

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	http://www.ocwa.org/governance/financial-reports/
2. As required by section 2800(9) of PAL, did the Authority prepare an assessment of the effectiveness of its internal controls?	Yes	http://www.ocwa.org/governance/financial-reports/
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	http://www.ocwa.org/wp-content/uploads/2012/09/2014OrgTable.pdf
6. Are any Authority staff also employed by another government agency?	No	
7. Has the Authority posted their mission statement to their website?	Yes	http://www.ocwa.org/about/mission-vision/
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.		http://www.ocwa.org/governance/financial-reports/

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):		http://www.ocwa.org/wp-content/uploads/2012/09/OCWA-By-Laws-Amended-10-15-14.pdf
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		https://www.boarddocs.com/ny/ocwa/Board.nsf/Public
7. Has the Board adopted bylaws and made them available to Board members and staff?	Yes	http://www.ocwa.org/wp-content/uploads/2012/09/OCWA-By-Laws-Amended-10-15-14.pdf
8. Has the Board adopted a code of ethics for Board members and staff?	Yes	http://www.ocwa.org/about/code-of-ethics/
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	Gilligan, Eileen D
Chair of the Board	No	Chair of the Board	No
If yes, Chair Designated by.		If yes, Chair Designated by.	
Term Start Date	07/01/2014	Term Start Date	07/01/2014
Term Expiration Date	07/01/2017	Term Expiration Date	07/01/2017
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	Bianchini, John	Name	Andrews, Robert
Chair of the Board	Yes	Chair of the Board	No
If yes, Chair Designated by.	Elected by Board	If yes, Chair Designated by.	
Term Start Date	07/01/2013	Term Start Date	01/01/2014
Term Expiration Date	07/01/2016	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?	No
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
Chair of the Board	No
If yes, Chair Designated by.	
Term Start Date	08/06/2013
Term Expiration Date	07/01/2015
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?	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

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	* Full Time/ Part Time	* Exempt	*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	FT	Y	146964.39	149708.00	0.00	0.00	0.00	0.00	N	
Geiss Jr	Anthony		Deputy Executive Director	Executive	FT	Y	127465.84	129845.56	0.00	0.00	0.00	0.00	N	
Miller	Geoffrey		Executive Engineer	Managerial	FT	Y	113377.75	115494.20	0.00	0.00	0.00	300.00	N	
Marvin	Curtis		Fiscal Officer	Managerial	FT	Y	100887.86	102773.97	0.00	0.00	0.00	0.00	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 38 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 19 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.

Curtis R. Marvin has been Chief Fiscal Officer and Accounting Manager of the Authority since 1991. Prior to that time he was an Accountant II with the Onondaga County Health Department, Syracuse, New York. Mr. Marvin received a Bachelor of Science Degree in Accounting from LeMoyne College.

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 Allow-ance	Spousal / Dependent Life Insurance	Tuition Assist-ance	Multi-Year Employ-ment	None of These Benefits	Other
Andrews, Robert	Board of Directors												X	
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	

Staff

Name	Title	Severance Package	Payment for Unused Leave	Club Member-ships	Use of Corporate Credit Cards	Personal Loans	Auto	Transportation	Housing Allow-ance	Spousal / Dependent Life Insurance	Tuition Assist-ance	Multi-Year Employ-ment	None of These Benefits	Other
Geiss Jr, Anthony	Deputy Executive Director				X							X		
Hooker, Michael	Executive Director				X							X		
Marvin, Curtis	Fiscal Officer				X									
Miller, Geoffrey	Executive Engineer				X							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>	
Current Assets	
Cash and cash equivalents	\$130,731
Investments	\$0
Receivables, net	\$7,602,934
Other assets	\$2,493,966
Total Current Assets	\$10,227,631
Noncurrent Assets	
Restricted cash and investments	\$24,850,468
Long-term receivables, net	\$0
Other assets	\$0
Capital Assets	
Land and other nondepreciable property	\$963,543
Buildings and equipment	\$51,216,280
Infrastructure	\$265,665,889
Accumulated depreciation	\$95,921,437
Net Capital Assets	\$221,924,275
Total Noncurrent Assets	\$246,774,743
Total Assets	\$257,002,374

Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

Liabilities

Current Liabilities

Accounts payable	\$1,896,178
Pension contribution payable	\$0
Other post-employment benefits	\$0
Accrued liabilities	\$1,789,052
Deferred revenues	\$0
Bonds and notes payable	\$3,151,076
Other long-term obligations due within one year	\$45,925
Total Current Liabilities	\$6,882,231

Noncurrent Liabilities

Pension contribution payable	\$0
Other post-employment benefits	\$13,772,639
Bonds and notes payable	\$60,700,275
Long Term Leases	\$138,250
Other long-term obligations	\$0
Total Noncurrent Liabilities	\$74,611,164

Total Liabilities

\$81,493,395

Net Asset (Deficit)

Net Asset

Invested in capital assets, net of related debt	\$158,369,824
Restricted	\$23,555,390
Unrestricted	(\$6,416,235)
Total Net Assets	\$175,508,979

Summary Financial Information

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

Operating Revenues

Charges for services	\$39,464,013
Rental & financing income	\$0
Other operating revenues	\$1,061,652
Total Operating Revenue	\$40,525,665

Operating Expenses

Salaries and wages	\$8,470,904
Other employee benefits	\$5,714,129
Professional services contracts	\$248,284
Supplies and materials	\$1,025,455
Depreciation & amortization	\$5,785,997
Other operating expenses	\$15,118,351
Total Operating Expenses	\$36,363,120

Operating Income (Loss) **\$4,162,545**

Nonoperating Revenues

Investment earnings	\$11,083
State subsidies/grants	\$0
Federal subsidies/grants	\$0
Municipal subsidies/grants	\$0
Public authority subsidies	\$0
Other nonoperating revenues	\$8,047
Total Nonoperating Revenue	\$19,130

Summary Financial Information

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

Nonoperating Expenses

Interest and other financing charges	\$2,817,842
Subsidies to other public authorities	\$0
Grants and donations	\$0
Other nonoperating expenses	\$0
Total Nonoperating Expenses	\$2,817,842
Income (Loss) Before Contributions	\$1,363,833
Capital Contributions	\$1,814,981
Change in net assets	\$3,178,814
Net assets (deficit) beginning of year	\$172,330,165
Other net assets changes	\$0
Net assets (deficit) at end of year	\$175,508,979

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?	No

New Debt Issuances List by Type of Debt and Program

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

Schedule of Authority Debt

Type of Debt	Statutory Authorization (\$)	Outstanding Start of Fiscal Year (\$)	New Debt Issuances (\$)	Debt Retired (\$)	Outstanding End of Fiscal Year (\$)
State Obligation					
State Guaranteed					
State Supported					
State Contingent Obligation					
State Moral Obligation					
Other State Funded					
Authority Obligation					
General Obligation					
Revenue	0.00	64,672,835.00	0.00	2,677,835.00	61,995,000.00
Other Non-State Funded					
Conduit					
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 Backhoe1T0310KXVCE229647

2. Property Description: 2006 John Deere BackhoeT0310GX957940

Estimated Fair Market Value: \$55,000.00

Estimated Fair Market Value: \$24,000.00

How was Fair Market Value

How was Fair Market Value

Determined?: Appraisal

Determined?: Appraisal

Transaction Date: 04/02/2014

Transaction Date: 04/02/2014

Sale Price: \$55,000.00

Sale Price: \$24,000.00

Organization: John Deere Construction Retail Sales

Organization: John Deere Construction Retail Sales

Last Name:

Last Name:

First Name:

First Name:

Purchaser Address

Purchaser Address

Address Line1: PO Box 8806

Address Line1: PO Box 8806

Address Line2:

Address Line2:

City: MOLINE

City: MOLINE

State: IL

State: IL

Postal Code: 61266

Postal Code: 61266

Plus4:

Plus4:

Province/Region:

Province/Region:

Country: USA

Country: USA

Personal Property

3. Property Description: 2008 Ford F250 4x4 Pickup Truck
w/Plow1FTNF21568ED51200

Estimated Fair Market Value: \$8,500.00

How was Fair Market Value

Determined?: Competitive Bid

Transaction Date: 11/22/2014

Sale Price: \$8,500.00

Organization: The Car Store Inc.

Last Name:

First Name:

Purchaser Address

Address Line1: 1999 Central Ave

Address Line2:

City: ALBANY

State: NY

Postal Code: 12205

Plus4:

Province/Region:

Country: USA

4. Property Description: 2007 Chevrolet K1500 4x4 Extended Cab Pickup
Truck1GCEK19047Z607307

Estimated Fair Market Value: \$6,250.00

How was Fair Market Value

Determined?: Competitive Bid

Transaction Date: 11/22/2014

Sale Price: \$6,250.00

Organization: Kuharchik Construction Inc

Last Name:

First Name:

Purchaser Address

Address Line1: 420 Schooley Ave

Address Line2:

City: EXETER

State: PA

Postal Code: 18643

Plus4:

Province/Region:

Country: USA

Personal Property

5. Property Description: 2005 Chevrolet K2500HD 4x4 Pickup
Truck1GCHK24UX5E273639

Estimated Fair Market Value: \$6,250.00

How was Fair Market Value

Determined?: Competitive Bid

Transaction Date: 11/22/2014

Sale Price: \$6,250.00

Organization: The Car Store Inc

Last Name:

First Name:

Purchaser Address

Address Line1: 1999 Central Ave

Address Line2:

City: ALBANY

State: NY

Postal Code: 12205

Plus4:

Province/Region:

Country: USA

6. Property Description: 2007 Chevrolet K1500 4x4 Pickup
Truck1GCEK14057Z610675

Estimated Fair Market Value: \$6,000.00

How was Fair Market Value

Determined?: Competitive Bid

Transaction Date: 11/22/2014

Sale Price: \$6,000.00

Organization: Upstate Auto Sales

Last Name:

First Name:

Purchaser Address

Address Line1: 3511 NY Rte 7

Address Line2:

City: HOOSICK FALLS

State: NY

Postal Code: 12090

Plus4:

Province/Region:

Country: USA

Personal Property

7. Property Description: 2005 Chevrolet G2500 Cargo
Van1GCGG25VX51226638

Estimated Fair Market Value: \$5,000.00

How was Fair Market Value

Determined?: Competitive Bid

Transaction Date: 11/22/2014

Sale Price: \$5,000.00

Organization: Upstate Auto Sales

Last Name:

First Name:

Purchaser Address

Address Line1: 3511 NY Rte 7

Address Line2:

City: HOOSICK FALLS

State: NY

Postal Code: 12090

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	http://www.ocwa.org/governance/financial-reports/
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	http://www.ocwa.org/governance/financial-reports/
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: