

Hudson River-Black River Regulating District Calendar of Important Events/Deliverables

<u>Event</u>	<u>Due Date</u>	<u>Pursuant to</u>	<u>Committee</u>	<u>Responsible Staffer</u>
FDS Filers in Policymaking Positions	January 1 (to Gov Counsel Dec 1)	Executive Law §100-a	Governance	GC
Personnel Reports (Submitted in Sept w/ PARIS)	January 15	PAL §2806	Governance	CFO
MWBE Goal Plan	January 15	Exec Law §§ 313, 313-a & 5 NYCRR Part 141.4(c)		CO
SDVOB Goal Plan	January 15	Exec Law §369-i & 9 NYCRR §252.2(c)(2)		CO
Report of Training for FDS Filers	January 31 (On-going)	JCOPE Ethics Officers Responsibilities Flyer		GC
Public Work Enforcement Fund	February 16	Chapter 407 Laws of 2005		CFO
Certification of FDS Filers	February 28	JCOPE Ethics Officers Responsibilities Flyer		GC
MWBE Quarterly Utilization Report	State FY Qtrs. (on the 15 th)	5 NYCRR §141.6(a)		CO
SDVOB Quarterly Utilization Report	State FY Qtrs. (on the 15 th)	Exec Law §369-j & 9 NYCRR Part 252		CO
Contract Opportunities Reporting	State FY Qtrs.	SFL §161(2)(m) 9 NYCRR §250.8 (OGS sends an email request on the last day of each Quarter)	N/A	CO/Staff
Federal Payroll Quarterly Reports	4/30, 7/31, 10/31, 12/31	Employers Quarterly Tax Return		CFO
NYS Payroll Quarterly Reports	4/30, 7/31, 10/31, 12/31	NYS Dept Tax & Finance Form NYS-45		CFO
Acknowledgment of Fiduciary Duties and Responsibilities	Upon Appointment	PAL §2824(1)(h)	Governance	GC
Oath of Office	Upon Appointment	POL §10		GC
Lobbying Contacts Report	As Received	PAL §2987(2) & PIRA 2011 (A.K.A. Project Sunlight)	Governance	GC
Letter Certification of Compliance with DEC Dam Safety Regulations – IL, SL, OF	January 31	6 NYCRR §673.8	N/A	CE
Establishing a State Green Procurement and Agency Sustainability Program	March 1	9 NYCRR §7.4 (E.O # 4 Paterson)	N/A	CO/Staff
Plan to Eliminate the Expenditure of State Funds for the Purchase of Bottled Water at State Facilities	March 1	9 NYCRR §7.18 (EO #18 Paterson)	N/A	CO/Staff
Budget and Financial Plan (advanced to the Board) (Must be avail for Public Insp 30 days before approval by the Board, not less than 60 days before start of HRBRRD FY - 2 NYCRR §203.4(a))	March(120 to 90 Days before FY)	PAL §2801(1)	Finance	CFO
Procurement Policy (Do in March w/ Prop Disp)	April (For Convenience)	PAL §2879(1) & (8)	Governance	CFO
Investment Policy (Do in March w/ Prop Disp)	April (For Convenience)	PAL §2925(1) & (7)	Governance	CFO
Property Disposition Guidelines	March 31	PAL §2896(1) & (3)(b)	Governance	CFO
List of all Real Property (Could Move to March)	April (For Convenience)	PAL §2896(3)(a)	Governance	CFO
Climate Change Report to NYSERDA & DEC	March 31	9 NYCRR §8.166 (E.O. #166, A. Cuomo)		Staff

Cert of Internal Controls over the Payment Process	April 30 (Per OSC Form)	PAL §2931(2) & 2 NYCRR §6.6		CFO
Mission Statement/Performance Measurement	March 31 & Sept 28 (Annual Rpt)	PAL §§2800(1)(a)(3) & 2824-a	Full Board	ED/Sr Staff
Annual Financial Disclosure Statement to JCOPE	May 15	PAL §2825(3) & POL §73-a(2)(a)		GC
State Consultant Services Contract (State's FY)	May 15 (For Convenience)	SFL §163(4)(g)	N/A	CO
Annual Employment Report (Form AC 3272-S)		9 NYCRR §250.4(f)		
Domestic Violence Report	Semi-annual (June & December)	Office for the Prevention of Domestic Violence		GC
Board Approved Budget and Financial Plan (via PARIS)	June 23	2 NYCRR §203.4(d)		CFO
Internal Control Certifications	June 30	PAL §§2930 & 2931	N/A	CFO
Annual Report (DEC)	June 30 (For Convenience)	ECL §15-2131(1)	N/A	CFO
(PARIS)	September 28	PAL §2800(1) & 2 NYCRR §201.2(a)		
		2 NYCRR §201.4(a) requires electronic submission by Sept 28 th		
Value of Single Source as % of Total Contracts Awarded	July 1	SFL §163(15)		CFO
Board of Directors Evaluations	September 28 (PARIS)	PAL §2800(1)(a)(15)	Governance	GC
		PAL §2824(7)		
		ABO Policy Guidance 10-05		
Time, Attendance, Salary & Compensation	September 28 (PARIS)	PAL §§2824(1)(c) & 2806(1)	Governance	CO
Code of Ethics	September 28 (PARIS)	PAL §2824(1)(d)	Governance	GC
Whistleblower Policy	September 28 (PARIS)	PAL §2824(1)(e)	Governance	GC
Travel Policy	September 28 (PARIS)	PAL §2824(1)(e)	Governance	CFO
Defense & Indemnification	September 28 (PARIS)	PAL §2824(1)(f)	Governance	GC
Vehicle Use	September 28 (PARIS)	BPRM D-750	Governance	ED
Independent Audit Report	September 28 (PARIS)	PAL §2802(1)	Audit	CFO
OSC Public Auth Data Request Questionnaire (PARIS)	September 28 (PARIS)	2 NYCRR §201.2(i)		CFO
		2 NYCRR §201.4(a) requires electronic submission by Sept 28 th		
Prompt Payment Report (OSC, DOB, Chair S Fin & Ways & Means)	September 28	PAL §2880(11)		CFO
Heavy Duty Diesel Powered Vehicles Report (HRBRRD Fleet and Contractor's Fleets)	November 1	6 NYCRR 248-6.1(a)		AA
Certification of Compliance with Vulnerability, Security Assessment, and Security Plan Requirements (GSL P-12252 & Stillwater P-6743)	December 31	FERC Div of Dam Safety Security Program For Hydropower Projects - Revision 3A		CE