

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.jcfdc.net/paaa-wicldc.asp?mm=1
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.jcfdc.net/paaa-wicldc.asp?mm=1
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.jcfdc.net/paaa-wicldc.asp?mm=1
6. Are any authority staff also employed by another government agency?	Yes	Jefferson County Industrial Development Agency

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. 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.jcfdc.net/paaa-wicldc.asp?mm=1
4. Does the majority of the Board meet the independence requirements of Section 2825(2) of PAL?	Yes	N/A
5. Provide a URL link to the minutes of the Board and committee meetings held during the covered fiscal year		http://www.jcfdc.net/paaa-wicldc.asp?mm=1
6. Has the Board adopted a statement of Board duties and responsibilities?	Yes	http://www.jcfdc.net/paaa-wicldc.asp?mm=1
7. Has the Board adopted bylaws and made them available to Board members and staff?	Yes	http://www.jcfdc.net/paaa-wicldc.asp?mm=1
8. Has the Board adopted a code of ethics for Board members and staff?	Yes	http://www.jcfdc.net/paaa-wicldc.asp?mm=1
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. Is there a separation of the Board and CEO/Senior Management positions in accordance with Section 2824(3) of PAL?	Yes	N/A
12. Has the Board adopted policies for the following in accordance with Section 2824(1) of PAL?		
Salary and Compensation	No	N/A
Time and Attendance	No	N/A
Whistleblower Protection	No	N/A
Defense and Indemnification of Board Members	No	N/A
13. Has the Board adopted a policy prohibiting the extension of credit to Board members and staff in accordance with Section 2824(5) of PAL?	No	N/A
14. 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

Board of Directors Listing

Name	Chair?	If Yes, Chair Designated By	Appointed By	Nominated By	Confirmed by Senate	Complied w/Training Requirement Of Section 2824	Also holds elected or appointed State government position?	Also holds elected or appointed municipal government position?	Term Start Date	Term Expiration Date
Doldo, John	No		Local	Other		Yes	No	No	02/20/2001	Pleasure of Authority
Morgan, J. P	No		Local	Other		Yes	No	No	06/14/1994	Pleasure of Authority
Fitzpatrick, Carolyn	No		Local	Other		No	No	Yes	02/23/2000	Pleasure of Authority
Wright, James w	No		Local	Other		No	No	No	05/19/2009	Pleasure of Authority
Darling, Nickolas W	No		Local	Other		Yes	No	No	03/08/2005	Pleasure of Authority
Fulkerson, William H	No		Local	Other		Yes	No	Yes	06/14/1994	Pleasure of Authority
Rutherford, Donald W	Yes	Elected by Board	Local	Other		Yes	No	No	04/18/2000	Pleasure of Authority

Staff Listing

Name	Title	Group	Department / Subsidiary	Union Name	Bargaining Unit	Full Time/ Part Time	Exempt Indicator	Annualized Salary paid by Authority	Bonus Amount paid by Authority	Over time Amount paid by Authority	Total Compensation paid by Authority	Individual also paid by another entity to perform the work of the authority	If yes, is the payment made by state or local government?
Caulkins, David F	Temporary Maintenance	Technical and Engineering				PT	No	0.00	0	0	0	Yes	Y
Daymont, Robert L	Maintenance	Technical and Engineering				FT	Yes	0.00	0	0	0	Yes	Y
Gregory, Charles A	Temporary Maintenance	Technical and Engineering				PT	No	0.00	0	0	0	Yes	Y
Lampman, Rick C	Head Maintenance	Technical and Engineering				FT	Yes	0.00	0	0	0	Yes	Y
Smith, Patrick T	Temporary Maintenance	Technical and Engineering				PT	No	0.00	0	0	0	Yes	Y
Soluri, Billy J	Site Manager	Managerial				FT	Yes	0.00	0	0	0	Yes	Y

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 Membership	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
Rutherford, Donald W	Board of Directors												X	
Fulkerson, William H	Board of Directors												X	
Darling, Nickolas W	Board of Directors												X	
Doldo, John	Board of Directors												X	
Fitzpatrick, Carolyn	Board of Directors												X	
Morgan, J. P	Board of Directors												X	
Wright, James w	Board of Directors												X	

Staff

Name	Title	Severance Package	Payment for Unused Leave	Club Membership	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
No Data has been entered by the Authority for this section in PARIS														

Subsidiary/Affiliate Verification

Is the list of subsidiaries, as assembled by the Office of the State Comptroller, correct? Yes
 Are there other affiliates or subsidiaries of the authority that are active, not included in the PARIS reports submitted by this authority? No

Name of Subsidiary/Affiliate	Status	Requested Changes
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Subsidiary/Affiliate Creation

Name of Subsidiary/Affiliate	Establishment Date	Entity Purpose
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Subsidiary/Affiliate Termination

Name of Subsidiary/Affiliate	Termination Date	Termination Reason	Proof 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	\$647,835
Investments	\$0
Receivables, net	\$43,753
Other assets	\$13,439
Total Current Assets	\$705,027
Noncurrent Assets	
Restricted cash and investments	\$0
Long-term receivables, net	\$159,308
Other assets	\$170,691
Capital Assets	
Land and other nondepreciable property	\$205,000
Buildings and equipment	\$3,263,510
Infrastructure	\$0
Accumulated depreciation	\$1,786,312
Net Capital Assets	\$1,682,198
Total Noncurrent Assets	\$2,012,197
Total Assets	\$2,717,224

Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

Liabilities

Current Liabilities

Accounts payable	\$7,118
Pension contribution payable	\$0
Other post-employment benefits	\$0
Accrued liabilities	\$0
Deferred revenues	\$10,170
Bonds and notes payable	\$0
Other long-term obligations due within one year	\$170,691
Total Current Liabilities	\$187,979

Noncurrent Liabilities

Pension contribution payable	\$0
Other post-employment benefits	\$0
Bonds and notes payable	\$0
Other long-term obligations	\$0
Total Noncurrent Liabilities	\$0

Total Liabilities

\$187,979

Net Asset (Deficit)

Net Asset

Invested in capital assets, net of related debt	\$790,830
Restricted	\$56,217
Unrestricted	\$1,682,198
Total Net Assets	\$2,529,245

Summary Financial InformationSUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETSOperating Revenues

Charges for services	\$0
Rental & financing income	\$442,469
Other operating revenues	\$438
Total Operating Revenue	\$442,907

Operating Expenses

Salaries and wages	\$78,324
Other employee benefits	\$28,561
Professional services contracts	\$64,133
Supplies and materials	\$142,214
Depreciation & amortization	\$178,021
Other operating expenses	\$159,625
Total Operating Expenses	\$650,878

Operating Income (Loss) **(\$207,971)**

Nonoperating Revenues

Investment earnings	\$23,868
State subsidies/grants	\$0
Federal subsidies/grants	\$0
Municipal subsidies/grants	\$0
Public authority subsidies	\$0
Other nonoperating revenues	\$0
Total Nonoperating Revenue	\$23,868

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

Interest and other financing charges	\$0
Subsidies to other public authorities	\$0
Grants and donations	\$0
Other nonoperating expenses	\$0
Total Nonoperating Expenses	\$0
Income (Loss) Before Contributions	(\$184,103)
Capital Contributions	\$0
Change in net assets	(\$184,103)
Net assets (deficit) beginning of year	\$2,713,348
Other net assets changes	\$0
Net assets (deficit) at end of year	\$2,529,245

Current Debt

Question	Response
1. Did the Authority have any outstanding debt, including conduit debt, at any point during the reporting period?	No
2. If yes, has the Authority issued any debt during the reporting period?	

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					
Other Non-State Funded					
Conduit Debt					

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://www.jcfdc.net/paaa-wicldc.asp?mm=1
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.jcfdc.net/paaa-wicldc.asp?mm=1
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	

Grant Information

This Authority has indicated that it did not award any grants during the reporting period.

Loan Information

1. Source of Loan Funds: Federal
Name of Loan Recipient: Ferguson Waterworks
Address Line1: 800 Starbuck Avenue
Address Line2: Suite B102
City: WATERTOWN
State: NY
Zip - Plus4: 13601
Province Region:
Country: USA
Original Amount of Loan: \$25,179.75
Date Loan Awarded: 02/17/2009
Interest Rate(%): 3
Length of Loan(# of years
to repay): 5
Amount of Loan Principal Repaid
to Date: \$0.00
Purpose of Loan: Commercial Property
Construction/Acquisition/Revitalization/I
mprovement
Was the Loan expected to result
in new jobs being created?: No
If yes, how many jobs were planned
to be created?:
If yes, how many jobs have been
created to date?:
Have the terms of the Loan been
completed?: No

2. Source of Loan Funds: Federal
Name of Loan Recipient: Ferguson Waterworks
Address Line1: 800 Starbuck Avenue
Address Line2: Suite B102
City: WATERTOWN
State: NY
Zip - Plus4: 13601
Province Region:
Country: USA
Original Amount of Loan: \$100,000
Date Loan Awarded: 04/17/2007
Interest Rate(%): 3
Length of Loan(# of years
to repay): 5
Amount of Loan Principal Repaid
to Date: \$33,919.39
Purpose of Loan: Commercial Property
Construction/Acquisition/Revitalization/I
mprovement
Was the Loan expected to result
in new jobs being created?: No
If yes, how many jobs were planned
to be created?:
If yes, how many jobs have been
created to date?:
Have the terms of the Loan been
completed?: No

Loan Information

3. Source of Loan Funds: Federal 4.
 Name of Loan Recipient: Jefferson County Job Development Corporat:
 Address Line1: 800 Starbuck Avenue
 Address Line2: Suite 800
 City: WATERTOWN
 State: NY
 Zip - Plus4: 13601
 Province Region:
 Country: USA
 Original Amount of Loan: \$81,000
 Date Loan Awarded: 09/21/2004
 Interest Rate(%): 3
 Length of Loan(# of years
 to repay): 5
 Amount of Loan Prinicpal Repaid
 to Date: \$56,879.56
 Purpose of Loan: Commercial Property
 Construction/Acquisition/Revitalization/I
 mprovement
 Was the Loan expected to result
 in new jobs being created?: No
 If yes, how many jobs were planned
 to be created?:
 If yes, how many jobs have been
 created to date?:
 Have the terms of the Loan been
 completed?: No

Source of Loan Funds: Federal
 Name of Loan Recipient: ServPro of Jefferson County
 Address Line1: 800 Starbuck Avenue
 Address Line2: Suite B103
 City: WATERTOWN
 State: NY
 Zip - Plus4: 13601
 Province Region:
 Country: USA
 Original Amount of Loan: \$58,457
 Date Loan Awarded: 06/24/2008
 Interest Rate(%): 3
 Length of Loan(# of years
 to repay): 10
 Amount of Loan Prinicpal Repaid
 to Date: \$2,954.34
 Purpose of Loan: Commercial Property
 Construction/Acquisition/Revitalization/I
 mprovement
 Was the Loan expected to result
 in new jobs being created?: No
 If yes, how many jobs were planned
 to be created?:
 If yes, how many jobs have been
 created to date?:
 Have the terms of the Loan been
 completed?: No

Loan Information

5. Source of Loan Funds: Federal
Name of Loan Recipient: Shred Con
Address Line1: 800 Starbuck Avenue
Address Line2: Suite A104
City: WATERTOWN
State: NY
Zip - Plus4: 13601
Province Region:
Country: USA
Original Amount of Loan: \$12,635
Date Loan Awarded: 05/18/2004
Interest Rate(%): 3
Length of Loan(# of years
to repay): 5
Amount of Loan Principal Repaid
to Date: \$12,409.10
Purpose of Loan: Commercial Property
Construction/Acquisition/Revitalization/I
mprovement
Was the Loan expected to result
in new jobs being created?: No
If yes, how many jobs were planned
to be created?:
If yes, how many jobs have been
created to date?:
Have the terms of the Loan been
completed?: No

Bond Information

This Authority has indicated that it did not have any outstanding bonds during the reporting period.

Additional Comments: