

**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/2012/09/2016-OCWA-Org-Table-.pdf">http://www.ocwa.org/wp-content/uploads/2012/09/2016-OCWA-Org-Table-.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/about/board-committees/">http://www.ocwa.org/about/board-committees/</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.boarddocs.com/ny/ocwa/Board.nsf/Public">http://www.boarddocs.com/ny/ocwa/Board.nsf/Public</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/2013/08/OCWA-By-Laws-Amended-10-15-141.pdf">http://www.ocwa.org/wp-content/uploads/2013/08/OCWA-By-Laws-Amended-10-15-141.pdf</a>
8. Has the Board adopted a code of ethics for Board members and staff?	Yes	<a href="http://www.ocwa.org/about/policies/code-of-ethics/">http://www.ocwa.org/about/policies/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	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	Luber, Michael J
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	06/07/2016
Term Expiration Date	Pleasure of Authority	Term Expiration Date	07/01/2019
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?	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

<u>Board of Directors Listing</u>	
Name	Gardiner, Kenneth
Chair of the Board	No
If yes, Chair Designated by.	
Term Start Date	08/06/2013
Term Expiration Date	Pleasure of Authority
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	* 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/Adj ustments	* 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	154801.7062	154707.67	0.00	0.00	0.00	0.00	N	
Brown	Jeffrey		Counsel	Professional	FT	Y	133575.0000	133506.26	0.00	0.00	0.00	0.00	N	
Miller	Geoffrey		Deputy Executive Director	Executive	FT	Y	129875.0000	129781.43	0.00	0.00	0.00	300.00	N	
Marvin	Curtis		Fiscal Officer	Managerial	FT	Y	116155.3750	116068.15	0.00	0.00	0.00	0.00	N	
Weiss	Andrew		Executive Engineer	Managerial	FT	Y	110970.0000	110912.94	0.00	0.00	0.00	0.00	N	
Blanchard	Barry		Mgr of Technical Support	Managerial	FT	Y	104250.0000	104611.99	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 40 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.

Geoffrey G. Miller has been the Deputy Executive Director at OCWA since 2015. Prior to that time he was Executive Engineer at OCWA since 2006. He was previously 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 since 2015. Prior to that he was the Accounting Manager of the Authority since 1991. He was previously employed by the Onondaga County Health Department, Syracuse, New York. Mr. Marvin received a Bachelor of Science Degree in Accounting from LeMoyne College.

Jeffrey D. Brown, Esq. has been the full-time Legal Counsel at OCWA since 2015. Prior to that, he was a partner with the Mackenzie Hughes law firm where he represented the Onondaga County Water District and numerous other municipal governments. He has also served as Regional Attorney for the New York State Department of Environmental Conservation, a law clerk to former U.S. District Judge Howard Munson and a member of the New York State Assembly. Mr. Brown has served in the United States military for 19 years and currently holds the rank of Lieutenant Colonel with the 174<sup>th</sup> Attack Wing. He received his Bachelor of Science degree from Cornell University and his Juris Doctor from Syracuse University.

Andrew J. Weiss has been the Executive Engineer at OCWA since 2015. Prior to that time, he was a Project Manager at a global consulting engineering firm specializing in water, wastewater and environmental engineering for over 10 years. Mr. Weiss received his Bachelor of Science degree in Environmental Resource Engineering from SUNY ESF at Syracuse. He is a licensed Professional Engineer in the State of New York, a New York State Department of Health Certified Water System Operator, and a Board Certified Environmental Engineer in Water Supply.

Barry M. Blanchard has been the IT Manager (Manager of Technical Support) at OCWA since 2003. Previously he held positions of Senior Account Manager and Application Engineer with Intergraph Corporation (1990-2003). Mr. Blanchard received a Master of Science degree from the University of Maine in Surveying Engineering, a Bachelor of Science degree from SUNY ESF at Syracuse, and an Associate degree from SUNY ESF at Wanakena.

**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
Luber, Michael J	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 Allowance	Spousal / Dependent Life Insurance	Tuition Assistance	Multi-Year Employment	None of These Benefits	Other
Blanchard, Barry	Mgr of Technical Support				X									
Brown, Jeffrey	Counsel				X							X		
Hooker, Michael	Executive Director				X							X		
Marvin, Curtis	Fiscal Officer				X									
Miller, Geoffrey	Deputy Executive Director				X							X		
Weiss, Andrew	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	\$221,613
Investments	\$0
Receivables, net	\$10,782,326
Other assets	\$3,471,095
<b>Total Current Assets</b>	<b>\$14,475,034</b>
<b>Noncurrent Assets</b>	
Restricted cash and investments	\$27,486,584
Long-term receivables, net	\$0
Other assets	\$7,540,627
<b>Capital Assets</b>	
Land and other nondepreciable property	\$988,834
Buildings and equipment	\$53,246,613
Infrastructure	\$280,844,285
Accumulated depreciation	\$107,168,109
Net Capital Assets	\$227,911,623
<b>Total Noncurrent Assets</b>	<b>\$262,938,834</b>
<b>Total Assets</b>	<b>\$277,413,868</b>

Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

Liabilities

**Current Liabilities**

Accounts payable	\$2,111,234
Pension contribution payable	\$0
Other post-employment benefits	\$0
Accrued liabilities	\$1,780,043
Deferred revenues	\$679,111
Bonds and notes payable	\$3,451,761
Other long-term obligations due within one year	\$50,925
<b>Total Current Liabilities</b>	<b>\$8,073,074</b>

**Noncurrent Liabilities**

Pension contribution payable	\$5,729,286
Other post-employment benefits	\$16,994,384
Bonds and notes payable	\$59,634,665
Long Term Leases	\$36,400
Other long-term obligations	\$0
<b>Total Noncurrent Liabilities</b>	<b>\$82,394,735</b>

**Total Liabilities**

**\$90,467,809**

Net Asset (Deficit)

**Net Asset**

Invested in capital assets, net of related debt	\$166,945,910
Restricted	\$32,333,233
Unrestricted	(\$12,333,084)
<b>Total Net Assets</b>	<b>\$186,946,059</b>

Summary Financial Information

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

Operating Revenues

Charges for services	\$43,750,375
Rental & financing income	\$0
Other operating revenues	\$1,092,863
<b>Total Operating Revenue</b>	<b>\$44,843,238</b>

Operating Expenses

Salaries and wages	\$9,163,409
Other employee benefits	\$5,968,450
Professional services contracts	\$328,905
Supplies and materials	\$1,187,818
Depreciation & amortization	\$6,076,355
Other operating expenses	\$15,083,450
<b>Total Operating Expenses</b>	<b>\$37,808,387</b>

Operating Income (Loss) **\$7,034,851**

Nonoperating Revenues

Investment earnings	\$97,354
State subsidies/grants	\$0
Federal subsidies/grants	\$0
Municipal subsidies/grants	\$0
Public authority subsidies	\$0
Other nonoperating revenues	\$0
<b>Total Nonoperating Revenue</b>	<b>\$97,354</b>

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

Interest and other financing charges	\$2,737,094
Subsidies to other public authorities	\$0
Grants and donations	\$0
Other nonoperating expenses	\$28,367
<b>Total Nonoperating Expenses</b>	<b>\$2,765,461</b>
<b>Income (Loss) Before Contributions</b>	<b>\$4,366,744</b>
Capital Contributions	\$1,981,574
Change in net assets	\$6,348,318
Net assets (deficit) beginning of year	\$180,597,741
Other net assets changes	\$0
Net assets (deficit) at end of year	\$186,946,059

**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 Refunding Bonds 2016 Series A	Refunding 12,320,000.00 New 0.00 Total 12,320,000.00		12/01/2016		Negotiated	2.27	Fixed	12	154,710.00		

**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	64,260,000.00	12,320,000.00	16,465,000.00	60,115,000.00
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: 2013 John Deere Model 310 SK JD Backhoe  
1T0310SKCDE246686

Estimated Fair Market Value: \$51,750.00

How was Fair Market Value

Determined?: Appraisal

Transaction Date: 05/23/2016

Sale Price: \$51,750.00

Organization: Southworth-Milton Inc.

Last Name:

First Name:

Purchaser Address

Address Line1: PO Box 3851

Address Line2:

City: BOSTON

State: MA

Postal Code: 02241

Plus4:

Province/Region:

Country: USA

2. Property Description: 2011 Caterpillar 416E Backhoe  
CAT0416ELMS00295

Estimated Fair Market Value: \$38,750.00

How was Fair Market Value

Determined?: Appraisal

Transaction Date: 05/23/2016

Sale Price: \$38,750.00

Organization: Southworth-Milton Inc

Last Name:

First Name:

Purchaser Address

Address Line1: PO Box 3851

Address Line2:

City: BOSTON

State: MA

Postal Code: 02241

Plus4:

Province/Region:

Country: USA



Personal Property

3. Property Description: 2010 Ford Escape 4x4 4Door Sport Utility  
Vehicle 1FMCU9DGXAKD28007

Estimated Fair Market Value: \$8,500.00

How was Fair Market Value

Determined?: Competitive Bid

Transaction Date: 12/10/2016

Sale Price: \$8,500.00

Organization:

Last Name: Kovach

First Name: Tom

Purchaser Address

Address Line1: PO Box 471

Address Line2:

City: LOWVILLE

State: NY

Postal Code: 13367

Plus4:

Province/Region:

Country: USA

4. Property Description: 2010 Chevrolet G2500 Cargo Van  
1GCZGFBA5A1163475

Estimated Fair Market Value: \$5,750.00

How was Fair Market Value

Determined?: Competitive Bid

Transaction Date: 12/10/2016

Sale Price: \$5,750.00

Organization:

Last Name: Solinsky

First Name: Stephen

Purchaser Address

Address Line1: 60 Sparhawk Rd

Address Line2:

City: PARISH

State: NY

Postal Code: 13131

Plus4:

Province/Region:

Country: USA

Personal Property

5. Property Description: 2011 Ford E250 Cargo Van 1FTNE2EW9BDA78739 6.

Property Description: 2007 International 7400 Dump Truck  
1HTWCAAN67J560923

Estimated Fair Market Value: \$6,500.00

Estimated Fair Market Value: \$25,000.00

How was Fair Market Value

How was Fair Market Value

Determined?: Competitive Bid

Determined?: Competitive Bid

Transaction Date: 12/10/2016

Transaction Date: 12/10/2016

Sale Price: \$6,500.00

Sale Price: \$25,000.00

Organization:

Organization:

Last Name: Raspante

Last Name: Mullen

First Name: Frank

First Name: John

Purchaser Address

Purchaser Address

Address Line1: 6434 State Rt 233

Address Line1: 225 Cole Bank Rd

Address Line2:

Address Line2:

City: ROME

City: SAUGERTIES

State: NY

State: NY

Postal Code: 13440

Postal Code: 12477

Plus4:

Plus4:

Province/Region:

Province/Region:

Country: USA

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/wp-content/uploads/2013/08/Guidelines-for-Acquisition-and-Disposal-of-Property20">http://www.ocwa.org/wp-content/uploads/2013/08/Guidelines-for-Acquisition-and-Disposal-of-Property20</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: