

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.middletown-ny.com/government/middletown-community-development-agency.html
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.middletown-ny.com/government/middletown-community-development-agency.html
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.middletown-ny.com/government/middletown-community-development-agency.html
6. Are any Authority staff also employed by another government agency?	Yes	City of Middletown
7. Has the Authority posted their mission statement to their website?	Yes	http://www.middletown-ny.com/government/middletown-community-development-agency.html
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://www.middletown-ny.com/government/middletown-community-development-agency.html

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://www.middletown-ny.com/government/middletown-community-development-agency.html
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.middletown-ny.com/government/middletown-community-development-agency.html
7. Has the Board adopted bylaws and made them available to Board members and staff?	Yes	http://www.middletown-ny.com/doc-center/community-development-agency-cda/1970-2017-bylaws-cda.html
8. Has the Board adopted a code of ethics for Board members and staff?	Yes	http://www.middletown-ny.com/doc-center/community-development-agency-cda/1976-2017-cda-policies-1.html
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://www.middletown-ny.com/doc-center/community-development-agency-cda/1976-2017-cda-policies-1.html

Board of Directors Listing

Name	Witt, Kevin	Name	DeStefano, Joseph M
Chair of the Board	No	Chair of the Board	Yes
If yes, Chair Designated by.		If yes, Chair Designated by.	By Virtue of Position
Term Start Date	04/15/2014	Term Start Date	04/15/2014
Term Expiration Date	12/31/2017	Term Expiration Date	12/31/2017
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Designee Name		Designee Name	
Ex-officio		Ex-officio	
Nominated By	Other	Nominated By	Other
Appointed By	Other	Appointed By	Other
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?	Yes	Does the Board member/designee also hold an elected or appointed municipal government position?	Yes

Board of Directors Listing

Name	Sommers, Sande	Name	Burr, Thomas
Chair of the Board	No	Chair of the Board	No
If yes, Chair Designated by.		If yes, Chair Designated by.	
Term Start Date	04/15/2014	Term Start Date	04/15/2014
Term Expiration Date	03/31/2017	Term Expiration Date	12/31/2017
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Designee Name		Designee Name	
Ex-officio		Ex-officio	
Nominated By	Other	Nominated By	Other
Appointed By	Other	Appointed By	Other
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?	Yes	Does the Board member/designee also hold an elected or appointed municipal government position?	Yes

Board of Directors Listing

Name	Jean-Francois, Jude A	Name	Cid-Morales, Vanessa
Chair of the Board	No	Chair of the Board	No
If yes, Chair Designated by.		If yes, Chair Designated by.	
Term Start Date	04/15/2014	Term Start Date	04/01/2017
Term Expiration Date	12/31/2017	Term Expiration Date	12/31/2017
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Designee Name		Designee Name	
Ex-officio		Ex-officio	
Nominated By	Other	Nominated By	Other
Appointed By	Other	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?	Yes	Does the Board member/designee also hold an elected or appointed municipal government position?	Yes

Board of Directors Listing

Name	Kleiner, Gerald P	Name	Ramkissoon, Kathleen
Chair of the Board	No	Chair of the Board	No
If yes, Chair Designated by.		If yes, Chair Designated by.	
Term Start Date	04/15/2014	Term Start Date	04/15/2014
Term Expiration Date	12/31/2017	Term Expiration Date	12/31/2017
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Designee Name		Designee Name	
Ex-officio		Ex-officio	
Nominated By	Other	Nominated By	Other
Appointed By	Other	Appointed By	Other
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?	Yes	Does the Board member/designee also hold an elected or appointed municipal government position?	Yes

Board of Directors Listing

Name	Johnson, Paul	Name	Rodrigues, J. Miguel
Chair of the Board	No	Chair of the Board	No
If yes, Chair Designated by.		If yes, Chair Designated by.	
Term Start Date	04/15/2014	Term Start Date	04/15/2014
Term Expiration Date	12/31/2017	Term Expiration Date	12/31/2017
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Designee Name		Designee Name	
Ex-officio		Ex-officio	
Nominated By	Other	Nominated By	Other
Appointed By	Other	Appointed By	Other
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?	Yes	Does the Board member/designee also hold an elected or appointed municipal government position?	Yes

<u>Board of Directors Listing</u>	
Name	Masi, Joseph G
Chair of the Board	No
If yes, Chair Designated by.	
Term Start Date	04/15/2014
Term Expiration Date	12/31/2017
Title	
Has the Board member appointed a designee?	
Designee Name	
Ex-officio	
Nominated By	Other
Appointed By	Other
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?	Yes

Staff Listing

Name	Title	Group	Department / Subsidiary	Union Name	Barga- ining Unit	Full Time/ Part Time	Exempt	Base Annualized Salary	Actual salary paid to the individua l	Overtime paid by Authority	Performance Bonus	Extra Pay	Other Compensa tion/Allo wances/Ad justments	Total Compens -ation	Individual also paid by another entity to perform the work of the Authority	If yes, Is the payment made by State or local government
Bruni, Maria	Executive Director	Executive				PT	Yes	0.00	0	0	0	0	0	0	Yes	Yes
Paris, Donald	Treasurer	Administrative and Clerical				PT	Yes	0.00	0	0	0	0	0	0	Yes	Yes
Racine, Patricia M	Secretary	Administrative and Clerical				PT	Yes	0.00	0	0	0	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 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
Cid-Morales, Vanessa	Board of Directors												X	
Sommers, Sande	Board of Directors												X	
Witt, Kevin	Board of Directors												X	
Rodrigues, J. Miguel	Board of Directors												X	
Ramkissoon, Kathleen	Board of Directors												X	
Masi, Joseph G	Board of Directors												X	
Kleiner, Gerald P	Board of Directors												X	
Jean-Francois, Jude A	Board of Directors												X	
Burr, Thomas	Board of Directors												X	
Johnson, Paul	Board of Directors												X	
DeStefano, Joseph M	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
No Data has been entered by the Authority for this section in PARIS														

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	\$5,252
Investments	\$279,582
Receivables, net	\$169,240
Other assets	\$0
Total Current Assets	\$454,074
Noncurrent Assets	
Restricted cash and investments	\$0
Long-term receivables, net	\$0
Other assets	\$236,046
Capital Assets	
Land and other nondepreciable property	\$0
Buildings and equipment	\$0
Infrastructure	\$0
Accumulated depreciation	\$0
Net Capital Assets	\$0
Total Noncurrent Assets	\$236,046
Total Assets	\$690,120

Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

Liabilities

Current Liabilities

Accounts payable	\$7,398
Pension contribution payable	\$0
Other post-employment benefits	\$0
Accrued liabilities	\$0
Deferred revenues	\$0
Bonds and notes payable	\$50,000
Other long-term obligations due within one year	\$362,180
Total Current Liabilities	\$419,578

Noncurrent Liabilities

Pension contribution payable	\$0
Other post-employment benefits	\$0
Bonds and notes payable	\$0
Long Term Leases	\$0
Other long-term obligations	\$236,046
Total Noncurrent Liabilities	\$236,046

Total Liabilities **\$655,624**

Net Asset (Deficit)

Net Asset

Invested in capital assets, net of related debt	\$0
Restricted	\$34,496
Unrestricted	\$0
Total Net Assets	\$34,496

