

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 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/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'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/o23.html |

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 the Board | No | Chair of the Board | No |
| If yes, Chair Designated by. | | If yes, Chair Designated by. | |
| Term Start Date | 11/01/2011 | Term Start Date | 06/03/2008 |
| Term Expiration Date | 07/01/2014 | Term Expiration Date | Pleasure of Authority |
| Title | | Title | |
| Has the Board member appointed a designee? | | Has the Board member appointed a designee? | |
| 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 | Tomeny, Robert | Name | Gilligan, Eileen D |
| 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 | 12/15/2009 | Term Start Date | 11/01/2011 |
| Term Expiration Date | 07/01/2012 | Term Expiration Date | 07/01/2014 |
| Title | | Title | |
| Has the Board member appointed a designee? | | Has the Board member appointed a designee? | |
| 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 |
| Chair of the Board | No |
| If yes, Chair Designated by. | |
| Term Start Date | 09/01/2010 |
| Term Expiration Date | 07/01/2013 |
| Title | |
| Has the Board member appointed a designee? | |
| 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 | Department / Subdiary | 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 Compensation/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? |
|------------|-------------|----------------|---------------------------|--------------|-----------------------|------------|-----------------|------------------------|----------|-------------------------|---|-----------------------------|--------------------|------------|---------------------------------|---|---|
| Geiss Jr | Anthony | | Deputy Executive Director | Executive | | | | FT | Y | 120234.32 | 120191.56 | 0.00 | 0.00 | 0.00 | 1300.00 | N | |
| Hooker | Michael | | Executive Director | Executive | | | | FT | Y | 138626.66 | 138626.80 | 0.00 | 0.00 | 0.00 | 1000.00 | N | |
| Miller | Geoffrey | | Executive Engineer | Managerial | | | | FT | Y | 106945.49 | 106907.12 | 0.00 | 0.00 | 0.00 | 1300.00 | N | |
| Pickard | Terry | | Counsel | Professional | | | | PT | Y | 106649.64 | 106611.16 | 0.00 | 0.00 | 0.00 | 1000.00 | 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 31 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 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 |
|--------------------|--------------------|-------------------|--------------------------|-------------------|-------------------------------|----------------|------|----------------|--------------------|------------------------------------|---------------------|------------------------|------------------------|-------|
| 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 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 | | | | | | | | | |
| Hooker, Michael | Executive Director | | | | X | | | | | | | | | |
| Miller, Geoffrey | Executive Engineer | | | | X | | | | | | | | | |
| Pickard, Terry | Counsel | | | | 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 |
|-----------------------------------|--------|-------------------|
|-----------------------------------|--------|-------------------|

Subsidiary/Component Unit Creation

| Name of Subsidiary/Component Unit | Establishment Date | Entity Purpose |
|-----------------------------------|--------------------|----------------|
|-----------------------------------|--------------------|----------------|

Subsidiary/Component Unit Termination

| Name of Subsidiary/Component Unit | Termination Date | Termination Reason | Proof of Termination |
|-----------------------------------|------------------|--------------------|----------------------|
|-----------------------------------|------------------|--------------------|----------------------|

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 | \$147,588 |
| Investments | \$0 |
| Receivables, net | \$6,923,515 |
| Other assets | \$2,393,097 |
| Total Current Assets | \$9,464,200 |
| Noncurrent Assets | |
| Restricted cash and investments | \$30,250,954 |
| Long-term receivables, net | \$0 |
| Other assets | \$782,973 |
| Capital Assets | |
| Land and other nondepreciable property | \$844,764 |
| Buildings and equipment | \$46,299,928 |
| Infrastructure | \$247,091,300 |
| Accumulated depreciation | \$79,987,438 |
| Net Capital Assets | \$214,248,554 |
| Total Noncurrent Assets | \$245,282,481 |
| Total Assets | \$254,746,681 |

Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

Liabilities

Current Liabilities

| | |
|---|--------------------|
| Accounts payable | \$3,482,155 |
| Pension contribution payable | \$0 |
| Other post-employment benefits | \$0 |
| Accrued liabilities | \$1,487,807 |
| Deferred revenues | \$0 |
| Bonds and notes payable | \$3,200,873 |
| Other long-term obligations due within one year | \$85,650 |
| Total Current Liabilities | \$8,256,485 |

Noncurrent Liabilities

| | |
|-------------------------------------|---------------------|
| Pension contribution payable | \$0 |
| Other post-employment benefits | \$7,527,257 |
| Bonds and notes payable | \$77,586,925 |
| Long Term Leases | \$356,475 |
| Other long-term obligations | \$0 |
| Total Noncurrent Liabilities | \$85,470,657 |

Total Liabilities

\$93,727,142

Net Asset (Deficit)

Net Asset

| | |
|---|----------------------|
| Invested in capital assets, net of related debt | \$133,614,504 |
| Restricted | \$24,394,225 |
| Unrestricted | \$3,010,810 |
| Total Net Assets | \$161,019,539 |

Summary Financial Information

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

Operating Revenues

| | |
|--------------------------------|---------------------|
| Charges for services | \$36,248,635 |
| Rental & financing income | \$0 |
| Other operating revenues | \$1,152,060 |
| Total Operating Revenue | \$37,400,695 |

Operating Expenses

| | |
|---------------------------------|---------------------|
| Salaries and wages | \$7,485,666 |
| Other employee benefits | \$4,552,896 |
| Professional services contracts | \$232,937 |
| Supplies and materials | \$861,199 |
| Depreciation & amortization | \$5,532,264 |
| Other operating expenses | \$15,204,830 |
| Total Operating Expenses | \$33,869,792 |

Operating Income (Loss) **\$3,530,903**

Nonoperating Revenues

| | |
|-----------------------------------|-----------------|
| Investment earnings | \$21,324 |
| State subsidies/grants | \$0 |
| Federal subsidies/grants | \$0 |
| Municipal subsidies/grants | \$0 |
| Public authority subsidies | \$0 |
| Other nonoperating revenues | \$0 |
| Total Nonoperating Revenue | \$21,324 |

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

| | |
|---|----------------------|
| Interest and other financing charges | \$3,348,778 |
| Subsidies to other public authorities | \$0 |
| Grants and donations | \$0 |
| Other nonoperating expenses | \$25,063 |
| Total Nonoperating Expenses | \$3,373,841 |
| Income (Loss) Before Contributions | \$178,386 |
| Capital Contributions | \$1,856,794 |
| Change in net assets | \$2,035,180 |
| Net assets (deficit) beginning of year | \$158,984,359 |
| Other net assets changes | \$0 |
| Net assets (deficit) at end of year | \$161,019,539 |

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 Eastern 20MG Tank, three pump stations and other improvements | Refunding 0.00 New 16,910,000.00 Total 16,910,000.00 | | 04/05/2011 | | Negotiated | 4.05 | Variable | 18 | 116,942.00 | | |

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 | 63,985,000.00 | 16,910,000.00 | 2,500,000.00 | 78,395,000.00 |
| 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: 2009 Caterpillar Model 416E Backhoe loader 2.

Property Description: 2008 Caterpillar Model 416E Backhoe Loader

Estimated Fair Market Value: \$40,000.00

Estimated Fair Market Value: \$36,500.00

How was Fair Market Value

How was Fair Market Value

Determined?: Appraisal

Determined?: Appraisal

Transaction Date: 08/22/2012

Transaction Date: 08/22/2011

Sale Price: \$40,000.00

Sale Price: \$36,500.00

Organization: Milton Cat

Organization: Milton Cat

Last Name:

Last Name:

First Name:

First Name:

Purchaser Address

Purchaser Address

Address Line1: 294 Ainsley Dr

Address Line1: 294 Ainsley Dr

Address Line2:

Address Line2:

City: SYRACUSE

City: SYRACUSE

State: NY

State: NY

Postal Code: 13210

Postal Code: 13210

Plus4:

Plus4:

Province/Region:

Province/Region:

Country: USA

Country: USA

Personal Property

3. Property Description: 2002 International Dump Truck

Estimated Fair Market Value: \$6,169.00

How was Fair Market Value

Determined?: Competitive Bid

Transaction Date: 03/22/2011

Sale Price: \$6,169.00

Organization:

Last Name: Lovenguth

First Name: David

Purchaser Address

Address Line1: 1971 County Route 37

Address Line2:

City: WEST MONROE

State: NY

Postal Code: 13167

Plus4:

Province/Region:

Country: USA

4. Property Description: 2004 Chevrolet Silverado Pickup with
Liftgate

Estimated Fair Market Value: \$6,169.00

How was Fair Market Value

Determined?: Competitive Bid

Transaction Date: 10/13/2011

Sale Price: \$6,169.00

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:

In the Summary Financial Information Section of the report, the Other Operating Expenses section includes \$8,509,089 for Purchased Water. It was deemed the most appropriate place to include the amount.