

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.ucrra.org/wp-content/uploads/2016/03/2015-accomplishments-property-internal-control.pdf">http://www.ucrra.org/wp-content/uploads/2016/03/2015-accomplishments-property-internal-control.pdf</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.ucrra.org/wp-content/uploads/2016/03/2015-accomplishments-property-internal-control.pdf">http://www.ucrra.org/wp-content/uploads/2016/03/2015-accomplishments-property-internal-control.pdf</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.ucrra.org/wp-content/uploads/2016/02/Org-Chart-rev-02-26-16.pdf">http://www.ucrra.org/wp-content/uploads/2016/02/Org-Chart-rev-02-26-16.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.ucrra.org/files/2015/01/UCRRA-Mission-Statement.pdf">http://www.ucrra.org/files/2015/01/UCRRA-Mission-Statement.pdf</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.ucrra.org/wp-content/uploads/2016/03/Authority-Mission-Statement-Performance-Measurement-Report.pdf">http://www.ucrra.org/wp-content/uploads/2016/03/Authority-Mission-Statement-Performance-Measurement-Report.pdf</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.ucrra.org/wp-content/uploads/2016/02/2016-committees-rev-2-2016.pdf">http://www.ucrra.org/wp-content/uploads/2016/02/2016-committees-rev-2-2016.pdf</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.ucrra.org/boardandstaff/minutes/">http://www.ucrra.org/boardandstaff/minutes/</a>
7. Has the Board adopted bylaws and made them available to Board members and staff?	Yes	<a href="http://www.ucrra.org/files/2014/09/AgencyByLawsFinal2011.pdf">http://www.ucrra.org/files/2014/09/AgencyByLawsFinal2011.pdf</a>
8. Has the Board adopted a code of ethics for Board members and staff?	Yes	<a href="http://www.ucrra.org/files/2014/09/codeofethics.pdf">http://www.ucrra.org/files/2014/09/codeofethics.pdf</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?	Yes	<a href="http://www.ucrra.org/files/2014/09/Misc-Policies.pdf">http://www.ucrra.org/files/2014/09/Misc-Policies.pdf</a>

<u>Board of Directors Listing</u>			
Name	GORDON, DAVID	Name	LANDI, CHARLES
Chair of the Board	No	Chair of the Board	No
If yes, Chair Designated by.		If yes, Chair Designated by.	
Term Start Date	01/01/2014	Term Start Date	04/16/2012
Term Expiration Date	12/31/2016	Term Expiration Date	12/31/2016
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

<u>Board of Directors Listing</u>			
Name	SMITH, LEON	Name	DOMINIC, TAGLIAFIERRO
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	01/01/2013
Term Expiration Date	12/31/2015	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

<u>Board of Directors Listing</u>	
Name	NILSEN, CATHERINE
Chair of the Board	No
If yes, Chair Designated by.	
Term Start Date	01/01/2015
Term Expiration Date	12/31/2017
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?	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

Annual Report for Ulster County Resource Recovery Agency  
Fiscal Year Ending:12/31/2015

Run Date: 06/30/2016

Status: CERTIFIED

### 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
AKHTAR, MERLYN	RECYCLING COORDINATOR/EDUCATOR	Professional				FT	Yes	51,000.00	16,673	0	0	0	0	16,673	No	
BERGKAMP, MICHELLE	RECYCLING COORDINATOR/EDUCATOR	Professional				FT	Yes	51,000.00	22,759	0	0	4,484	0	27,243	No	
BORCHERDT, JEFFREY	MECHANIC	Operational	VMF			FT	Yes	47,132.00	47,132	9,620	0	1,599	0	58,351	No	
BRIGGS, THOMAS	COMPLIANCE OFFICER	Professional				FT	Yes	62,424.00	64,764	0	0	0	0	64,764	No	
BROOKS, WAYNE	DRIVER/OPERATOR	Operational	TRANSPORT OPERATIONS			FT	Yes	44,476.00	44,476	2,557	0	1,463	0	48,496	No	
CANNADY, DAVID	SORTING LINE WORKER	Operational				FT	Yes	20,218.00	20,218	721	0	64	0	21,003	No	
COFFEY, JOSEPH	LEAD TRANSFER STATION OPERATOR	Operational	TRANSFER STATION			FT	Yes	50,087.00	50,087	7,297	0	1,624	0	59,008	No	
DACHENHAUSEN, ROBERT	LABORER	Operational				PT	Yes	15,781.00	15,781	0	0	0	0	15,781	No	
DEGRAFF, TIMOTHY	CONTROLLER	Managerial				FT	Yes	79,050.00	82,013	0	0	0	0	82,013	No	
FRANCE, MELINDA	ADMINISTRATIVE ASSISTANT	Administrative and Clerical				FT	Yes	45,000.00	45,877	0	0	0	0	45,877	No	
GLEASON, ROBERT	LABORER	Operational	TRANSFER STATION			FT	Yes	44,476.00	44,476	5,154	0	1,457	0	51,087	No	
KERN, JOSEPH	SORTING LINE WORKER	Operational	MRF			FT	Yes	29,157.00	29,157	1,119	0	1,305	0	31,581	No	
LOPIANO, AMY	CHIEF ACCOUNTING CLERK	Administrative and Clerical				FT	Yes	56,625.00	58,747	0	0	0	0	58,747	No	

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MAGGIORE, WILLIAM	LABORER	Operational	MRF			FT	Yes	38,882.00	38,882	4,687	0	1,579	0	45,148	No	
MARKLE III, DONALD	DRIVER/OPERATOR	Operational				PT	Yes	6,394.00	6,394	0	0	0	0	6,394	No	
MARKLE JR, DONALD	LEAD SCALEHOUSE OPERATOR	Operational	TRANSFER STATION			FT	Yes	47,215.00	47,215	5,454	0	1,629	0	54,298	No	
MCDONOUGH, PATRICK	LABORER	Operational				FT	Yes	42,869.00	16,982	453	0	7,715	0	25,150	No	
NERONE, THOMAS	LABORER	Operational	MRF			FT	Yes	47,664.00	47,664	3,006	0	1,536	0	52,206	No	
NEWKIRK, ROLAND	SORTING LINE WORKER	Operational				PT	Yes	10,808.00	10,808	0	0	0	0	10,808	No	
NICKERSON, CRAIG	LABORER	Operational		Teamsters	Local 445	FT	Yes	46,081.00	46,081	4,181	0	64	0	50,326	No	
OCHOA, IVAN	SORTING LINE WORKER	Operational	MRF			FT	Yes	35,624.00	35,624	9,579	0	1,515	0	46,718	No	
PARADIES JR, BARRY	MECHANIC	Operational	VMF			FT	Yes	47,217.00	47,217	1,247	0	1,485	0	49,949	No	
PARKEN, WILLIAM	LABORER	Operational	TRANSFER STATION			FT	Yes	41,543.00	41,543	5,891	0	1,478	0	48,912	No	
PIRATZKY, LISA	DATA ANALYST	Administrative and Clerical				FT	Yes	36,161.00	37,549	0	0	0	0	37,549	No	
RODRIGUEZ, MARCUS	SORTING LINE WORKER	Operational				PT	Yes	1,030.00	1,030	0	0	0	0	1,030	No	
ROSE, TIMOTHY	EXECUTIVE DIRECTOR	Executive				FT	Yes	105,980.00	109,787	0	0	0	6,359	116,146	No	
SHAW, ERIC	DRIVER/OPERATOR	Operational	TRANSPORTATION			FT	Yes	47,216.00	47,216	6,725	0	1,593	0	55,534	No	
TUBBY, ANDREW	SCALEHOUSE OPERATOR	Operational	TRANSFER STATION			FT	Yes	42,694.00	42,694	8,289	0	1,662	0	52,645	No	

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UTLEY, DAVID	SORTING LINE WORKER	Operational	MRF			FT	Yes	29,155.00	29,155	182	0	966	0	30,303	No	
VITEK, DEREK	LABORER	Operational	TRANSFER STATION			FT	Yes	44,146.00	44,146	5,175	0	1,599	0	50,920	No	
WARD, WAYNE	LABORER	Operational	MRF			FT	Yes	38,971.00	38,971	3,751	0	1,468	0	44,190	No	
WARREN, GREGORY	WELDER	Operational	VMF			FT	Yes	41,691.00	41,691	2,780	0	1,570	0	46,041	No	
WARREN, MARYLEE	SCALEHOUSE OPERATOR	Operational	TRANSFER STATION			FT	Yes	41,541.00	41,541	5,073	0	1,656	0	48,270	No	
WHITAKER, BRENN	Clerical Secretary	Administrative and Clerical				FT	Yes	34,500.00	32,997	0	0	0	0	32,997	No	
WHITTAKER, CHARLES	OPERATIONS MANAGER	Managerial				FT	Yes	78,030.00	80,955	0	0	0	7,431	88,386	No	
WHITTAKER, WILLIAM	BUILDINGS & GROUNDSKEEPER	Operational	BUILDINGS AND GROUNDS			FT	Yes	47,216.00	47,216	3,676	0	1,600	0	52,492	No	
WOLF, BRUCE	DRIVER/OPERATOR	Operational	TRANSPORTATION			FT	Yes	44,594.00	44,594	3,045	0	1,466	0	49,105	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	Transpo- rtation	Housing Allow- ance	Spousal / Dependent Life Insurance	Tuition Assist- ance	Multi- Year Employ- ment	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, TAGLIAFIER RO	Board of Directors												X	

**Staff**

Name	Title	Severance Package	Payment for Unused Leave	Club Member- ships	Use of Corporate Credit Cards	Personal Loans	Auto	Transpo- rtation	Housing Allow- ance	Spousal / Dependent Life Insurance	Tuition Assist- ance	Multi- Year Employ- ment	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

Assets

## Current Assets

Cash and cash equivalents	\$5,273,367
Investments	\$2,542,949
Receivables, net	\$1,478,862
Other assets	\$423,175
<b>Total Current Assets</b>	<b>\$9,718,353</b>

## Noncurrent Assets

Restricted cash and investments	\$0
Long-term receivables, net	\$0
Other assets	\$429,697

## Capital Assets

Land and other nondepreciable property	\$683,172
Buildings and equipment	\$16,383,340
Infrastructure	\$0
Accumulated depreciation	\$7,740,074
Net Capital Assets	\$9,326,438

<b>Total Noncurrent Assets</b>	<b>\$9,756,135</b>
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<b>Total Assets</b>	<b>\$19,474,488</b>
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Summary Financial Information

## SUMMARY STATEMENT OF NET ASSETS

Liabilities

## Current Liabilities

Accounts payable	\$499,179
Pension contribution payable	\$34,807
Other post-employment benefits	\$0
Accrued liabilities	\$668,296
Deferred revenues	\$12,800
Bonds and notes payable	\$2,216,097
Other long-term obligations due within one year	\$228,878
<b>Total Current Liabilities</b>	<b>\$3,660,057</b>

## Noncurrent Liabilities

Pension contribution payable	\$808,067
Other post-employment benefits	\$0
Bonds and notes payable	\$10,162,509
Long Term Leases	\$0
Other long-term obligations	\$2,679,015
<b>Total Noncurrent Liabilities</b>	<b>\$13,649,591</b>

## Total Liabilities

**\$17,309,648**Net Asset (Deficit)

## Net Asset

Invested in capital assets, net of related debt	\$9,326,438
Restricted	\$3,491,921
Unrestricted	(\$10,653,519)
<b>Total Net Assets</b>	<b>\$2,164,840</b>

Summary Financial Information

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

Operating Revenues

Charges for services	\$13,926,768
Rental & financing income	\$0
Other operating revenues	\$67,716
<b>Total Operating Revenue</b>	<b>\$13,994,484</b>

Operating Expenses

Salaries and wages	\$1,643,282
Other employee benefits	\$500,912
Professional services contracts	\$144,368
Supplies and materials	\$110,535
Depreciation & amortization	\$520,321
Other operating expenses	\$7,209,546
<b>Total Operating Expenses</b>	<b>\$10,128,964</b>

Operating Income (Loss) **\$3,865,520**

Nonoperating Revenues

Investment earnings	\$117,179
State subsidies/grants	\$38,889
Federal subsidies/grants	\$0
Municipal subsidies/grants	\$0
Public authority subsidies	\$0
Other nonoperating revenues	\$56,279
<b>Total Nonoperating Revenue</b>	<b>\$212,347</b>

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

Interest and other financing charges	\$325,398
Subsidies to other public authorities	\$0
Grants and donations	\$0
Other nonoperating expenses	\$0
<b>Total Nonoperating Expenses</b>	<b>\$325,398</b>
<b>Income (Loss) Before Contributions</b>	<b>\$3,752,469</b>
<b>Capital Contributions</b>	<b>\$0</b>
<b>Change in net assets</b>	<b>\$3,752,469</b>
<b>Net assets (deficit) beginning of year</b>	<b>(\$1,433,945)</b>
<b>Other net assets changes</b>	<b>(\$153,684)</b>
<b>Net assets (deficit) at end of year</b>	<b>\$2,164,840</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	14,178,745.00	0.00	2,070,000.00	12,108,745.00
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: 2006 CATERPILLAR 950H WHEELED LOADER

Estimated Fair Market Value: \$48,000.00

How was Fair Market Value

Determined?: Other

Transaction Date: 03/16/2015

Sale Price: \$48,000.00

Organization: VANTAGE EQUIPMENT

Last Name:

First Name:

Purchaser Address

Address Line1: 5985 COURT STREET RD

Address Line2:

City: SYRACUSE

State: NY

Postal Code: 13206

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	<a href="http://www.ucrra.org/wp-content/uploads/2016/03/2015-accomplishments-property-internal-control.pdf">http://www.ucrra.org/wp-content/uploads/2016/03/2015-accomplishments-property-internal-control.pdf</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.ucrra.org/files/2014/09/Misc-Policies.pdf">http://www.ucrra.org/files/2014/09/Misc-Policies.pdf</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:**

PLEASE BE ADVISED THAT "OTHER NET ASSETS" (WITHIN THE SUMMARY FINANCIAL INFORMATION) INCLUDES A RESTATEMENT OF BEGINNING NET ASSETS DUE TO THE IMPLEMENTATION OF GASB 68 REPORTING REQUIREMENTS