Summary Financial Information

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

<u>Operating Revenues</u>	
Charges for services	\$0
Rental & financing income	\$0
Other operating revenues	\$169,240
Total Operating Revenue	\$169,240
<u>Operating Expenses</u>	
Salaries and wages	\$0
Other employee benefits	\$0
Professional services contracts	\$4,385
Supplies and materials	\$27
Depreciation & amortization	\$0
Other operating expenses	\$112,204
Total Operating Expenses	\$116,616
Operating Income (Loss)	\$52,624
<u>Nonoperating Revenues</u>	
Investment earnings	\$31
State subsidies/grants	\$0
Federal subsidies/grants	\$0
Municipal subsidies/grants	\$0
Public authority subsidies	\$0
Other nonoperating revenues	\$0
Total Nonoperating Revenue	\$31

Summary Financial Information

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

Nonoperating Expenses

Interest and other financing charges	\$19,243
Subsidies to other public authorities	\$0
Grants and donations	\$0
Other nonoperating expenses	\$0
Total Nonoperating Expenses	\$19,243
Income (Loss) Before Contributions	\$33,412
Capital Contributions	\$0
Change in net assets	\$33,412
Net assets (deficit) beginning of year	\$1,084
Other net assets changes	\$0
Net assets (deficit) at end of year	\$34,496

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					
Authority Debt - General Obligation					
Authority Debt - General Obligation					
Authority Debt - Other					
Authority Debt - Other					
Authority Debt - Revenue					
Authority Debt - Revenue					
Conduit					
Conduit Debt					
Conduit Debt - Pilot Increment Financing					
Other State-Funded					
Other State-Funded					

Real Property Acquisition/Disposal List

1. Address Line1: 6 Harrison
Address Line2:
City: MIDDLETOWN
State: NY
Postal Code: 10940
Plus4:
Province/Region:
Country: USA
Property Description: Residential Building
Estimated Fair Market Value: \$195,000
How was the Fair Market Value Appraisal
Determined?
Transaction Type: DISPOSITION SALE
If Other, Explain:

Transaction Date: 12/20/2017
Purchase Sale Price: \$190,000.00

Lease Data (If applicable)

Market Rate(\$/square foot):
Lease Rate(\$/square foot):
Lease Period (months):

Seller/Purchaser/Tenant Data:

Organization:
Last Name: Santana
First Name: Betsaida

Address Line1: 6 Harrison Street
Address Line2:

City: MIDDLETOWN
State: NY
Postal Code: 10940
Plus4:
Province/Region:
Country: USA

Relation With Board
member/senior authority
management? No

Personal Property

No Data has been entered by the Authority for this section in PARIS

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.middletown-ny.com/government/middletown-community-development-agency.html
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.middletown-ny.com/government/middletown-community-development-agency.html
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:

Investment Information:

Question	Response	URL (if applicable)
1. Has the Authority prepared an Annual Investment Report for the reporting period as required by Section 2925(6) of PAL?	Yes	http://www.middletown-ny.com/government/middletown-community-development-agency.html
2. Are the Authority's investment guidelines reviewed and approved annually?	Yes	
3. Did the Authority have an independent audit of investments as required by Section 2925(3)(f) of PAL?	Yes	http://www.middletown-ny.com/government/middletown-community-development-agency.html
4. Has the Authority's independent auditor issued a management letter to the Authority in connection with its annual audit of investments?	Yes	http://www.middletown-ny.com/government/middletown-community-development-agency.html

Additional Comments:

Procurement-Information:

Question	Response	URL (if applicable)
1. Does the Authority have procurement guidelines?	Yes	http://www.middletown-ny.com/doc-center/community-development-agency-cda/1976-2017-cda-policies-1.html
2. Are the procurement guidelines reviewed annually, amended if needed, and approved by the Board?	Yes	
3. Does the Authority allow for exceptions to the procurement guidelines?	Yes	
4. Does the Authority assign credit cards to employees for travel and/or business purchases?	No	
5. Does the Authority require prospective bidders to sign a non-collusion agreement?	Yes	
6. Does the Authority incorporate a summary of its procurement policies and prohibitions in its solicitation of proposals, bid documents or specifications for procurement contracts?.	Yes	
7. Did the Authority designate a person or persons to serve as the authorized contact on a specific procurement, in accordance with Section 139-j(2)(a) of the State Finance Law, "The Procurement Lobbying Act"?	Yes	
8. Did the Authority determine that a vendor had impermissible contact during a procurement or attempted to influence the procurement during the reporting period, in accordance with Section 139-j(10) of the State Finance Law?	No	
8a If Yes, was a record made of this impermissible contact?		
9. Does the Authority have a process to review and investigate allegations of impermissible contact during a procurement, and to impose sanctions in instances where violations have occurred, in accordance with Section 139-j(9) of the State Finance Law?	Yes	

Procurement Transactions Listing:

<p>1. Vendor Name: City of Middletown</p> <p>Type of Procurement: Other</p> <p>Award Process: Non Contract Procurement/Purchase Order</p> <p>Award Date:</p> <p>End Date:</p> <p>Amount:</p> <p>Amount Expended for Fiscal Year: \$6,938</p> <p>Fair market value:</p> <p>Explain why the fair market value is less than the amount:</p> <p>Address Line1: 6 James Street</p> <p>Address Line2:</p> <p>City: MIDDLETOWN</p> <p>State: NY</p> <p>Postal Code: 10940</p> <p>Plus 4:</p> <p>Province Region:</p> <p>Country: USA</p> <p>Procurement Description: Repayment of back taxes owed by previous owner on sold real property.</p>	<p>2. Vendor Name: Community Capital</p> <p>Type of Procurement: Financial Services</p> <p>Award Process: Non Contract Procurement/Purchase Order</p> <p>Award Date:</p> <p>End Date:</p> <p>Amount:</p> <p>Amount Expended for Fiscal Year: \$15,845.21</p> <p>Fair market value:</p> <p>Explain why the fair market value is less than the amount:</p> <p>Address Line1: 44 Executive Blvd</p> <p>Address Line2:</p> <p>City: ELMSFORD</p> <p>State: NY</p> <p>Postal Code: 10523</p> <p>Plus 4:</p> <p>Province Region:</p> <p>Country: USA</p> <p>Procurement Description: Interest payments made on construction bridge loan.</p>
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Procurement Transactions Listing:

3. Vendor Name: E&A Contracting

Type of Procurement: Design and Construction/Maintenance
Award Process: Authority Contract - Competitive Bid
Award Date: 11/16/2016
End Date: 12/31/2017
Amount: \$339,100
Amount Expended for Fiscal Year: \$258,510

Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: PO Box 175
Address Line2:
City: MONTGOMERY
State: NY
Postal Code: 12549
Plus 4:
Province Region:
Country: USA

Procurement Description: Construction/rehabilitation for home buyer program

4. Vendor Name: Eugene Grillo

Type of Procurement: Legal Services
Award Process: Non Contract Procurement/Purchase Order
Award Date:
End Date:
Amount:
Amount Expended for Fiscal Year: \$7,796.18

Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: PO Box 3046
Address Line2:
City: MIDDLETOWN
State: NY
Postal Code: 10940
Plus 4:
Province Region:
Country: USA

Procurement Description: Legal services for agency

Procurement Transactions Listing:

Additional Comments:

Financial Documents:

Question	Response	URL (if applicable)	Attachments
1. Attach the independent audit of the Authority's financial statements.	N/A	http://www.middletown-ny.com/government/middletown-community-development-agency.html	Attachment Included
2. Has the Authority's independent auditor issued a management letter to the Authority in connection with its audit of the Authority's financial statements?	No		
3. Has the Authority's independent auditor issued a Report on Internal Controls Over Financial Reporting to the Authority?	Yes	http://www.middletown-ny.com/government/middletown-community-development-agency.html	Attachment Included
4. Attach any other communication required or allowed by government auditing standards issued by the Comptroller General of the United States to be issued by the Authority's independent auditor in connection with its annual audit of the Authority's financial statements.			

Additional Comments: