

**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.DCWWA.org">http://www.DCWWA.org</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.DCWWA.org">http://www.DCWWA.org</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?	Yes	N/A
5. Does the Authority have an organization chart?	Yes	<a href="http://www.DCWWA.org">http://www.DCWWA.org</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.DCWWA.org">http://www.DCWWA.org</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.DCWWA.org">http://www.DCWWA.org</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.DCWWA.org">http://www.DCWWA.org</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.DCWWA.org">http://www.DCWWA.org</a>
7. Has the Board adopted bylaws and made them available to Board members and staff?	Yes	<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>
8. Has the Board adopted a code of ethics for Board members and staff?	Yes	<a href="http://www.DCWWA.org">http://www.DCWWA.org</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?	No	N/A
16. Has the board adopted a conditional/additional compensation policy governing all employees?	Yes	<a href="http://www.DCWWA.org">http://www.DCWWA.org</a>

Board of Directors Listing

Name	DiMaso, Vincent J	Name	Donohue, Ann Marie
Chair of the Board	No	Chair of the Board	No
If yes, Chair Designated by.		If yes, Chair Designated by.	
Term Start Date	01/01/2007	Term Start Date	01/01/2011
Term Expiration Date	12/31/2011	Term Expiration Date	12/31/2015
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	Vavra, Rudy	Name	Dealy, Patrick J
Chair of the Board	No	Chair of the Board	No
If yes, Chair Designated by.		If yes, Chair Designated by.	
Term Start Date	01/01/2008	Term Start Date	01/01/2010
Term Expiration Date	12/31/2012	Term Expiration Date	12/31/2014
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	LeGrand, Thomas
Chair of the Board	Yes
If yes, Chair Designated by.	Elected by Board
Term Start Date	01/01/2004
Term Expiration Date	12/31/2008
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 Listing**

Name	Title	Group	Department / Subsidiary	Union Name	Bargaining Unit	Full Time/ Part Time	Exempt	Base Annualized Salary	Actual salary paid to the individual	Overtime paid by Authority	Performance Bonus	Extra Pay	Other Compensation/Allowances/Adjustments	Total Compensation	Individual also paid by another entity to perform the work of the Authority	If yes, Is the payment made by State or local government
Barclay, Bridget	Executive Director	Executive				FT	Yes	98,445.84	98,445.84	0	0	0	2,500	100,945.84	No	
Burger, Jacqueline	Receptionist/Typist	Administrative and Clerical				FT	No	34,110.65	34,110.65	0	0	0	0	34,110.65	No	
Churins, Jonathan	Project Facilitator	Technical and Engineering				FT	Yes	66,789.75	66,789.75	0	0	0	0	66,789.75	No	
Corey, Jr., Donald	Water Maintenance Mechanic	Operational				FT	No	52,912.13	52,912.13	3,997.44	0	0	0	56,909.57	No	
Doyle, Robert	Water Maintenance Mechanic	Operational				FT	No	54,774.85	54,774.85	6,338.73	0	0	0	61,113.58	No	
Fadden, Peter	Project Manager	Technical and Engineering				FT	Yes	113,697.03	113,697.03	0	0	0	0	113,697.03	No	
Gilnack, Gerald	Superintendent of Water District	Managerial				PT	Yes	12,921.08	12,921.08	0	0	0	0	12,921.08	No	
Goettel, Glenn	Water Maintenance Mechanic	Operational				FT	No	51,370.31	51,370.31	6,295.44	0	0	0	57,665.75	No	
Hallenbeck, Karen	Principal Clerk	Administrative and Clerical				FT	No	47,873.86	47,873.86	0	0	0	0	47,873.86	No	
Heupler, Steven	Water Treatment Plant Operator Grade II	Operational				FT	No	70,161.77	70,161.77	3,435.88	0	0	0	73,597.65	No	
Licis, Michael	Laborer	Operational				FT	No	41,324.73	41,324.73	4,382.66	0	0	0	45,707.39	No	

**Staff Listing**

Name	Title	Group	Department / Subsidiary	Union Name	Bargaining Unit	Full Time/ Part Time	Exempt	Base Annualized Salary	Actual salary paid to the individual	Overtime paid by Authority	Performance Bonus	Extra Pay	Other Compensation/Allowances/Adjustments	Total Compensation	Individual also paid by another entity to perform the work of the Authority	If yes, Is the payment made by State or local government
Lutz, Daniel	Water Treatment Plant Operator Grade II	Operational				FT	No	50,317.29	50,317.29	4,332	0	0	0	54,649.29	No	
McGuire, Lisa	Account Clerk/Typist	Administrative and Clerical				FT	No	40,922.76	40,922.76	0	0	0	0	40,922.76	No	
Mills, Edward	Project Facilitator	Technical and Engineering				FT	Yes	68,258.21	68,258.21	0	0	0	0	68,258.21	No	
Morris, Mary	Staff Treasurer	Managerial				FT	Yes	89,900.68	89,900.68	0	0	0	0	89,900.68	No	
O'Neill, Robert	Water Distribution System Operator Grade D	Operational				FT	No	62,929.78	62,929.78	10,575.97	0	0	0	73,505.75	No	
Odell, Douglas	Director of Operations	Managerial				FT	No	71,856.80	71,856.8	0	0	0	0	71,856.8	No	
Rosencrans, Jeff	Wastewater Helper	Operational				FT	No	26,311.31	26,311.31	0	0	0	0	26,311.31	No	
Underwood, Kenneth	Water Treatment Plant Operator Grade II	Operational				FT	No	62,930.04	62,930.04	14,309.13	0	0	0	77,239.17	No	
Wojcik, Rose	Administrative Assistant	Administrative and Clerical				FT	No	49,917.20	49,917.2	0	0	0	0	49,917.2	No	
Zanetti, Fred	Environmental Services Specialist	Operational				FT	No	57,398.77	57,398.77	0	0	0	0	57,398.77	No	

**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
LeGrand, Thomas	Board of Directors												X	
Donohue, Ann Marie	Board of Directors												X	
DiMaso, Vincent J	Board of Directors												X	
Vavra, Rudy	Board of Directors												X	
Dealy, Patrick J	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
Fadden, Peter	Project Manager												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	\$3,742,579
Investments	\$2,086,907
Receivables, net	\$1,543,488
Other assets	\$78,086
<b>Total Current Assets</b>	<b>\$7,451,060</b>
<b>Noncurrent Assets</b>	
Restricted cash and investments	\$2,701,792
Long-term receivables, net	\$0
Other assets	\$1,001,187
<b>Capital Assets</b>	
Land and other nondepreciable property	\$834,808
Buildings and equipment	\$20,880,986
Infrastructure	\$51,690,416
Accumulated depreciation	\$19,225,347
Net Capital Assets	\$54,180,863
<b>Total Noncurrent Assets</b>	<b>\$57,883,842</b>
<b>Total Assets</b>	<b>\$65,334,902</b>

Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

Liabilities

**Current Liabilities**

Accounts payable	\$452,752
Pension contribution payable	\$0
Other post-employment benefits	\$0
Accrued liabilities	\$393,697
Deferred revenues	\$26,887,232
Bonds and notes payable	\$1,955,000
Other long-term obligations due within one year	\$0
<b>Total Current Liabilities</b>	<b>\$29,688,681</b>

**Noncurrent Liabilities**

Pension contribution payable	\$0
Other post-employment benefits	\$943,875
Bonds and notes payable	\$34,056,806
Long Term Leases	\$0
Other long-term obligations	\$0
<b>Total Noncurrent Liabilities</b>	<b>\$35,000,681</b>

**Total Liabilities**

**\$64,689,362**

Net Asset (Deficit)

**Net Asset**

Invested in capital assets, net of related debt	(\$155,056)
Restricted	\$2,621,904
Unrestricted	(\$1,821,308)
<b>Total Net Assets</b>	<b>\$645,540</b>

Summary Financial Information

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

Operating Revenues

Charges for services	\$4,814,871
Rental & financing income	\$110,020
Other operating revenues	\$1,950
<b>Total Operating Revenue</b>	<b>\$4,926,841</b>

Operating Expenses

Salaries and wages	\$1,309,233.38
Other employee benefits	\$765,563.8
Professional services contracts	\$71,852.25
Supplies and materials	\$457,633.23
Depreciation & amortization	\$1,259,176
Other operating expenses	\$2,014,545.34
<b>Total Operating Expenses</b>	<b>\$5,878,004</b>

Operating Income (Loss) **(\$951,163)**

Nonoperating Revenues

Investment earnings	\$148,849
State subsidies/grants	\$0
Federal subsidies/grants	\$0
Municipal subsidies/grants	\$2,797,085
Public authority subsidies	\$0
Other nonoperating revenues	\$32,949
<b>Total Nonoperating Revenue</b>	<b>\$2,978,883</b>

Summary Financial Information

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

Nonoperating Expenses

Interest and other financing charges	\$1,491,667
Subsidies to other public authorities	\$0
Grants and donations	\$0
Other nonoperating expenses	\$244,953
<b>Total Nonoperating Expenses</b>	<b>\$1,736,620</b>
<b>Income (Loss) Before Contributions</b>	<b>\$291,100</b>
Capital Contributions	\$0
Change in net assets	\$291,100
Net assets (deficit) beginning of year	\$354,440
Other net assets changes	\$0
Net assets (deficit) at end of year	<b>\$645,540</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?	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 (\$)
<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	37,376,854.00	0.00	1,365,047.00	36,011,807.00
Other Non-State Funded					
<b>Conduit</b>					
Conduit Debt					
Conduit Debt - Pilot Increment Financing					

Real Property Acquisition/Disposal List

1. Address Line1: 15 Fairway Lane

Address Line2:

City: RED HOOK

State: NY

Postal Code: 12571

Plus4:

Province/Region:

Country: USA

Property Description: Industrial Facility/Plant

Estimated Fair Market Value: \$130,000

How was the Fair Market Value Other

Determined?

Transaction Type: ACQUISITION

If Other, Explain:

Transaction Date: 08/27/2012

Purchase Sale Price: \$1.00

Lease Data (If applicable)

Market Rate(\$/square foot):

Lease Rate(\$/square foot):

Lease Period (months):

Seller/Purchaser/Tenant Data:

Organization: Red Hook Fairway Homeowners Association, In

Last Name:

First Name:

Address Line1: 72 Tee Lane

Address Line2:

City: RED HOOK

State: NY

Postal Code: 12571

Plus4:

Province/Region:

Country: USA

Relation With Board

member/senior authority

management? No

Personal Property

This Authority has indicated that it had no personal property disposals during the reporting period.

**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.DCWWA.org">http://www.DCWWA.org</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.DCWWA.org">http://www.DCWWA.org</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: