

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://ucrra.org/public-authorities/
2. As required by section 2800(9) of PAL, did the Authority prepare an assessment of the effectiveness of its internal controls?	Yes	http://ucrra.org/public-authorities/
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://ucrra.org/public-authorities/
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://ucrra.org/public-authorities/
8. Has the Authority's mission statement been revised and adopted during the reporting period?	Yes	N/A
9. Attach the Authority's measurement report, as required by section 2824-a of PAL and provide the URL.		http://ucrra.org/public-authorities/

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://ucrra.org/public-authorities/
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://ucrra.org/minutes/
7. Has the Board adopted bylaws and made them available to Board members and staff?	Yes	http://ucrra.org/public-authorities/
8. Has the Board adopted a code of ethics for Board members and staff?	Yes	http://ucrra.org/public-authorities/
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://ucrra.org/public-authorities/

Board of Directors Listing

Name	SMITH, LEON	Name	NILSEN, CATHERINE
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	01/01/2013	Term Start Date	01/01/2012
Term Expiration Date	12/31/2015	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?	
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

Board of Directors Listing

Name	LANDI, CHARLES	Name	DOMINIC, TAGLIAFIERRO
Chair of the Board	No	Chair of the Board	No
If yes, Chair Designated by.		If yes, Chair Designated by.	
Term Start Date	04/16/2012	Term Start Date	01/01/2013
Term Expiration Date	12/31/2016	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	GORDON, DAVID
Chair of the Board	No
If yes, Chair Designated by.	
Term Start Date	01/01/2014
Term Expiration Date	12/31/2016
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
BERGKAMP, MICHELLE	RECYCLING COORDINATOR/EDUCATOR	Professional				FT	Yes	46,069.00	46,069	0	0	750	0	46,819	No	
BORCHERDT, JEFFREY	MECHANIC	Operational	VMF			FT	Yes	44,120.00	44,120	3,858	0	2,249	0	50,227	No	
BRIGGS, THOMAS	COMPLIANCE OFFICER	Professional				FT	Yes	59,981.00	59,981	0	0	750	0	60,731	No	
BROOKS, WAYNE	DRIVER/OPERATOR	Operational	TRANSPORT OPERATIONS			FT	Yes	41,602.00	41,602	4,439	0	2,214	0	48,255	No	
CANNADY, DAVID	SORTING LINE WORKER	Operational				PT	Yes	11,212.00	11,212	0	0	0	0	11,212	No	
COFFEY, JOSEPH	LEAD TRANSFER STATION OPERATOR	Operational	TRANSFER STATION			FT	Yes	46,988.00	46,988	6,290	0	2,382	0	55,660	No	
DACHENHAUSEN, ROBERT	LABORER	Operational				PT	Yes	14,037.00	14,037	0	0	0	0	14,037	No	
DEGRAFF, TIMOTHY	CONTROLLER	Managerial				FT	Yes	72,217.00	72,217	0	0	750	0	72,967	No	
FRANCE, MELINDA	Administrative Assistant	Administrative and Clerical				FT	Yes	39,761.00	39,761	0	0	750	0	40,511	No	
GLEASON, ROBERT	LABORER	Operational	TRANSFER STATION			FT	Yes	41,602.00	41,602	2,971	0	2,219	0	46,792	No	
KERN, JOSEPH	SORTING LINE WORKER	Operational	MRF			FT	Yes	27,279.00	27,279	855	0	2,022	0	30,156	No	
LOPIANO, AMY	CHIEF ACCOUNTING CLERK	Administrative and Clerical				FT	Yes	54,845.00	54,845	0	0	750	0	55,595	No	
MAGGIORE, WILLIAM	LABORER	Operational	MRF			FT	Yes	36,247.00	36,247	1,247	0	2,254	0	39,748	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
MARA, TYLER	SORTING LINE WORKER	Operational				PT	Yes	2,252.00	2,252	0	0	0	0	2,252	No	
MARKLE III, DONALD	DRIVER/OPERATOR	Operational				PT	Yes	6,951.00	6,951	0	0	0	0	6,951	No	
MARKLE JR, DONALD	LEAD SCALEHOUSE OPERATOR	Operational	TRANSFER STATION			FT	Yes	44,159.00	44,159	8,197	0	2,414	0	54,770	No	
MCDONOUGH, PATRICK	LABORER	Operational				FT	Yes	42,941.00	42,941	4,656	0	1,194	0	48,791	No	
NERONE, THOMAS	LABORER	Operational	MRF			FT	Yes	42,255.00	42,255	2,583	0	2,269	0	47,107	No	
NEWKIRK, ROLAND	SORTING LINE WORKER	Operational				PT	Yes	6,285.00	6,285	0	0	0	0	6,285	No	
NICKERSON, CRAIG	LABORER	Operational		Teamsters	Local 445	FT	Yes	42,037.00	15,436	1,629	0	48	0	17,113	No	
OCHOA, IVAN	SORTING LINE WORKER	Operational	MRF			FT	Yes	27,560.00	31,709	4,299	0	2,114	0	38,122	No	
PARADIES JR, BARRY	MECHANIC	Operational	VMF			FT	Yes	44,160.00	44,160	1,249	0	2,232	0	47,641	No	
PARKEN, WILLIAM	LABORER	Operational	TRANSFER STATION			FT	Yes	27,560.00	37,359	4,286	0	2,151	0	43,796	No	
PETRUZZO, JUSTIN	SORTING LINE WORKER	Operational				PT	Yes	93.00	93	0	0	0	0	93	No	
PIRATZKY, LISA	DATA ANALYST	Administrative and Clerical				FT	Yes	35,459.00	35,050	0	0	750	0	35,800	No	
PRATT, SHEILA	SORTING LINE WORKER	Operational				PT	Yes	1,497.00	1,497	0	0	0	0	1,497	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
RODRIGUEZ, MARCUS	SORTING LINE WORKER	Operational				PT	Yes	6,519.00	6,519	0	0	0	0	6,519	No	
ROSE, TIMOTHY	EXECUTIVE DIRECTOR	Executive				FT	Yes	100,980.00	100,980	0	0	0	4,906	105,886	No	
SCHEFFEL, RAYMOND	DRIVER/OPERATOR	Operational	TRANSPORTATION			FT	Yes	43,742.00	0	0	0	11.54	0	11.54	No	
SHAW, ERIC	DRIVER/OPERATOR	Operational	TRANSPORTATION			FT	Yes	44,176.00	44,176	5,861	0	2,288	0	52,325	No	
SMITH, JESSE	SORTING LINE WORKER	Operational				PT	Yes	8,510.00	818	0	0	0	0	818	No	
TUBBY, ANDREW	SCALEHOUSE OPERATOR	Operational	TRANSFER STATION			FT	Yes	39,250.00	40,419	8,640	0	2,065	0	51,124	No	
UTLEY, DAVID	SORTING LINE WORKER	Operational	MRF			FT	Yes	27,277.00	27,277	515	0	1,750	0	29,542	No	
UTTER, KELLY	CONFIDENTIAL EXECUTIVE SECRETARY	Administrative and Clerical				FT	Yes	41,397.00	36,552	0	0	750	0	37,302	No	
VITEK, DEREK	LABORER	Operational	TRANSFER STATION			FT	Yes	41,602.00	41,602	2,530	0	2,291	0	46,423	No	
WAGNER, RICHARD	DRIVER/OPERATOR	Operational				PT	Yes	1,423.00	1,423	0	0	0	0	1,423	No	
WARD, WAYNE	LABORER	Operational	MRF			FT	Yes	36,629.00	35,135	2,587	0	2,219	0	39,941	No	
WARREN, GREGORY	WELDER	Operational	VMF			FT	Yes	38,942.00	38,942	1,415	0	2,008	0	42,365	No	
WARREN, MARYLEE	SCALEHOUSE OPERATOR	Operational	TRANSFER STATION			FT	Yes	38,847.00	38,847	1,849	0	2,031	0	42,727	No	
WHITAKER, BRENNNA	Clerical Secretary	Administrative and Clerical				FT	Yes	30,500.00	1,173.08	0	0	0	0	1,173.08	No	
WHITTAKER, CHARLES	OPERATIONS MANAGER	Managerial				FT	Yes	75,000.00	76,444	0	0	750	4,509	81,703	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
WHITTAKER, WILLIAM	BUILDINGS & GROUNDSKEEPER	Operational	BUILDINGS AND GROUNDS			FT	Yes	44,159.00	44,159	3,577	0	2,307	0	50,043	No	
WOLF, BRUCE	DRIVER/OPERATOR	Operational	TRANSPORTATION			FT	Yes	41,991.00	41,991	4,103	0	2,211	0	48,305	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 Allowance	Spousal / Dependent Life Insurance	Tuition Assistance	Multi-Year Employment	None of These Benefits	Other
GORDON, DAVID	Board of Directors												X	
NILSEN, CATHERINE	Board of Directors												X	
SMITH, LEON	Board of Directors												X	
LANDI, CHARLES	Board of Directors												X	
DOMINIC, TAGLIAFIERO	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
ROSE, TIMOTHY	EXECUTIVE DIRECTOR	X	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	\$4,162,434
Investments	\$2,542,949
Receivables, net	\$1,462,368
Other assets	\$451,809
Total Current Assets	\$8,619,560
Noncurrent Assets	
Restricted cash and investments	\$0
Long-term receivables, net	\$0
Other assets	\$119,583
Capital Assets	
Land and other nondepreciable property	\$683,172
Buildings and equipment	\$16,250,481
Infrastructure	\$0
Accumulated depreciation	\$7,553,383
Net Capital Assets	\$9,380,270
Total Noncurrent Assets	\$9,499,853
Total Assets	\$18,119,413

Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

Liabilities

Current Liabilities

Accounts payable	\$660,083
Pension contribution payable	\$32,229
Other post-employment benefits	\$0
Accrued liabilities	\$715,451
Deferred revenues	\$5,800
Bonds and notes payable	\$2,110,882
Other long-term obligations due within one year	\$243,581
Total Current Liabilities	\$3,768,026

Noncurrent Liabilities

Pension contribution payable	\$842,874
Other post-employment benefits	\$0
Bonds and notes payable	\$12,194,247
Long Term Leases	\$0
Other long-term obligations	\$2,748,211
Total Noncurrent Liabilities	\$15,785,332

Total Liabilities

\$19,553,358

Net Asset (Deficit)

Net Asset

Invested in capital assets, net of related debt	\$9,380,270
Restricted	\$3,322,759
Unrestricted	(\$14,136,974)
Total Net Assets	(\$1,433,945)

Summary Financial Information

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

Operating Revenues

Charges for services	\$14,047,383
Rental & financing income	\$0
Other operating revenues	\$80,103
Total Operating Revenue	\$14,127,486

Operating Expenses

Salaries and wages	\$1,618,265
Other employee benefits	\$885,781
Professional services contracts	\$136,905
Supplies and materials	\$140,970
Depreciation & amortization	\$552,000
Other operating expenses	\$8,168,028
Total Operating Expenses	\$11,501,949

Operating Income (Loss) **\$2,625,537**

Nonoperating Revenues

Investment earnings	\$115,450
State subsidies/grants	\$128,939
Federal subsidies/grants	\$0
Municipal subsidies/grants	\$0
Public authority subsidies	\$0
Other nonoperating revenues	\$0
Total Nonoperating Revenue	\$244,389

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

Interest and other financing charges	\$405,909
Subsidies to other public authorities	\$0
Grants and donations	\$0
Other nonoperating expenses	\$7,882
Total Nonoperating Expenses	\$413,791
Income (Loss) Before Contributions	\$2,456,135
Capital Contributions	\$0
Change in net assets	\$2,456,135
Net assets (deficit) beginning of year	(\$4,629,040)
Other net assets changes	\$738,960
Net assets (deficit) at end of year	(\$1,433,945)

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	16,633,745.00	0.00	2,455,000.00	14,178,745.00
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

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	http://ucrra.org/public-authorities/
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://ucrra.org/public-authorities/
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: