

**Governance Information (Authority-Related)**

Question	Response	URL (if applicable)
1. Has the Authority prepared its annual report on operations and accomplishments for the reporting period as required by section 2800 of PAL?	Yes	<a href="http://www.ocwa.org/governance/financial-reports/">http://www.ocwa.org/governance/financial-reports/</a>
2. As required by section 2800(9) of PAL, did the Authority prepare an assessment of the effectiveness of its internal controls?	Yes	<a href="http://www.ocwa.org/governance/financial-reports/">http://www.ocwa.org/governance/financial-reports/</a>
3. Has the lead audit partner for the independent audit firm changed in the last five years in accordance with section 2802(4) of PAL?	Yes	N/A
4. Does the independent auditor provide non-audit services to the Authority?	No	N/A
5. Does the Authority have an organization chart?	Yes	<a href="http://www.ocwa.org/wp-content/uploads/2012/09/2014OrgTable.pdf">http://www.ocwa.org/wp-content/uploads/2012/09/2014OrgTable.pdf</a>
6. Are any Authority staff also employed by another government agency?	No	
7. Has the Authority posted their mission statement to their website?	Yes	<a href="http://www.ocwa.org/about/mission-vision/">http://www.ocwa.org/about/mission-vision/</a>
8. Has the Authority's mission statement been revised and adopted during the reporting period?	No	N/A
9. Attach the Authority's measurement report, as required by section 2824-a of PAL and provide the URL.		<a href="http://www.ocwa.org/governance/financial-reports/">http://www.ocwa.org/governance/financial-reports/</a>

**Governance Information (Board-Related)**

Question	Response	URL
1. Has the Board established a Governance Committee in accordance with Section 2824(7) of PAL?	Yes	N/A
2. Has the Board established an Audit Committee in accordance with Section 2824(4) of PAL?	Yes	N/A
3. Has the Board established Finance Committee in accordance with Section 2824(8) of PAL?	Yes	N/A
4. Provide a URL link where a list of Board committees can be found (including the name of the committee and the date established):		<a href="http://www.ocwa.org/wp-content/uploads/2013/03/BoardCommittee.pdf">http://www.ocwa.org/wp-content/uploads/2013/03/BoardCommittee.pdf</a>
5. Does the majority of the Board meet the independence requirements of Section 2825(2) of PAL?	Yes	N/A
6. Provide a URL link to the minutes of the Board and committee meetings held during the covered fiscal year		<a href="http://www.ocwa.org/governance/board-items/">http://www.ocwa.org/governance/board-items/</a>
7. Has the Board adopted bylaws and made them available to Board members and staff?	Yes	<a href="http://www.ocwa.org/wp-content/uploads/2012/09/OCWA-By-Laws-Amended-10-25-13.pdf">http://www.ocwa.org/wp-content/uploads/2012/09/OCWA-By-Laws-Amended-10-25-13.pdf</a>
8. Has the Board adopted a code of ethics for Board members and staff?	Yes	<a href="http://www.ocwa.org/about/code-of-ethics/">http://www.ocwa.org/about/code-of-ethics/</a>
9. Does the Board review and monitor the Authority's implementation of financial and management controls?	Yes	N/A
10. Does the Board execute direct oversight of the CEO and management in accordance with Section 2824(1) of PAL?	Yes	N/A
11. Has the Board adopted policies for the following in accordance with Section 2824(1) of PAL?		
Salary and Compensation	Yes	N/A
Time and Attendance	Yes	N/A
Whistleblower Protection	Yes	N/A
Defense and Indemnification of Board Members	Yes	N/A
12. Has the Board adopted a policy prohibiting the extension of credit to Board members and staff in accordance with Section 2824(5) of PAL?	Yes	N/A
13. Are the Authority's Board members, officers, and staff required to submit financial disclosure forms in accordance with Section 2825(3) of PAL?	Yes	N/A
14. Was a performance evaluation of the board completed?	Yes	N/A
15. Was compensation paid by the Authority made in accordance with employee or union contracts?	Yes	N/A
16. Has the board adopted a conditional/additional compensation policy governing all employees?	No	

Board of Directors Listing

Name	Miller, Susan A	Name	Bianchini, John
Chair of the Board	No	Chair of the Board	Yes
If yes, Chair Designated by.		If yes, Chair Designated by.	Elected by Board
Term Start Date	11/01/2011	Term Start Date	07/01/2013
Term Expiration Date	07/01/2014	Term Expiration Date	07/01/2016
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Designee Name		Designee Name	
Ex-officio	No	Ex-officio	No
Nominated By	Local	Nominated By	Local
Appointed By	Local	Appointed By	Local
Confirmed by Senate?		Confirmed by Senate?	
Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes	Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes
Complied with training requirement of Section 2824?	Yes	Complied with training requirement of Section 2824?	Yes
Does the Board member/designee also hold an elected or appointed State gove	No	Does the Board member/designee also hold an elected or appointed State gove	No
Does the Board member/designee also hold an elected or appointed municipal government position?	No	Does the Board member/designee also hold an elected or appointed municipal government position?	No

Board of Directors Listing

Name	Gardiner, Kenneth	Name	Picardi, Ferdinand
Chair of the Board	No	Chair of the Board	No
If yes, Chair Designated by.		If yes, Chair Designated by.	
Term Start Date	08/06/2013	Term Start Date	06/03/2008
Term Expiration Date	07/01/2015	Term Expiration Date	12/31/2013
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Designee Name		Designee Name	
Ex-officio	No	Ex-officio	No
Nominated By	Local	Nominated By	Local
Appointed By	Local	Appointed By	Local
Confirmed by Senate?		Confirmed by Senate?	
Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes	Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes
Complied with training requirement of Section 2824?	No	Complied with training requirement of Section 2824?	Yes
Does the Board member/designee also hold an elected or appointed State gove	No	Does the Board member/designee also hold an elected or appointed State gove	No
Does the Board member/designee also hold an elected or appointed municipal government position?	No	Does the Board member/designee also hold an elected or appointed municipal government position?	No

Board of Directors Listing

Name	Gilligan, Eileen D
Chair of the Board	No
If yes, Chair Designated by.	
Term Start Date	11/01/2011
Term Expiration Date	07/01/2014
Title	
Has the Board member appointed a designee?	
Designee Name	
Ex-officio	No
Nominated By	Local
Appointed By	Local
Confirmed by Senate?	
Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes
Complied with training requirement of Section 2824?	Yes
Does the Board member/designee also hold an elected or appointed State gove	No
Does the Board member/designee also hold an elected or appointed municipal government position?	No

## Staff Bulk Load Worksheet

### Version 1.6

#### Staff

Columns whose names contain "\*" are required and must have values for each record to be loaded. Do not enter blank lines, as a blank line (a line with no information) will be regarded as the end of the file. Do not enter commas, letters or \$ signs in numeric fields.

This worksheet must be saved as type "csv" in order to be uploaded to PARIS. Select "Save As" from the "File" menu above and select "CSV (comma delimited)" as the file type.

Note: Most cells have some level of validation, however, validation in Excel only functions when you actually type data in the cell. It is recommended that you selectively check validation in rows that you have copied data into.

*Last Name	*First Name	Middle Initial	*Title	*Group	*Base Annualized Salary	*Actual salary paid to the individual during the reporting period	*Overtime paid by Authority	*Performance Bonus	*Extra Pay	*Other Compensation/Allowances/Adjustments	* Is the individual also paid by another entity to perform the work of the Authority?	If yes, is the payment made by a State or local government?
Hooker	Michael		Executive Director	Executive	143379.89	143336.69	0.00	0.00	0.00	0.00	N	
Geiss Jr	Anthony		Deputy Executive Director	Executive	124356.92	124319.30	0.00	0.00	0.00	300.00	N	
Miller	Geoffrey		Executive Engineer	Managerial	110612.44	110578.82	0.00	0.00	0.00	300.00	N	

Michael E. Hooker has been the Executive Director of the Authority since 1993. Prior to that time, he was General Manager of Hardin County Water District No. 1 in Radcliff, Kentucky and he has 37 years of waterworks management experience in both the public and private sectors. Mr. Hooker received a Bachelor of Science Degree from Montclair State College and a Masters Degree in Business Administration from Fairleigh Dickinson University.

Anthony J. Geiss has been Deputy Executive Director of the Authority since 1999. Prior to that time he was a Senior Design Consultant with O'Brien and Gere Engineers in Syracuse, New York. Mr. Geiss received a Bachelor of Science Degree from Syracuse University and is a licensed Professional Engineer in the State of New York.

Geoffrey G. Miller has been the Executive Engineer at OCWA since 2006. Prior to that time he was employed as a waterworks and environmental engineer at an environmental engineering firm for over 18 years. Mr. Miller received Bachelor of Science degree from Clarkson University in Civil and Environmental Engineering. He is a licensed Professional Engineer in the State of New York; a Board Certified Environmental Engineer in the specialty of Water Supply and Wastewater; and a New York State Department of Health Certified Water system Operator.

**Benefit Information**

During the fiscal year, did the Authority continue to pay for any of the above mentioned benefits for

No

**Board Members**

Name	Title	Severance Package	Payment for Unused Leave	Club Member-ships	Use of Corporate Credit Cards	Personal Loans	Auto	Transportation	Housing Allowance	Spousal / Dependent Life Insurance	Tuition Assistance	Multi-Year Employment	None of These Benefits	Other
Gardiner, Kenneth	Board of Directors												X	
Bianchini, John	Board of Directors												X	
Gilligan, Eileen D	Board of Directors												X	
Miller, Susan A	Board of Directors												X	
Picardi, Ferdinand	Board of Directors												X	

**Staff**

Name	Title	Severance Package	Payment for Unused Leave	Club Member-ships	Use of Corporate Credit Cards	Personal Loans	Auto	Transportation	Housing Allowance	Spousal / Dependent Life Insurance	Tuition Assistance	Multi-Year Employment	None of These Benefits	Other
Geiss Jr, Anthony	Deputy Executive Director				X									
Hooker, Michael	Executive Director				X									
Miller, Geoffrey	Executive Engineer				X									

**Subsidiary/Component Unit Verification**

Is the list of subsidiaries, as assembled by the Office of the State Comptroller, correct? Yes  
 Are there other subsidiaries or component units of the Authority that are active, not included in the PARIS reports submitted by this No

Name of Subsidiary/Component Unit	Status	Requested Changes
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**Subsidiary/Component Unit Creation**

Name of Subsidiary/Component Unit	Establishment Date	Entity Purpose
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**Subsidiary/Component Unit Termination**

Name of Subsidiary/Component Unit	Termination Date	Termination Reason	Proof of Termination
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No Data has been entered by the Authority for this section in PARIS



Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

<u>Assets</u>	
<b>Current Assets</b>	
Cash and cash equivalents	\$507,673
Investments	\$0
Receivables, net	\$7,338,838
Other assets	\$2,318,712
<b>Total Current Assets</b>	<b>\$10,165,223</b>
<b>Noncurrent Assets</b>	
Restricted cash and investments	\$24,707,265
Long-term receivables, net	\$0
Other assets	\$0
<b>Capital Assets</b>	
Land and other nondepreciable property	\$963,543
Buildings and equipment	\$50,081,205
Infrastructure	\$259,791,960
Accumulated depreciation	\$90,597,943
Net Capital Assets	\$220,238,765
<b>Total Noncurrent Assets</b>	<b>\$244,946,030</b>
<b>Total Assets</b>	<b>\$255,111,253</b>

Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

Liabilities

**Current Liabilities**

Accounts payable	\$2,213,616
Pension contribution payable	\$0
Other post-employment benefits	\$0
Accrued liabilities	\$1,634,014
Deferred revenues	\$0
Bonds and notes payable	\$3,184,395
Other long-term obligations due within one year	\$82,550
<b>Total Current Liabilities</b>	<b>\$7,114,575</b>

**Noncurrent Liabilities**

Pension contribution payable	\$0
Other post-employment benefits	\$12,018,336
Bonds and notes payable	\$63,464,002
Long Term Leases	\$184,175
Other long-term obligations	\$0
<b>Total Noncurrent Liabilities</b>	<b>\$75,666,513</b>

**Total Liabilities**

**\$82,781,088**

Net Asset (Deficit)

**Net Asset**

Invested in capital assets, net of related debt	\$153,830,203
Restricted	\$23,345,031
Unrestricted	(\$4,845,069)
<b>Total Net Assets</b>	<b>\$172,330,165</b>

Summary Financial Information

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

Operating Revenues

Charges for services	\$37,687,555
Rental & financing income	\$0
Other operating revenues	\$1,130,295
<b>Total Operating Revenue</b>	<b>\$38,817,850</b>

Operating Expenses

Salaries and wages	\$8,208,636
Other employee benefits	\$5,438,404
Professional services contracts	\$278,624
Supplies and materials	\$965,279
Depreciation & amortization	\$5,937,429
Other operating expenses	\$14,075,840
<b>Total Operating Expenses</b>	<b>\$34,904,212</b>

Operating Income (Loss) **\$3,913,638**

Nonoperating Revenues

Investment earnings	\$15,273
State subsidies/grants	\$0
Federal subsidies/grants	\$0
Municipal subsidies/grants	\$0
Public authority subsidies	\$0
Other nonoperating revenues	\$17,628
<b>Total Nonoperating Revenue</b>	<b>\$32,901</b>

Summary Financial Information

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

Nonoperating Expenses

Interest and other financing charges	\$2,740,529
Subsidies to other public authorities	\$0
Grants and donations	\$0
Other nonoperating expenses	\$0
<b>Total Nonoperating Expenses</b>	<b>\$2,740,529</b>
<b>Income (Loss) Before Contributions</b>	<b>\$1,206,010</b>
<b>Capital Contributions</b>	<b>\$2,140,324</b>
<b>Change in net assets</b>	<b>\$3,346,334</b>
<b>Net assets (deficit) beginning of year</b>	<b>\$168,983,831</b>
<b>Other net assets changes</b>	<b>\$0</b>
<b>Net assets (deficit) at end of year</b>	<b>\$172,330,165</b>

**Current Debt**

Question	Response
1. Did the Authority have any outstanding debt, including conduit debt, at any point during the reporting period?	Yes
2. If yes, has the Authority issued any debt during the reporting period?	Yes

**New Debt Issuances List by Type of Debt and Program**

Type Of Debt: Authority Debt - Revenue

Program:

Project	Amounts	CUSIP Number	Bond Closing Date	Taxable Status	Issue Process	True Interest Cost	Interest Type	Term	Cost of Issuance (\$)	PACB Project	URL
General Water System Revenue Bonds Series 2013	Refunding 8,390,000.00 New 0.00 Total 8,390,000.00		03/05/2013		Negotiated	2.11	Fixed	13	97,476.00		

**Schedule of Authority Debt**

Type of Debt	Statutory Authorization (\$)	Outstanding Start of Fiscal Year (\$)	New Debt Issuances (\$)	Debt Retired (\$)	Outstanding End of Fiscal Year (\$)
<b>State Obligation</b>					
State Guaranteed					
State Supported					
State Contingent Obligation					
State Moral Obligation					
Other State Funded					
<b>Authority Obligation</b>					
General Obligation					
Revenue	0.00	67,397,835.00	8,390,000.00	11,115,000.00	64,672,835.00
Other Non-State Funded					
<b>Conduit</b>					
Conduit Debt					
Conduit Debt - Pilot Increment Financing					

Real Property Acquisition/Disposal List

This Authority has indicated that it had no real property acquisitions or disposals during the reporting period.

Personal Property

1. Property Description: 2012 John Deere Backhoe  
VIN#1T0310KXCCE229646

Estimated Fair Market Value: \$57,700.00

How was Fair Market Value

Determined?: Appraisal

Transaction Date: 06/04/2013

Sale Price: \$57,700.00

Organization: Five Star Equipment, Inc

Last Name:

First Name:

Purchaser Address

Address Line1: 6500 East Taft Rd

Address Line2:

City: EAST SYRACUSE

State: NY

Postal Code: 13057

Plus4:

Province/Region:

Country: USA

2. Property Description: 2002 John Deere Backhoe VIN#T0310GX904630

Estimated Fair Market Value: \$16,000.00

How was Fair Market Value

Determined?: Appraisal

Transaction Date: 06/04/2013

Sale Price: \$16,000.00

Organization: Five Star Equipment, Inc

Last Name:

First Name:

Purchaser Address

Address Line1: 6500 East Taft Rd

Address Line2:

City: EAST SYRACUSE

State: NY

Postal Code: 13057

Plus4:

Province/Region:

Country: USA



Personal Property

3. Property Description: 2006 Chevrolet G2500 Cargo Van  
VIN#1GCGG25V1612248528

Estimated Fair Market Value: \$5,700.00

How was Fair Market Value

Determined?: Competitive Bid

Transaction Date: 11/23/2013

Sale Price: \$5,700.00

Organization: GYMO ARCH Engineering & Land Surveying

Last Name:

First Name:

Purchaser Address

Address Line1: 15949 Co Rt 156

Address Line2:

City: WATERTOWN

State: NY

Postal Code: 13601

Plus4:

Province/Region:

Country: USA

4. Property Description: 1993 Ford F700 Crane Truck VIN#  
1FDXF70J7PVA11049

Estimated Fair Market Value: \$5,000.00

How was Fair Market Value

Determined?: Competitive Bid

Transaction Date: 05/04/2013

Sale Price: \$5,000.00

Organization: Cassone Leasing Inc

Last Name:

First Name:

Purchaser Address

Address Line1: 1950 Lakeland Ave

Address Line2:

City: RONKONKOMA

State: NY

Postal Code: 11779

Plus4:

Province/Region:

Country: USA

Personal Property

5. Property Description: 1998 Ford F800 Utility Truck  
VIN#1FDWF82CXWVA26627

Estimated Fair Market Value: \$6,750.00

How was Fair Market Value

Determined?: Competitive Bid

Transaction Date: 11/23/2013

Sale Price: \$6,750.00

Organization: J E Sheehan Contracting Corp

Last Name:

First Name:

Purchaser Address

Address Line1: 208 Sissonville Rd

Address Line2:

City: POTSDAM

State: NY

Postal Code: 13676

Plus4:

Province/Region:

Country: USA

6. Property Description: 2006 Ford F350 4x4 Pickup Truck  
VIN#1FTWF31516ED67120

Estimated Fair Market Value: \$7,500.00

How was Fair Market Value

Determined?: Competitive Bid

Transaction Date: 11/23/2013

Sale Price: \$7,500.00

Organization: Percon Electric Co Inc

Last Name:

First Name:

Purchaser Address

Address Line1: 707 Van Voorhis Ave

Address Line2:

City: ROCHESTER

State: NY

Postal Code: 14617

Plus4:

Province/Region:

Country: USA

**Property Documents**

Question	Response	URL (if applicable)
1. In accordance with Section 2896(3) of PAL, the Authority is required to prepare a report at least annually of all real property of the Authority. Has this report been prepared?	Yes	<a href="http://www.ocwa.org/governance/financial-reports/">http://www.ocwa.org/governance/financial-reports/</a>
2. Has the Authority prepared policies, procedures, or guidelines regarding the use, awarding, monitoring, and reporting of contracts for the acquisition and disposal of property?	Yes	<a href="http://www.ocwa.org/governance/financial-reports/">http://www.ocwa.org/governance/financial-reports/</a>
3. In accordance with Section 2896(1) of PAL, has the Authority named a contracting officer who shall be responsible for the Authority's compliance with and enforcement of such guidelines?	Yes	

No Data has been entered by the Authority for this section in PARIS

Additional Comments: