
<td>$179,035.84</td>
<td>$191,200.91</td>
</tr>
<tr>
<td>Jun-14</td>
<td>$191,200.91</td>
<td>$179,035.84</td>
</tr>
<tr>
<td>Jul-14</td>
<td>$3,013,353.97</td>
<td>$3,709,978.08</td>
</tr>
<tr>
<td>Aug-14</td>
<td>$2,964,961.18</td>
<td>$3,013,353.97</td>
</tr>
<tr>
<td>Sep-14</td>
<td>$3,709,978.08</td>
<td>$2,964,961.18</td>
</tr>
</tbody>
</table>

**Overtime Percentage of Total Salary**

- Total Overtime: 6.97%
- Total Salary: 5.14%
**MSD Capital Budget Performance**

**YTD as of 9/30/13**

- **Planning/Design:** $130,289 (8.20%)
- **Easements:** $180,823 (4.76%)
- **Construction:** $218,430 (49.83%)
- **Equipment:** $208,258 (49.83%)
- **Labor:** $200,882 (35.97%)
- **Other:** $108,670 (22.11%)

**Total Expenditures to Date:** $22,100,806

Submitted by: Patrick Meador 10/24/2013
MSD MONTHLY CAPITAL SPENDING BY TYPE
As of 9/30/13

<table>
<thead>
<tr>
<th></th>
<th>IOAP</th>
<th>Sanitary</th>
<th>Drainage</th>
<th>Floodwall</th>
</tr>
</thead>
<tbody>
<tr>
<td>2014</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>July</td>
<td>9,806,841</td>
<td>5,700,370</td>
<td>2,136,563</td>
<td>55,682</td>
</tr>
<tr>
<td>August</td>
<td>(90,026)</td>
<td>1,286,277</td>
<td>1,872,499</td>
<td>27,550</td>
</tr>
<tr>
<td>September</td>
<td>4,852,546</td>
<td>1,235,418</td>
<td>2,153,213</td>
<td>43,579</td>
</tr>
<tr>
<td>October</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>November</td>
<td>0</td>
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<tr>
<td>December</td>
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<tr>
<td>January</td>
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<td>February</td>
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<td>March</td>
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<tr>
<td>April</td>
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<tr>
<td>May</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>June</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>14,569,361</td>
<td>10,281,322</td>
<td>5,295,339</td>
<td>126,811</td>
</tr>
<tr>
<td>Percentage</td>
<td>66%</td>
<td>55%</td>
<td>24%</td>
<td>1%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>IOAP</th>
<th>Sanitary</th>
<th>Drainage</th>
<th>Floodwall</th>
</tr>
</thead>
<tbody>
<tr>
<td>2013</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>July</td>
<td>5,700,370</td>
<td>2,325,418</td>
<td>113,239</td>
<td>55,677</td>
</tr>
<tr>
<td>August</td>
<td>529,406</td>
<td>1,428,950</td>
<td>316,922</td>
<td>243,449</td>
</tr>
<tr>
<td>September</td>
<td>4,051,546</td>
<td>1,804,255</td>
<td>778,787</td>
<td>354,021</td>
</tr>
<tr>
<td>October</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>November</td>
<td>0</td>
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<td>0</td>
<td>0</td>
</tr>
<tr>
<td>December</td>
<td>0</td>
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<tr>
<td>January</td>
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<tr>
<td>February</td>
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<td>0</td>
</tr>
<tr>
<td>March</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>April</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>May</td>
<td>0</td>
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<td>0</td>
</tr>
<tr>
<td>June</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>10,281,322</td>
<td>6,468,623</td>
<td>1,208,948</td>
<td>653,147</td>
</tr>
<tr>
<td>Percentage</td>
<td>55%</td>
<td>35%</td>
<td>6%</td>
<td>4%</td>
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</table>

Submitted by: Patrick Meador
10/24/2013
### MSD Annual Capital Spending by Type

**Years 2000 through 2014**

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<tr>
<th>2014</th>
<th>July</th>
<th>August</th>
<th>September</th>
<th>October</th>
<th>November</th>
<th>December</th>
<th>January</th>
<th>February</th>
<th>March</th>
<th>April</th>
<th>May</th>
<th>June</th>
<th>Total</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>IOAP</strong></td>
<td>9,806,841</td>
<td>(90,026)</td>
<td>4,852,546</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>14,569,361</td>
<td>66%</td>
</tr>
<tr>
<td><strong>Sanitary</strong></td>
<td>2,136,563</td>
<td>1,286,277</td>
<td>1,872,499</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>5,295,339</td>
<td>24%</td>
</tr>
<tr>
<td><strong>Drainage</strong></td>
<td>194,007</td>
<td>(237,925)</td>
<td>2,153,213</td>
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<td>0</td>
<td>0</td>
<td>2,309,295</td>
<td>10%</td>
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<tr>
<td><strong>Floodwall</strong></td>
<td>55,682</td>
<td>27,550</td>
<td>43,579</td>
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<td>0</td>
<td>0</td>
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<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>126,811</td>
<td>1%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>12,193,092</td>
<td>985,876</td>
<td>8,921,837</td>
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<td>0</td>
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<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>22,100,806</td>
<td>100%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2013</th>
<th>July</th>
<th>August</th>
<th>September</th>
<th>October</th>
<th>November</th>
<th>December</th>
<th>January</th>
<th>February</th>
<th>March</th>
<th>April</th>
<th>May</th>
<th>June</th>
<th>Total</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>IOAP</strong></td>
<td>5,700,370</td>
<td>529,406</td>
<td>4,051,546</td>
<td>5,870,303</td>
<td>5,262,884</td>
<td>2,175,617</td>
<td>4,671,571</td>
<td>3,396,553</td>
<td>4,419,463</td>
<td>4,563,843</td>
<td>6,574,245</td>
<td>11,034,956</td>
<td>58,250,756</td>
<td>49%</td>
</tr>
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<td><strong>Sanitary</strong></td>
<td>2,235,418</td>
<td>1,428,950</td>
<td>1,804,255</td>
<td>8,523,240</td>
<td>3,556,014</td>
<td>8,192,277</td>
<td>5,036,608</td>
<td>5,779,540</td>
<td>2,852,605</td>
<td>3,118,845</td>
<td>2,168,210</td>
<td>7,788,675</td>
<td>54,484,436</td>
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<tr>
<td><strong>Drainage</strong></td>
<td>113,239</td>
<td>316,922</td>
<td>778,787</td>
<td>45,510</td>
<td>665,524</td>
<td>365,326</td>
<td>302,461</td>
<td>240,850</td>
<td>250,362</td>
<td>306,725</td>
<td>323,745</td>
<td>600,448</td>
<td>4,309,900</td>
<td>4%</td>
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<td><strong>Floodwall</strong></td>
<td>55,677</td>
<td>243,449</td>
<td>354,021</td>
<td>323,742</td>
<td>166,345</td>
<td>233,328</td>
<td>137,504</td>
<td>56,447</td>
<td>55,114</td>
<td>4,254</td>
<td>122,882</td>
<td>118,725</td>
<td>1,871,488</td>
<td>2%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
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<td>0</td>
<td>0</td>
<td>19,542,804</td>
<td>118,916,780</td>
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</table>

**IOAP:** Integrated Overflow Abatement Plan
## MSD's Operating Revenue
### FY 2014
#### in 000's

<table>
<thead>
<tr>
<th>Residential</th>
<th>Jul</th>
<th>Aug</th>
<th>Sept</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>Mar</th>
<th>Apr</th>
<th>May</th>
<th>Jun</th>
<th>YTD Totals</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sewer</td>
<td></td>
<td></td>
<td></td>
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<td></td>
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<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>$7,127</td>
<td>26.94%</td>
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<tr>
<td>Service Charge</td>
<td>$2,307</td>
<td>$2,373</td>
<td>$2,447</td>
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<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Volume Charges</td>
<td>$2,894</td>
<td>$3,134</td>
<td>$3,036</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$9,064</td>
<td>34.26%</td>
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<tr>
<td>Quality Charges</td>
<td>-</td>
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<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.00%</td>
</tr>
<tr>
<td>Meter Reading Charge</td>
<td>-</td>
<td>-</td>
<td>-</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>0.00%</td>
</tr>
<tr>
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<td>$4,321</td>
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<tr>
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<td>$1,361</td>
<td>$1,154</td>
<td>$1,406</td>
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<td></td>
<td></td>
<td></td>
<td>$26,458</td>
<td>100.00%</td>
</tr>
<tr>
<td>Sewer</td>
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<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$1,748</td>
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<td></td>
</tr>
<tr>
<td>Volume Charges</td>
<td>$3,912</td>
<td>$2,694</td>
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<td></td>
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<td>$12</td>
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<td>$4,699</td>
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<td></td>
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<td></td>
<td></td>
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<tr>
<td>Volume Charges</td>
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<td>$493</td>
<td>$671</td>
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<td>$1,875</td>
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<td>$6</td>
<td>$6</td>
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<td>$17</td>
<td>0.32%</td>
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<tr>
<td>Consent Decree Charge</td>
<td>$223</td>
<td>$154</td>
<td>$208</td>
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<td></td>
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<td></td>
<td></td>
<td>$584</td>
<td>10.94%</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$790</td>
<td>14.79%</td>
</tr>
<tr>
<td>Drainage Fees</td>
<td>$272</td>
<td>$225</td>
<td>$293</td>
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<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Charges</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td>$5,947</td>
<td>100.00%</td>
</tr>
<tr>
<td>Free Charges</td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$622</td>
<td></td>
</tr>
<tr>
<td>Free Sewer</td>
<td>$(598)</td>
<td>$(449)</td>
<td>$(885)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$(1,932)</td>
<td></td>
</tr>
<tr>
<td>Free Drainage</td>
<td>$(77)</td>
<td>$(96)</td>
<td>$(72)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$(245)</td>
<td></td>
</tr>
<tr>
<td>Total Sewer</td>
<td>$14,319</td>
<td>$12,579</td>
<td>$14,948</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$41,845</td>
<td>78.35%</td>
</tr>
<tr>
<td>Total Drainage</td>
<td>$3,742</td>
<td>$3,933</td>
<td>$3,889</td>
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<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>$11,564</td>
<td>21.65%</td>
</tr>
<tr>
<td>Total Service Charges</td>
<td>$18,060</td>
<td>$16,512</td>
<td>$18,837</td>
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<td></td>
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<td></td>
<td></td>
<td></td>
<td>$53,409</td>
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</table>

## Revenue Comparison - FY 2013 to FY 2014

<table>
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<tr>
<th>Month</th>
<th>FY13</th>
<th>FY14</th>
<th>Change</th>
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<tbody>
<tr>
<td>Jul</td>
<td>$14,319</td>
<td>$12,579</td>
<td>$-1,740</td>
</tr>
<tr>
<td>Aug</td>
<td>$3,742</td>
<td>$3,933</td>
<td>$+191</td>
</tr>
<tr>
<td>Sept</td>
<td>$14,948</td>
<td>$14,498</td>
<td>$-450</td>
</tr>
<tr>
<td>Oct</td>
<td>$16,512</td>
<td>$18,837</td>
<td>$+2,325</td>
</tr>
</tbody>
</table>

**Revenue Comparison - FY 2013 to FY 2014**

- **Total Residential**: $26,458 (100.00%)
- **Total Commercial**: $23,167 (100.00%)
- **Total Industrial**: $5,947 (100.00%)
- **Other Charges**: $622
- **Free Charges**: $(1,932)
- **Free Drainage**: $(245)

---

*Monthly Operating Revenue (000's)*

*YTD Operating Revenue (000's)*

*Total Service Charges*
### Louisville and Jefferson County
#### Metropolitan Sewer District
#### Wastewater Customer Count

For: September 2013

<table>
<thead>
<tr>
<th>Code</th>
<th>Service Area</th>
<th>Residential</th>
<th>Commercial</th>
<th>Industrial</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Active</td>
<td>Off</td>
<td>Active</td>
<td>Off</td>
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<tr>
<td>80</td>
<td>SHADOW WOOD</td>
<td>50</td>
<td>0</td>
<td>29</td>
<td>0</td>
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<tr>
<td>139</td>
<td>SILVER HEIGHTS</td>
<td>571</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>140</td>
<td>DEREK GUTHRIE</td>
<td>59,549</td>
<td>1,304</td>
<td>3,687</td>
<td>129</td>
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<td>151</td>
<td>MORRIS FORMAN - CITY</td>
<td>67,731</td>
<td>5,608</td>
<td>9,037</td>
<td>745</td>
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<tr>
<td>152</td>
<td>MORRIS FORMAN - COUNTY</td>
<td>49,425</td>
<td>527</td>
<td>4,793</td>
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<tr>
<td>153</td>
<td>HITE CREEK</td>
<td>7252</td>
<td>46</td>
<td>507</td>
<td>3</td>
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<tr>
<td>155</td>
<td>GLENVIEW BLUFF</td>
<td>20</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>158</td>
<td>KEN CARLA</td>
<td>23</td>
<td>0</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td>160</td>
<td>BERRYTOWN</td>
<td>231</td>
<td>6</td>
<td>21</td>
<td>0</td>
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<tr>
<td>164</td>
<td>MCNEELY LAKE</td>
<td>386</td>
<td>8</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>197</td>
<td>STARVIEW</td>
<td>144</td>
<td>1</td>
<td>18</td>
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<td>JEFFERSONTOWN</td>
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<td>890</td>
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<tr>
<td>235</td>
<td>GLEN OAKS - SEC. 5 ONLY(Hite Cre</td>
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<td>0</td>
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<tr>
<td>237</td>
<td>CEDAR CREEK</td>
<td>9,911</td>
<td>76</td>
<td>224</td>
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<tr>
<td>238</td>
<td>BANCROFT</td>
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<td>239</td>
<td>HUNTING CREEK</td>
<td>1,496</td>
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<td>240</td>
<td>TIMBERLAKE</td>
<td>314</td>
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<td>15</td>
<td>0</td>
</tr>
<tr>
<td>244</td>
<td>MOSER FARM(Hite Creek)</td>
<td>166</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>294</td>
<td>FLOYDS FORK</td>
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<td>273</td>
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**GRAND TOTALS**

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<th>Residential</th>
<th>Commercial</th>
<th>Industrial</th>
<th>Totals</th>
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</thead>
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<tr>
<td>211,406</td>
<td>19,529</td>
<td>417</td>
<td>231,352</td>
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<tr>
<td>7,630</td>
<td>1017</td>
<td>45</td>
<td>8,692</td>
</tr>
<tr>
<td>Account Type</td>
<td>JUL</td>
<td>AUG</td>
<td>SEPT</td>
</tr>
<tr>
<td>--------------</td>
<td>------</td>
<td>------</td>
<td>------</td>
</tr>
<tr>
<td>MSDAC</td>
<td>93</td>
<td>109</td>
<td>55</td>
</tr>
<tr>
<td>MSDDA</td>
<td>10</td>
<td>9</td>
<td>8</td>
</tr>
<tr>
<td>MSDDR</td>
<td>601</td>
<td>558</td>
<td>515</td>
</tr>
<tr>
<td>MSDSW</td>
<td>12</td>
<td>11</td>
<td>10</td>
</tr>
<tr>
<td></td>
<td>716</td>
<td>687</td>
<td>588</td>
</tr>
</tbody>
</table>

MSDAC - CUSTOMER DRAIN/SEWER
MSDDA - ADD DRAIN TO WATER ACCOUNT
MSDDR - DRAIN ONLY ACCOUNT
MSDSW - ADD SEWER TO WATER ACCOUNT

Submitted by: Sharon Dawson
Date: 10/13
From October 1st to October 16th, most “non-essential” government operations were halted when Congress failed to agree on a spending bill for the fiscal year starting October 1, 2013, resulting in large scale furloughs of government employees. The shutdown did not impact certain essential functions, including the military, law enforcement, TSA, air traffic control, and federal medical care (among others). While there have been Federal Government shutdowns in the past, this recent action marked the first government shutdown since 1995, which lasted three weeks.

On October 16th, a bipartisan deal was reached, just one day before the federal government would reach its borrowing limit. Many political pundits tossed around the word “default” to characterize the pressing ramifications of not raising the debt limit. In our view, a “default” would have occurred if the US Government decided to delay or skip a principal or interest payment on US Government debt, instead choosing to pay other bills first. The bill will fund the federal government through January 15th and raise the debt ceiling through February 7th, alleviating the “default” concerns for now.

Following the announcement, numerous market indicators showed signs of renewed confidence in the government’s ability to pay its bills. Both US stock markets and bond markets have rallied on the news, relieved that the potential “default” crisis has passed. The impact of a real default would have been widespread and catastrophic. Many markets around the world are very dependent on the stability of the US dollar. Inability to make debt payments, vendor payments, social program payments (social security and medical) would have dealt a staggering blow to confidence in the United States.

The real effects of the government shutdown and potential debt crisis did not materially change the municipal market. Short term and long term rates did not move in any abnormal way through the first 2½ weeks of October. However, short term treasuries were affected. The graph below depicts yields on both the 1-year and 1-month Treasury bills over the past 4 weeks. Investors were somewhat concerned about being paid when their 1-month T-bills came due resulting in a large sell off leading to substantially higher rates. Notice how 1-year rates rose slightly from 0.089% to 0.15% but 1-month bills rose from 0.003% to 0.347%, a dramatic increase!
# MSD Investments by Category

**September 30, 2013**

*Preliminary/Unaudited*

<table>
<thead>
<tr>
<th>Total Cash &amp; Investments by Category</th>
<th>Yield</th>
<th>Market Value</th>
<th>Face Value</th>
<th>Cost Value</th>
<th>Accrued Interest</th>
<th>Market Gain/Loss</th>
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<td>Cash</td>
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<td>25,940,851</td>
<td>25,940,851</td>
<td>25,940,851</td>
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<td>-</td>
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<tr>
<td>US Treasury SLG</td>
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<td></td>
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<tr>
<td>Municipal Obligations</td>
<td>4.3 - 4.7%</td>
<td>88,201,994</td>
<td>86,090,000</td>
<td>86,663,732</td>
<td>1,475,851</td>
<td>1,538,262</td>
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<td></td>
</tr>
<tr>
<td>Fed Gov Oblig Fund (money mkt)</td>
<td>.00 -.01%</td>
<td>62,473,373</td>
<td>62,473,373</td>
<td>62,473,373</td>
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<td>-</td>
</tr>
<tr>
<td>Dreyfus Cash Mgmt (money mkt)</td>
<td>.00 -.01%</td>
<td>15,388,839</td>
<td>15,388,839</td>
<td>15,388,839</td>
<td>-</td>
<td>-</td>
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<tr>
<td>Fed Home Loan Bank Disc</td>
<td>4.99%</td>
<td>22,598,551</td>
<td>22,585,000</td>
<td>22,194,840</td>
<td>67,620</td>
<td>403,711</td>
</tr>
<tr>
<td>Certificate of Deposit</td>
<td>1.75%</td>
<td>100,000</td>
<td>100,000</td>
<td>100,000</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>

| Total earnings on investments FYTD 2014: | $ 997,543 |

Prepared by: Maria Mullaney

October 22, 2013

22
## MSD's
### Muni Bond Investments September FY 2014

<table>
<thead>
<tr>
<th>Asset Description</th>
<th>Maturity Date</th>
<th>Market Value</th>
<th>Par Value</th>
<th>Cost</th>
<th>Rating (Moody's)</th>
<th>Market Yield</th>
<th>Coupon Rate</th>
<th>Yield to Maturity</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>AUSTIN TEX WTR &amp; WASTEWATER</td>
<td>11/15/2040</td>
<td>$5,194,400.00</td>
<td>$5,000,000.00</td>
<td>$5,087,981.25</td>
<td>Aa2</td>
<td>4.49%</td>
<td>5.125%</td>
<td>4.25%</td>
<td>15.4</td>
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<tr>
<td>BAY AREA TOLL AUTH CALIF TOLL</td>
<td>4/1/2034</td>
<td>$3,133,590.00</td>
<td>$3,000,000.00</td>
<td>$3,060,416.67</td>
<td>Aa3</td>
<td>4.45%</td>
<td>5.000%</td>
<td>4.10%</td>
<td>13.4</td>
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<tr>
<td>BEAVERCREEK OHIO CITY SCH DIST</td>
<td>12/1/2036</td>
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<td>$1,232,343.00</td>
<td>Aa2</td>
<td>4.47%</td>
<td>5.000%</td>
<td>4.20%</td>
<td>14.2</td>
</tr>
<tr>
<td>CHICAGO ILL</td>
<td>1/1/2039</td>
<td>$4,655,971.20</td>
<td>$5,160,000.00</td>
<td>$5,220,322.23</td>
<td>Aa1</td>
<td>4.71%</td>
<td>5.000%</td>
<td>4.59%</td>
<td>14.7</td>
</tr>
<tr>
<td>DALLAS TEX AREA RAPID TRAN</td>
<td>12/1/2036</td>
<td>$2,064,120.00</td>
<td>$2,000,000.00</td>
<td>$1,983,888.89</td>
<td>Aa3</td>
<td>4.46%</td>
<td>5.000%</td>
<td>4.18%</td>
<td>14.2</td>
</tr>
<tr>
<td>FLORIDA ST BRD ED PUB ED</td>
<td>6/1/2033</td>
<td>$1,406,482.20</td>
<td>$1,380,000.00</td>
<td>$1,309,373.13</td>
<td>Aa2</td>
<td>4.41%</td>
<td>5.000%</td>
<td>4.15%</td>
<td>15.5</td>
</tr>
<tr>
<td>HARRIS CNTY TEX FLOOD CTL DIST</td>
<td>10/1/2039</td>
<td>$5,252,600.00</td>
<td>$5,000,000.00</td>
<td>$5,094,944.44</td>
<td>Aa1</td>
<td>4.39%</td>
<td>5.000%</td>
<td>4.12%</td>
<td>15.5</td>
</tr>
<tr>
<td>JEA FLA WTR &amp; SWR SYS REV</td>
<td>10/1/2039</td>
<td>$1,958,930.70</td>
<td>$1,910,000.00</td>
<td>$1,914,929.17</td>
<td>Aa2</td>
<td>4.39%</td>
<td>5.000%</td>
<td>4.15%</td>
<td>15.5</td>
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<tr>
<td>KING CNTY WASH SWR REV</td>
<td>1/1/2039</td>
<td>$5,493,816.90</td>
<td>$5,265,000.00</td>
<td>$5,383,358.91</td>
<td>Aa2</td>
<td>4.39%</td>
<td>5.000%</td>
<td>4.11%</td>
<td>15.1</td>
</tr>
<tr>
<td>LAS VGS VALLEY NEV WTR DIST</td>
<td>2/1/2037</td>
<td>$3,071,250.00</td>
<td>$3,000,000.00</td>
<td>$2,988,573.33</td>
<td>Aa2</td>
<td>4.46%</td>
<td>5.000%</td>
<td>4.43%</td>
<td>14.2</td>
</tr>
<tr>
<td>LOS ANGELES CALIF DEPT ARPTS</td>
<td>5/15/2040</td>
<td>$5,078,500.00</td>
<td>$5,000,000.00</td>
<td>$4,791,850.00</td>
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<td>4.46%</td>
<td>5.000%</td>
<td>4.23%</td>
<td>15.3</td>
</tr>
<tr>
<td>LOS ANGELES CALIF DEPT WTR</td>
<td>7/1/2038</td>
<td>$6,260,160.00</td>
<td>$6,000,000.00</td>
<td>$6,199,120.00</td>
<td>Aa3</td>
<td>4.61%</td>
<td>5.250%</td>
<td>4.32%</td>
<td>14.6</td>
</tr>
<tr>
<td>LOUISIANA ST GAS &amp; FUELS TAX</td>
<td>5/1/2040</td>
<td>$5,178,250.00</td>
<td>$5,000,000.00</td>
<td>$5,029,861.11</td>
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<td>4.38%</td>
<td>5.000%</td>
<td>4.11%</td>
<td>15.4</td>
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<td>METROPOLITAN ATLANTA RAPID</td>
<td>7/1/2039</td>
<td>$5,089,500.00</td>
<td>$5,000,000.00</td>
<td>$5,076,883.33</td>
<td>Aa1</td>
<td>4.45%</td>
<td>5.000%</td>
<td>4.21%</td>
<td>15.2</td>
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<tr>
<td>NEW YORK N Y CITY MUN WTR FIN</td>
<td>6/15/2037</td>
<td>$4,222,737.30</td>
<td>$4,110,000.00</td>
<td>$4,110,000.00</td>
<td>Aa2</td>
<td>4.43%</td>
<td>5.000%</td>
<td>4.14%</td>
<td>14.5</td>
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<tr>
<td>NEW YORK N Y CITY MUN WTR FIN</td>
<td>6/15/2039</td>
<td>$1,519,650.00</td>
<td>$1,500,000.00</td>
<td>$1,533,125.00</td>
<td>Aa2</td>
<td>4.59%</td>
<td>5.000%</td>
<td>4.42%</td>
<td>14.9</td>
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<td>NEW YORK N Y CITY MUN WTR FIN</td>
<td>6/15/2039</td>
<td>$2,062,840.00</td>
<td>$2,000,000.00</td>
<td>$1,975,480.00</td>
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<td>4.39%</td>
<td>5.000%</td>
<td>4.12%</td>
<td>15.2</td>
</tr>
<tr>
<td>PALM BEACH CNTY FLA PUB IMPT</td>
<td>5/1/2038</td>
<td>$3,073,800.00</td>
<td>$3,000,000.00</td>
<td>$3,047,916.67</td>
<td>Aa1</td>
<td>4.57%</td>
<td>5.000%</td>
<td>4.38%</td>
<td>14.5</td>
</tr>
<tr>
<td>SALT RIVER PROJ ARIZ AGRIC</td>
<td>1/1/2038</td>
<td>$2,082,000.00</td>
<td>$2,000,000.00</td>
<td>$2,030,331.11</td>
<td>Aa1</td>
<td>4.51%</td>
<td>5.000%</td>
<td>4.27%</td>
<td>14.6</td>
</tr>
<tr>
<td>SALT RIVER PROJ ARIZ AGRIC</td>
<td>1/1/2038</td>
<td>$5,205,000.00</td>
<td>$5,000,000.00</td>
<td>$5,008,650.00</td>
<td>Aa1</td>
<td>4.51%</td>
<td>5.000%</td>
<td>4.27%</td>
<td>14.6</td>
</tr>
<tr>
<td>TEXAS ST</td>
<td>4/1/2037</td>
<td>$5,105,400.00</td>
<td>$5,000,000.00</td>
<td>$5,021,129.17</td>
<td>Aaa</td>
<td>4.24%</td>
<td>4.750%</td>
<td>3.96%</td>
<td>14.9</td>
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<tr>
<td>TRIBOROUGH BRDG &amp; TUNL AUTH N</td>
<td>11/15/2037</td>
<td>$821,840.00</td>
<td>$800,000.00</td>
<td>$794,403.56</td>
<td>Aa3</td>
<td>4.41%</td>
<td>5.000%</td>
<td>4.12%</td>
<td>14.6</td>
</tr>
<tr>
<td>TRIBOROUGH BRDG &amp; TUNL AUTH N</td>
<td>11/15/2037</td>
<td>$1,797,775.00</td>
<td>$1,750,000.00</td>
<td>$1,748,541.67</td>
<td>Aa3</td>
<td>4.41%</td>
<td>5.000%</td>
<td>4.12%</td>
<td>14.6</td>
</tr>
</tbody>
</table>

**Totals:**
- **Total Market Value:** $88,201,994.25
- **Total Cost:** $86,090,000.00
- **Unrealized Gain in Total:** $1,538,262.02
- **Average Years to Maturity:** 24.68

**Average Weighted Market Yield:** 4.21122%
**Average Weighted Coupon Rates:** 5.00665%
**Average Weighted Duration:** 14.86533
**Average Weighted Market Yield:** 4.46362%
MSD's Commercial Paper

MSD's CP Purchases, Balance and 1 Mo. Buyer Rate vs. 1 Mo. LIBOR

Note: There were no purchases of CP in September

No outstanding CP as of 9/30

Outstanding as of 9/30/2013

Company | Purchase | Maturity | Purchase Amount | Maturity Amount | Rate
---|---|---|---|---|---
Total: | $ - | $ - | 0.0000%

Total rate shown is MSD's weighted average CP rate at month's end

MSD's Spread - Corporate Commercial Paper

Federal Funds Rate

Note: There were no purchases of CP in September

No outstanding CP as of 9/30

Outstanding as of 9/30/2013

Company | Purchase | Maturity | Purchase Amount | Maturity Amount | Rate
---|---|---|---|---|---
Total: | $ - | $ - | 0.0000%

Total rate shown is MSD's weighted average CP rate at month's end

YTD Average Rate as of 4/5/2013

Outstanding as of 9/30/2013

No outstanding CP as of 9/30
# MSD's Current Investment Model - September FY 2014

## MSD's Fund Totals

<table>
<thead>
<tr>
<th>Series</th>
<th>Revenue Fund</th>
<th>Debt Service Fund</th>
<th>Debt Reserve Fund</th>
<th>Construction Fund</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>2001A</td>
<td>-</td>
<td>0.19</td>
<td>23,888,256.54</td>
<td>-</td>
<td>23,888,256.73</td>
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<tr>
<td>2004A</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>2005A</td>
<td>-</td>
<td>1,115,540.92</td>
<td>-</td>
<td>-</td>
<td>1,115,540.92</td>
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<tr>
<td>2006A</td>
<td>-</td>
<td>2,380,529.66</td>
<td>-</td>
<td>-</td>
<td>2,380,529.66</td>
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<tr>
<td>2007A</td>
<td>-</td>
<td>1,752,465.02</td>
<td>-</td>
<td>-</td>
<td>1,752,465.02</td>
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<tr>
<td>2008A</td>
<td>-</td>
<td>2,082,141.86</td>
<td>4,393,097.20</td>
<td>-</td>
<td>6,475,239.06</td>
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<tr>
<td>2009A</td>
<td>-</td>
<td>3,043,566.54</td>
<td>10,452,057.23</td>
<td>-</td>
<td>13,495,623.77</td>
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<tr>
<td>2009B</td>
<td>-</td>
<td>8,197,349.46</td>
<td>24,869,487.93</td>
<td>-</td>
<td>33,066,837.39</td>
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<tr>
<td>2009C</td>
<td>-</td>
<td>4,037,224.85</td>
<td>21,607,368.63</td>
<td>-</td>
<td>25,644,593.48</td>
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<tr>
<td>2010A</td>
<td>-</td>
<td>7,727,125.89</td>
<td>32,483,259.01</td>
<td>33,200,700.60</td>
<td>73,411,085.50</td>
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<tr>
<td>2011A</td>
<td>-</td>
<td>5,492,392.88</td>
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<td>-</td>
<td>5,492,392.88</td>
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<tr>
<td>2011B BAN</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>2013A BAN</td>
<td>-</td>
<td>3,137,170.83</td>
<td>-</td>
<td>-</td>
<td>3,137,170.83</td>
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<tr>
<td>Cash</td>
<td>18,994,639.56</td>
<td>3,809,040.13</td>
<td>-</td>
<td>-</td>
<td>22,803,679.69</td>
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<td>Certificate of Deposit</td>
<td>100,000.00</td>
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<td>-</td>
<td>-</td>
<td>100,000.00</td>
</tr>
<tr>
<td>Money Market 5/3</td>
<td>1,940,192.49</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>1,940,192.49</td>
</tr>
<tr>
<td>Commercial Paper</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Totals</td>
<td>21,034,832.05</td>
<td>42,774,548.23</td>
<td>117,693,526.54</td>
<td>33,200,700.60</td>
<td>214,703,607.42</td>
</tr>
</tbody>
</table>

## MSD's Asset Breakdown

<table>
<thead>
<tr>
<th>Asset Description</th>
<th>Revenue Fund</th>
<th>Debt Service Fund</th>
<th>Debt Reserve Fund</th>
<th>Construction Fund</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash</td>
<td>18,994,639.56</td>
<td>6,946,210.96</td>
<td>-</td>
<td>-</td>
<td>25,940,850.52</td>
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<tr>
<td>Certificate of Deposit</td>
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<td>-</td>
<td>-</td>
<td>-</td>
<td>100,000.00</td>
</tr>
<tr>
<td>Money Market- 5/3</td>
<td>1,940,192.49</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>1,940,192.49</td>
</tr>
<tr>
<td>Money Market-Dreyfus</td>
<td>-</td>
<td>10,374,244.19</td>
<td>3,074,402.17</td>
<td>-</td>
<td>13,448,646.36</td>
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<tr>
<td>Money Market-Federated PRM</td>
<td>-</td>
<td>8,197,349.46</td>
<td>335,659.83</td>
<td>-</td>
<td>8,533,009.29</td>
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<tr>
<td>Money Market-Federated Govt. Ob.</td>
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<td>17,256,743.62</td>
<td>3,482,919.29</td>
<td>33,200,700.60</td>
<td>53,940,363.51</td>
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<tr>
<td>Muni-Bonds</td>
<td>-</td>
<td>-</td>
<td>88,201,994.25</td>
<td>-</td>
<td>88,201,994.25</td>
</tr>
<tr>
<td>Fannie Mae-MBS</td>
<td>-</td>
<td>-</td>
<td>22,598,551.00</td>
<td>-</td>
<td>22,598,551.00</td>
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<tr>
<td>Commercial Paper</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Totals</td>
<td>21,034,832.05</td>
<td>42,774,548.23</td>
<td>117,693,526.54</td>
<td>33,200,700.60</td>
<td>214,703,607.42</td>
</tr>
<tr>
<td>Description</td>
<td>Ccy</td>
<td>Initial Notional</td>
<td>Current Notional</td>
<td>Credit Support Provider</td>
<td>Maturity Date</td>
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<td>-------------------------------------------------</td>
<td>-----</td>
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<td>------------------</td>
<td>-------------------------</td>
<td>---------------</td>
</tr>
<tr>
<td>Series 1999 - 1 -$225.732M 67% LIBOR Fixed Payer Swap - Amended - 6/12/2013</td>
<td>USD</td>
<td>180,716,000</td>
<td>180,716,000</td>
<td>Wells Fargo Bank, NA</td>
<td>05/15/2033</td>
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<tr>
<td>Series 1999 - 2 -$56,433 67% LIBOR Fixed Payer Swap - Amended - 6/12/2013</td>
<td>USD</td>
<td>56,433,000</td>
<td>45,284,000</td>
<td>Bank of America, NA</td>
<td>05/15/2033</td>
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<td>Total USD Currency</td>
<td></td>
<td>237,149,000</td>
<td>226,000,000</td>
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## PERFORMANCE MATRIX - OPERATING EXPENSE

"Manage the operating units of MSD within the FY2014 budget, delivering reliable and responsive services to customers."

**FY14**

### ACTUALS

<table>
<thead>
<tr>
<th>Year to Date Totals</th>
<th>O&amp;M Budget</th>
<th>Jul</th>
<th>Aug</th>
<th>Sep</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>Mar</th>
<th>Apr</th>
<th>May</th>
<th>Jun</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY09 YTD Total</td>
<td>98,836,900</td>
<td>7,159,223</td>
<td>14,746,717</td>
<td>22,620,536</td>
<td>46,726,538</td>
<td>54,217,711</td>
<td>60,908,375</td>
<td>68,879,921</td>
<td>77,317,046</td>
<td>85,098,068</td>
<td>94,146,197</td>
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<td>FY10 YTD Total</td>
<td>103,944,700</td>
<td>7,386,999</td>
<td>15,535,638</td>
<td>24,022,056</td>
<td>48,348,949</td>
<td>56,825,847</td>
<td>64,345,408</td>
<td>72,885,864</td>
<td>81,860,785</td>
<td>90,191,344</td>
<td>100,353,399</td>
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<tr>
<td>FY11 YTD Total</td>
<td>107,606,600</td>
<td>7,587,390</td>
<td>16,589,206</td>
<td>25,439,315</td>
<td>51,078,187</td>
<td>60,010,374</td>
<td>67,671,833</td>
<td>77,239,193</td>
<td>84,917,031</td>
<td>95,156,703</td>
<td>106,782,666</td>
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<tr>
<td>FY12 YTD Total</td>
<td>111,795,300</td>
<td>6,938,802</td>
<td>16,201,752</td>
<td>24,954,227</td>
<td>33,290,656</td>
<td>42,814,484</td>
<td>50,599,259</td>
<td>60,126,918</td>
<td>67,750,390</td>
<td>77,558,936</td>
<td>87,107,342</td>
<td>105,673,892</td>
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<tr>
<td>FY13 YTD Total</td>
<td>117,433,000</td>
<td>7,542,927</td>
<td>15,776,654</td>
<td>24,954,227</td>
<td>41,767,405</td>
<td>50,599,259</td>
<td>60,126,918</td>
<td>67,750,390</td>
<td>77,558,936</td>
<td>87,107,342</td>
<td>105,673,892</td>
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<tr>
<td>FY14 YTD Total</td>
<td>115,280,596</td>
<td>9,180,900</td>
<td>16,820,391</td>
<td>25,381,306</td>
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<td>0</td>
<td>0</td>
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</tbody>
</table>

**Percent Expended to Date**

<table>
<thead>
<tr>
<th>Year to Date Totals</th>
<th>FY09 YTD Total</th>
<th>FY10 YTD Total</th>
<th>FY11 YTD Total</th>
<th>FY12 YTD Total</th>
<th>FY13 YTD Total</th>
<th>5 YEAR AVERAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY09 YTD Total</td>
<td>7.60%</td>
<td>7.36%</td>
<td>7.11%</td>
<td>6.51%</td>
<td>7.14%</td>
<td>7.14%</td>
</tr>
<tr>
<td>FY10 YTD Total</td>
<td>15.66%</td>
<td>23.94%</td>
<td>23.82%</td>
<td>23.36%</td>
<td>14.93%</td>
<td>15.36%</td>
</tr>
<tr>
<td>FY11 YTD Total</td>
<td>24.03%</td>
<td>33.00%</td>
<td>31.18%</td>
<td>40.17%</td>
<td>31.41%</td>
<td>23.75%</td>
</tr>
<tr>
<td>FY12 YTD Total</td>
<td>40.46%</td>
<td>41.25%</td>
<td>39.64%</td>
<td>47.83%</td>
<td>47.88%</td>
<td>32.06%</td>
</tr>
<tr>
<td>FY13 YTD Total</td>
<td>57.59%</td>
<td>56.63%</td>
<td>47.83%</td>
<td>57.71%</td>
<td>56.90%</td>
<td>40.21%</td>
</tr>
<tr>
<td>FY14 YTD Total</td>
<td>64.70%</td>
<td>64.12%</td>
<td>63.37%</td>
<td>64.80%</td>
<td>64.11%</td>
<td>57.00%</td>
</tr>
<tr>
<td>FY 2013 Performance Level Matrix Results</td>
<td>73.16%</td>
<td>72.63%</td>
<td>73.33%</td>
<td>73.56%</td>
<td>73.39%</td>
<td>84.23%</td>
</tr>
</tbody>
</table>

**Performance Matrix Results - FY 2013**

<table>
<thead>
<tr>
<th>FY13 Budget comparative on 5 YEAR AVERAGE</th>
<th>FY13 YTD Total</th>
<th>FY14 YTD Total</th>
<th>Variance of Actual to 5 YEAR AVERAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>8,389,110</td>
<td>18,040,075</td>
<td>27,894,068</td>
<td>37,653,808 47,219,562 56,897,012 65,941,993 75,416,592 85,745,114 95,667,572 106,027,505 117,433,000</td>
</tr>
<tr>
<td>7,542,927</td>
<td>15,776,654</td>
<td>24,954,227</td>
<td>33,290,656 42,814,484 51,935,961 61,511,843 69,073,118 78,407,069 87,057,103 95,567,792 106,587,246</td>
</tr>
<tr>
<td>FY 2013 Performance Level Matrix Results</td>
<td>89.91%</td>
<td>87.45%</td>
<td>89.46%</td>
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</tbody>
</table>

**Performance Matrix Results - FY 2014**

<table>
<thead>
<tr>
<th>FY14 Budget comparative on 5 YEAR AVERAGE</th>
<th>FY14 YTD Total</th>
<th>Variance of Actual to 5 YEAR AVERAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>8,235,348</td>
<td>17,709,423</td>
<td>27,382,803 36,963,659 46,354,085 55,854,159 65,715,028 74,034,297 84,173,511 93,914,102 104,084,150 115,280,596</td>
</tr>
<tr>
<td>9,180,900</td>
<td>16,820,391</td>
<td>25,381,306</td>
</tr>
<tr>
<td>(889,032)</td>
<td>(2,001,497)</td>
<td></td>
</tr>
<tr>
<td>FY 2014 Performance Level Matrix Results</td>
<td>111.48%</td>
<td>94.98%</td>
</tr>
</tbody>
</table>

**ASSUMPTIONS:** Matrix results assume a typical weather year with no extraordinary events impacting contingency reserve.

**Performance Matrix**

<table>
<thead>
<tr>
<th>FY13</th>
<th>FY14</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceptionally Achieve</td>
<td>&lt; 96.5%</td>
</tr>
<tr>
<td>Commendably Achieve</td>
<td>96.6% - 99.0%</td>
</tr>
<tr>
<td>Fully Achieves</td>
<td>99.1% - 100%</td>
</tr>
<tr>
<td>Minimally Achieves</td>
<td>100.1% - 103.9%</td>
</tr>
<tr>
<td>Fails to Achieve</td>
<td>&gt; 104%</td>
</tr>
</tbody>
</table>

**Performance Matrix Results**

<table>
<thead>
<tr>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
</tr>
</thead>
<tbody>
<tr>
<td>O&amp;M Budget</td>
<td>98,836,900</td>
<td>103,944,700</td>
<td>107,606,600</td>
<td>111,795,300</td>
<td>117,433,000</td>
</tr>
<tr>
<td>Actual</td>
<td>94,146,197</td>
<td>100,353,399</td>
<td>106,782,666</td>
<td>106,587,246</td>
<td>105,673,892</td>
</tr>
<tr>
<td>Percentage</td>
<td>95.25%</td>
<td>96.54%</td>
<td>99.23%</td>
<td>95.34%</td>
<td>89.99%</td>
</tr>
<tr>
<td>Average</td>
<td>95.27%</td>
<td>95.27%</td>
<td>95.27%</td>
<td>95.27%</td>
<td>95.27%</td>
</tr>
</tbody>
</table>

Submitted by: Patrick Meador

10/24/2013
**Performance Matrix - Capital Expense**

**FY14**

"Effectively manage the FY2014 Capital Program to assure projects are completed on time and within budget."

<table>
<thead>
<tr>
<th>Year to Date Totals</th>
<th>Capital Budget</th>
<th>ACTUALS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Jul</td>
<td>Aug</td>
</tr>
<tr>
<td>FY9 YTD Total</td>
<td>97,716,750</td>
<td>2,340,002</td>
</tr>
<tr>
<td>FY10 YTD Total</td>
<td>135,617,250</td>
<td>5,107,355</td>
</tr>
<tr>
<td>FY11 YTD Total</td>
<td>163,822,500</td>
<td>1,262,958</td>
</tr>
<tr>
<td>FY12 YTD Total</td>
<td>156,193,500</td>
<td>12,013,202</td>
</tr>
<tr>
<td>FY13 YTD Total</td>
<td>150,661,500</td>
<td>6,689,211</td>
</tr>
<tr>
<td>FY14 YTD Total</td>
<td>108,669,797</td>
<td>12,193,092</td>
</tr>
</tbody>
</table>

**Performance Matrix Results - FY 2013**

FY13 Budget comparative on 5 YEAR AVERAGE

<table>
<thead>
<tr>
<th>Year to Date Totals</th>
<th>Capital Budget</th>
<th>ACTUALS</th>
</tr>
</thead>
<tbody>
<tr>
<td>8,867,523</td>
<td>12,674,536</td>
<td>23,161,045</td>
</tr>
<tr>
<td>6,689,211</td>
<td>6,471,367</td>
<td>10,658,314</td>
</tr>
<tr>
<td>Variance of Actual to 5 YEAR AVERAGE</td>
<td>(2,178,312)</td>
<td>(6,203,169)</td>
</tr>
</tbody>
</table>

FY 2013 Performance Level Matrix Results

Performance Matrix - FY 2014

FY14 Budget comparative on 5 YEAR AVERAGE

<table>
<thead>
<tr>
<th>Year to Date Totals</th>
<th>Capital Budget</th>
<th>ACTUALS</th>
</tr>
</thead>
<tbody>
<tr>
<td>6,396,006</td>
<td>9,141,946</td>
<td>16,705,702</td>
</tr>
<tr>
<td>12,193,092</td>
<td>13,178,969</td>
<td>22,100,806</td>
</tr>
<tr>
<td>Variance of Actual to 5 YEAR AVERAGE</td>
<td>(5,797,086)</td>
<td>(4,037,023)</td>
</tr>
</tbody>
</table>

FY 2014 Performance Level Matrix Results

Performance Matrix Results - RECONCILIATION

**Capital Budget**

**Actual**

**Percentage**

**Average**

<table>
<thead>
<tr>
<th>Year</th>
<th>Capital Budget</th>
<th>Actual</th>
<th>Percentage</th>
<th>Average</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY9</td>
<td>97,716,750</td>
<td>46,884,283</td>
<td>47.98%</td>
<td>68.73%</td>
</tr>
<tr>
<td>FY10</td>
<td>135,617,250</td>
<td>116,178,847</td>
<td>85.67%</td>
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<tr>
<td>FY11</td>
<td>163,822,500</td>
<td>138,311,288</td>
<td>84.43%</td>
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</tr>
<tr>
<td>FY12</td>
<td>156,193,500</td>
<td>102,508,269</td>
<td>65.63%</td>
<td></td>
</tr>
<tr>
<td>FY13</td>
<td>150,661,500</td>
<td>90,283,467</td>
<td>59.92%</td>
<td></td>
</tr>
<tr>
<td>FY14</td>
<td>108,669,797</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>

* Does not include Force Account.
### MSD Regulatory Violations

**Notice to EPA**

"Effectively operate wastewater plants to assure compliance with water quality regulations and improve the quality of area waterways."

<table>
<thead>
<tr>
<th></th>
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<tbody>
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<td>Hunting Creek South</td>
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<tr>
<td>Lake of the Woods</td>
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<td>Morris Forman</td>
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</tr>
<tr>
<td><strong>Total Violations</strong></td>
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<td>16</td>
<td>26</td>
<td>26</td>
<td>6</td>
<td>22</td>
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</tr>
<tr>
<td><strong>Violation Months</strong></td>
<td>30</td>
<td>15</td>
<td>9</td>
<td>15</td>
<td>4</td>
<td>12</td>
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</tr>
<tr>
<td><strong>Violation Free Months</strong></td>
<td>87.5%</td>
<td>91.75%</td>
<td>96.25%</td>
<td>93.75%</td>
<td>98.33%</td>
<td>95.00%</td>
<td>100.00%</td>
<td>100.00%</td>
<td>98.15%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
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<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
</tr>
</tbody>
</table>

### Performance Goals

<table>
<thead>
<tr>
<th>FY 2013</th>
<th>FY 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceptional Achieves</td>
<td>&gt; 97%</td>
</tr>
<tr>
<td>Commendable Achieves</td>
<td>95% to 96.9%</td>
</tr>
<tr>
<td>Fully Achieves</td>
<td>92.10% to 94.9%</td>
</tr>
<tr>
<td>Minimal Achieves</td>
<td>89.10% to 92.0%</td>
</tr>
<tr>
<td>Fails to Achieve</td>
<td>&lt; 89%</td>
</tr>
</tbody>
</table>

### Violation Cause

*Sept. - Daily Fecal*

- q reports quarterly
- * year taken out of service
- (a) each month per treatment plant without one or more NOVs
### MSD Safety Metrics

**OSHA Recordable Injuries**

Lost Time due to Injury

Preventable Vehicular Accidents

FY 2014

"Develop a comprehensive Safety and Health program plan and provide a safe work environment for employees and the community."

<table>
<thead>
<tr>
<th>OSHA Recordable Injuries</th>
<th>Lost Time due to Injury</th>
<th>Preventable Accidents</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Cumulative Number</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>July</td>
<td>4</td>
<td>2</td>
</tr>
<tr>
<td>August</td>
<td>10</td>
<td>6</td>
</tr>
<tr>
<td>September</td>
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<tr>
<td><strong>Annualized</strong></td>
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<td>October</td>
<td>60</td>
<td>36</td>
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<tr>
<td>November</td>
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<tr>
<td>December</td>
<td></td>
<td></td>
</tr>
<tr>
<td>January</td>
<td></td>
<td></td>
</tr>
<tr>
<td>February</td>
<td></td>
<td></td>
</tr>
<tr>
<td>March</td>
<td></td>
<td></td>
</tr>
<tr>
<td>April</td>
<td></td>
<td></td>
</tr>
<tr>
<td>May</td>
<td></td>
<td></td>
</tr>
<tr>
<td>June</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Percentage</strong></td>
<td>96%</td>
<td>104%</td>
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<tr>
<td></td>
<td>120%</td>
<td>157%</td>
</tr>
<tr>
<td></td>
<td>112%</td>
<td>157%</td>
</tr>
</tbody>
</table>

| Preventable Accidents    |                         |                        |
| **Cumulative Number**    | 4                       | 6                      |
|                          | 6                       |                        |
| **Annualized**           | 48                      | 36                     |
|                          | 24                      |                        |
| **Percentage**           | 62%                     | 47%                    |
|                          | 31%                     |                        |

### Weighted Average

<table>
<thead>
<tr>
<th>Actual</th>
<th>OSHA Rec. Inj.</th>
<th>Lost Time</th>
<th>Preventable Accidents</th>
</tr>
</thead>
<tbody>
<tr>
<td>2011</td>
<td>55</td>
<td>21</td>
<td>83</td>
</tr>
<tr>
<td>2012</td>
<td>60</td>
<td>21</td>
<td>87</td>
</tr>
<tr>
<td>2013</td>
<td>44</td>
<td>28</td>
<td>60</td>
</tr>
<tr>
<td>Average</td>
<td>53</td>
<td>23</td>
<td>77</td>
</tr>
<tr>
<td>Weight</td>
<td>50%</td>
<td>25%</td>
<td>25%</td>
</tr>
</tbody>
</table>

**Weighted Average Performance Goals**

<table>
<thead>
<tr>
<th>FY 2013*</th>
<th>FY 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceptional Achieves</td>
<td>&lt; 79%</td>
</tr>
<tr>
<td>Commendable Achieves</td>
<td>79.1% to 87%</td>
</tr>
<tr>
<td>Fully Achieves</td>
<td>86.9% to 119.9%</td>
</tr>
<tr>
<td>Minimal Achieves</td>
<td>120% to 141.9%</td>
</tr>
<tr>
<td>Fails to Achieve</td>
<td>&gt; 142%</td>
</tr>
</tbody>
</table>

* Included Lost Time @ 70% and Preventable Accidents @ 30%
# MSD Diversity Metrics

## MBE/WBE Expenditures

### FY 2014 Expenditures

<table>
<thead>
<tr>
<th></th>
<th>MBE Goals</th>
<th>2013</th>
<th>Performance</th>
<th>July</th>
<th>August</th>
<th>September</th>
<th>October</th>
<th>November</th>
<th>December</th>
<th>January</th>
<th>February</th>
<th>March</th>
<th>April</th>
<th>May</th>
<th>June</th>
</tr>
</thead>
<tbody>
<tr>
<td>MBE</td>
<td>Construction</td>
<td>15.00%</td>
<td>16.42%</td>
<td>109.47%</td>
<td>4.33%</td>
<td>18.67%</td>
<td>15.80%</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Professional Services</td>
<td>15.00%</td>
<td>10.37%</td>
<td>69.13%</td>
<td>7.40%</td>
<td>10.83%</td>
<td>11.34%</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Purchases</td>
<td>5.00%</td>
<td>9.30%</td>
<td>186.00%</td>
<td>6.27%</td>
<td>6.24%</td>
<td>6.59%</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>WBE</td>
<td>Construction</td>
<td>6.00%</td>
<td>7.67%</td>
<td>127.83%</td>
<td>10.96%</td>
<td>7.67%</td>
<td>8.25%</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Professional Services</td>
<td>6.00%</td>
<td>9.77%</td>
<td>162.83%</td>
<td>4.26%</td>
<td>5.34%</td>
<td>5.83%</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Purchases</td>
<td>3.00%</td>
<td>6.31%</td>
<td>210.33%</td>
<td>5.78%</td>
<td>4.95%</td>
<td>5.20%</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Weight**

|            | 10.33% | 11.74% | 113.68% | 6.69% | 12.08% | 11.18% |

### Dollar Weighting*

<table>
<thead>
<tr>
<th></th>
<th>MBE</th>
<th>WBE</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Construction</td>
<td>42%</td>
<td>28%</td>
<td>69%</td>
</tr>
<tr>
<td>Professional Services</td>
<td>10%</td>
<td>8%</td>
<td>17%</td>
</tr>
<tr>
<td>Purchases</td>
<td>7%</td>
<td>7%</td>
<td>13%</td>
</tr>
<tr>
<td>Totals</td>
<td>58%</td>
<td>42%</td>
<td>100%</td>
</tr>
</tbody>
</table>

## Performance Goals

<table>
<thead>
<tr>
<th></th>
<th>FY 2013</th>
<th>FY 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceptional Achieves</td>
<td>&gt; 125%</td>
<td>&gt; 125%</td>
</tr>
<tr>
<td>Commendable Achieves</td>
<td>110% to 124.9%</td>
<td>110% to 124.9%</td>
</tr>
<tr>
<td>Fully Achieves</td>
<td>90.10% to 109.9%</td>
<td>90.10% to 109.9%</td>
</tr>
<tr>
<td>Minimal Achieves</td>
<td>80.10% to 90.0%</td>
<td>80.10% to 90.0%</td>
</tr>
<tr>
<td>Fails to Achieve</td>
<td>&lt; 80%</td>
<td>&lt; 80%</td>
</tr>
</tbody>
</table>

---

*Note: Dollar Weighting percentages are calculated based on the actual performance goals met and the weight assigned to each category.*
P-CARD TOTAL SPEND
DATE RANGE: OCTOBER 1, 2012 THRU SEPTEMBER 30, 2013

P-cards issued= 132
Total violation= 8
- Sales Tax = 3
- Split charges= 0
- Lack of Receipts= 4
- Personal expense= 0
- Late receipt= 0
- Unauthorized purchase = 1

P-card By Division
-Executive Office= 3
-Legal=3
-Human Resources=4
-Finance=6
-Physical Assets=15
-Regulatory Services= 10
Engineering Division
-Development/Plan Review=2
-Design & Construction=7

I & FP
-Admin & Support Svc=7
-Sewer/Flood & Stormwater=16
Operations
-MFWTP Operation=10
-MFWTP Maint.=15
-Metro Ops & Maint.=20

Information Technology Division
-Information Technology= 13
-Customer Relations= 1

CREATED BY: KAREN KNOX  10/2013
MBE/ WBE Expenditure Report
YTD July 1, 2013 - September 30, 2013

Goals for Construction & Professional Services MBE 15% - WBE 6%
Goals for Goods & Services (Purchasing) MBE 5% - WBE 3%

CHART CREATED BY: K.KNOX 09/2013
### Purcahing Top 10 Goods & Services Contracts

**Twelve Month Total Spend by Purchase Order**

**Review Period: Contract Effective Date Through 9/30/2013**

#### Total Spend by Contract Effective and Expiration Date

<table>
<thead>
<tr>
<th>Contract Date Range</th>
<th>Purchase Order Value</th>
<th>% Spend</th>
</tr>
</thead>
<tbody>
<tr>
<td>7/1/2013 - 06/30/2014</td>
<td>$1,648,629.64</td>
<td>15.2%</td>
</tr>
<tr>
<td>4/1/2013 - 03/31/2014</td>
<td>$1,954,800.00</td>
<td>22.5%</td>
</tr>
<tr>
<td>10/13/2012 - 10/12/2013</td>
<td>$1,223,400.00</td>
<td>95.1%</td>
</tr>
<tr>
<td>10/01/2012 - 09/30/2013</td>
<td>$1,100,000.00</td>
<td>71.5%</td>
</tr>
<tr>
<td>1/01/2013 - 06/30/2014</td>
<td>$1,036,295.00</td>
<td>43.6%</td>
</tr>
<tr>
<td>7/1/2013 - 06/30/2014</td>
<td>$753,500.00</td>
<td>74.6%</td>
</tr>
<tr>
<td>1/01/2013 - 12/31/2013</td>
<td>$730,000.00</td>
<td>91.7%</td>
</tr>
<tr>
<td>7/1/2013 - 06/30/2014</td>
<td>$695,000.00</td>
<td>13.9%</td>
</tr>
<tr>
<td>8/1/2013 - 07/31/2014</td>
<td>$550,000.00</td>
<td>24.6%</td>
</tr>
<tr>
<td>4/26/2013 - 04/25/2014</td>
<td>$527,000.00</td>
<td>0.0%</td>
</tr>
</tbody>
</table>

#### Contract Title / Company Name

- *Polymer Emulsion / Mannich (Polydyne, Inc.)*
- FleetOne, Fuel Credit Card Svc (FleetOne)
- Biosolids Removal (C&J Waste Mgmt Inc)
- Sewer Line Cleaning/Smoke Test (Robinson Pipe Cin)
- Sodium Hypochlorite (Chemical Resources)
- Temporary Personnel (Power Staffing)
- Commercial Vacuum & Waterblasting (C&J Waste Mgmt)
- Districtwide Svc-Mechanical Svc (Merrick Co.)
- Chemical Root Control (Dukes Root Ctrl)
- Full Service Odor Control (Siemens Water Tech)

#### Total Spend by Fiscal Year 2014

<table>
<thead>
<tr>
<th>Effective July 1, 2013</th>
<th>Contract Value</th>
<th>Total Spend</th>
<th>Spend by FY14</th>
</tr>
</thead>
<tbody>
<tr>
<td>$250,210.54</td>
<td>$438,922.73</td>
<td>$328,972.93</td>
<td>$183,439.10</td>
</tr>
<tr>
<td>$1,954,800.00</td>
<td>$1,223,400.00</td>
<td>$1,100,000.00</td>
<td>$73,725.85</td>
</tr>
<tr>
<td>$1,036,295.00</td>
<td>$753,500.00</td>
<td>$730,000.00</td>
<td>$207,055.64</td>
</tr>
<tr>
<td>$695,000.00</td>
<td>$550,000.00</td>
<td>$527,000.00</td>
<td>$95,064.00</td>
</tr>
</tbody>
</table>

*Created by: Karen Knox 08/2013*
<table>
<thead>
<tr>
<th>DESCRIPTION</th>
<th>CODES</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Excel Excavating / Brookfield Avenue Drainage Project</td>
<td>C12116 - Eng Design / Construction</td>
<td>$216,784</td>
</tr>
<tr>
<td>Pace Contracting / Grand Avenue Pump Station Project</td>
<td>H11425 - Eng Design / Construction</td>
<td>$10,634,000</td>
</tr>
<tr>
<td>QKA / KYTC Blue Lick Road Widening Project</td>
<td>A13008 - Eng Design / Construction</td>
<td>$200,674</td>
</tr>
<tr>
<td>Ky Transportation Cabinet / KYTC Westport Rd Project</td>
<td>D98344 - Eng Design / Construction</td>
<td>$540,264</td>
</tr>
<tr>
<td>MAC Construction / Harrods Creek Interceptor Force Main 3B Project</td>
<td>A11463 - Eng Design / Construction</td>
<td>$4,256,067</td>
</tr>
<tr>
<td>Landoll Corporation / Equipment Trailers</td>
<td>K13165 - Phy Assts Fleet</td>
<td>$445,284</td>
</tr>
<tr>
<td>Fleet One / Fuel</td>
<td>3600591 - Fleet Services</td>
<td>$1,954,800</td>
</tr>
<tr>
<td>Xerox / Lease of Copiers</td>
<td>3220511 - Office Services</td>
<td>$145,000</td>
</tr>
<tr>
<td>Pomeroy Computer Resources / Oracle for LOJIC GIS</td>
<td>G13054 - IT</td>
<td>$121,215</td>
</tr>
<tr>
<td>E-Z Construction / Joint Repair Project</td>
<td>F09258 - I&amp;FP</td>
<td>$54,694</td>
</tr>
<tr>
<td>CH2M Hill / Standard Professional &amp; technical Services Work Order Agreement</td>
<td>Various - Regulatory Services</td>
<td>$2,452,000</td>
</tr>
<tr>
<td>University of Louisville / Infrastructure Research</td>
<td>H14086 &amp; H09121 - Regulatory</td>
<td>$329,582</td>
</tr>
<tr>
<td>Robinson Pipe Cleaning / Meadow Stream I&amp;I Rehab Project</td>
<td>H11305 - Regulatory Services</td>
<td>$697,391</td>
</tr>
<tr>
<td>Green Infrastructure Projects - Various</td>
<td>H09152 - Regulatory Services</td>
<td>$1,240,713</td>
</tr>
</tbody>
</table>

**SEPTEMBER TOTALS**

$4,551,800  $18,736,868

**Y-T-D TOTALS**

$7,404,783  $34,793,517
BOARD APPROVALS FOR OPERATING AND CAPITAL EXPENDITURES

FY14 - Monthly Approvals

<table>
<thead>
<tr>
<th>Month</th>
<th>Operating</th>
<th>Capital</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>2,302,983</td>
<td>2,113,288</td>
<td>4,416,271</td>
</tr>
<tr>
<td>August</td>
<td>550,000</td>
<td>13,943,361</td>
<td>14,493,361</td>
</tr>
<tr>
<td>September</td>
<td>4,551,800</td>
<td>18,736,868</td>
<td>23,288,668</td>
</tr>
<tr>
<td>October</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>November</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>December</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>January</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>February</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>March</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>April</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>May</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>June</td>
<td>7,404,783</td>
<td>34,793,517</td>
<td>42,198,300</td>
</tr>
<tr>
<td>Total Percentage</td>
<td>18%</td>
<td>82%</td>
<td>100%</td>
</tr>
</tbody>
</table>

FY13 - Monthly Approvals

<table>
<thead>
<tr>
<th>Month</th>
<th>Operating</th>
<th>Capital</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>8,401,404</td>
<td>3,080,181</td>
<td>11,481,585</td>
</tr>
<tr>
<td>August</td>
<td>0</td>
<td>8,787,007</td>
<td>8,787,007</td>
</tr>
<tr>
<td>September</td>
<td>629,646</td>
<td>10,081,966</td>
<td>10,711,612</td>
</tr>
<tr>
<td>October</td>
<td>125,000</td>
<td>9,317,696</td>
<td>9,442,696</td>
</tr>
<tr>
<td>November</td>
<td>1,840,075</td>
<td>19,300,516</td>
<td>21,140,591</td>
</tr>
<tr>
<td>December</td>
<td>113,750</td>
<td>8,300,000</td>
<td>8,413,750</td>
</tr>
<tr>
<td>January</td>
<td>355,563</td>
<td>384,492</td>
<td>740,055</td>
</tr>
<tr>
<td>February</td>
<td>2,603,498</td>
<td>2,661,294</td>
<td>5,264,792</td>
</tr>
<tr>
<td>March</td>
<td>420,014</td>
<td>3,266,098</td>
<td>3,686,112</td>
</tr>
<tr>
<td>April</td>
<td>5,956,454</td>
<td>3,556,384</td>
<td>9,512,838</td>
</tr>
<tr>
<td>May</td>
<td>563,258</td>
<td>1,235,534</td>
<td>1,798,792</td>
</tr>
<tr>
<td>June</td>
<td>2,051,234</td>
<td>886,861</td>
<td>2,938,095</td>
</tr>
<tr>
<td>Total Percentage</td>
<td>25%</td>
<td>75%</td>
<td>100%</td>
</tr>
</tbody>
</table>

Submitted by: Patrick Meador
10/25/2013
### Fiscal Year Comparison - YTD Approvals

<table>
<thead>
<tr>
<th></th>
<th>Jul</th>
<th>Aug</th>
<th>Sep</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>Mar</th>
<th>Apr</th>
<th>May</th>
<th>Jun</th>
<th>Total</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Operating</strong></td>
<td>2,302,983</td>
<td>550,000</td>
<td>4,551,800</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>7,404,783</td>
<td>18%</td>
</tr>
<tr>
<td><strong>Capital</strong></td>
<td>2,113,288</td>
<td>13,943,361</td>
<td>18,736,868</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>34,793,517</td>
<td>82%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>4,416,271</td>
<td>14,493,361</td>
<td>23,288,668</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>42,198,300</td>
<td>100%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Jul</th>
<th>Aug</th>
<th>Sep</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>Mar</th>
<th>Apr</th>
<th>May</th>
<th>Jun</th>
<th>Total</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Operating</strong></td>
<td>8,401,404</td>
<td>8,401,404</td>
<td>9,031,050</td>
<td>10,996,125</td>
<td>11,109,875</td>
<td>11,465,438</td>
<td>14,068,936</td>
<td>14,488,950</td>
<td>20,445,404</td>
<td>21,008,662</td>
<td>70,858,029</td>
<td>70,858,029</td>
<td>23,059,896</td>
<td>23,059,896</td>
</tr>
<tr>
<td><strong>Capital</strong></td>
<td>3,080,181</td>
<td>11,867,188</td>
<td>21,949,154</td>
<td>31,266,850</td>
<td>50,567,366</td>
<td>58,867,366</td>
<td>61,913,152</td>
<td>65,179,250</td>
<td>68,735,634</td>
<td>69,971,168</td>
<td>70,858,029</td>
<td>70,858,029</td>
<td>23,059,896</td>
<td>23,059,896</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>11,481,585</td>
<td>20,268,592</td>
<td>30,980,204</td>
<td>40,422,900</td>
<td>61,563,491</td>
<td>69,977,241</td>
<td>70,717,296</td>
<td>75,982,088</td>
<td>89,181,038</td>
<td>90,979,830</td>
<td>93,917,925</td>
<td>93,917,925</td>
<td>46,118,792</td>
<td>46,118,792</td>
</tr>
</tbody>
</table>

Submitted by: Patrick Meador
10/25/2013