Fiscal Year Ending: 12/31/2022

Run Date:

03/31/2023

Status:

CERTIFIED Certified Date: 03/31/2023

Governance Information (Authority-Palated)

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	https://www.essexcountyida.com/crc-policies-reports/
2.	As required by section 2800(9) of PAL, did the Authority prepare an assessment of the effectiveness of its internal controls?	Yes	https://www.essexcountyida.com/ida-policies-reports/
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	https://www.essexcountyida.com/ida-policies-reports/
6.	Are any Authority staff also employed by another government agency?	No	
7.	Has the Authority posted their mission statement to their website?	Yes	https://www.essexcountyida.com/crc-policies-reports/
8.	Has the Authority's mission statement been revised and adopted during the reporting period?	Yes	N/A
Э.	Attach the Authority's measurement report, as required by section 2824-a of PAL and provide the URL,		https://www.essexcountyida.com/crc-policies-reports/

Fiscal Year Ending: 12/31/2022

Run Date:

03/31/2023

Status:

CERTIFIED Certified Date: 03/31/2023

Governance Information (Board-Related)

Question		Response	URL (If Applicable)
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 a 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):		https://www.essexcountyida.com/ida-policies-reports/
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		https://www.essexcountyida.com/crc-board-minutes/
7.	Has the Board adopted bylaws and made them available to Board members and staff?	Yes	https://www.essexcountvida.com/crc-policies-reports/
8.	Has the Board adopted a code of ethics for Board members and staff?	Yes	https://www.essexcountyida.com/crc-policies-reports/
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	https://www.essexcountyida.com/crc-policies-reports/

Fiscal Year Ending: 12/31/2022

Run Date:

03/31/2023

CERTIFIED

Status: CERTIFIED Certified Date: 03/31/2023

## **Board of Directors Listing**

Name	Bowen, James	Nominated By	Local
Chair of the Board	No	Appointed By	Local
If yes, Chair Designated by		Confirmed by Senate?	N/A
Term Start Date	3/1/2010	Has the Board Member/Designee Signed the Acknowledgement of Fiduciary Duty?	Yes
Term Expiration Date	Pleasure of Authority	Complied with Training Requirement of Section 2824?	Yes
Title		Does the Board Member/Designee also Hold an Elected or Appointed State Government Position?	No
Has the Board Member Appointed a Designee?		Does the Board Member/Designee also Hold an Elected or Appointed Municipal Government Position?	No
Designee Name		Ex-Officio	

Name	Boyea, John	Nominated By	Local
Chair of the Board	No	Appointed By	Local
If yes, Chair Designated by		Confirmed by Senate?	N/A
Term Start Date	3/23/2016	Has the Board Member/Designee Signed the Acknowledgement of Fiduciary Duty?	Yes
Term Expiration Date	Pleasure of Authority	Complied with Training Requirement of Section 2824?	Yes
Title		Does the Board Member/Designee also Hold an Elected or Appointed State Government Position?	No
Has the Board Member Appointed a Designee?		Does the Board Member/Designee also Hold an Elected or Appointed Municipal Government Position?	No
Designee Name		Ex-Officio	No

Fiscal Year Ending: 12/31/2022

Run Date:

03/31/2023

Status:

CERTIFIED Certified Date: 03/31/2023

Name	Courtright, Matthew	Nominated By	Local
Chair of the Board	No	Appointed By	Local
If yes, Chair Designated by		Confirmed by Senate?	N/A
Term Start Date	7/9/2013	Has the Board Member/Designee Signed the Acknowledgement of Fiduciary Duty?	Yes
Term Expiration Date	Pleasure of Authority	Complied with Training Requirement of Section 2824?	Yes
Title		Does the Board Member/Designee also Hold an Elected or Appointed State Government Position?	No
Has the Board Member Appointed a Designee?		Does the Board Member/Designee also Hold an Elected or Appointed Municipal Government Position?	No
Designee Name		Ex-Officio	No

Name	Darrah, Darren	Nominated By	Local
Chair of the Board	Yes	Appointed By	Local
If yes, Chair Designated by	Elected by Board	Confirmed by Senate?	N/A
Term Start Date	3/1/2010	Has the Board Member/Designee Signed the Acknowledgement of Fiduciary Duty?	Yes
Term Expiration Date	Pleasure of Authority	Complied with Training Regulrement of Section 2824?	Yes
Title		Does the Board Member/Designee also Hold an Elected or Appointed State Government Position?	No
Has the Board Member Appointed a Designee?		Does the Board Member/Designee also Hold an Elected or Appointed Municipal Government Position?	
Designee Name		Ex-Officio	No

Fiscal Year Ending: 12/31/2022

Run Date:

03/31/2023

Status:

CERTIFIED Certified Date: 03/31/2023

Name	Holzer, Roy	Nominated By	Local
Chair of the Board	No	Appointed By	Local
If yes, Chair Designated by		Confirmed by Senate?	N/A
Term Start Date	1/31/2020	Has the Board Member/Designee Signed the Acknowledgement of Fiduciary Duty?	Yes
Term Expiration Date	Pleasure of Authority	Complied with Training Requirement of Section 2824?	No
Title		Does the Board Member/Designee also Hold an Elected or Appointed State Government Position?	No
Has the Board Member Appointed a Designee?		Does the Board Member/Designee also Hold an Elected or Appointed Municipal Government Position?	Yes
Designee Name		Ex-Officio	

Name	Monty, James	Nominated By	Local
Chair of the Board	No	Appointed By	Local
If yes, Chair Designated by		Confirmed by Senate?	N/A
Term Start Date	11/8/2018	Has the Board Member/Designee Signed the Acknowledgement of Fiduciary Duty?	Yes
Term Expiration Date	Pleasure of Authority	Complied with Training Requirement of Section 2824?	No
Title		Does the Board Member/Designee also Hold an Elected or Appointed State Government Position?	No
Has the Board Member Appointed a Designee?	d	Does the Board Member/Designee also Hold an Elected or Appointed Municipal Government Position?	No
Designee Name		Ex-Officio	

Fiscal Year Ending: 12/31/2022

Run Date:

03/31/2023

Status:

CERTIFIED Certified Date: 03/31/2023

Name	Rogers, James	Nominated By	Local
Chair of the Board	No	Appointed By	Local
If yes, Chair Designated by		Confirmed by Senate?	N/A
Term Start Date	3/1/2010	Has the Board Member/Designee Signed the Acknowledgement of Fiduciary Duty?	Yes
Term Expiration Date	Pleasure of Authority	Complied with Training Requirement of Section 2824?	Yes
Title		Does the Board Member/Designee also Hold an Elected or Appointed State Government Position?	No
Has the Board Member Appointed a Designee?		Does the Board Member/Designee also Hold an Elected or Appointed Municipal Government Position?	No
Designee Name		Ex-Officio	No

Fiscal Year Ending: 12/31/2022

Run Date:

03/31/2023

CERTIFIED

Status: CERTIFIED Certified Date: 03/31/2023

## Staff Listing

Name	Title	Group	Department/	Union	Bargaining			Actual	Overtime	Performance Extra Pay	Other	Total	Individual	If yes, Is
			Subsidiary	Name	Unit	Part Time	Annualized	salary paid	paid by	Bonus	Compensati	Compensat	also paid by	the
				1			Salary	to the	Authority		on/Allowanc	ion paid	another	payment
								Individual			es/Adjustme	by	entity to	made by
											nts	Authority	perform the	State or
				1								_	work of the	local
									1				Authority	governme
														nt

This Authority has indicated that it has no staff during the reporting period.

Fiscal Year Ending: 12/31/2022

Run Date:

03/31/2023

Status: CERTIFIED

Certified Date: 03/31/2023

#### **Benefit Information**

During the fiscal year, did the Authority continue to pay for any of the above mentioned benefits for former staff or individuals affiliated	No
Target of the state of the stat	INO
With the Authority after those individuals left the Authority?	

#### **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
Bowen, James	Board of Directors									III GUITAIT G			х	
Boyea, John	Board of Directors												х	
Courtright, Matthew	Board of Directors												х	
Darrah, Darren	Board of Directors												х	
Holzer, Roy	Board of Directors												х	
Monty, James	Board of Directors												x	
Rogers, James	Board of Directors												х	

#### **Staff**

		Dependent Assistance Life	of Other fits	
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Fiscal Year Ending: 12/31/2022

Run Date:

03/31/2023

Status: CERTIFIED Certified Date: 03/31/2023

## Subsidiary/Component Unit Verification

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 Authority and not independently filing reports in PARIS?						
Name of Subsidiary/Component Unit	St	atus				
Request Subsidiary/Component Unit Change						
Name of Subsidlary/Component Unit	St	atus	Requested	Changes		
Request Add Subsidiaries/Component Units  Name of Subsidiary/Component Unit		Establishment Date		Pu	rpose of Subsidiary/Component Unit	
Request Add Subsidiaries/Component Units  Name of Subsidiary/Component Unit  Request Delete Subsidiaries/Component Units		Establishment Date		Po	rpose of Subsidiary/Component Unit	

Fiscal Year Ending: 12/31/2022

Run Date:

03/31/2023

Status:

CERTIFIED Certified Date: 03/31/2023

Summary Financial Information

			Amount
Assets			
Current Assets			
	Cash and cash equivalents		\$0.00
	Investments		\$0.00
	Receivables, net		\$0.00
	Other assets		\$0.00
	Total current assets		\$0.00
Noncurrent Assets			
	Restricted cash and investments		\$0.00
	Long-term receivables, net		\$0.00
	Other assets		\$0.00
	Capital Assets		****
		Land and other nondepreciable property	\$0.00
		Buildings and equipment	\$0.00
		Infrastructure	\$0.00
		Accumulated depreciation	\$0.00
		Net Capital Assets	\$0.00
	Total noncurrent assets		\$0,00
Total assets			\$0.00
Liabilities			· · · · · · · · · · · · · · · · · · ·
Current Liabilities			
	Accounts payable		\$0.00
	Pension contribution payable		\$0.00
	Other post-employment benefits		\$0.00
	Accrued liabilities		\$0.00
	Deferred revenues		\$0.00
	Bonds and notes payable		\$0.00
	Other long-term obligations due within one year		\$0.00
	Total current liabilities		\$0.00
Noncurrent Liabilities			

Fiscal Year Ending: 12/31/2022

Run Date: 03/31/2023 Status: CERTIFIED Certified Date: 03/31/2023

	Pension contribution payable	\$0.00
	Other post-employment benefits	\$0.00
	Bonds and notes payable	\$0.00
	Long term leases	\$0.00
	Other long-term obligations	\$0.00
	Total noncurrent liabilities	\$0.00
Total liabilities		\$0.00
Net Asset (Deficit)		
Net Assets		
	Invested in capital assets, net of related debt	\$0.00
	Restricted	\$0.00
	Unrestricted	\$0.00
	Total net assets	\$0.00

## SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

		Amount
Operating Revenues		
	Charges for services	\$0.00
	Rental and financing income	\$0.00
	Other operating revenues	\$0,00
	Total operating revenue	\$0.00
Operating Expenses		
	Salaries and wages	\$0.00
	Other employee benefits	\$0.00
	Professional services contracts	\$0.00
	Supplies and materials	\$0.00
	Depreciation and amortization	\$0.00
	Other operating expenses	\$0,00
	Total operating expenses	\$0,00
Operating income (loss)		\$0,00
Nonoperating Revenues		40.00
	Investment earnings	\$0.00
	State subsidies/grants	\$0,00
	Federal subsidies/grants	\$0.00
	Municipal subsidies/grants	\$0.00
	Public authority subsidies	\$0.00



Fiscal Year Ending: 12/31/2022

Run Date: 03/31/2023 Status: CERTIFIED Certified Date: 03/31/2023 CERTIFIED

	Other nonoperating revenues	\$0.00
	Total nonoperating revenue	\$0.00
Nonoperating Expenses		
	Interest and other financing charges	\$0.00
	Subsidies to other public authorities	\$0.00
	Grants and donations	\$0.00
	Other nonoperating expenses	\$0,00
	Total nonoperating expenses	\$0,00
	Income (loss) before contributions	\$0.00
Capital contributions		\$0.00
Change in net assets		\$0.00
Net assets (deficit) beginning of year		\$0.00
Other net assets changes		\$0,00
Net assets (deficit) at end of year		\$0.00

Fiscal Year Ending: 12/31/2022

Run Date:

03/31/2023

Status: CERTIFIED Certified Date: 03/31/2023

## **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?	Yes

New Debt Issuances
Type of Debt: Conduit Debt

#### Program:

Project	Amounts		Bond Closing Date	Issue Process	True Interest Cost	Interest type	Term (Yrs)	Cost Of Issuance
89 Greenwood Street	Refundir	ng \$0.00	5/24/2022	Competitive	2.87%	Fixed	30	\$147,134.29
	New	\$17,257,000.00						
	Total	\$17,257,000.00						

Fiscal Year Ending: 12/31/2022

Run Date:

03/31/2023

Status: CERTIFIED Certified Date: 03/31/2023

## 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						1 641(4)
State Obligation	State Supported						
State Obligation	State Contingent Obligation						
State Obligation	State Moral Obligation						
Other State-Funded	Other State-Funded						+
Authority Debt - General Obligation	Authority Debt - General Obligation						
Authority Debt - Revenue	Authority Debt - Revenue						
Authority Debt - Other	Authority Debt - Other						
Conduit		Conduit Debt	0.0	20,780,838,00	17,257,000,0	0.0	0 38,037,838.00
Conduit		Conduit Debt - Pilot Increment Financing		20,1 00,000.00	17,207,000.0	0.0	30,037,030.00
TOTALS			0.0	20,780,838.00	17,257,000,0	0.0	0 38,037,838,00

Fiscal Year Ending: 12/31/2022

Run Date:

03/31/2023

Status:

CERTIFIED Certified Date: 03/31/2023

# Real Property Acquisition/Disposal List

This Authority has indicated that it had no real property acquisitions or disposals during the reporting period.

Fiscal Year Ending: 12/31/2022

Run Date:

03/31/2023

Status:

CERTIFIED Certified Date: 03/31/2023

Personal Property

This Authority has indicated that it had no personal property disposals during the reporting period.

Fiscal Year Ending: 12/31/2022

Run Date:

03/31/2023

**CERTIFIED** 

Status: Certified Date: 03/31/2023

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	https://www.essexcountyida.com/crc-policies-reports/
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	https://www.essexcountyida.com/crc-policies-reports/
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	N/A

Fiscal Year Ending: 12/31/2022

Run Date: 03/31/2023 Status: CERTIFIED

Certified Date: 03/31/2023

## **Grant Information**

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

Fiscal Year Ending: 12/31/2022

Run Date:

03/31/2023

Status: CERTIFIED Certified Date: 03/31/2023

Loan Information

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

Fiscal Year Ending: 12/31/2022

Run Date: 03/31/2023

Status: CERTIFIED Certified Date: 03/31/2023

**Bond Information** 

Name of Recipient of Bond Proceeds	89 Greenwood Street Apartments	Bond Interest Rate	2.67
Address Line1	89 Greenwood Street	Last Year Bonds Expected to be Retired	2052
Address Line2			
		Amount of Bond Principal Retired during the Reporting Year	93366.28
City	LAKE PLACID	Amount of Bond Principal Retired Prior to Reporting Year	
State	NY	Current Amount of Bonds Outstanding	\$17,163,633.72
Postal Code	12946	Purpose of Project Requiring the Bond Issuance	Commercial Property Construction/Acquisition/Revitalization/ mprovement
Plus4		Was the Bond Issuance Expected to Result in New Jobs Being Created?	No
Province/Region		if yes, How Many Jobs Were Planned to be Created?	
Country	United States	If yes, How Many Jobs Have Been Created to Date?	
Amount of Bonds Issued	\$17,257,000.00	Have the Bonds Been Fully Retired?	No
Date Bonds Issued	5/24/2022		

Name of Recipient of Bond Proceeds	Adirondack Medical Center	Bond Interest Rate	2.91
Address Line1	2233 State Route 86	Last Year Bonds Expected to be Retired	2044
Address Line2	PO Box 471	Amount of Bond Principal Retired during the Reporting Year	278000
City	SARANAC LAKE	Amount of Bond Principal Retired Prior to Reporting Year	580000
State	NY	Current Amount of Bonds Outstanding	\$8,642,000.00
Postal Code	12983	Purpose of Project Requiring the Bond Issuance	Commercial Property Construction/Acquisition/Revitalization/I
Plus4		Was the Bond Issuance Expected to Result in New Jobs Being Created?	No
Province/Region		If yes, How Many Jobs Were Planned to be Created?	
Country	United States	If yes, How Many Jobs Have Been Created to Date?	
Amount of Bonds Issued	\$9,500,000.00	Have the Bonds Been Fully Retired?	No
Date Bonds Issued	9/27/2017		

Fiscal Year Ending: 12/31/2022

Run Date:

03/31/2023

Status: CERTIFIED Certified Date: 03/31/2023

Name of Recipient of Bond Proceeds	Elizabethtown Community Hospital	Bond Interest Rate	5
Address Line1	Park Street	Last Year Bonds Expected to be Retired	2041
Address Line2		Amount of Bond Principal Retired during the Reporting Year	285000
City	ELIZABETHTOWN	Amount of Bond Principal Retired Prior to Reporting Year	2375000
State	NY	Current Amount of Bonds Outstanding	\$3,500,000.00
Postal Code	12932	Purpose of Project Requiring the Bond Issuance	Commercial Property Construction/Acquisition/Revitalization
Plus4		Was the Bond Issuance Expected to Result in New Jobs Being Created?	No
Province/Region		If yes, How Many Jobs Were Planned to be Created?	
Country	United States	If yes, How Many Jobs Have Been Created to Date?	
Amount of Bonds Issued	\$6,160,000.00	Have the Bonds Been Fully Retired?	No
Date Bonds Issued	12/8/2011		

Name of Recipient of Bond Proceeds	North Country Community College Association	Bond Interest Rate	3
Address Line1	23 Santanoni Avenue	Last Year Bonds Expected to be Retired	2035
Address Line2		Amount of Bond Principal Retired during the Reporting Year	75000
City	SARANAC LAKE	Amount of Bond Principal Retired Prior to Reporting Year	255000
State	NY	Current Amount of Bonds Outstanding	\$1,355,000.00
Postal Code	12983	Purpose of Project Requiring the Bond Issuance	Education/Training(Business Development)
Plus4		Was the Bond Issuance Expected to Result in New Jobs Being Created?	No
Province/Region		If yes, How Many Jobs Were Planned to be Created?	
Country	United States	If yes, How Many Jobs Have Been Created to Date?	
Amount of Bonds Issued	\$1,685,000.00	Have the Bonds Been Fully Retired?	No
Date Bonds Issued	2/9/2017		

Fiscal Year Ending: 12/31/2022

Run Date: 03/31/2023 CERTIFIED

Status: CERTIFIED Certified Date: 03/31/2023

Name of Recipient of Bond Proceeds	North Country Community	Bond Interest Rate	3
	College Foundation		
Address Line1	23 Santanoni Avenue	Last Year Bonds Expected to be Retired	2025
Address Line2		Amount of Bond Principal Retired during the Reporting Year	235000
City	SARANAC LAKE	Amount of Bond Principal Retired Prior to Reporting Year	835000
State	NY	Current Amount of Bonds Outstanding	\$775,000.00
Postal Code	12983	Purpose of Project Requiring the Bond (ssuance	Education/Training(Business Development)
Plus4		Was the Bond Issuance Expected to Result in New Jobs Being Created?	No
Province/Region		If yes, How Many Jobs Were Planned to be Created?	
Country	United States	If yes, How Many Jobs Have Been Created to Date?	
Amount of Bonds Issued	\$1,845,000.00	Have the Bonds Been Fully Retired?	No
Date Bonds Issued	2/9/2017		

Name of Recipient of Bond Proceeds	North Country School (Camp Treetop)	Bond Interest Rate	6.5
Address Line1	4382 Cascade Road	Last Year Bonds Expected to be Retired	2039
Address Line2		Amount of Bond Principal Retired during the Reporting Year	433241
City	LAKE PLACID	Amount of Bond Principal Retired Prior to Reporting Year	1464162
State	NY	Current Amount of Bonds Outstanding	\$5,202,597.00
Postal Code	12946	Purpose of Project Requiring the Bond Issuance	Commercial Property Construction/Acquisition/Revitalization/I
Plus4		Was the Bond Issuance Expected to Result in New Jobs Being Created?	No
Province/Region		If yes, How Many Jobs Were Planned to be Created?	
Country	United States	If yes, How Many Jobs Have Been Created to Date?	
Amount of Bonds Issued	\$7,100,000.00	Have the Bonds Been Fully Retired?	No
Date Bonds Issued	3/26/2019		

Fiscal Year Ending: 12/31/2022

Run Date: 03/31/2023 Status: CERTIFIED Certified Date: 03/31/2023

**Additional Comments**