

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/o23.html
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/o23.html
3. Has the lead audit partner for the independent audit firm changed in the last five years in accordance with section 2800(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/o12.html
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/vision.html
8. Has the Authority mission statement been revised and adopted during the reporting period?	Yes	N/A
9. Attach the Authoritys measurement report, as required by section 2824-a of Public Authorities Law and provide the URL?	htt	N/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):		http://www.ocwa.org/o12.html
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		http://www.ocwa.org/minutes.html
7. Has the Board adopted bylaws and made them available to Board members and staff?	Yes	http://www.ocwa.org/o12.html
8. Has the Board adopted a code of ethics for Board members and staff?	Yes	http://www.ocwa.org/o12.html
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?	Yes	http://www.ocwa.org/o12.html

Board of Directors Listing

Name	Miller, Susan A	Name	Picardi, Ferdinand
Chair of Board	No	Chair of Board	No
If yes, Chairman Designated by		If yes, Chairman Designated by	
Term Start Date	12/15/2009	Term Start Date	06/03/2008
Term Expiration Date	07/01/2011	Term Expiration Date	07/01/2010
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Appointed By(Name of Ex-officio Board member)	No	Appointed By(Name of Ex-officio Board member)	No
Nominated By	Local	Nominated By	Local
Appointed By		Appointed By	
Confirmed by Senate		Confirmed by Senate	
Has the board member/designee signed the acknowledgement of fuduciary duty?	Yes	Has the board member/designee signed the acknowledgement of fuduciary 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	Tomeny, Robert	Name	Gilligan, Eileen D
Chair of Board	Yes	Chair of Board	No
If yes, Chairman Designated by	Elected by Board	If yes, Chairman Designated by	
Term Start Date	12/15/2009	Term Start Date	12/15/2009
Term Expiration Date	07/01/2012	Term Expiration Date	07/01/2011
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Appointed By(Name of Ex-officio Board member)	No	Appointed By(Name of Ex-officio Board member)	No
Nominated By	Local	Nominated By	Local
Appointed By		Appointed By	
Confirmed by Senate		Confirmed by Senate	
Has the board member/designee signed the acknowledgement of fuduciary duty?	Yes	Has the board member/designee signed the acknowledgement of fuduciary duty?	Yes
Complied with Training requirement of Section 2824 ?	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 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
Chair of Board	No
If yes, Chairman Designated by	
Term Start Date	09/01/2010
Term Expiration Date	07/01/2013
Title	
Has the Board member appointed a designee?	
Appointed By(Name of Ex-officio Board member)	No
Nominated By	Local
Appointed By	
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	Depart ment / Subsid iary	Union Name	Bargaining Unit	* 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 Compensat ion/Allowa nces/Adjus tments	* Is the individual also paid by another entity to perform the work	If yes, is the payme nt made by a State
Geiss Jr	Anthony		Deputy Executive Director	Executive				FT	Y	117992.46	117944.68	0.00	0.00	0.00	300.00	N	
Hooker	Michael		Executive Director	Executive				FT	Y	138626.66	138574.48	0.00	0.00	0.00	0.00	N	
Miller	Geoffrey		Executive Engineer	Managerial				FT	Y	104951.41	101363.43	0.00	0.00	0.00	300.00	N	
Pickard	Terry		Counsel	Professional				PT	Y	104661.08	104625.76	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 30 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.

Terry R. Pickard has been Legal Counsel of the Authority since 2005. Prior to that time, he was in the private practice of law and has 40 years of experience in public authority and construction law. Mr. Pickard received a Bachelor of Arts degree from Ohio Wesleyan University and a Juris Doctor degree from the Boston University School of Law. He is admitted to practice law in the State of New York, the United States District Court for the Northern District of New York and the United States Supreme Court.

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 and is a Board Certified Environmental Engineer in the specialty of Water Supply and Wastewater.

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 Membership	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
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	
Tomeny, Robert	Board of Directors												X	

Staff

Name	Title	Severance Package	Payment for Unused Leave	Club Membership	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									
Pickard, Terry	Counsel				X									

Subsidiary/Affiliate Verification

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

Name of Subsidiary/Affiliate	Status	Requested Changes
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Subsidiary/Affiliate Creation

Name of Subsidiary/Affiliate	Establishment Date	Entity Purpose
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Subsidiary/Affiliate Termination

Name of Subsidiary/Affiliate	Termination Date	Termination Reason	Proof 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	\$243,275
Investments	\$0
Receivables, net	\$6,646,457
Other assets	\$2,353,726
Total Current Assets	\$9,243,458
Noncurrent Assets	
Restricted cash and investments	\$21,697,846
Long-term receivables, net	\$0
Other assets	\$707,872
Capital Assets	
Land and other nondepreciable property	\$844,764
Buildings and equipment	\$45,616,873
Infrastructure	\$231,579,048
Accumulated depreciation	\$74,902,880
Net Capital Assets	\$203,137,805
Total Noncurrent Assets	\$225,543,523
Total Assets	\$234,786,981

Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

Liabilities

Current Liabilities

Accounts payable	\$3,992,782
Pension contribution payable	\$0
Other post-employment benefits	\$0
Accrued liabilities	\$1,350,482
Deferred revenues	\$0
Bonds and notes payable	\$2,902,788
Other long-term obligations due within one year	\$108,875
Total Current Liabilities	\$8,354,927

Noncurrent Liabilities

Pension contribution payable	\$0
Other post-employment benefits	\$4,839,610
Bonds and notes payable	\$62,165,960
Long Term Leases	\$442,125
Other long-term obligations	\$0
Total Noncurrent Liabilities	\$67,447,695

Total Liabilities

\$75,802,622

Net Asset (Deficit)

Net Asset

Invested in capital assets, net of related debt	\$137,920,845
Restricted	\$15,568,635
Unrestricted	\$5,494,879
Total Net Assets	\$158,984,359

Summary Financial Information

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

Operating Revenues

Charges for services	\$34,253,826
Rental & financing income	\$0
Other operating revenues	\$1,169,115
Total Operating Revenue	\$35,422,941

Operating Expenses

Salaries and wages	\$7,071,800
Other employee benefits	\$4,012,769
Professional services contracts	\$296,697
Supplies and materials	\$657,909
Depreciation & amortization	\$5,045,869
Other operating expenses	\$13,706,675
Total Operating Expenses	\$30,791,719

Operating Income (Loss) **\$4,631,222**

Nonoperating Revenues

Investment earnings	\$20,066
State subsidies/grants	\$0
Federal subsidies/grants	\$0
Municipal subsidies/grants	\$0
Public authority subsidies	\$0
Other nonoperating revenues	\$0
Total Nonoperating Revenue	\$20,066

Summary Financial InformationSUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETSNonoperating Expenses

Interest and other financing charges	\$2,557,474
Subsidies to other public authorities	\$0
Grants and donations	\$0
Other nonoperating expenses	\$2,410
Total Nonoperating Expenses	\$2,559,884
Income (Loss) Before Contributions	\$2,091,404
Capital Contributions	\$1,298,696
Change in net assets	\$3,390,100
Net assets (deficit) beginning of year	\$155,594,259
Other net assets changes	\$0
Net assets (deficit) at end of year	\$158,984,359

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
OCWA Bond Refundin g and Northern Concours e Building Improvem ents	Refunding	3,910,000.00	08/19/2010		Negotiated	2.32	Variable	15	87,180.00		
	New	2,015,000.00									
	Total	5,925,000.00									
OCWA Western 20MG & Eastern 30MG Water Storage Tanks	Refunding	0.00	03/15/2010		Negotiated	4.87	Fixed	30	263,471.00		
	New	19,328,367.00									
	Total	19,328,367.00									

Schedule of Authority Debt

Type of Debt	Statutory Authorization (\$)	Outstanding Start of Fiscal year (\$)	New Debt Issuances (\$)	Debt Retired (\$)	Outstanding End of Fiscal Year (\$)
State Obligation					
State Guaranteed					
State Supported					
State Contingent Obligation					
State Moral Obligation					
Other State Funded					
Authority Obligation					
General Obligation					
Revenue	0.00	45,188,143.00	25,253,367.00	6,456,510.00	63,985,000.00
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: 2007 Catepillar 416E Backhoe

Estimated Fair Market Value: \$35,500.00

How was Fair Market Value

Determined?: Appraisal

Transaction Date: 02/08/2010

Sale Price: \$35,500.00

Organization: Milton CAT

Last Name:

First Name:

Purchaser Address

Address Line1: 294 Ainsley Dr

Address Line2:

City: SYRACUSE

State: NY

Postal Code: 13210

Plus4:

Province/Region:

Country: USA

2. Property Description: 2001 John Deere Backhoe

Estimated Fair Market Value: \$17,000.00

How was Fair Market Value

Determined?: Appraisal

Transaction Date: 02/08/2010

Sale Price: \$17,000.00

Organization: Milton CAT

Last Name:

First Name:

Purchaser Address

Address Line1: 294 Ainsley Dr

Address Line2:

City: SYRACUSE

State: NY

Postal Code: 13210

Plus4:

Province/Region:

Country: USA

Personal Property

3. Property Description: 1998 New Holland Backhoe

Estimated Fair Market Value: \$9,800.00

How was Fair Market Value

Determined?: Competitive Bid

Transaction Date: 10/29/2010

Sale Price: \$9,800.00

Organization:

Last Name: Massara

First Name: Ken

Purchaser Address

Address Line1: 511 Church St

Address Line2:

City: NORTH SYRACUSE

State: NY

Postal Code: 13212

Plus4:

Province/Region:

Country: USA

4. Property Description: 2000 International Dump Truck

Estimated Fair Market Value: \$8,569.00

How was Fair Market Value

Determined?: Competitive Bid

Transaction Date: 10/29/2010

Sale Price: \$8,569.00

Organization:

Last Name: Strait

First Name: Greg

Purchaser Address

Address Line1: 101 Forsythe Ave

Address Line2:

City: CAMILLUS

State: NY

Postal Code: 13031

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/o23.html
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/o12.html
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	

IDA Projects Summary Information:

Additional Comments: