

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	www.wcbi.net
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/web/wp-content/uploads/2008/08/09-10-WIC-Internal-Controls-Assessment.pdf
3. Has the lead audit partner for the independent audit firm changed in the last five years in accordance with section 2800(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/WICLDC%20Organizational%20Chart.pdf
6. Are any Authority staff also employed by another government agency?	Yes	Jefferson County Industrial Development Agency
7. Has the Authority posted their mission statement to their website?		
8. Has the Authority mission statement been revised and adopted during the reporting period?		N/A
9. Attach the Authoritys measurement report, as required by section 2824-a of Public Authorities Law and provide the URL?		N/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?		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://www.jcfdc.net/paaa-wicldc/WIC%20Committee%20Structure%2009-10.pdf
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://www.jcfdc.net/web/?page_id=280
7. Has the Board adopted bylaws and made them available to Board members and staff?	Yes	http://www.jcfdc.net/paaa-wicldc/WICLDC%20By%20laws-amended%20061609.pdf
8. Has the Board adopted a code of ethics for Board members and staff?	Yes	http://www.jcfdc.net/web/wp-content/uploads/2008/08/WICLDC-Ethics-Policy-061510.pdf
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?		N/A
15. Was compensation paid by the Authority made in accordance with employee or union contracts?		N/A
16. Has the board adopted a conditional/additional compensation policy governing all employees?		
17. Has the board adopted a Uniform Tax Exemption Policy (UTEP) according to Section		

	Response	URL
874(4) of GML?		

Board of Directors Listing

Name	Doldo, John	Name	Morgan, J. P
Chair of Board	No	Chair of Board	No
If yes, Chairman Designated by		If yes, Chairman Designated by	
Term Start Date	02/20/2001	Term Start Date	06/14/1994
Term Expiration Date	Pleasure of Authority	Term Expiration Date	Pleasure of Authority
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Appointed By(Name of Ex-officio Board member)	No	Appointed By(Name of Ex-officio Board member)	No
Nominated By	Other	Nominated By	Other
Appointed By	Local	Appointed By	Local
Confirmed by Senate		Confirmed by Senate	
Has the board member/designee signed the acknowledgement of fuduciary duty?		Has the board member/designee signed the acknowledgement of fuduciary duty?	
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	Fitzpatrick, Carolyn	Name	Jordan, Kevin
Chair of Board	No	Chair of Board	No
If yes, Chairman Designated by		If yes, Chairman Designated by	
Term Start Date	02/23/2000	Term Start Date	11/24/2009
Term Expiration Date	Pleasure of Authority	Term Expiration Date	Pleasure of Authority
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Appointed By(Name of Ex-officio Board member)	No	Appointed By(Name of Ex-officio Board member)	No
Nominated By	Other	Nominated By	Other
Appointed By	Local	Appointed By	Local
Confirmed by Senate		Confirmed by Senate	
Has the board member/designee signed the acknowledgement of fuduciary duty?		Has the board member/designee signed the acknowledgement of fuduciary duty?	
Complied with Training requirement of Section 2824 ?	No	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?	Yes	Does the board member/designee also hold an elected or appointed municipal government Position?	No

Board of Directors Listing

Name	Darling, Nickolas W	Name	Fulkerson, William H
Chair of Board	No	Chair of Board	No
If yes, Chairman Designated by		If yes, Chairman Designated by	
Term Start Date	03/08/2005	Term Start Date	06/14/1994
Term Expiration Date	Pleasure of Authority	Term Expiration Date	Pleasure of Authority
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Appointed By(Name of Ex-officio Board member)	No	Appointed By(Name of Ex-officio Board member)	No
Nominated By	Other	Nominated By	Other
Appointed By	Local	Appointed By	Local
Confirmed by Senate		Confirmed by Senate	
Has the board member/designee signed the acknowledgement of fuduciary duty?		Has the board member/designee signed the acknowledgement of fuduciary duty?	
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?	Yes

Board of Directors Listing

Name	Rutherford, Donald W
Chair of Board	Yes
If yes, Chairman Designated by	Elected by Board
Term Start Date	04/18/2000
Term Expiration Date	Pleasure of Authority
Title	
Has the Board member appointed a designee?	
Appointed By(Name of Ex-officio Board member)	No
Nominated By	Other
Appointed By	Local
Confirmed by Senate	
Has the board member/designee signed the acknowledgement of fiduciary duty?	
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 Indicator	Base Annualized Salary	Actual salary paid to the Individual	Over time 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 payment made by state or local government
Caulkins, David F	Temporary Maintenance	Technical and Engineering				PT	No	0.00		0	0			0	Yes	Yes
Daymont, Robert L	Maintenance	Technical and Engineering				FT	Yes	0.00		0	0			0	Yes	Yes
Lampman, Rick C	Head Maintenance	Technical and Engineering				FT	Yes	0.00		0	0			0	Yes	Yes
Soluri, Billy J	Site Manager	Managerial				FT	Yes	0.00		0	0			0	Yes	Yes

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	
Jordan, Kevin	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	\$918,066
Investments	\$0
Receivables, net	\$36,628
Other assets	\$13,291
Total Current Assets	\$967,985
Noncurrent Assets	
Restricted cash and investments	\$0
Long-term receivables, net	\$0
Other assets	\$120,998
Capital Assets	
Land and other nondepreciable property	\$205,000
Buildings and equipment	\$3,309,900
Infrastructure	\$0
Accumulated depreciation	\$1,968,626
Net Capital Assets	\$1,546,274
Total Noncurrent Assets	\$1,667,272
Total Assets	\$2,635,257

Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

Liabilities

Current Liabilities

Accounts payable	\$31,206
Pension contribution payable	\$0
Other post-employment benefits	\$0
Accrued liabilities	\$0
Deferred revenues	\$13,880
Bonds and notes payable	\$0
Other long-term obligations due within one year	\$120,998
Total Current Liabilities	\$166,084

Noncurrent Liabilities

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

Total Liabilities **\$166,084**

Net Asset (Deficit)

Net Asset

Invested in capital assets, net of related debt	\$791,163
Restricted	\$131,736
Unrestricted	\$1,546,274
Total Net Assets	\$2,469,173

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

Charges for services	\$0
Rental & financing income	\$506,068
Other operating revenues	\$19,296
Total Operating Revenue	\$525,364

Operating Expenses

Salaries and wages	\$79,520
Other employee benefits	\$25,664
Professional services contracts	\$61,406
Supplies and materials	\$80,869
Depreciation & amortization	\$182,314
Other operating expenses	\$161,031
Total Operating Expenses	\$590,804

Operating Income (Loss) **(\$65,440)**

Nonoperating Revenues

Investment earnings	\$5,368
State subsidies/grants	\$0
Federal subsidies/grants	\$0
Municipal subsidies/grants	\$0
Public authority subsidies	\$0
Other nonoperating revenues	\$0
Total Nonoperating Revenue	\$5,368

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	(\$60,072)
Capital Contributions	\$0
Change in net assets	(\$60,072)
Net assets (deficit) beginning of year	\$2,529,245
Other net assets changes	\$0
Net assets (deficit) at end of year	\$2,469,173

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					
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://www.jcfdc.net/web/wp-content/uploads/2008/08/09-10-WIC-Property-Inventory-Report.pdf
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/web/wp-content/uploads/2008/08/WICLDC-Form-of-Property-Disposition-Policy-06151
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

<p>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: \$8,069.22 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</p>	<p>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: \$53,142.31 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</p>
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Loan Information

3. Source of Loan Funds: Federal 4.
 Name of Loan Recipient: Jefferson County Job Development Corporati
 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: \$72,477.78
 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: \$8,133.63
 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: \$12,635.00
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?: Yes

Bond Information

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

Additional Comments: