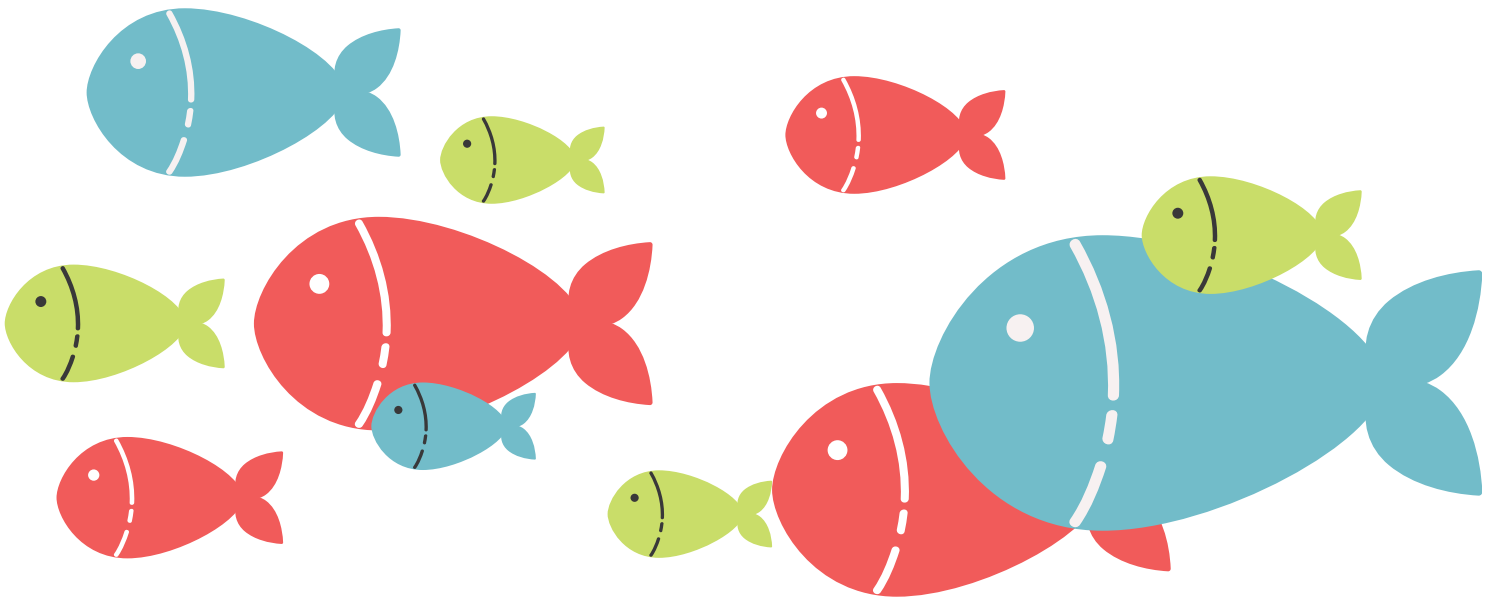


# Narragansett Bay Commission

Rhode Island



## BUDGET

FISCAL YEAR 2021

Vincent J. Mesoletta  
Chairman



Laurie Horridge  
Executive Director





GOVERNMENT FINANCE OFFICERS ASSOCIATION

*Distinguished  
Budget Presentation  
Award*

PRESENTED TO

**Narragansett Bay Commission  
Rhode Island**

For the Fiscal Year Beginning

**July 1, 2019**

*Christopher P. Morrill*

Executive Director

The Government Finance Officers Association of the United States and Canada (GFOA) presented a Distinguished Budget Presentation Award to Narragansett Bay Commission, (NBC), Rhode Island, for its annual budget for the fiscal year beginning July 1, 2019. In order to receive the Distinguished Budget award, a governmental unit must publish a budget document that meets program criteria as a policy document, as a financial plan, as an operations guide, and as a communications device. This award is valid for a period of one year only. We believe that the current budget continues to conform to the program requirements, and we will submit it to GFOA to determine its eligibility for another award.



*Photo: Bay Fishermen*

*Contact Information:*

*Narragansett Bay Commission  
Division of Finance  
One Service Road  
Providence, Rhode Island 02905*

*Telephone: (401)-461-8848  
Fax: (401)-461-6540*

*[www.narrabay.com](http://www.narrabay.com)*



*Proud Member of  
NACWA*

## **BOARD OF COMMISSIONERS**

Narragansett Bay Commission (NBC) is governed by a Board of Commissioners (Board). The Board represents the municipalities in the service area, as well as ten gubernatorial appointments. Empowered with responsibilities ranging from ensuring that NBC operates a balanced budget to approving contracts for improving and sustaining the treatment facilities and wastewater collection system, the Board meets monthly to guide the direction of NBC.

*Vincent J. Mesolella, Chairman*  
*Angelo S. Rotella, Vice Chairman*  
*Robert P. Andrade, Treasurer*

*James S. Bennett*  
*Dr. Bruce Campbell*  
*Mario G. Carlino*  
*Richard Delfino*  
*Michelle R. DeRoche*  
*Jonathan K. Farnum*  
*Joseph Kimball*  
*Ronald Leone*

*John MacQueen*  
*Michael Marcello, Esq.*  
*Joan P. Milas*  
*Alessandro Montanari*  
*Alan Nathan*  
*Jina N. Petrarca, Esq.*  
*Charles Ruggerio, Esq.*  
*Richard D. Worrell*

*Laurie Horridge, Executive Director and Secretary of the Board*

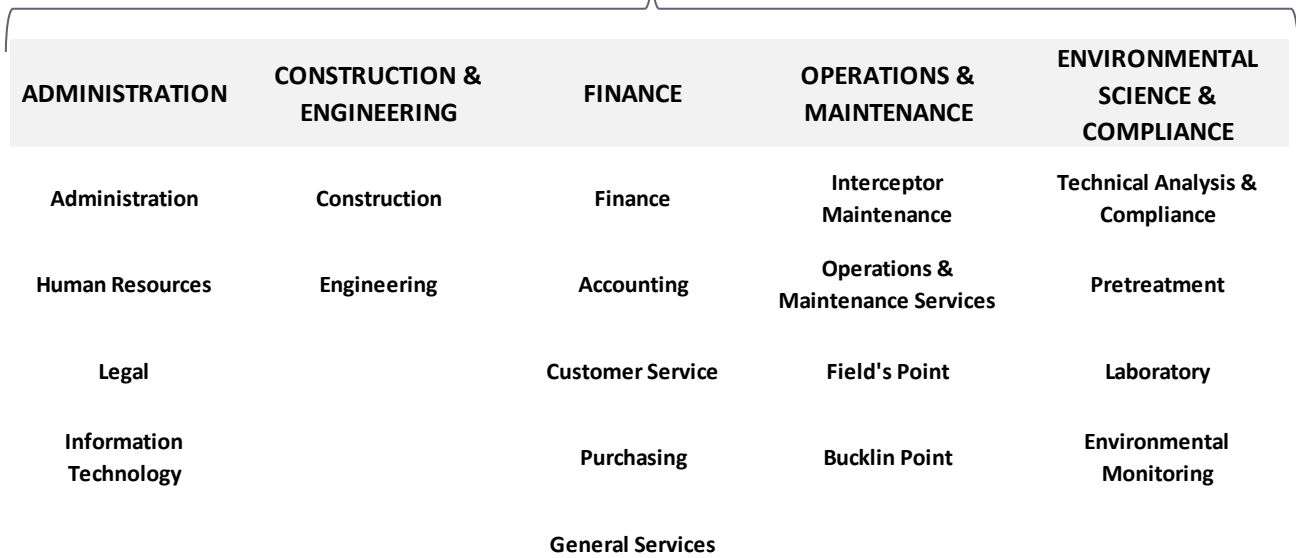


*Photo: Rose Island Lighthouse, Narragansett Bay*

# NBC ORGANIZATION

NBC is comprised of a team of dedicated professionals who are committed to the fulfillment of NBC's goals. NBC's organizational structure consists of five Divisions headed by Division Directors who report to the Executive Director. Within each Division there are sections headed by Program Managers who report to the Division Director.

## EXECUTIVE DIRECTOR



*Photo: Providence River*

# NARRAGANSETT BAY COMMISSION

## Table of Contents

	<b>Page No.</b>
<b>I. BUDGET MESSAGE</b>	
NBC Outlook .....	1
Fiscal Year 2020 in Review .....	7
<b>II. ABOUT NARRAGANSETT BAY COMMISSION</b>	
NBC Organization .....	14
Facilities .....	17
Demographics .....	22
<b>III. BUDGET PROCESS AND POLICIES</b>	
The Budget Process.....	29
FY 2021 Budget Calendar.....	30
Budget Monitoring and Amendment Procedures .....	32
The Rate Setting Process .....	33
Financial Policies .....	34
<b>IV. BUDGET SUMMARY</b>	
Budget Summary .....	41
FY 2021 Budget – Key Assumptions.....	44
The Strategic Plan and FY 2021 Budget .....	47
Trust Indenture and Funds .....	52
Net Position .....	54
Fund Organization Matrix.....	56
Budget Resolution and Attachment 1.....	57
<b>V. OPERATING BUDGET</b>	
FY 2021 Operating Budget Summary.....	69
Sources and Uses of Revenue .....	70
Historical Overview.....	71
Revenue Profile.....	72
Expense Profile .....	81
Operating Budget Detail FY 2021.....	97
Division Summaries.....	99
<b>VI. CAPITAL BUDGET</b>	
Capital Budget Summary .....	209
Operating Capital Program .....	211
Capital Improvement Program .....	239
<b>VII. CIP AND LONG TERM PLAN</b>	
CIP Impact on Operating Budget .....	309
Capital Funding and Debt Service Impact .....	313
Projected Revenue and Expense .....	323
Sewer User Fee Rate Projections.....	326
<b>VIII. SUPPORTING SCHEDULES</b>	
Acronyms Glossary.....	327
Glossary of Terms .....	337





# Budget Message

*“The mission of the Narragansett Bay Commission is to maintain a leadership role in the protection and enhancement of water quality in Narragansett Bay and its tributaries by providing safe and reliable wastewater collection and treatment services to its customers at a reasonable cost.”*



**Photo: Upper Narragansett Bay**

## Introduction

The Narragansett Bay Commission (NBC) is pleased to present its FY 2021 Budget. This budget reflects NBC’s dedication to water quality improvement through continued investment in capital improvements, the effective operation of its wastewater treatment and collections system, and water quality monitoring efforts. This budget also demonstrates NBC’s commitment to providing excellent service at a reasonable cost to its ratepayers through the careful allocation of resources as well as the incorporation of COVID-19 impacts.

## NBC Outlook

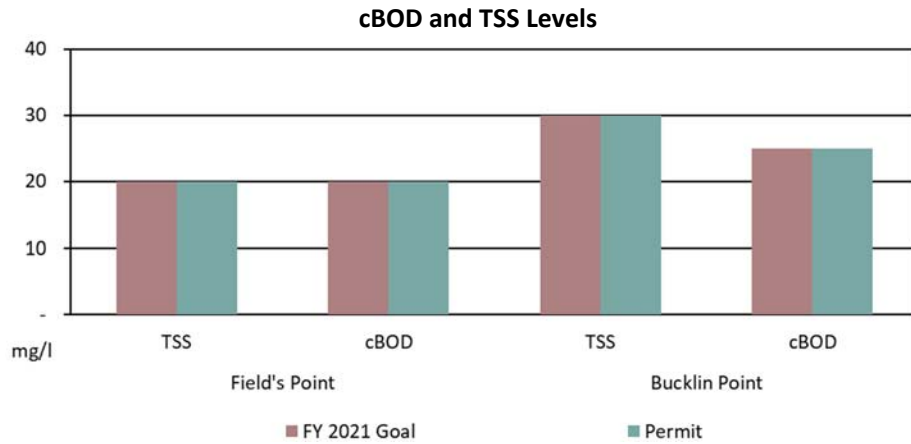
NBC’s operating and capital budgets are based on the objectives and priorities outlined in NBC’s Strategic Plan. The Strategic Plan provides the framework of NBC’s long-term priorities over the next ten years. This narrative serves to link the allocation of resources in the FY 2021 Budget to the relationship between each program’s short-term service level objectives and NBC’s long-term strategic goals. The budget also reflects the incorporation of the GFOA S.M.A.R.T. Goal framework, and an increased number of performance measures based on outcome and efficiency. Please refer to the Budget Summary section of the budget for the complete strategic plan overview, beginning on page 47. The Budget Message summarizes the allocation of the budget priorities by the following strategic goals.

NBC’s Strategic Plan Goals		
Core Business	Staffing	Organizational Performance
Environmental Performance	Customer Focus	
Financial Management	Communication	

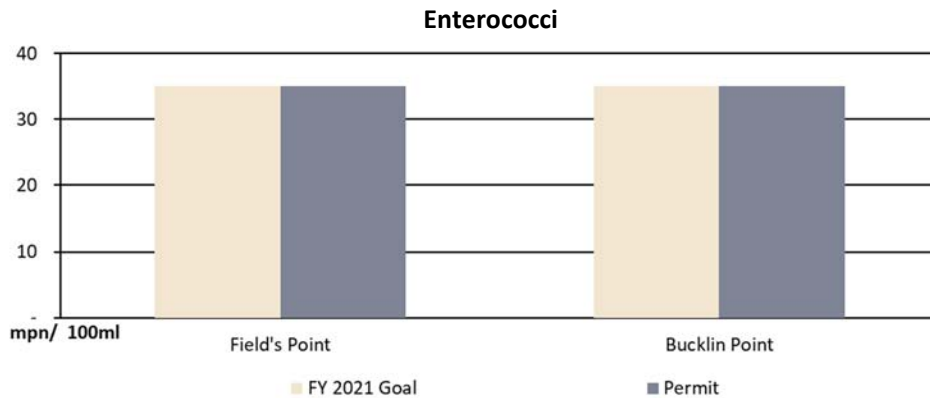
## Core Business

NBC’s core business goal in FY 2021 and beyond is the successful operation and maintenance of the treatment and collection systems to ensure that federal and state requirements are met or surpassed. NBC operates its facilities under Rhode Island Pollution Discharge Elimination System (RIPDES) permits issued by the Rhode Island Department of Environmental Management (RIDEM). The RIPDES permits set forth effluent limitations and monitoring requirements. NBC entered into a Consent Agreement with RIDEM that sets forth more stringent limits for certain parameters and requires various studies and evaluations to be undertaken by NBC.

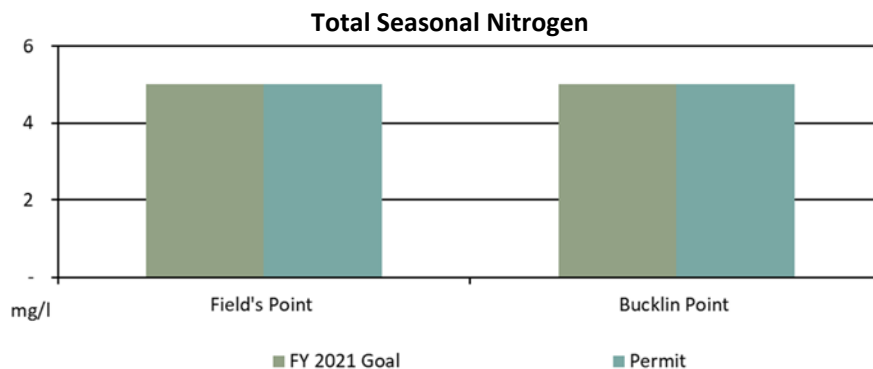
The FY 2021 budget and performance measures are based on the RIPDES permit limits of 20 milligrams per liter (mg/l) for both Carbonaceous Biological Oxygen Demand (cBOD) and Total Suspended Solids (TSS) at Field's Point. At Bucklin Point, the limits are 25 mg/l for cBOD and 30 mg/l for TSS. Both cBOD and TSS are wastewater industry standards for measuring the effectiveness of wastewater treatment and the quality of effluent discharged into the receiving waters. The RIPDES permit sets forth daily and monthly limits for both levels, with levels being less restrictive from November through April. The following chart shows NBC's FY 2021 clean water goals to meet or surpass permitted treatment levels at the WWTFs.



The RIPDES permit also sets forth seasonal enterococci permit limits of 35 most probable number (mpn) or viable cells in a liquid sample per 100ml for both WWTFs. Enterococci is an anaerobic bacteria found in the intestinal tract. The following chart shows NBC's FY 2021 clean water goals and permitted treatment levels at each of the WWTFs.



Lastly, the RIPDES permits set forth total seasonal nitrogen permit limits of 5 mg/l from May to October at the Field's Point and Bucklin Point WWTFs. The following chart shows NBC's FY 2021 nitrogen removal goals and the permitted levels.



NBC continues to achieve excellent treatment results at both facilities and the FY 2021 budget supports these efforts with increased funding for operating expenses. In particular, the FY 2021 budgeted biosolids disposal expense is \$162 thousand more than the prior year, reflecting increased dry ton production and a higher disposal rate due to the contracted CPI adjustment. The FY 2021 budget includes a 21.6% increase in the quantity of liquid polymer which is used to coagulate suspended solids. Chemical rates remain unchanged in FY 2021 and expense represents an overall increase of approximately \$17 thousand or 1.3% more than the prior year. The FY 2021 budget also reflects \$180 thousand in resources for maintenance contracts for equipment such as the blowers and generators to ensure continuous operation. The FY 2021 budget also includes \$130 thousand for electrical testing at Field's Point. Lastly, this year's budget includes an Asset Management Specialist position, an Interceptor Maintenance Clerk position and a Facilities Systems Administrator position to support operations.



**Photo: Final clarifier tank at Bucklin Point**

This year's budget also demonstrates NBC's continued investment in capital assets that are required to meet current and future federal and state mandates, take advantage of technological advancements to achieve operational efficiencies, and ensure the integrity of NBC's infrastructure. NBC has a significant Capital Improvement Program (CIP) with \$52.7 million programmed for capital improvements in FY 2021 and an additional \$606 million in programmed expenditures in FY 2022 – 2026 for a total of \$658.7 million.

NBC is pleased to share that NBC received a \$268.7 million loan at a rate of 1.89% through the Water Infrastructure Finance and Innovation Act (WIFIA) program administered by United States Environmental Protection Agency (EPA) that will fund 49% of NBC's largest capital project, the Combined Sewer Overflow (CSO) Phase III A Facilities. NBC submitted a second application for a \$33.4 million loan through the WIFIA program for the Bucklin Point Resiliency Improvements project.

### FY 2021 – 2026 Capital Improvement Program

Programmed Capital Improvements (Thousands)	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026	Total FY 2022- 2026
<b>CIP</b>							
CSO Phase III A Facilities	\$ 30,320	\$ 102,920	\$ 136,059	\$ 128,855	\$ 117,431	\$ 28,153	\$ 513,418
Bucklin Point Resiliency	10,165	25,486	9,505	95	-	-	35,087
All Other Projects	12,247	16,610	18,123	11,365	5,075	6,295	57,467
<b>Total CIP</b>	<b>\$52,732</b>	<b>\$145,016</b>	<b>\$163,687</b>	<b>\$140,315</b>	<b>\$122,506</b>	<b>\$34,447</b>	<b>\$ 605,972</b>

The WIFIA program will significantly mitigate ratepayer impact. Additional discussion regarding capital funding, debt and rate impacts is in the CIP Impact and Long-Term Plan section of this budget.

This year's budget also supports the capital program through additional funding for two new positions in the Construction and Engineering Division. These positions are a Resident Representative and Principal Environmental Engineer that will assist with the management of NBC's capital projects.

The FY 2021 budget also includes investments that are necessary to ensure continuous operation of NBC's facilities, support services and core business functions. The Operating Capital Program (OCP) includes asset purchases, replacements, and betterments. The OCP has programmed expense of \$3.9 million in FY 2021 and a total of \$11.8 million during the five-year period of FY 2022-2026. The majority or 55% of the FY 2021 expense is for assets supporting the wastewater treatment and collection functions in the Operations & Maintenance

Division. The OCP budget for the Administration Division is 28% of the total and includes computer equipment and technology investments. The Construction & Engineering, the Finance and the Environmental Science & Compliance Divisions account for the remaining 17% of asset purchases in FY 2021. The following table summarizes NBC's OCP by Division.

### FY 2021 – 2026 Operating Capital Program

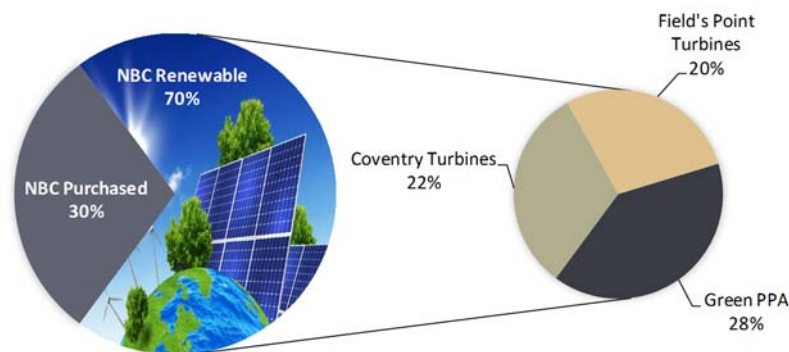
Division	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026	Total FY 2022-2026
Administration	\$ 1,065,000	\$ 435,000	\$ 225,000	\$ 430,000	\$ 260,000	\$ 365,000	\$ 1,715,000
Construction & Engineering	110,000	77,000	20,000	35,000	32,000	32,000	196,000
Finance	190,000	10,000	85,000	45,000	45,000	45,000	230,000
Operations & Maintenance	2,132,000	1,405,000	1,295,000	1,534,000	1,504,000	1,815,000	7,553,000
Environmental Science & Compliance	366,000	518,000	516,000	328,000	406,000	332,000	2,100,000
<b>Total</b>	<b>\$ 3,863,000</b>	<b>\$ 2,445,000</b>	<b>\$ 2,141,000</b>	<b>\$ 2,372,000</b>	<b>\$ 2,247,000</b>	<b>\$ 2,589,000</b>	<b>\$11,794,000</b>

### Environmental Performance

The FY 2021 budget reflects the results of NBC's efforts to minimize environmental impacts through investments in energy efficiency and sustainability initiatives. NBC's renewable energy investments are estimated to generate an equivalent of 70% of NBC's total electricity needs. These renewable resources generate both savings by reducing the amount of electricity NBC must purchase and additional revenue from the sale of Renewable Energy Credits (RECs). In FY 2021, NBC budgeted 26.6 million kWh of the projected 38.2 million kWh use as derived from these sources.



Of NBC's three renewable energy sources, the three 1.5 MW Field's Point wind turbines are considered "behind" the meter and the energy is used on-site. These sources reduce the amount of electricity purchased and are reflected in the budget as a reduction in purchased kWh.



The three 1.5 MW remote Coventry Turbines purchased in 2016 are "net metered" sources and the electricity is produced off-site, generating Net Metering Credits (NMC) that are applied to NBC's electricity purchases. Lastly, electricity from the Green PPA is net metered and NBC retains 25% of the NMCs. The NMCs from these net-metered renewable sources is a reduction in budgeted expense of \$2.8 million, which is \$81,254 3.0% more than the prior year budget due to a 3.0% projected increase in kWh production. The FY 2021 budget also includes \$577 thousand in REC revenue.



**Photo: Environmental Monitoring staff replacing buoy sondes on Narragansett Bay**

The FY 2021 budget supports NBC’s environmental performance strategic goal to continuously evaluate performance and minimize NBC’s impact on the environment. NBC’s Environmental Monitoring program protects public health by ensuring proper operation of the wastewater treatment plants and the quality of receiving waters. The RIPDES permit requires NBC’s WWTFs are sampled and analyzed daily for TSS, cBOD, total residual chlorine and ph and twice daily for fecal coliform and enterococci. The FY 2021 budget includes funding for a new Biologist position to support these analyses.

NBC has allocated resources to support the ancillary services needed for sampling and data analysis efforts. The FY 2021 budget includes approximately \$101,088 for maintenance contracts to ensure continuous operation of critical laboratory equipment including the water purification system, nutrient analyzers, autoclaves, extractors and instruments and calibration of instruments and fume hoods. In addition, \$90,600 has been budgeted for outside laboratory testing related to Polyfluoroalkyl Substances (PFAS). Replacement of laboratory and sampling equipment including mercury analyzers, autoclaves, biological media dispenser, fixed site sondes, probes and meters at a cost of \$247,000 are funded in the FY 2021 Budget.

## Financial Management



The most significant financial challenge facing NBC is ensuring sufficient resources for operating, maintenance and capital needs while simultaneously mitigating ratepayer impact. The FY 2021 Operating Budget is approximately \$2.4 million or 2.3% lower than the prior year. With respect to revenue, the budget incorporates lower consumption revenue due to COVID-19 impacts. In terms of expense, debt service is budgeted \$3.9 million or 8.3% lower than the prior year due to a number of debt management activities in FY 2020. NBC has programmed \$375 thousand for interest on Revenue Anticipation Notes (RAN) should NBC need to issue RANs to meet cash flow needs as a result of COVID-19 impacts on collections.

	FY 2020 Budget	FY 2021 Budget	Percent Change
<b>Revenue</b>			
Operating Revenue	\$ 106,639,911	\$ 104,259,912	(2.2%)
Non-Operating Revenue	439,500	389,000	(11.5%)
<b>Total Revenue</b>	<b>\$ 107,079,411</b>	<b>\$ 104,648,912</b>	<b>(2.3%)</b>
<b>Expense</b>			
Operations and Maintenance	\$ 45,314,307	\$ 47,412,358	4.6%
Debt Service	47,816,624	43,863,780	(8.3%)
Transfer to Project Fund - Restricted Account	13,948,480	13,372,775	(4.1%)
<b>Total Expense</b>	<b>\$ 107,079,411</b>	<b>\$ 104,648,912</b>	<b>(2.3%)</b>

The FY 2021 budget includes resources to assist with management of financial responsibilities. This year’s budget includes \$35 thousand for CAFR reporting software and \$7 thousand for the debt management application maintenance contract. Four additional FTE’s are also budgeted, a Treasury Manager to assist with NBC’s debt management, banking, and investment responsibilities, Retirement Benefits Manager to manage NBC’s three retirement plans, a Principal Budget Analyst to provide additional support of budget, PUC rate filing and data analysis as well as an Administrative Assistant to support the Finance Division and manage compliance activities.

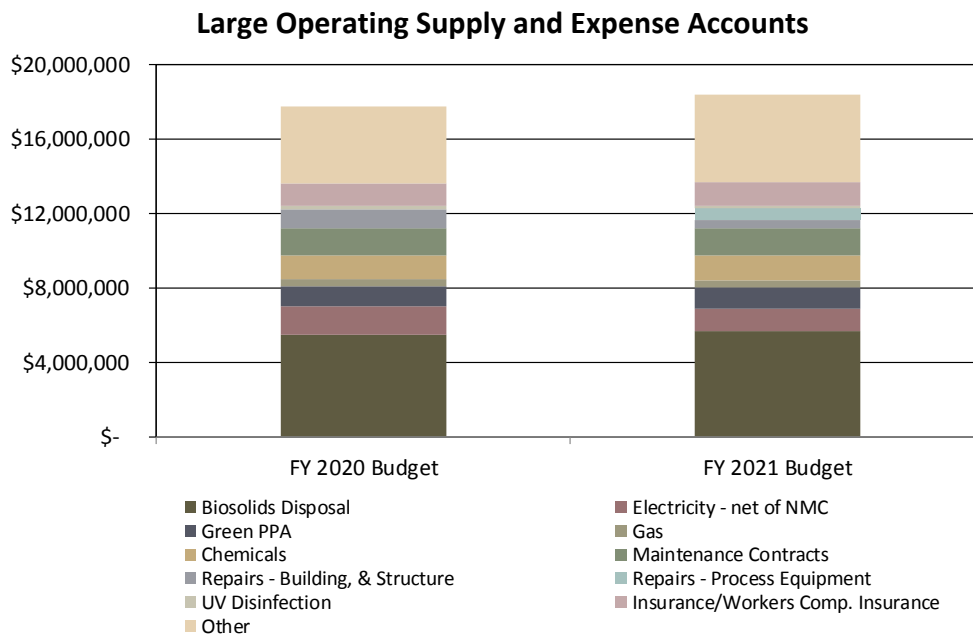
With respect to expense, budgeted Operations and Maintenance (O&M) expense is 4.6% more than the prior year. Personnel expense represents 57.5% of total O&M expense and is 6.0% higher on a year-to-year basis. The budget includes contracted step increases for union employees and merit increases for non-union employees. Budgeted overtime is \$49,500 higher in FY 2021 due to staffing requirements for operations, maintenance and monitoring. NBC's contribution rate on behalf of union employees to the State of Rhode Island Retirement System has increased by 8.3% and the union retirement health has decreased by 11.7%, on a year-to-year basis. The budgeted health insurance premium is 5.5% higher than FY 2020 and dental and vision remain unchanged.



*Photo: Moshassuck River*

The FY 2021 budget for Operating Supplies and Expense is 2.6% greater or approximately \$477 thousand more than the prior year. As previously mentioned, budgeted biosolids expense is \$162,191 higher on a year-to-year basis. This is due to increased dry ton production and an 1.71% increase in the contracted disposal rate to \$507.89/dry ton in FY 2021. Budgeted electricity expense is \$205,580 or 4.9% less in FY 2021 than the prior year. This is the combined effect of a projected 2.2% decrease in electricity use and an 11.0% lower electricity supply rate. The FY 2021 budget for natural gas is 7.4% higher than the prior year, due to an increase of 15,857 budgeted therms and a 2.6% increase in the delivery rate per therm.

Maintenance Contract expense decreased by 0.5% over the prior year. This line item includes new application support contracts, new contracts related to equipment that is no longer on warranty such as blowers and generators, and the transition from software purchases and installations to a software subscription format. Service Agreements expense is \$205,094 lower than last year. The FY 2021 budget for chemicals is \$16,678 or 1.3% higher and includes increased liquid polymer usage at Bucklin Point. Chemical rates remain unchanged for all six chemicals on a year-to-year basis. This year's budget includes a new Repairs – Process Equipment account for repairs to the wastewater monitoring and processing equipment and includes \$612,847 in FY 2021. As a result, the Repairs – Building & Structure account reflects a decrease of \$517,512 on a year-to-year basis, with the reallocation of expense to this line item. Lastly, Insurance and Workers' Compensation Insurance expense is 2.1% or \$25,899 higher. The following chart shows a year-to-year comparison of the large operating supply and expense accounts.



Professional Services comprise 3.3% of the total O&M expense and the FY 2021 budget is \$85,300 or 5.8% higher than the FY 2020 budget. This includes an increase in other services for leadership development training, legal fees, banking fees and retirement plan fees and outside laboratory services, which is offset by decreased funding for the PUC regulatory assessment fee and management and audit services on a year-to-year basis.

Budgeted debt service in FY 2021 is \$43.9 million, which is \$3.9 million or 8.3% lower than the prior year. The lower debt service reflects activity in the prior year that took advantage of the low interest environment including the conversion of variable rate debt to a fixed rate and the taxable refunding of certain revenue bond series. NBC also defeased two outstanding bond issues to eliminate debt service spikes in FY 2021 and FY 2022.

The FY 2021 budgeted Transfer to Project Fund – Restricted Account is determined by subtracting O&M and debt service expense from revenue. The FY 2021 budgeted Transfer to Project Fund – Restricted Account is \$575,705 less than the prior year. Please refer to the CIP Impact and Long-Term Plan section of the budget for more information regarding debt.

## **Staffing**

Another NBC strategic objective is to recruit, develop and retain highly qualified staff. To this end, NBC offers its employees comprehensive benefits. In FY 2021, NBC will continue to offer a strong benefits package. The FY 2021 budget reflects the third and final year of the Collective Bargaining Agreement (CBA). This year's budget continues to support NBC's Workplace Wellness initiative that includes an incentive component for employees who actively participate in wellness programs. In addition to Workplace Wellness, NBC places a high importance on worker safety and supports safety training. This year's budget includes \$70,000 for employee training and NBC's new in-house training program, as well as \$2,895 in maintenance contract expense for the maintenance of NBC's online employee training program. Lastly, this year's budget includes staff development of a revised non-union performance appraisal process.

## **Customer Focus**



The FY 2021 budget reflects NBC's continued commitment to remain customer focused and provide excellent service with resources allocated to the timely and accurate monthly billing of NBC's 85,000 customer accounts. In FY 2021, NBC will ensure that Customer Service staff is trained on the new mobile solution that integrates dispatch and fieldwork into the new service order system in the Customer Service application. Lastly, NBC will work to expand enrollment in paperless billing and automated payment programs.

## **Communication**

In terms of communication, the FY 2021 budget includes resources for NBC's Watershed Explorers education program that reaches out to elementary schools in NBC's service area. The program takes place in the classroom and at various river locations and culminates with an environmental education conference attended by the students.

## **Fiscal Year 2020 in Review**

### **Organizational Performance**

NBC had numerous achievements in FY 2020. NBC's cost centers reported 210 accomplishments with 86 or 41% focused on NBC's Core Business. In addition, 31% of the FY 2020 accomplishments related to Financial Management and 8% of the accomplishments related to Staffing and Communication respectively. The table on the following page outlines the percentage of FY 2020 accomplishments by goal and division.

## FY 2020 Major Accomplishments

Goals	Administration	Construction Services	Finance	Operations & Maintenance	Environmental Science & Compliance	Total	Percent
Core Business	14	12	31	15	14	86	41%
Environmental	-	-	-	1	6	7	3%
Financial Management	8	-	50	4	2	64	31%
Customer Focus	3	1	5	1	3	13	6%
Staffing	9	-	1	3	3	16	8%
Communication	9	-	1	1	6	17	8%
Organizational	4	-	1	2	-	7	3%
<b>Total</b>	<b>47</b>	<b>13</b>	<b>89</b>	<b>27</b>	<b>34</b>	<b>210</b>	<b>100%</b>

NBC was recognized by the National Association of Clean Water Agencies (NACWA) through the receipt of several prestigious awards. NBC received the Public Service Award for the Chairman’s River Restoration Program in recognition of outstanding contributions to environmental protection and wastewater management. NBC also received the Water Resources Utility of the Future Award, for demonstrating innovative technologies and cutting-edge practices to recover resources, improve operational efficiency and sustainability and provide value to its ratepayers beyond the clean water produced daily. Lastly, NBC also received the NACWA Excellence in Treatment Gold Peak Performance Award for no permit excursions at Bucklin Point and the Silver Peak Performance Award for fewer than five permit excursions at Field’s Point.



Several NBC employees were also recognized for their outstanding contributions with awards. NBC’s Technical Advisor of Operations received the Operator of the Year award from the Environmental Protection Agency for outstanding operation and maintenance of NBC’s facilities and protecting public health and water quality. NBC’s Environmental Chemist received the James Marvelle Award from the Narragansett Water Pollution

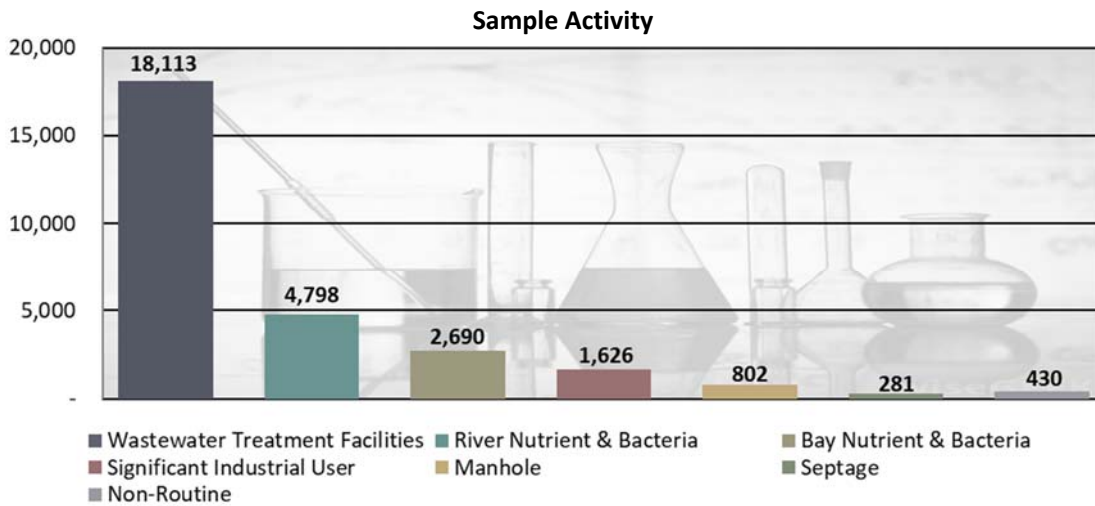
Control Association for leadership excellence in the wastewater industry. In addition, NBC’s Environmental Chemist and Operations Supervisor won first place in the Operators Challenge, a competition that allows wastewater professionals to showcase their skills in each of five wastewater categories at the Water Environment Federation’s Annual Technical Exhibition and Conference. Lastly, NBC’s Biologist was inducted into the Golden Shovel 5S Society in New England for contributions, efforts and time in applying herself to the great good of the water associations and industry.

During FY 2020, NBC’s Interceptor Maintenance (IM) section inspected approximately three miles of interceptors and maintained 705 catch basins to reduce grit deposit into the system. In addition, 375 tons of sediment was removed from the collection system and 24 tons of material captured in the CSO netting facilities was removed and prevented from entering the waterbody. The gas detection systems were replaced at the Tunnel Pump Station and the outlying pumping stations.

Operations & Maintenance staff optimized inventory management procedures and developed guidelines after the implementation of a mobile work order tracking system which reduced processing time and eliminated hard copy work orders. Additionally, staff initiated a checklist to assess and strengthen operator skill sets.

NBC conducted daily sampling at both the Field’s Point and Bucklin Point treatment facilities to ensure compliance with the RIPDES permit requirements and federal mandates. NBC continued to monitor the urban rivers twice per week for bacteria in support of the nine minimum controls program. Staff collected a total of 28,740 samples, with the majority or 63% related to WWTF monitoring. In addition, in order to assess water quality, 17% of the samples related to river nutrient and bacteria, while 9% of the samples collected were for bay nutrient and bacteria. The chart on the following page shows the number of samples collected by type.





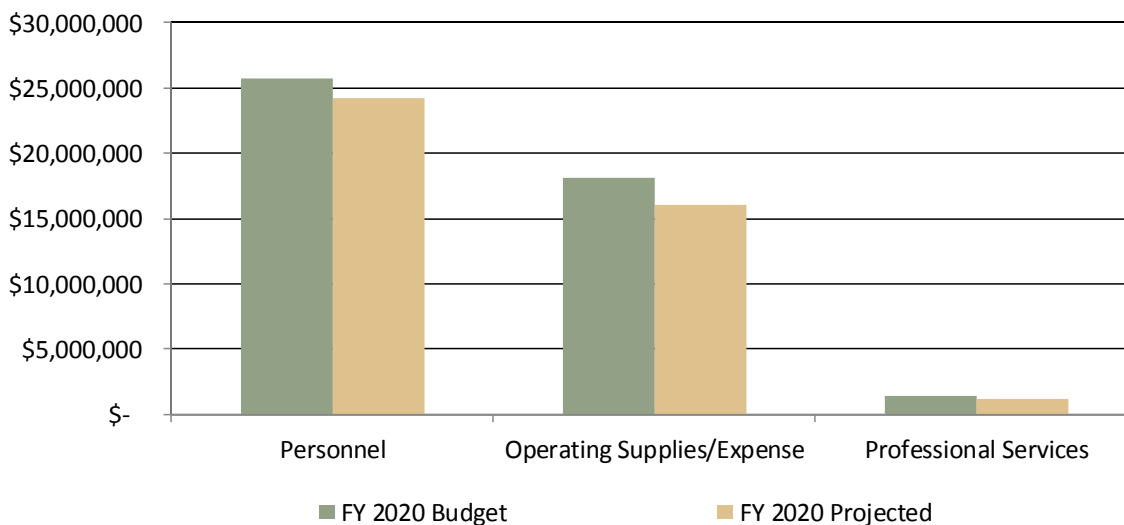
NBC enrolled in National Grid’s Continuous Energy Improvement (CEI) Program to identify energy efficient operational changes that can be implemented and expanded Field’s Point wastewater reuse program. In addition, a Ride and Drive event was held in November to demonstrate electric fleet benefits. NBC obtained grant funds for the installation of two electric vehicle charging stations.

With respect to capital projects, NBC completed several land acquisitions for the CSO Phase III A Facilities and short-listed three potential design-build teams for the CSO Phase III A Tunnel project. In addition, NBC completed six capital projects at a cost of \$17.3 million. Two of the largest projects were the FPWWTF Blower Improvements Phase II (10908) at \$8.2 million which included construction of a new blower building and new blowers; and the Providence River Siphon (30457) at \$7.7 million which replaced a portion of interceptor and inlet and outlet siphon chambers. Other projects completed in FY 2020 include the NBC Interceptor Easements Restoration BVI Wetlands (30503) at \$0.7 million, the Cleaning & Inspection of Selected Siphons at Various Locations (30477) at \$0.4 million, the CSO Phase III A – High Street Demolition (30811) at \$0.2 million and lastly, the RIPDES Flow Monitoring System (40500) at \$0.1 million. The completed projects are summarized in the following table.

Project Number	Project Name	Cost (in Thousands)
10908	FPWWTF Blower Improvements Phase II	\$ 8,198
30457	Providence River Siphon	7,733
30503	NBC Interceptor Easements Restoration BVI Wetlands	655
30477	Cleaning & Inspection of Selected Siphons, Various Locations	439
30811	CSO Phase III A - High Street Demolition	199
40500	RIPDES Flow Monitoring System	120
<b>Total</b>		<b>\$ 17,343</b>

From a financial perspective, NBC projects FY 2020 user fee revenue will be approximately 1.6% or \$1.7 million lower than the budgeted level due to COVID-19 impacts on consumption revenue. Investment income, customer service fees and miscellaneous income are also projected to be \$37 thousand, \$40 thousand and \$14 thousand lower than the budget respectively. On the other hand, sewer connection permit fee/capacity charge revenue is projected to be \$173 thousand or 100% higher than budgeted due to increased permit activity. REC revenue is also expected to be nearly \$277 thousand higher due to increased electricity generation and higher contracted REC purchase rates.

Overall, NBC's FY 2020 Operation and Maintenance expense will be significantly under budget. Turnover during the year was higher than the budgeted level and NBC projects personnel expense will be 6.0% or approximately \$1.5 million below budget. This, in part, was due to COVID-19 impacts on the hiring process. The performance of the Green PPA exceeded projections, generating nearly 792 thousand more kWh than budgeted and NBC retained an additional \$267 thousand in net metering credits. The Field's Point wind turbines generated 73 thousand kWh less than was budgeted. Overall, NBC electricity usage was 2.9 million kWh lower than budgeted and the net expense for electricity was \$589 thousand less than budgeted.



Other significant savings in operations and maintenance expense were due to lower than budgeted biosolids expense as increased dry ton production was offset by a lower average rate per dry ton. NBC's chemical usage was lower than budgeted and NBC achieved savings in maintenance contract expense through lower or multi-year contracts. In addition, workers' compensation insurance was approximately \$112 thousand less due to a lower negotiated renewal. On the other hand, NBC is projecting that natural gas expense will be slightly over budget due to higher usage and higher supply cost per therm than budgeted.

NBC also projects professional service expense will be \$320 thousand below budget, due to a lower than budgeted PUC regulatory fee and legal fees.

With respect to debt service, NBC continued to benefit from historic low short-term interest rates and interest expense on the Variable Rate Demand Bonds (VRDBs) is projected to be approximately \$840 thousand lower than budget. NBC also executed a \$268.7 million WIFIA loan from the EPA at a rate of 1.89% for the CSO Phase III A Facilities on August 27, 2019. In addition, the variable rate demand bonds were converted from weekly mode to a fixed rate of 2.29% and several series bonds were refunded at net present value savings of approximately \$21.7 million. NBC also defeased the 1999 Series and 2001 Series State Revolving Fund Loans. In addition, NBC received \$2.0 million in refunding loan savings from the Rhode Island Infrastructure Bank. Lastly, NBC received a second long-term AA/Stable credit rating for its WIFIA loan from the Kroll Bond Rating Agency and affirmation of its long-term AA-/long-term rating from S&P Global Ratings.

NBC received the GFOA Distinguished Budget Presentation Award for the seventeenth consecutive year for NBC's FY 2020 Budget. NBC enhanced the budget process with additional fillable forms and reference guides on the internal web page. NBC also received the Certificate of Achievement for Excellence in Financial Reporting for Fiscal Year 2019 for the seventeenth consecutive year and a clean audit opinion and no management letter for the twenty second consecutive year. NBC's consistently sound financial performance is evident with 28 consecutive years of operating surpluses.

NBC completed its post-issuance compliance procedures and forms, created trust transfer procedures and processing forms and updated NBC's vendor database with current W-9 information. Staff managed and processed 2,456 purchase card transactions totaling \$1.0 million, negotiated a 11.0% lower electricity supply rate through fiscal year 2021 and secured favorable REC contracts through 2022. NBC initiated the development of a Risk Management Program and revised NBC's accident reporting policy to include guidelines and notification forms.

In FY 2020, NBC made progress towards the implementation of Mobile Enterprise for the new customer service application. Due to COVID-19, all Customer Service transitioned to remote work which may impact the ability to complete the Mobile Enterprise solution in FY 2020. NBC added bi-lingual phone and payment options and developed a new "Rate Increase Fact Sheet" and a "Billing Cancellation and Rebill Fact Sheet" to assist staff when responding to customer inquiries. NBC is working to implement dashboards utilizing Microsoft Power BI that will provide real-time payment and billing information. The section completed timely and accurate billings of NBC's approximately 85,000 accounts. NBC prepared collection implementation plans in response to the RIPUC's suspension of collection activity due to concerns about COVID-19 impact on the ability of customers to pay their bills. NBC also requested RIPUC approval to absorb all fees associated with on-line payments since NBC suspended in-person payment due to COVID-19. NBC also purchased and installed a kiosk to enable cash payments through an Automated Teller Machine (ATM) type interface.

From a technology standpoint, IT created new reports and analytical tools to support the customer service application. The control systems and servers were upgraded to improve oversight and real-time performance management at both WWTFs. NBC's email platform was migrated to a Microsoft hosted Office 365 solution, the asset management and work order platform was upgraded from version 8.5 to 11.1 and a new helpdesk application software platform was implemented. Additionally, a new "facilities" helpdesk was created to report operation and maintenance issues at the Laboratory, Corporate Office Building and other NBC locations. In addition, computer equipment was upgraded to improve heavy wireless usage areas. NBC's Narrabay.com and Snapshot of the Bay websites were redesigned, and a single sign-on solution was implemented to the Oracle suite. Lastly, as part of the effort to protect NBC from malicious activity, more than 3.9 million items were scanned, and NBC's firewall blocked more than 1.3 million emails including more than 6,362 with viruses.



From a human resources standpoint, HR commenced its new Leadership Development training program, beginning with its first course "Leadership Essentials" in FY 2020. This course provided participants with the foundational knowledge and skills required to successfully develop and lead NBC's employees. Participants developed key competencies in leadership fundamentals - engaging employees, building trust, communicating effectively, delegating responsibility, influencing others, leading teams and ongoing employee coaching.

NBC received the 2019 Best Places to Work in Rhode Island Award for the ninth consecutive year. This involved the completion of a workplace assessment process including employee surveys and an inventory of company benefits, policies and offerings. Lastly, NBC's dental, flexible spending and life insurance plans were evaluated and renewed.



**Photo: NBC's Environmental Educator conducting water testing**

In FY 2020, NBC worked with the Providence City Council President and Southside Community Land Trust to transform surplus property into an urban farm and community garden. NBC collaborated with the service area cities and towns to streamline the permits process and issued 295 new sewer connection and stormwater permits.

In terms of public outreach, NBC conducted 60 educational tours of the WWTFs and numerous watershed education programs through the NBC's Watershed Explorers program. Through this program, more than 780 students from 15 schools in NBC's service area received monthly lessons and learned about the health of their school's watershed. The students typically present their annual data projects, findings and student essays at the annual conference, which unfortunately had to be cancelled due to social distancing this year.

NBC continued its strong public relations with the development of its "Mr. Can vs. Wicked Wipes" educational campaign to keep sewers safe and healthy and monthly sponsored online local news content.



## Summary

Although 2020 was a year filled with national crisis and uncertainty, I can not adequately express my appreciation to the NBC Board, Directors and Staff for their tireless contributions this past year, continued professionalism and resiliency. The COVID-19 crisis may have challenged our creativity, but not our ability to maintain uninterrupted operations. We implemented new ways of working, learned new skills on the fly, ensured adequate social distancing on-site for essential personnel who could not work remotely, established remote customer service and contactless payment options, held virtual meetings and issued weekly e-newsletters to staff. On a national level, we virtually convened with wastewater agencies around the country through the National Association of Clean Water Agencies (NACWA) to share information and develop resources for utilities to help respond to the crisis. In addition, we worked with NACWA on advocacy efforts with Congress and EPA.

NBC continues to excel in wastewater treatment, environmental leadership and sound financial management, and many professional organizations and publications have recognized these efforts. The awards and acknowledgements validate NBC's commitment and dedication to the continuous 24-hour effective operation of its facilities, protection of public health, significant investment in new technologies and facilities and ongoing commitment to its ratepayers. During FY 2021, NBC will continue to work to protect its community, ratepayers and all Rhode Islanders while enhancing the water quality of Narragansett Bay. I look forward to furthering NBC's reputation as an environmental leader on both the regional and national stage.

Laurie Horridge  
Executive Director

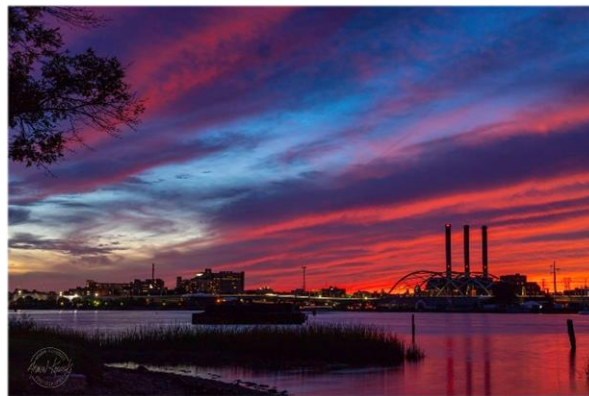
# About Narragansett Bay Commission

## Background

In 1979, the Governor of Rhode Island's Sewage Facilities Task Force reported that the discharge of pollutants into Narragansett Bay, and particularly in the Providence metropolitan area of the Bay, posed problems of such scope and cost that they were beyond the City of Providence's capability to control them. Additionally, the prospect of continued federal funding of sewer construction programs under the Clean Water Act was clouded by the scheduled expiration of the Clean Water Act at the close of the 1982 federal fiscal year.

Consequently, the Task Force recommended, and the Rhode Island General Assembly in 1980 approved, the establishment of a regional district commission to correct and minimize pollution discharges into the Upper Bay. The Narragansett Bay Water Quality Management District Commission, renamed the Narragansett Bay Commission in 1999, was authorized to acquire, operate and upgrade the metropolitan Providence wastewater collection and treatment facility.

On January 1, 1992, the former Blackstone Valley District Commission was merged into NBC, expanding the service area.



*Photo: Sunset over Providence River*

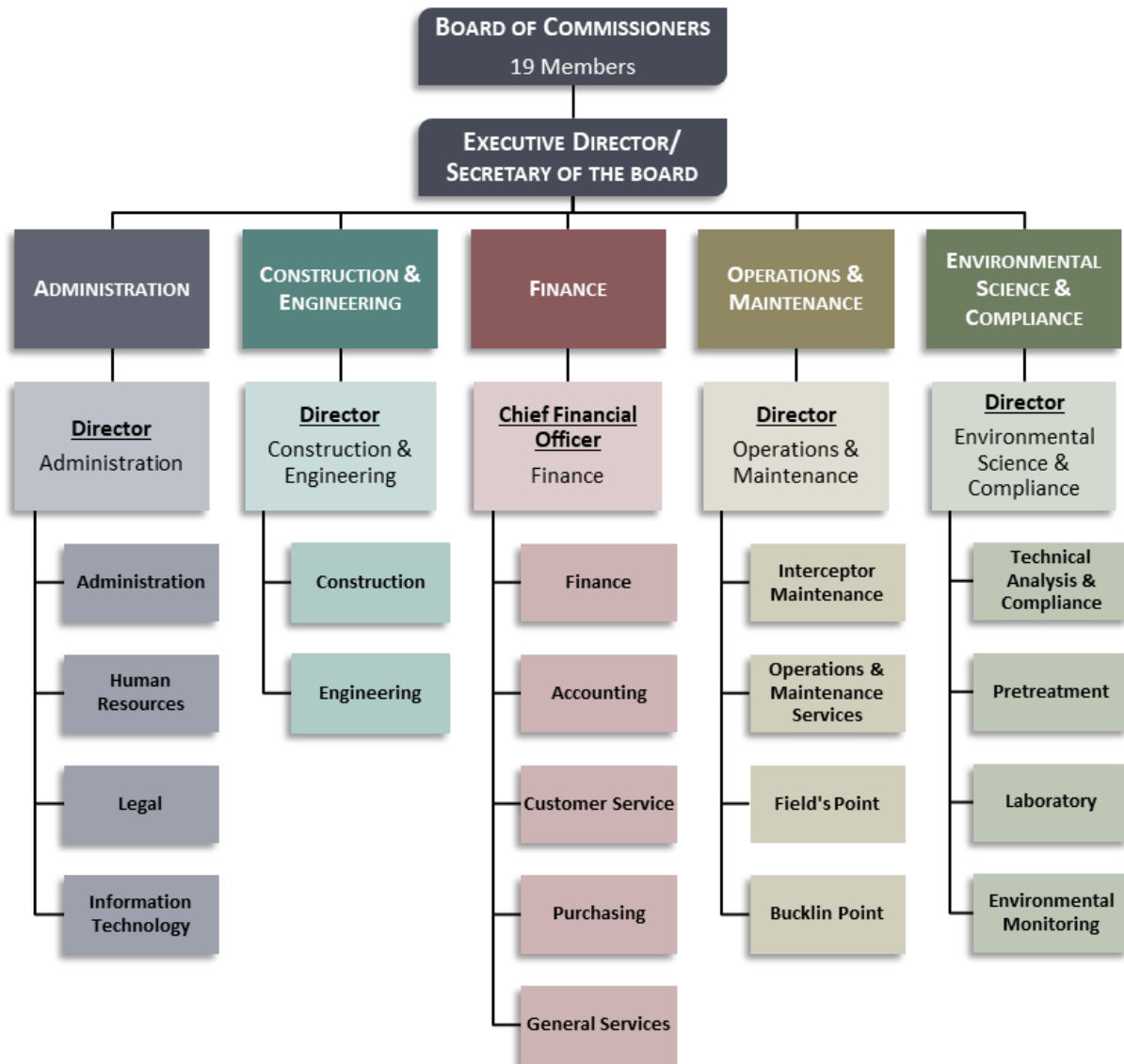
## The Commission

NBC is governed by a 19-member Board of Commissioners (Board). The Board consists of nine members representing the municipalities in the service area, as well as ten gubernatorial appointments. Empowered with responsibilities ranging from ensuring that NBC operates with a balanced budget, to approving contracts for improving and maintaining the treatment facilities and wastewater collection system, the Board meets monthly to guide the direction of NBC.

NBC is regulated by the Rhode Island Public Utilities Commission (PUC). Accordingly, both the Board and the PUC must authorize adjustments to sewer user rates. NBC funds its operation and maintenance expense as well as debt service through user charges.

## NBC Organization

This year's operating budget reflects the transfer of the issuance of sewer connection permits from the Construction & Engineering Division to the Operations & Maintenance Division. In addition, the insurance and risk management functions have been transferred from the Finance section to the Purchasing section within the Finance Division. Additional discussion of the organization structure is located in the Operating Budget section. The next page contains a brief description of the Divisions and the responsibilities of each program or section level.



# Program Level Operational Responsibilities Overview

## ADMINISTRATION DIVISION

Responsible for creating, planning, implementing and integrating the strategic direction of the organization. Provide support function including human resources and information technology.

**ADMINISTRATION:** Lead and direct the resources of the organization to provide safe and reliable wastewater collection and treatment services to NBC ratepayers at a reasonable cost. Advises the Board of Commissioners on daily operations and collaborates on policy development and strategic issues.

**HUMAN RESOURCES:** Administer and process employee records, recruitment & retention, workers' compensation, employee benefits and collective bargaining agreements. This section is also responsible for establishing and maintaining an in-house training program.

**LEGAL:** Provide legal advice to NBC staff regarding issues that may arise in the course of NBC's business activities.

**INFORMATION TECHNOLOGY:** Maintain all aspects of NBC networks, security, telecommunications, hardware, software and databases

## CONSTRUCTION AND ENGINEERING DIVISION

Responsible for the planning, design and construction of capital improvement projects.

**CONSTRUCTION SERVICES:** Manage the construction of NBC's capital improvement projects including bidding, contract award and resident engineering.

**ENGINEERING:** Plan and design facilities necessary for the collection and treatment of wastewater and provide facilities and maintenance services for the NBC Campus.

## FINANCE DIVISION

Responsible for finance, accounting, rate setting, debt issuance, customer service, purchasing and utilities and ensuring compliance with applicable state and federal laws, rules and regulations.

**FINANCE:** Ensure overall sound financial management including the operating budget, CIP, OCP, debt management, rate setting, NBC retirement plans, cash management, and compliance.

**ACCOUNTING:** Maintain NBC financial records, issues monthly financial statements in accordance with GAAP, payroll and payment processing and IRS related reporting.

**CUSTOMER SERVICE:** Provide accurate and timely billing and collection of approximately 84,455 accounts in the NBC service area and all other aspects of providing excellent customer service.

**PURCHASING:** Ensure the legal, timely and cost-effective purchasing of goods and services. This section is also responsible for NBC's insurance and risk management and the support of renewable energy efforts.

**GENERAL SERVICES:** Responsible for overhead items such as funding of the Health Reimbursement Arrangement, unemployment, gas and electricity utilities, net metering credits and sale of RECs and debt service.

## OPERATIONS AND MAINTENANCE DIVISION

Responsible for operating and maintaining NBC's infrastructure.

**INTERCEPTOR MAINTENANCE:** Monitor and maintain NBC's infrastructure and collection system throughout the service area to ensure system capacity and proper sewage flow conditions. This section also manages the issuance of sewer connection permits.

**OPERATIONS & MAINTENANCE SERVICES:** Ensure process control for NBC's treatment facilities in accordance with State and Federal regulatory requirements. This section is also responsible for maintaining the Asset Management Program.

**FIELD'S POINT:** Operate and maintain the Field's Point facilities to produce the highest quality effluent in the most efficient manner.

**BUCKLIN POINT:** Operate and maintain the Bucklin Point facilities to produce the highest quality effluent in the most efficient manner.

## ENVIRONMENTAL SCIENCE AND COMPLIANCE DIVISION

Responsible for ensuring agency compliance with state and federal regulations and permits, agency energy and environmental sustainability and water quality science.

**TECHNICAL ANALYSIS & COMPLIANCE:** Ensure compliance with state and federal regulations and develop sound environmental science and resultant data to support NBC's mission. Perform pollution prevention, energy management, environmental compliance and sustainability; and NBC health and safety. Analyze resultant data to NBC staff, regulatory authorities, stakeholders and the public.

**PRETREATMENT:** Maintain the federally mandated pretreatment program to protect NBC's wastewater treatment plants and infrastructure from toxins and pollutants, ultimately protecting our receiving waters

**LABORATORY:** Ensure the production of high quality analytical data through the use of diagnostic measurements in order to comply with Federal and State regulations.

**ENVIRONMENTAL MONITORING:** Monitor water quality throughout NBC's service area through sampling. Design and implement monitoring programs to respond to State and Federal mandates, including RIPDES permit requirements.

## **Governmental Regulation**

NBC's core business goal actions for target measures are designed to ensure compliance with state and federal regulations.

## **Environmental Compliance**

NBC is regulated by the Rhode Island Department of Environmental Management (RIDEM) and the United States Environmental Protection Agency (USEPA) to ensure compliance with the Federal Clean Air and Clean Water Acts.

New Rhode Island Pollutant Discharge Elimination System (RIPDES) permits were issued for each of NBC's wastewater treatment plants in December 2017. The new permits include more stringent limits for certain parameters and require various studies and evaluations to be undertaken by NBC. NBC appealed a number of permit requirements and the final Consent Agreement was signed in January 2019, resolving all challenged permit issues.

NBC is also under a Consent Agreement with RIDEM to implement a federally mandated Combined Sewer Overflow (CSO) Program that will address NBC's 65 CSOs in both the Field's Point and Bucklin Point service areas. The CSO Program will be completed in three phases. Approximately 98% of the annual CSO volume will receive treatment when all three phases of the CSO Program are completed. The first phase of the CSO abatement facilities addresses 40% of the CSO volume that will be treated and has been in service since November, 2008. NBC constructed additional CSO abatement facilities in Phase II and those facilities became operational in December, 2014. NBC's 18-month reevaluation of the third and final phase as set forth in the RIDEM-approved 1998 Conceptual Design Report Amendment concluded in June 2015, and resulted in the selection of an alternative that NBC determined would provide the best combination of affordability and water quality improvement. The reevaluation report was submitted to RIDEM in July 2015, and RIDEM provided comments to NBC in March 2016. NBC incorporated RIDEM's comments into a revised reevaluation report, which was approved by RIDEM in December 2017. NBC's Consent Agreement covering both the CSO and RIPDES appealed issues was renegotiated and signed in January 2019.

## **Financial Compliance**

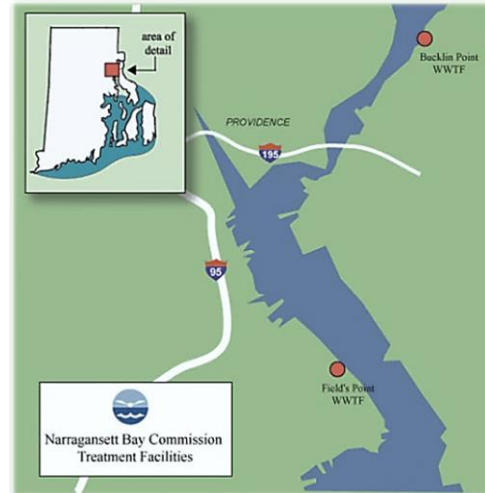
NBC is subject to regulation by the Rhode Island Public Utilities Commission (PUC) and NBC's user fees and long-term debt issuance is subject to regulatory approval. In addition, must restrict the use of certain funds for pay-as-you-go capital improvement projects and operating capital.

NBC has financed capital improvements in part through the through the issuance of tax-exempt revenue bonds. In accordance with SEC Rule 15c2-12, NBC has entered into Continuous Disclosure agreements that require the timely filing of audited financial statements, financial information and operating data through the Municipal Securities Rulemaking Board's Electronic Municipal Market Access (EMMA) website. In addition, SEC Rule 15c2-12 requires disclosure on EMMA of certain events within 10 business days. NBC has additional reporting and notice requirements as set forth in the August 27, 2019 loan agreement with the USEPA and its Trust Indenture. NBC is also subject to Internal Revenue Service (IRS) post-issuance compliance requirements to ensure the tax-exempt status of its bonds. NBC also secures a credit review from Standard and Poor's prior to the issuance of new debt.



## Facilities

Rhode Island's two largest Wastewater Treatment Facilities (WWTF's) along with an extensive infrastructure of interceptors, pump stations, tide-gates, a septage receiving station and combined sewer overflows are owned and operated by NBC. The location of the two wastewater treatment facilities is shown on the adjacent map. The Field's Point WWTF is located in Providence and serves the greater Providence metropolitan area including the City of Providence, the Town of Johnston, the Town of North Providence and portions of the Town of Lincoln and the City of Cranston. The Bucklin Point WWTF is located in East Providence and serves the Cities of Pawtucket and Central Falls, and parts of the Towns of Cumberland, Lincoln, East Providence and Smithfield.



## Field's Point Service Area Facilities and Technology



**Photo: Aeration Tanks at the Field's Point Wastewater Treatment Facility**

The Field's Point WWTF provides advanced wastewater treatment for dry weather flows of up to 65 million gallons per day ("MGD") and sustained wet weather flows of 77 MGD. The plant provides primary treatment and disinfection for an additional 123 MGD of wet weather flows through its wet weather facility. Total treatment capacity at Field's Point is 200 MGD.

This facility uses an Integrated Fixed Film Activated Sludge (IFAS) process for advanced wastewater treatment, which includes grit removal, primary sedimentation, secondary aeration, nitrogen removal, final clarification and chlorination and dechlorination after disinfection. Final effluent is discharged to the Providence River.

NBC also owns, operates and maintains three outlying pump stations in the Field's Point service area: the Washington Park and Reservoir Avenue Pump Stations located within the City of Providence, and the Central Avenue Pump Station located in the Town of Johnston. The Ernest Street Pump Station, located at the FPWWTF, handles 98% of the flow. The Tunnel Pump Station, located next to the Ernest Street Pump Station, pumps stored combined sewage flow from the CSO tunnel to the Field's Point for full treatment.

Nineteen permanent flow metering stations, also maintained by NBC, measure flow at various points in the sewer system. In addition, NBC owns and maintains 38 CSOs, 32 tide gates and 80 miles of interceptors in the Field's Point service area. NBC has begun a comprehensive long-term construction program to minimize overflows from its combined sewers.

## Bucklin Point Service Area Facilities and Technology

The Blackstone Valley District Commission (BVDC) was established by the Rhode Island General Assembly in 1947 to plan, design, construct, operate and maintain facilities including the Bucklin Point WWTF for the abatement of pollution generated in the Blackstone Valley. The former BVDC was merged into NBC on January 1, 1992.



Photo: Bucklin Point Wastewater Treatment Facility

The Bucklin Point WWTF provides secondary treatment and nitrogen removal for flows of up to 46 MGD per day and primary treatment and disinfection for flows of up to 116 MGD.

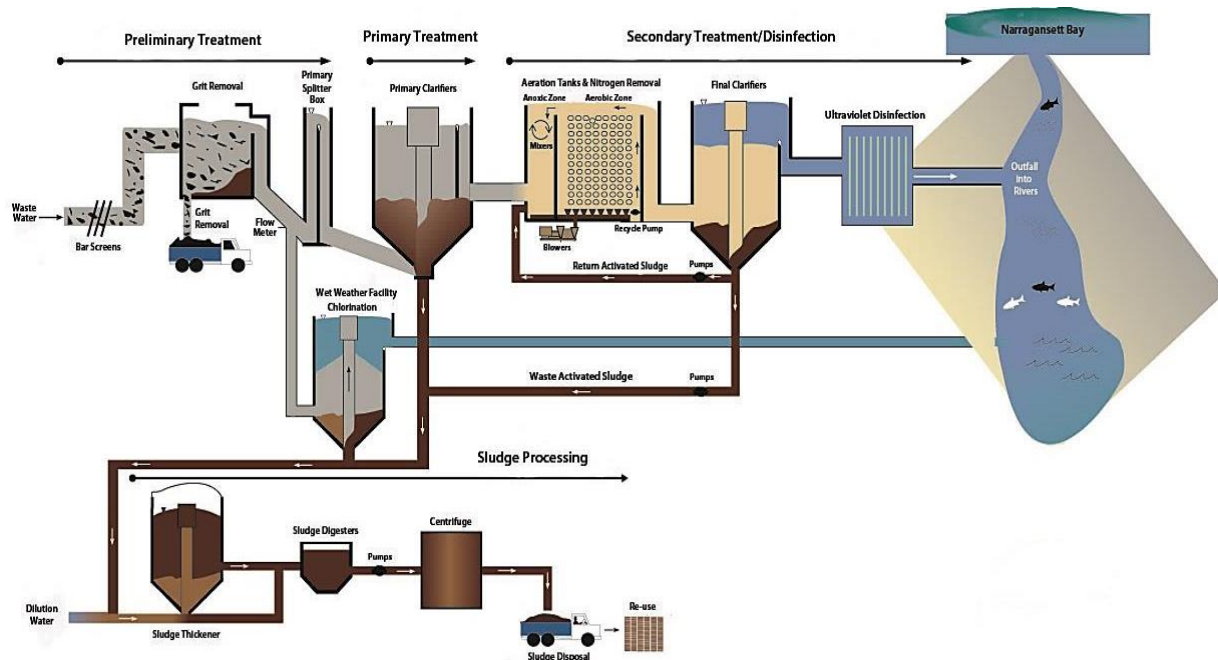
Three pump stations in the Bucklin Point service area are also owned and operated by NBC, including the Omega Pump Station (East Providence), the Saylesville Pump Station (Lincoln) and the Washington Highway Pump Station (Lincoln). NBC also owns and operates a Septage Receiving Station in Lincoln.

NBC is responsible for ensuring that the overflows from the 27 CSOs in the Bucklin Point service area comply with federal and State discharge requirements. NBC also owns and maintains 30 miles of interceptors.

## Wastewater Treatment Process

NBC works hard to protect the water quality of Narragansett Bay and its tributaries. NBC's task is to protect public health by taking billions of gallons of dirty water every year and making it clean. This is accomplished by operating 24 hours per day and 365 days per year.

The schematic below shows the state-of-the-art treatment process at the Bucklin Point WWTF.



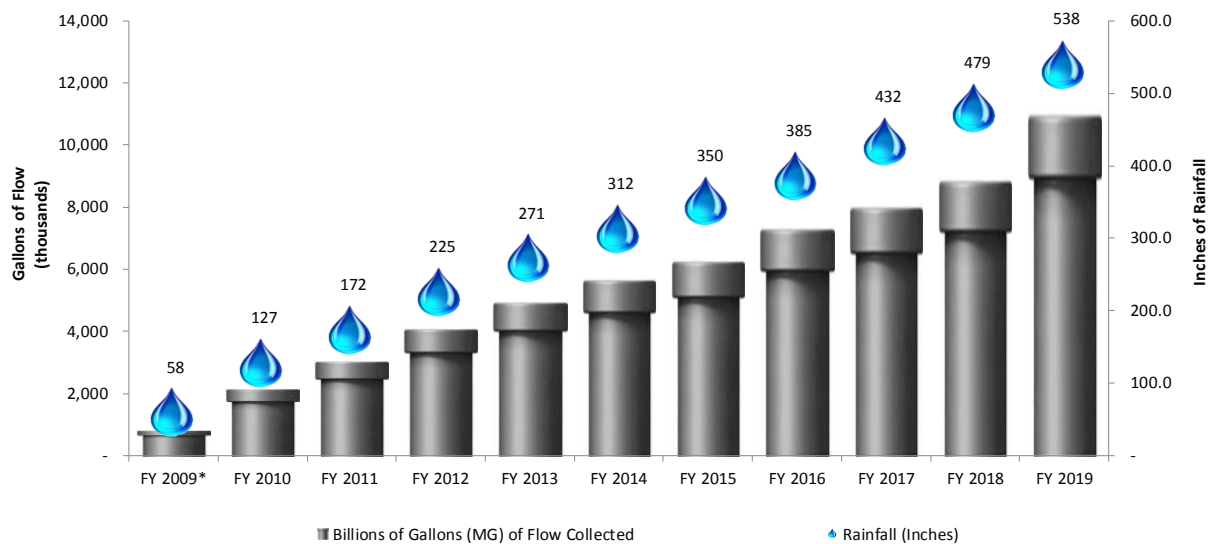
## Combined Sewer Overflow Abatement Program

NBC is under a Consent Agreement with RIDEM to implement a federally mandated CSO Program that will address the Commission’s 65 CSO’s in both the Field’s Point and Bucklin Point service areas. The CSO Program will be completed in three phases.

### CSO Phase I Facilities and Tunnel Pump Station

NBC’s CSO Phase I Facilities became operational in FY 2009. The centerpiece of the Phase I facilities is a three mile long, 250 foot deep tunnel. During periods of significant precipitation, drop shafts transport combined stormwater and wastewater from various locations into the tunnel for storage until the flows can be pumped to the Field’s Point WWTF for safe treatment and discharge. Since its inception, over eleven billion gallons of flow that previously would have overflowed directly into rivers and Narragansett Bay have been stored and treated. The graph below shows the millions of gallons of flow collected and rainfall from FY 2009 to date.

### CSO Phase I Facilities - Collection of Flow



\*Facilities operational in November 2008

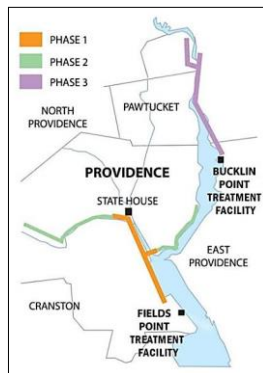
### CSO Phase II Facilities

The CSO Phase II Facilities became operational in FY 2015. The most significant components of the Phase II Facilities are two main interceptors in the Field’s Point Service area and a wetlands treatment facility. The Seekonk Interceptor is approximately 7,000 feet along the Seekonk River and the Woonasquatucket Interceptor is approximately 17,200 feet along the Woonasquatucket River. The interceptors convey the flows to the CSO Tunnel constructed in Phase I. Additionally, a wetlands treatment facility was constructed to include a storage tank for small storm flows to be stored until the flow can be pumped into the collection system for treatment and for larger storms treatment is provided by the wetlands.



**Photo: WCS01 Gate & Screening Structure**

## CSO Phase III Facilities



The CSO Phase III Facilities represent the third and final phase of the federally mandated CSO Abatement Program required as part of a Consent Agreement between NBC and RIDEM. The Program includes four phases, A, B, C, and D, to be completed by 2041. Each phase includes expenditures of \$10 million on the construction of Green Stormwater Infrastructure (GSI) to reduce stormwater inflow to the existing CSO system.

Phase III A includes the design and construction of a 11,700 foot long deep rock tunnel in Pawtucket along the Seekonk and Blackstone Rivers and a pump station to convey flow to the Bucklin Point WWTF in East Providence. Additionally, this phase includes design of the Upper BVI relief, the CSO No. 105 relief sewer, and the CSO No. 206 sewer separation, green stormwater infrastructure and regulator modifications.

The program incorporates facilities to be constructed in each of the four phases. A description of the facilities to be constructed in each of the four phases, as well as the estimated costs and schedules, are included in the Capital Budget section of this document.

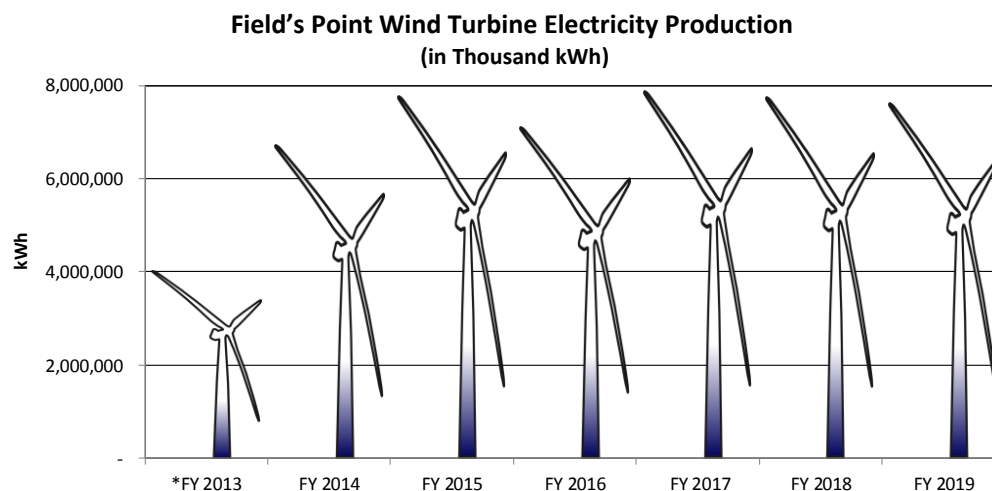
## Energy Conservation and Sustainable Energy

NBC plans to maximize energy efficiency and sustainable resources through its Energy Sustainability program. This program involves the identification and implementation of conservation methods, improved efficiency options and the generation of sustainable energy resources. NBC uses approximately 38.0 million kWh of electricity annually to convey and treat flows. This has presented NBC with an opportunity to mitigate environmental impact through energy conservation measures and the use of sustainable energy resources.



### Field's Point Wind Turbines

In October 2012, NBC began operation of three 1.5 MW wind turbines located at the Field's Point campus. The turbines convert wind energy into electricity which is used on-site to support facility operations. Any excess electricity is net metered to the state's electric grid to offset billable usage. The wind turbines have generated more than 48.9 million kWh of electricity since they became operational and generated Renewable Energy Credit (REC) revenue, since becoming operational in FY 2013, as shown in the following graph.



\*Facilities operational in October 2012

## NBC's Coventry Wind Turbines

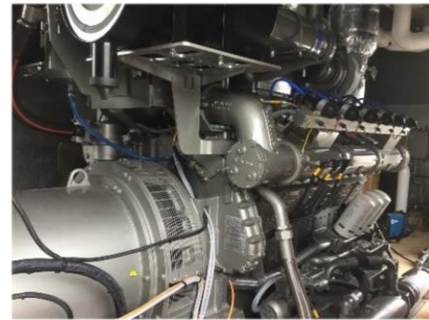


*Photo: NBC's Coventry Wind Turbine 4*

In 2016, NBC purchased three 1.5 MW wind turbines at a remote site located in Coventry, RI. Two of the turbines, Coventry 3 and 4 were purchased in July 2016 and a third turbine, Coventry 1 was purchased in October 2016. The Coventry turbines have generated millions of kWh of clean wind energy which is net metered to the state's electric grid to offset NBC's electricity bills. The Coventry wind turbines generate RECs which are sold by NBC.

## Biogas Reuse

In 2021, NBC plans to complete the construction of a biogas reuse project at Bucklin Point and obtain the approvals required for operation. A cogeneration system will burn the biogas generated from the anaerobic digestion of biosolids. The process converts the biogas into heat and electricity to support facility operations on-site. The project is also expected to generate RECs which will be sold by NBC.



*Photo: Bucklin Point Biogas Cogenerator*

## Power Purchase Agreement (PPA)

In 2017, NBC executed a Power Purchase Agreement (PPA) for three solar power facilities located at off-site locations. In accordance with the 25-year contract, the electricity generated is net-metered on NBC's electric accounts. NBC will compensate the contractor based on 75% of kWh generated multiplied by the prevailing net metering rate and will retain the remaining 25% of the net metering credits. The projects also generate RECs to be sold by NBC. The two solar facilities are located in North Kingstown, RI and the third facility was delayed due to permitting issues and has been replaced with a wind turbine facility in Johnston, RI in the interim.

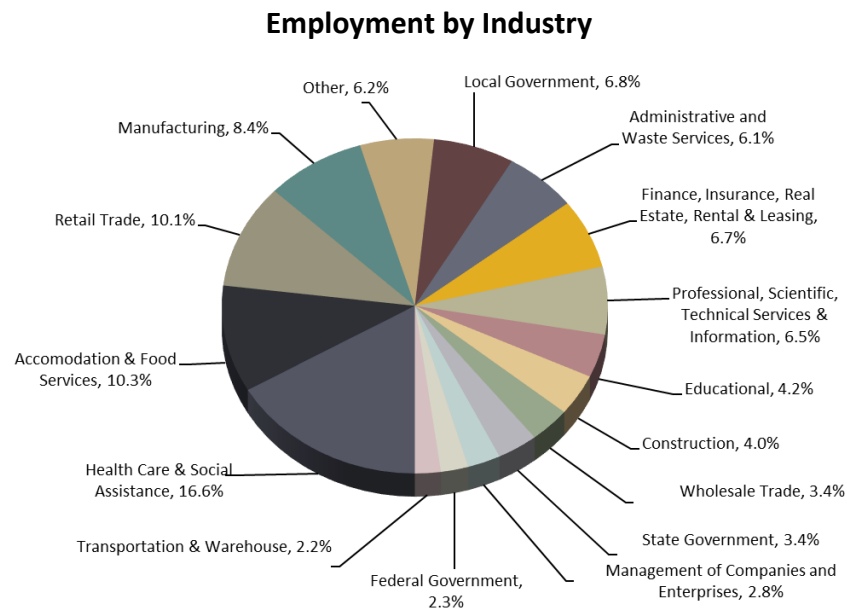


*Photo: NBC's Solar Facilities in North Kingstown, RI*

# Demographics

## Rhode Island Economy

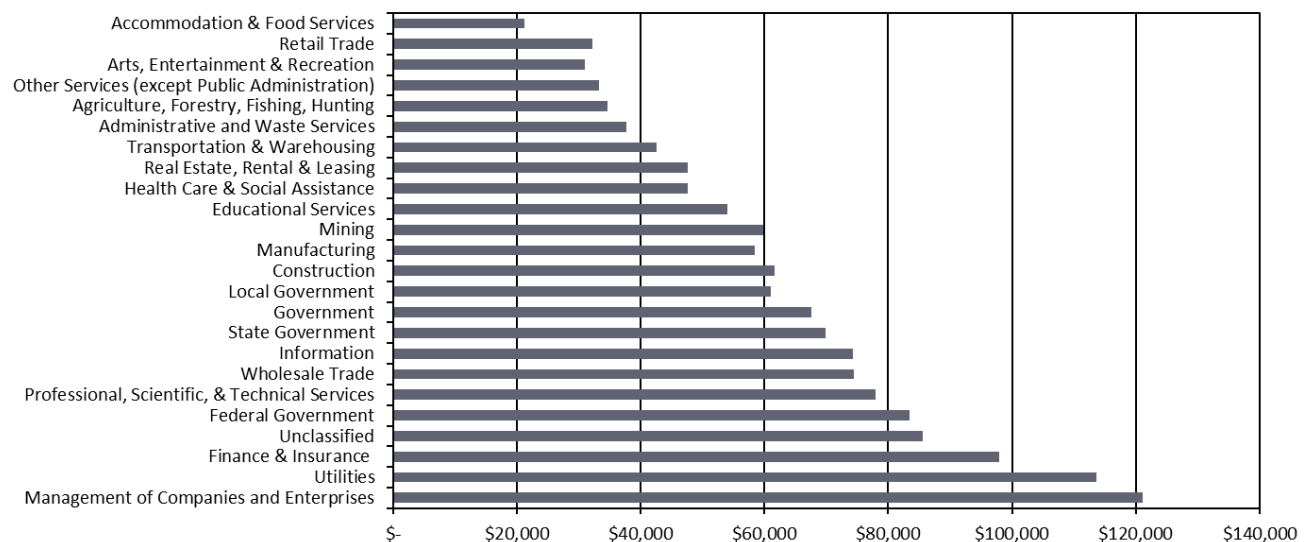
According to the Rhode Island Department of Economic Development, the economic base of Rhode Island continues to shift from manufacturing and goods to service industries over the last decade. The chart below shows employment by industry for calendar year 2018.



\*Source: United States Regional Economic Analysis Project Industries by State 2018

Employment in Rhode Island reflects the national trend towards higher employment in the services sector. The chart below illustrates Rhode Island's 2018 average annual earnings per employee in each major industry.

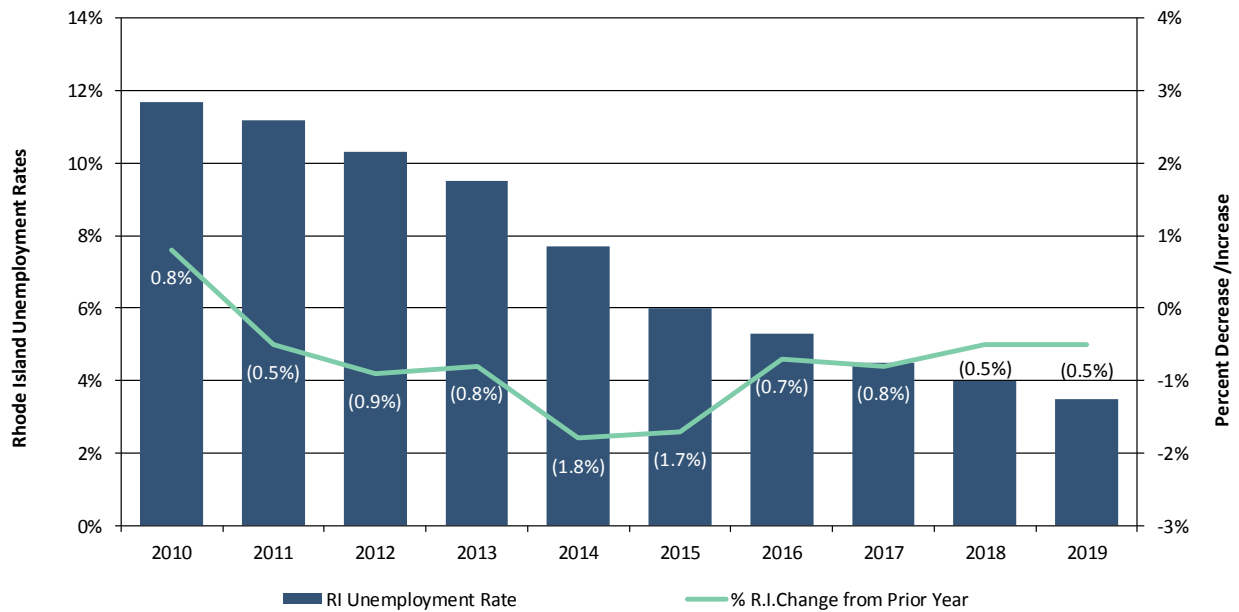
## Rhode Island Average Annual Earnings per Employee by Major Industry



\*Source: RI Department of Labor and Training Labor Market Information 2018

The graph below, compiled from data from the Bureau of Labor Statistics, shows historical unemployment figures over the past ten years for Rhode Island. The Rhode Island unemployment rate has decreased in each of the last nine years from a peak rate of 11.7% in 2010 to 3.5% in 2019.

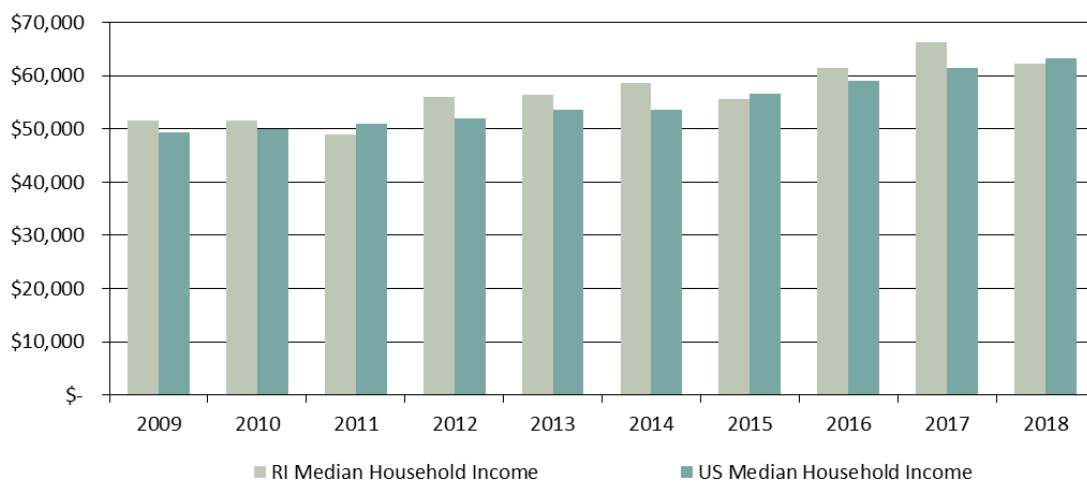
### Rhode Island Unemployment Rates



\*Source: Bureau of Labor Statistics. RI state-wide Unemployment Rates Seasonally Adjusted.

The graph below shows the median household income in Rhode Island for the years 2009-2018 compared to national statistics. In 2018, the Rhode Island median household income dropped by approximately 2% or \$4,124 in 2018 CPI-U-RS (Consumer Price Index Research Series Using Current Methods) adjusted dollars, with median household income of \$62,266. Rhode Island’s median household income was above the national level all years except 2011, 2015 and 2018 when it dropped below the national level by 4%, 1% and 1% respectively.

### Median Household Income – Rhode Island vs. United States

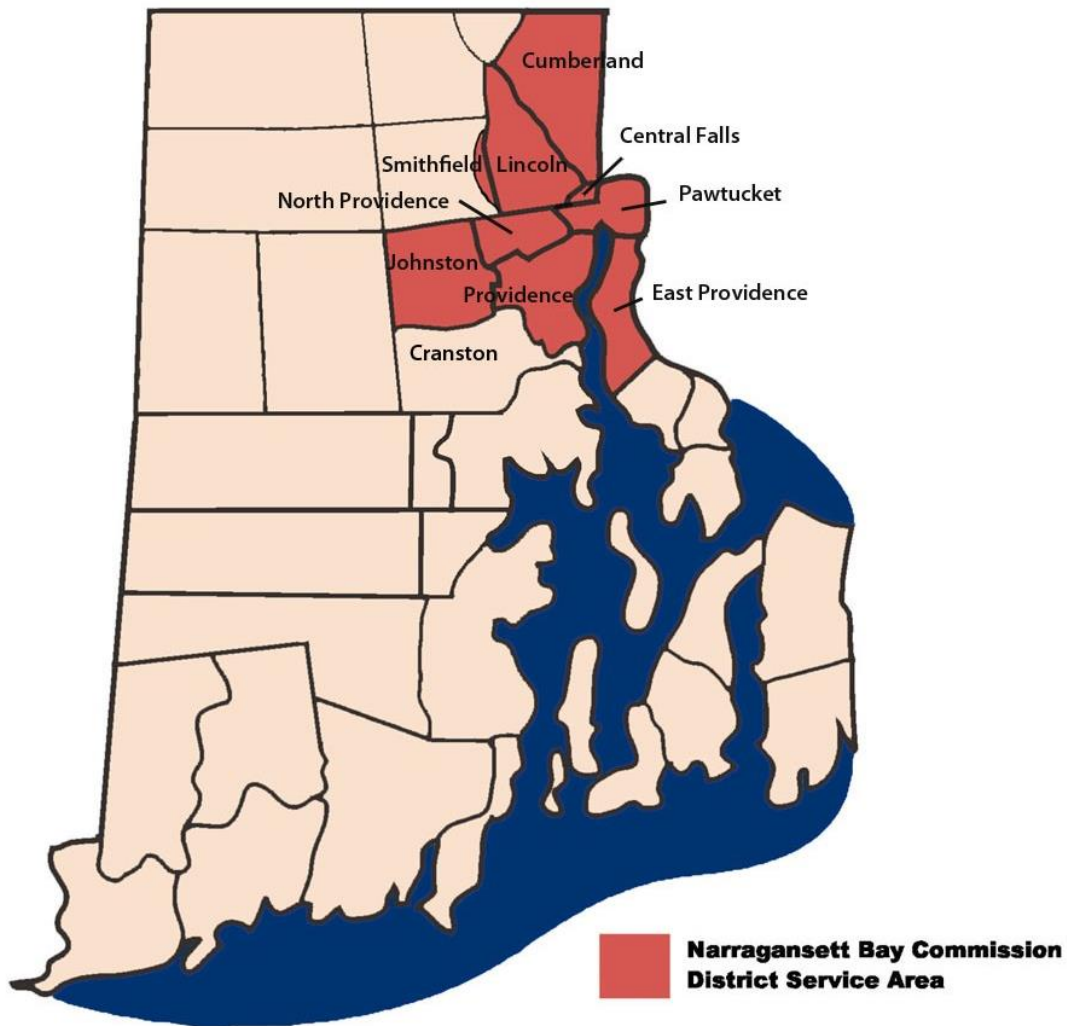


\*Source: United States Census Bureau – Median Household Income by Country and State – 1984-2018

## NBC Service Area

NBC provides reliable, cost-effective wastewater collection and treatment services to over 360,000 residents and approximately 7,730 businesses in the metropolitan Providence and Blackstone Valley areas. These communities include: Providence, North Providence, Johnston, Pawtucket, Central Falls, Cumberland, Lincoln, the northern portion of East Providence and small sections of Cranston and Smithfield. The map below shows NBC's service area.

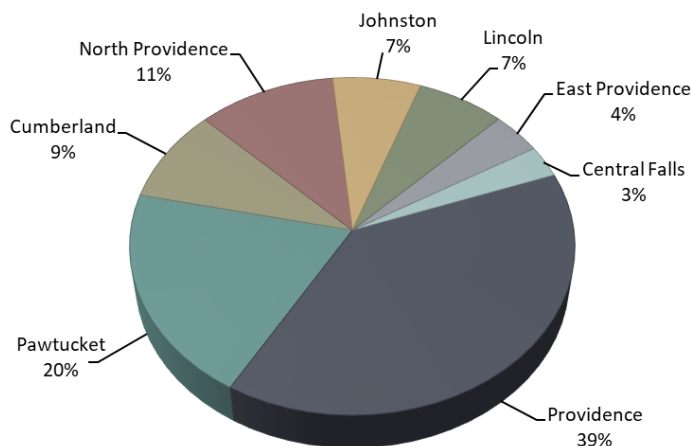
**NBC Service Area**















NBC's customer base consists of residential and non-residential customer classes, which include commercial and industrial users. Of the eight major communities serviced by NBC, Providence, Pawtucket, Cumberland and North Providence account for the majority of users with 79% of the accounts. The following chart illustrates the distribution of accounts across the eight communities.

**Percentage of Accounts by Community**



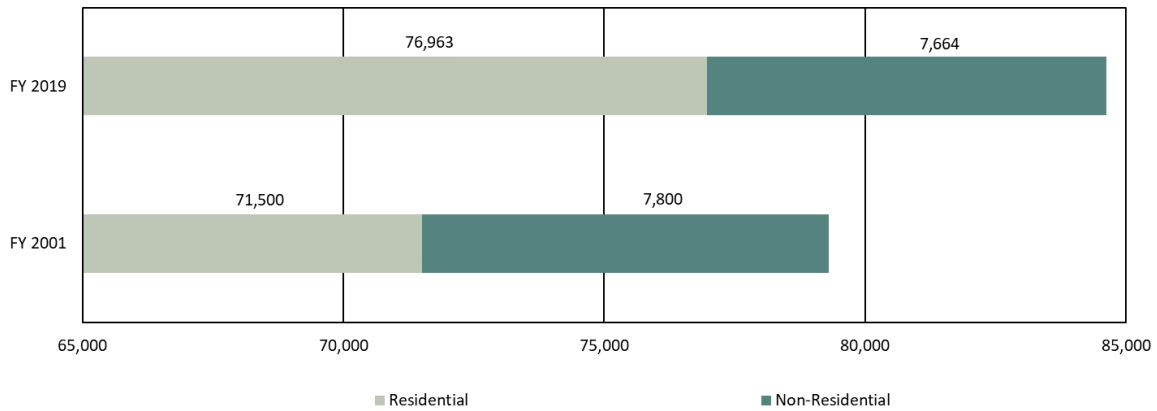
The residential customer class has approximately 76,963 accounts, while the non-residential customer class has approximately 7,664 accounts. The largest NBC customers are primarily service and education providers. The ten largest customers based on FY 2019 billings are also listed in the table below:

Top Ten NBC Customers		
Customer	FY 2019 Billings	Percentage of Total Annual User Charges
 Providence Housing Authority	\$ 1,661,711	1.72%
 Rhode Island Hospital	1,486,086	1.54%
 Brown University	1,318,590	1.37%
 City of Providence	831,833	0.86%
 Rhode Island Resource Recovery	735,616	0.76%
 City of Pawtucket	670,152	0.69%
 Providence School Department	440,822	0.46%
 Providence College	426,112	0.44%
 Johnson & Wales University	406,737	0.42%
 Rhode Island College	380,475	0.39%

Source: NBC's FY 2019 Audit

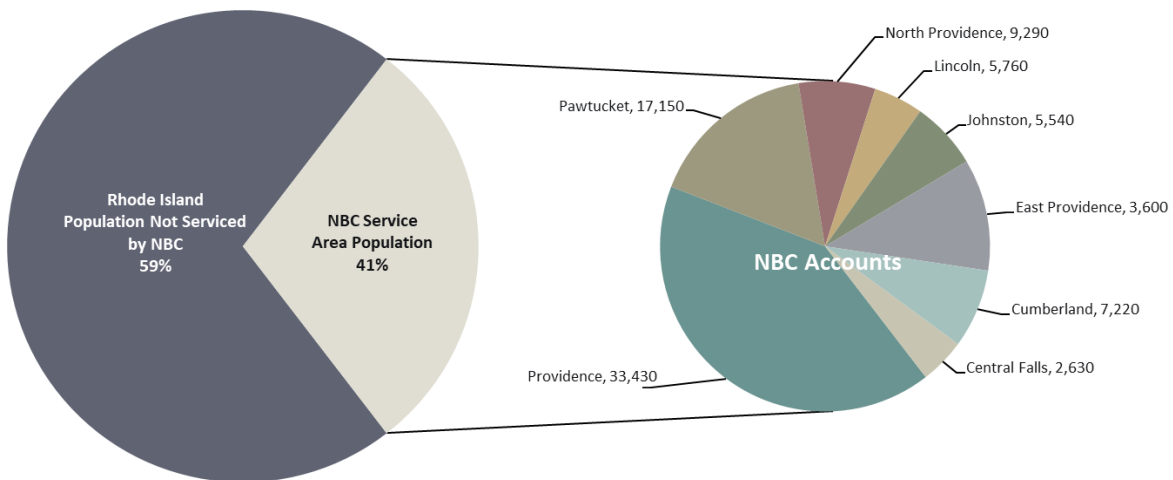
Over the last eighteen years, there has been a 6.7% increase in the number of customer accounts. This is the net effect of a 1.7% decrease in the number of non-residential accounts from 7,800 to 7,664 and a 7.6% increase in the number of residential accounts from 71,500 to 76,963.

### Number of Accounts by Customer Class



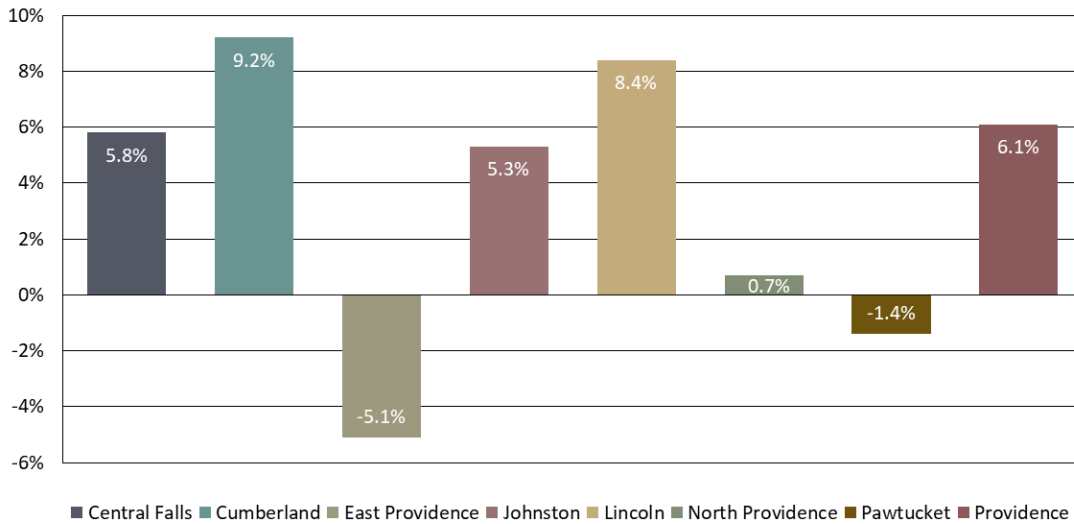
### NBC Service Area Population and Statistical Information

According to the 2010 United States Census Bureau, the total population of Rhode Island is 1,057,315. The graphs below show that NBC services approximately 41% of the State of RI population and that the majority of NBC’s customers reside in the City of Providence with approximately 33,430 accounts followed by the City of Pawtucket with approximately 17,150 accounts.



The Rhode Island Office of Statewide Planning projects the state population by city and town. The graph below displays the projected population growth for NBC's service area for the years 2025 to 2040. The most significant percentage increases in population over the fifteen years is projected to be in the towns of Cumberland and Lincoln, in which the populations are projected to grow by 9.2% and 8.4% respectively. The populations of East Providence and Pawtucket are projected to decline by 5.1% and 1.4% respectively over this same period.

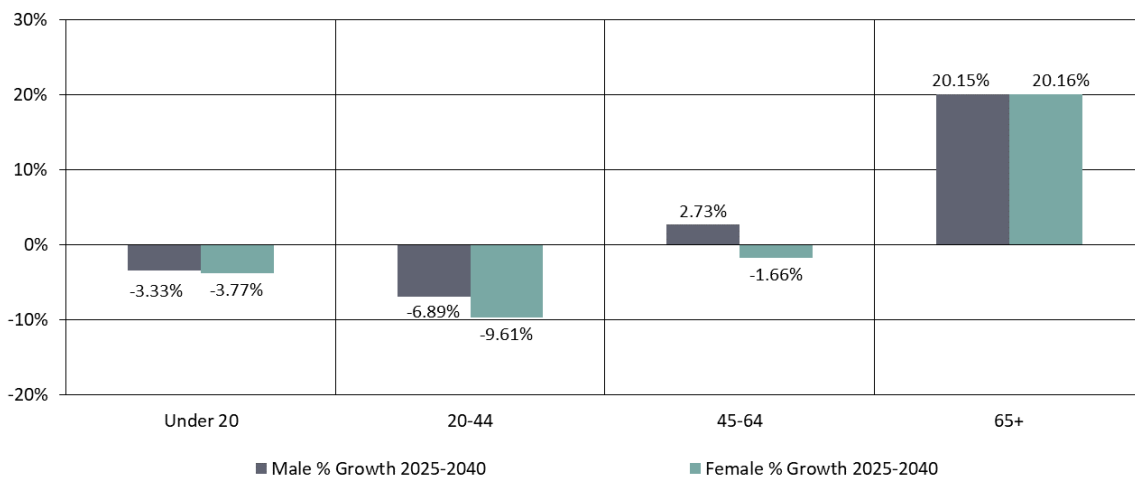
### Projected Population Growth by City/Town 2025-2040



\*Source: Rhode Island Statewide Planning - Population Projections

The graph below illustrates the projected population growth from 2025-2040 in Rhode Island by age group and gender. The population is projected to decrease in the 45-64 age groups for female and in both the male and female populations for both the under 20 and 20-44 age groups. The steepest decline will be among the female population in the 20-44 age groups at 9.61%. The population is projected to increase in the 45-64 age groups for male, and for both male and female in the 65+ age groups. The most significant increase will be for both male and female within the 65+ age group at 20.15% and 20.16% respectively.

### Rhode Island Projected Population Percent Growth by Age Group and Gender 2025-2040



\*Source: Rhode Island Statewide Planning - Population Projections



# Budget Process and Policies

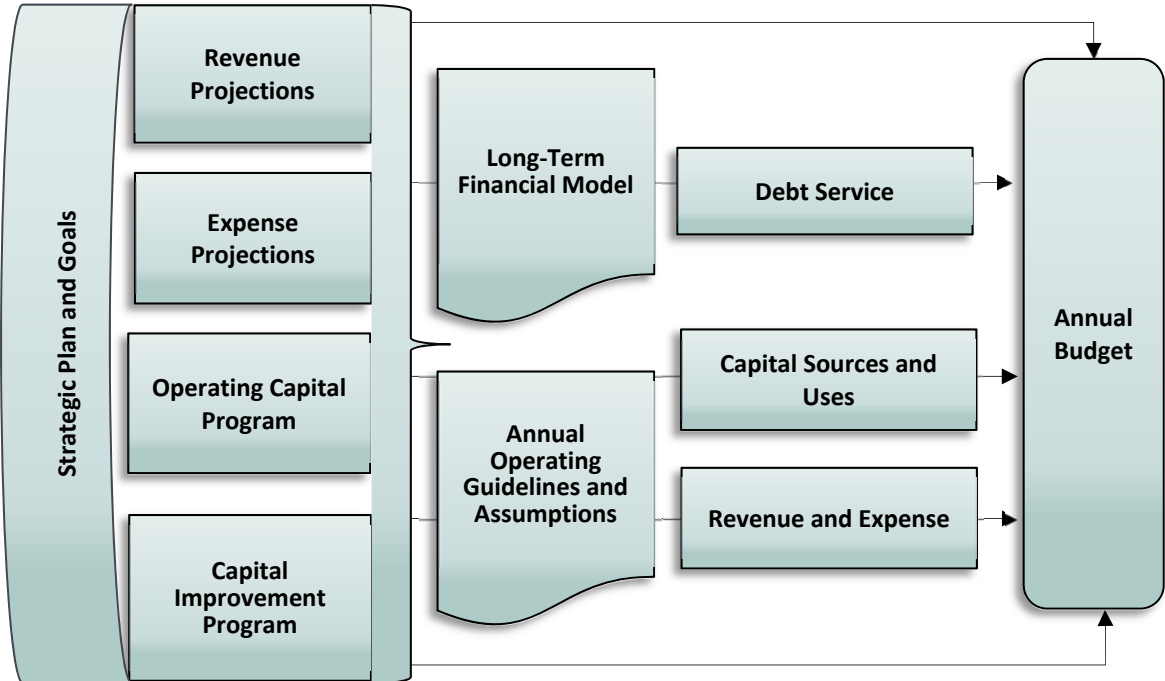
## The Budget Process

As a regulated agency, it is important that NBC analyze financial and operational needs continuously throughout the year. The formal review for the budget, however, begins in July and August of each year. As part of this process, regulatory requirements are reviewed, as well as major program changes and capital needs. Large capital projects requiring major changes to facilities and infrastructure, are identified in the Capital Improvement Program (CIP). New assets or asset replacements identified through the Asset Management Program, inspection or technology reviews are included in the Operating Capital Program (OCP). Both the CIP and OCP are developed in conjunction with the annual budget, all of which are developed within the context of the Strategic Plan’s long-term goals. The CIP and OCP identify projects on a five-year basis. The five-year programs, as well as known operating expense parameters and revenue projections, are integrated into the long-term financial model to assess the need for new debt issuance. The model identifies available funding sources and uses for the next decade (see CIP Impact and Long-Term Plan for more details). The model projects new debt service which is incorporated into the annual budget.

Revenue forecasts for the upcoming fiscal year are determined by projecting user fee revenue and factors affecting other operating revenue such as pretreatment fees and late fees and non-operating revenue, and the expected rate of return on cash balances. Operating expense projections are prepared with a focus on the allocation of resources needed to meet NBC’s Strategic objectives. Operational impacts of the CIP are also included in the budget. If it is determined that user fee revenue will not be sufficient to meet NBC’s financial obligations, NBC applies for rate relief with the Rhode Island Public Utilities Commission (PUC). A rate filing application for the recovery of expense line items, other than debt service is subject to a nine-month review and approval process before new rates can be implemented.

The flow chart below illustrates the relationship between long-range planning and the budget process.

**Relationship between the Budget Process and Long-Range Planning**



# FY 2021 Budget Calendar

## JULY 2019 – AUGUST 2019

- Projections of FY 2021 Revenue, Expense, and Financial Obligations
- Comparison of needs to PUC Approved Cost of Service

## NOVEMBER 2019

- FY 2021 Short- and Long-Term Budget Directives
- CIP – Project Overview, Cash Flow & Schedule Detail forms submitted on November 29<sup>th</sup>
- Submittal of FY 2021 and Five-Year Operating Capital Program (OCP) requests on November 29<sup>th</sup>

## DECEMBER 2019

- Review OCP submittals for asset criteria and GL account code
- Completion of CIP budget impact analysis
- Overview, Responsibilities, FY 2020 Accomplishments, FY 2021 Priorities submitted on December 20<sup>th</sup>
- Performance Data submitted on December 20<sup>th</sup>

## JANUARY 2020

- Analysis and preparation of FY 2022 – FY 2026 CIP
- Completion of Personnel and Fringe Benefit Calculations
- Incorporation of Capital Project Submittals and Analysis of CIP operating impacts
- Incorporation of Operating Capital Submittals, OCP Narrative and addition of enhancements
- Development of CIP Narrative
- CIP Review Committee meeting on January 22<sup>nd</sup>
- FY 2021 Budget submittals from cost centers January 31<sup>st</sup>

## FEBRUARY 2020

- Prepare Revenue workbook
- Completion of FY 2022 – FY 2026 CIP document
- Complete analysis of large operating accounts
- FY 2021 Budget Presentations to the Chief Financial Officer and the Executive Director conducted on February 18<sup>th</sup>, 19<sup>th</sup> & 20<sup>th</sup>
- Finance Committee and Board Review and Approval of FY 2021-2026 OCP on February 25<sup>th</sup>

## MARCH 2020

- Analysis of FY 2020 Budget vs. Actual Revenue and Expense
- Completion of FY 2021 Revenue and Expense Projections
- Addition of enhancements to Budget document
- Presentation of Proposed Budget adjustments to Executive Director
- Balance Budget

## APRIL 2020

- Preparation of Budget documents
- Complete analysis of debt issuance needs
- Long Range Planning Committee and Board Review and Approval of FY 2022-2026 CIP on April 27<sup>th</sup>
- Preparation of the Finance Committee Presentation
- Complete draft Budget document

## MAY 2020

- Final Budget revisions and Budget document preparation
- Presentation of Proposed FY 2021 Budget to Finance Committee on May 26<sup>th</sup>
- Board Review and Approval of FY 2021 Budget on May 27<sup>th</sup>

In July and August, Finance staff begins the process of forecasting the upcoming fiscal year revenue, expense and financial obligations. NBC's rate increases for operating expense and rate base adjustments are subject to a 9-month review process by the PUC. Therefore, if it is determined that user charges must be adjusted, staff seeks Board approval to file with the PUC for rate relief. If feasible, staff will prepare and submit an application with the PUC by September 30<sup>th</sup> to ensure that new rates are in effect by the following July 1<sup>st</sup> (see The Rate Setting Process for more information).

In November, the short and long-term budget directives are outlined. The development of the Capital Budgets begins in November. Project Managers identify new and completed projects and provide updated information regarding ongoing capital projects for the Capital Improvement Program (CIP). Project Managers submit cash flow, cost, schedule, and operating expense impact projections for each project. In addition, Program Managers submit their Operating Capital Program (OCP) requests and supply detailed supporting documentation for budget year requests including the need, type and useful life of each asset along with the strategic goal criteria. The Accounting Manager reviews the OCP submittals to ensure conformance with NBC's asset policy.

In December, the managers are provided with online budget files which include the following:

- Budget Calendar
- Program Overview worksheet, which includes the prior fiscal year Major Accomplishments, current year budgeted Priorities by key code and Program Objectives
- Performance Measure worksheet with SMART goal standards and outcome and efficiency indicator examples
- Program and Operational change detail forms
- Awards and Recognitions forms

With respect to the Operating Budget, Program Managers submit the section objectives and provide performance data in December. Program Managers are asked to update their program's mission and overview and operational responsibilities, as well as to submit major accomplishments in the prior year and top priorities for the upcoming year. The accomplishments and priorities are identified by a Goal Action for Achievement in connection with the Strategic Goals. The Goal Actions for Achievement are identified by key code in the Budget Summary section of this document.

In January, the managers are provided with online budget workbooks and forms which include the following:

- Request for new position and salary reimbursement forms
- Personnel costs with salary and benefit for existing and proposed new positions
- Proposed Budget worksheet with budget account detail forms
- Maintenance Contract, Service Agreement and Large Operating Account detail forms

Finance staff reviews the CIP operational impacts with Project Managers and the CIP Review Committee meets in January to review each of the project submittals and assign project priorities. Staff prepares the FY 2022-2026 CIP cash draws and works closely with Project Managers during this time.

Program Managers prepare their budget submittals with support from the Finance section in January. The Division Directors and Program Managers present their budget submittals to the Chief Financial Officer and the Executive Director in February.

The OCP is brought before the Finance Committee and Board for review and approval and the OCP is brought before the Finance Committee and Board for review and approval in February and the Capital Budget CIP narrative is developed as well.

In March, the year-to-date actuals are used to update the revenue and expense projections, year-to-date budget performance and analyze budget requests. The proposed Budget is reviewed by finance staff and feedback obtained through the rate case process, if any, is used to update revenue and expense projections.

In April, the CIP is presented to the Long-Range Planning Committee and Board for review and approval. NBC updates the long-term financial model and the outputs are used to identify the funding sources and uses for the capital budget as well as projected debt service. These outputs, along with the operating expense impacts from the CIP are incorporated into NBC's rate model to determine if rate adjustments are required. Revenue projections are finalized, and final adjustments are made to expense. Finance staff prepares recommended budget adjustments for the Executive Director's review to arrive at a balanced budget.

The operating and capital budgets are incorporated in the budget document and the final Budget document is completed and printed in early May. The Final Budget and the Authorizing Resolution are presented to the Finance Committee and Board of Commissioners for review and approval at their May Board meeting.

## Budget Monitoring and Amendment Procedures

### General

- A line item budget is maintained for each cost center. Budget transfers are required to prevent any significant expense overrun on any line item and ensure overall spending is below budget.
- Finance staff reviews the budget versus actual status by cost center monthly and ensures that budget transfers are prepared and processed.
- At each monthly Board of Commissioner's meeting, the monthly financial statements including budget vs. actual status and a summary of applicable operating capital program changes are submitted to the Board and are presented to the Finance Committee.
- Revenue and expense accruals are made at the close of every accounting period in order to reflect the most accurate portrait of the current financial status.

### Budget Amendments

- NBC exercises strong financial controls to ensure total expense does not exceed the amount approved in the current year's budget.
- The Program Manager and Division Director authorize budget transfers within a section. Finance staff then review and authorize the proposed budget transfers. By Resolution, the Chief Financial Officer must then approve all budgetary line item adjustments within and between categories.
- No budget transfers shall be made from capital to operating expense under normal circumstances.
- All budget transfers are reviewed by Finance and tracked on NBC's computerized financial system.
- All budget transfers are reported to the Finance Committee monthly.



## Operating Capital Program Changes

- Program Managers may request reallocation of OCP funds for unanticipated or emergency items.
- Finance and accounting review all OCP reallocation change requests.
- The Chief Financial Officer is authorized to approve changes to the OCP, adjust between line items and between cost centers for the budget year ensuring the total expenditures do not exceed the total amount approved in the budget year.
- All capital asset items are purchased in accordance with NBC's Capital Asset Policy and NBC's Purchasing Rules and Regulations.
- All Operating Capital Reallocations are reported to the Finance Committee monthly.

## Capital Improvement Program

- The Executive Director is authorized to expend funds on capital projects for preliminary planning, staff time and other services in order to assess project need, scope and feasibility prior to project review and approval by the Board and inclusion in the CIP.
- Once a project has been developed in scope and the basis for capital budget estimated, the Director of Construction and Engineering or the Engineering Manager, through the Executive Director will seek an Authorizing Resolution from NBC's Board to authorize contract expenditures and ancillary costs.
- The Executive Director may authorize Change Order Requests (CORs) up to a maximum of 5% of the total contract amount. Once the 5% limit is reached, the Executive Director must receive Board approval to raise the limit. In the case of an emergency or safety issue, the Executive Director may exceed the 5% limit without Board approval and will notify the Board members by any means of correspondence and the COR will be discussed at the next Board meeting.

## The Rate Setting Process

NBC uses two types of applications for rate relief including 1) a general rate relief application, and 2) a debt service compliance filing for rate relief related to debt service and debt service coverage. With respect to general rate cases, by law the filing is subject to a nine-month review process, resulting in a nine-month period passing prior to new rates being effective. Debt service compliance filings have a shorter review period with PUC decisions rendered typically in less than 90 days.

All filings for rate relief are authorized by NBC's Board of Commissioners. Staff prepares and files the rate application with the PUC and serves copies to the Rhode Island Division of Public Utilities and Carriers (DPUC) and the Rhode Island Attorney General's (AG) Office. The DPUC represents the interests of consumers in rate case proceedings and the AG acts as legal counsel to the DPUC. Once an application is filed and determined by the Clerk to substantially conform in all material aspects to the filing requirements, it is assigned a docket number.

Typically, the PUC's legal counsel holds a pre-hearing conference for general rate filings within 60 days of the filing to establish the procedural schedule. NBC provides notice to its customers of the rate application with a billing insert. The rate application and all other documents are posted on the PUC's website and are made available for public review at the PUC's office. NBC is represented by legal counsel throughout this process.

## General Rate Relief

In addition to specific filing requirements, a rate application will include pre-filed direct testimony and schedules from NBC witnesses, including outside experts that support the application. NBC must respond to data requests from both the PUC and the DPUC during the review process and the DPUC submits pre-filed testimony and schedules to support their position. The PUC holds public hearings in NBC’s service area for ratepayer comment. The NBC may submit pre-filed rebuttal testimony and the DPUC may subsequently file surrebuttal pre-filed testimony. If the NBC and the DPUC agree on most of the issues, the parties may negotiate a settlement agreement which is subject to PUC approval. The PUC conducts hearings to enter the documents into evidence and examine the expert witnesses. The PUC must render a decision within nine months of the filing date which may be a bench decision or through a majority vote at an open meeting. NBC must then make a compliance filing that sets forth the final tariffs. A written Report and Order is issued subsequent to the effective date of the new rates.

## Rate Relief for Debt Service and Debt Service Coverage

The PUC first approved the “Debt Service Compliance Filing Mechanism” for rate relief related to debt service and debt service coverage in 2003. This approach includes five-years of projected rate increases required to support NBC’s CIP and has been reauthorized by the PUC three times, most recently for FY 2018 through FY 2023. NBC must request rate relief no later than 60 days prior to the proposed effective date and the request is limited to debt service and debt service coverage. Because the scope is limited, the review process is more expeditious and rate relief is generally granted within 90 days. The public notice requirements also apply to these filings and the PUC conducts a hearing prior to issuing their decision.

## Financial Policies

NBC’s financial policies guide the financial management and planning process of NBC. These policies encourage NBC to take a long-term, agency-wide approach to financial planning and incorporate various regulatory and legislative requirements.

Effective Date	Rate History			
	7/1/2015	7/1/2016	1/1/2019	7/1/2019
Type of Filing	Compliance	Compliance	Compliance	General
Purpose	Debt	Debt	Debt	O&M/Rate Base
Revenue Increase	2.29%	1.48%	2.88%	6.17%
User Rate Increase	2.40%	1.53%	2.98%	5.05%
Average Annual Residential Fee (150 gpd)	\$470	\$477	\$491	\$516

## Long-Range Planning

- NBC will update and modify the Strategic Plan as needed, to accurately reflect priorities and goals.
- NBC shall update and maintain the long-term financial model, in order to assess the impacts of current and future operating and capital requirements. The model will be used to develop and support financing strategies that will provide stability, continuity and minimize ratepayer impact (for more detail, see the Debt Policy).

Measure of Compliance	FY 2020 Goal	FY 2021 Goal
Review and update of Strategic Plan	Annually	Annually
Update Long-Term Financial Plan	Annually	Annually

## Revenue Policies

- NBC will develop and seek PUC approval of rates that will result in net revenue (gross revenue less operating expense) at least equal to 125% of the annual debt service to meet the rate covenants as set forth in the Trust Indenture.
- NBC will continually review capital and operating needs to determine if a rate adjustment is required.
- Restricted receipts for debt service and debt service coverage shall be administered in accordance with the Report & Orders from the PUC and the Trust Indenture.

Measure of Compliance	FY 2020 Goal	FY 2021 Goal
File with PUC to maintain sufficient operating and capital funding	No filing	9/30/2020
Revise Capital cash flow projected draw	2 Updates	2 Updates
Update Long-Term Financial Plan	Annually	Annually
Prepare monthly financial statements within five business days of month-end	Monthly	Monthly
Prepare the restricted account reporting monthly	100%	100%
Complete trust transfers on the fourth business day before month-end	100%	100%
Perform monthly fund reconciliation	100%	100%
Prepare and transmit capital compliance reports to the PUC	2	2
Transmit restricted account reports to the PUC	4	4

## Expense Policies

- All purchases shall be in accordance with NBC's Purchasing Rules and Regulations and applicable State and Federal legislation.
- The Executive Director shall provide a report to the Finance Committee of all purchase requisitions greater than \$10,000 for items included in the budget. The Executive Director will present all purchase requisitions greater than \$50,000 not included in the budget for approval by the Finance Committee.
- The Finance Committee will review and approve the creation of new positions and the upgrading of existing positions not included in this budget. The Executive Director may post for vacancies of existing positions or newly created positions included in this budget.

Measure of Compliance	FY 2020 Goal	FY 2021 Goal
Process 100% of purchase requisitions	100%	100%
Complete 85% of bid specifications within 30 days	85%	85%
Review all contracts three months prior to expiration	100%	100%
Ensure contracts are awarded within 60 days of RFQP	Within 60 days	Within 60 days
Provide Finance Committee with list of requisitions greater than \$10,000	100%	100%

## Auditing, Accounting and Financial Statements

- NBC will prepare financial reports in accordance with Generally Accepted Accounting Principles (GAAP) as outlined by the Governmental Accounting Standards Board (GASB).
- An independent audit of NBC's financial statements is performed annually.

Measure of Compliance	FY 2020 Goal	FY 2021 Goal
Receive the GFOA Certificate of Achievement for Excellence in Financial Reporting	18 Years	19 Years
Complete audit by September 30 <sup>th</sup>	9/30/2019	9/30/2020
Complete audit with clean opinion and no management letter	Yes	Yes
Complete single audit by March 31 <sup>st</sup>	3/31/2020	3/31/2021
Prepare monthly financial statements within five business days of month-end	Monthly	Monthly
Prepare the restricted account reporting within 25 days of month-end	≤25 days	≤25 days
Perform monthly fund reconciliation within 25 day after month-end	≤25 days	≤25 days
Implement GASB pronouncements that apply to NBC	100%	100%

## Budget Policy

- NBC shall prepare a balanced budget in which total expense is equal to total revenue.
- The Finance Committee will review and approve the monthly financial statements, including the status of the budget versus expense, prior to the monthly Board Meeting.
- NBC will monitor the budget to ensure that sufficient resources are available to safely and effectively provide wastewater treatment.

Measure of Compliance	FY 2020 Goal	FY 2021 Goal
Prepare and transmit monthly financial report to NBC's Finance Committee	Monthly	Monthly
Upload and maintain Budget and CIP internet features	Monthly	Monthly
Develop and administer a high-quality annual Budget and Capital Budget	Yes	Yes
Receive GFOA Distinguished Budget Presentation Award	18 Years	19 Years
Process 100% of budget transfers 5 days prior to month end	100%	100%
Budget receives a proficient or better rating as a communication device	Yes	Yes
Complete Annual Sewer User Fee Survey	Yes	Yes

## Capital Budget Policy

- NBC will adopt and maintain a five-year Capital Budget that includes the Operating Capital Program (OCP) and Capital Improvement Program (CIP) and update it on an annual basis.
- The Capital Budget will be developed within the context of the Strategic Plan's short-term and long-term goals and prioritized based upon strategic importance.
- The Capital Budget will be identified based upon the Asset Management Program as well as system and facility inspections.
- All assets will be purchased in accordance with the Capital Asset Policy.
- All costs associated with the planning, design or construction of capital projects in the CIP shall be included in the asset valuation.

- All OCP allocations will be categorized based upon their asset type.

Measure of Compliance	FY 2020 Goal	FY 2021 Goal
Revise capital cash flow projected draw	2 Updates	2 Updates
Develop and administer a high-quality CIP and OCP	Yes	Yes

**Financing Policy**

- In accordance with the Trust Indenture, a calculation is made to determine the amount that can be transferred from the Stabilization Account in the Debt Service Fund to the Restricted Accounts in the Project Fund to support the Capital Budget. This is also consistent with the Report and Order from the Rhode Island Public Utilities Commission.
- An additional calculation is performed to allocate funds to the Restricted Account – Operating Capital and Restricted Account – Capital Improvement Program.
- NBC shall ensure capital assets are systematically and accurately recorded, classified and documented in the financial statements in accordance with Generally Accepted Accounting Principles (GAAP).

**Debt Policy**

- NBC has a significant CIP and recognizes the importance of proper financial and debt management to ensure the successful implementation of its CIP, obtain the highest possible credit ratings and ensure that ratepayer impact is minimized. NBC may issue debt to finance capital improvements as well as to meet short-term operating and capital cash flow needs.
- NBC will maintain a Long-Term Financing Model that takes into consideration the CIP, cash flows, NBC’s annual operating revenue and expense, debt service coverage, State Revolving Fund (SRF) capacity and other relevant items. The long-term financial plan shall be used as the basis for determining debt issuance needs.
- There are a wide variety of financial products available. The Chief Financial Officer, in conjunction with NBC’s Financial Advisor, will evaluate the options and implement recommendations that will minimize risk and maximize benefits. NBC has identified WIFIA loans as the lowest cost of capital financing. NBC will use the long-term financial model to determine the optimum funding strategy for NBC’s 51% share of the WIFIA funded project costs and other projects that do not qualify for WIFIA funding. NBC plans to issue revenue bonds and SRF funds and may issue short or long-term debt in fixed or variable mode to finance its capital program. Variable rate debt may be issued in various modes and NBC may use financial products that will result in either a synthetic variable or a synthetic fixed rate. NBC may issue short-term debt to meet operating cash flow needs.
- NBC may employ one or more financial products to manage interest rate risk and maximize market benefit upon the recommendation of the Chief Financial Officer and NBC's Financial Advisor.
- In accordance with Rhode Island General Law (RIGL) 39-3-15, the Division of Public Utilities and Carriers must approve NBC’s issuance of long-term debt.
- The Chief Financial Officer will determine the issuance method (competitively bid or negotiated) in conjunction with NBC’s Financial Advisor. The method may be modified from time to time as NBC’s needs change or new or modified financial market methods emerge. The issuance method will be modified if a lower effective market interest rate is expected to result.

- Appropriate Ratio Levels:
  - Debt service coverage ratio minimum of 1.25 (calculated as Gross Revenue less Operating Expense (excluding depreciation) divided by annual principal and interest.)
  - Principal maturities for fixed and variable rate debt are not to exceed thirty years.
  - Outstanding long-term maturity variable rate bonds are not to exceed a sum equal to 25% of total long-term fixed rate debt except for the inaugural issue.
- NBC does not have a statutory limit on debt issuance.

Measure of Compliance	FY 2020 Goal	FY 2021 Goal
Credit Rating with S&P Global	AA-	AA-
Credit Rating with Kroll Bond Rating Agency	N/A	AA-
Update Long-Term Financial Plan Annually	Annually	Annually
Ensure compliance with federal tax laws and regulations to maintain tax exempt status of NBC's bond issues	100%	100%
Determine Arbitrage Liability by August 31 <sup>st</sup>	8/31/2019	8/31/2020
Provide Arbitrage Calculation Information	100%	100%
File with PUC to maintain sufficient operating and capital funding	09/30/2019	09/30/2020
Compliance with Continuing Disclosure Commitments	3/31/2020	3/31/2021

### Continuous Disclosure Procedures (in part)

- NBC will file all required financial-based disclosures on the Electronic Municipal Market Access (EMMA), no later than the filing date set forth in the Continuing Disclosure Agreements (CDA).
- The Chief Financial Officer shall file Significant Events, required under the Securities and Exchange Commission (SEC) Rule 15c2-12 and Notice Events that require disclosure within 10 days of occurrence on EMMA and RIIB.

Measure of Compliance	FY 2020 Goal	FY 2021 Goal
Annual Operating Data and CAFR on EMMA	3/31/2020	3/31/2021
Annual Operating Data and CAFR with RIIB	3/31/2020	3/31/2021
Material Events within 10 days of Occurrence	<10 Days	<10 Days

- NBC's Chief Compliance Coordinator (CCO) shall be the Chief Financial Officer. The CCO is responsible for the administration and supervision of NBC's post-issuance compliance management program.

Measure of Compliance	FY 2020 Goal	FY 2021 Goal
Tax Due Diligence Prior to Issuance	100%	100%
RIGL 35-14-6 Fiscal Integrity & Accountability Report	12/31/2019	12/31/2020
RIGL 42-10.1-9 PFMB Debt Affordability Study	9/30/2019	9/30/2020
RIGL 42-90-1 Government Consultants Disclosure Report	10/1/2019	10/1/2020
Governments Survey of Public Pensions	12/31/2019	12/31/2020

## Compliance Reporting (in part)

- NBC will ensure ongoing compliance with applicable federal tax laws and related federal regulations and federal and state statutory requirements to preserve the tax-exempt status of NBC's bond issues.

Measure of Compliance	FY 2020 Goal	FY 2021 Goal
Ensure compliance with federal tax laws and regulations to maintain tax exempt status of NBC's bond issues	100%	100%

- NBC will submit a Fiscal Integrity and Accountability report to the Rhode Island Office of Management and Budget, in accordance with Rhode Island General Law (RIGL) 35-14-6, to report on the adequacy of the agency's systems of internal accounting and administrative control of the previous fiscal year by December 31<sup>st</sup> of each year.
- In accordance with Rhode Island General Law (RIGL) 42-10.1-9, the Rhode Island Public Finance Management Board (PFMB) requests NBC to report all debt authorized, sold and unsold each fiscal year. The Board compiles and publishes the information from all public state, regional, municipal, and public and quasi-public corporations. NBC submits this report to PFMB by September 30<sup>th</sup> of each year.
- In compliance with Rhode Island General Law (RIGL) 42-90-1, NBC submits a list of any person, privatization contractor, or vendor who performed professional, technical or consulting services on a contractual basis during the previous fiscal year and the amount of compensation each vendor received. This report is submitted to the Rhode Island Office of Management and Budget by October 1<sup>st</sup> of each year.
- The U.S. Census Bureau conducts the Annual Survey of Public Pensions as authorized by Title 13, U.S. Code, Sections 161 and 182 and provides revenue, expense, financial assets, membership, and liabilities information for defined benefit public pension systems. These systems are an important component of the nation's government sector. NBC submits responses to the U.S. Census Bureau by December 31<sup>st</sup> of each year.
- In accordance with the Public Utilities Commission's Report and Order No. 19178 "NBC Non-Union Defined Benefit Plan Compliance Reporting", NBC submits an annual compliance report to the PUC to include:
  - Annual contributions made by NBC and its employees to the Non-Union Defined Contribution Plan
  - Annual contribution NBC makes to the Non-Union Defined Benefit Plan
  - Any changes to the Defined Benefit Plan
  - Total wages paid to non-union employees
  - The cost NBC incurred for administration of the Defined Benefit Plan, including actuary costs
  - NBC's annual actuary report on the Defined Benefit Plan
  - Annual audit report on the Defined Benefit Plan

Measure of Compliance	FY 2020 Goal	FY 2021 Goal
Annual Non-Union Retirement Plans Compliance Report to PUC	1	1

- In accordance with the Public Utilities Commission's Report and Order No. 16751 "Capital Projects Compliance Reporting", NBC submits the Restricted Account and Capital Projects Compliance Report.

Measure of Compliance	FY 2020 Goal	FY 2021 Goal
Bi-Annual Capital Projects Compliance Report to the PUC	2	2
Quarterly Restricted Accounts Compliance Reporting to PUC	4	4

## **Investment Policy (in part)**

- The “prudent investor” standard shall be applied in the context of managing an overall portfolio.
- Investment of financial assets shall be diversified to minimize the risk of loss that may occur due to concentration in a specific maturity, a specific issuer or a specific class of securities.
- All financial assets shall be invested in a manner that will preserve the value and safety of capital.
- NBC shall invest funds in order to maximize earnings and minimize risk during the period of availability of the funds.
- NBC shall comply with all Federal, State and other legal requirements.

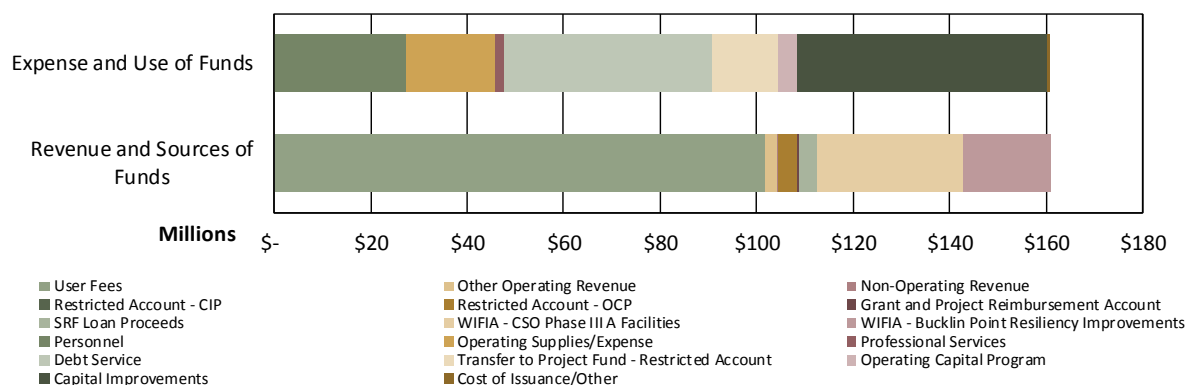


# Budget Summary

The FY 2021 Budget is \$160.8 million, which is \$1.5 million or 0.9% million lower than the prior year. The detail of the Operating Budget is provided in the Operating Budget Section of this document and the Capital Budget supporting detail is included in the Capital Budget Section.

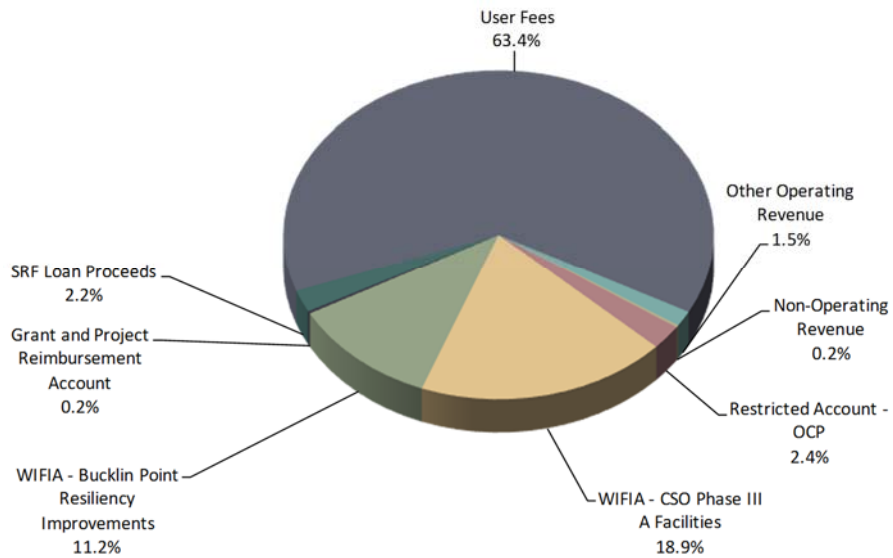
## Budget Summary

	FY 2020 Budget	FY 2021 Budget	Budgeted Difference
<b>Revenue and Sources of Funds</b>			
User Fees	\$ 104,620,531	\$ 101,851,912	\$ (2,768,619)
Pretreatment Fees	62,800	65,000	2,200
Septage Fees	335,000	330,000	(5,000)
Connection Permit Fees	172,580	346,000	173,420
Late Fees	800,000	900,000	100,000
Customer Service Fees	230,000	190,000	(40,000)
Renewable Energy Credits	419,000	577,000	158,000
Investment Income	280,000	243,000	(37,000)
Miscellaneous Non-Operating Revenue	159,500	146,000	(13,500)
Restricted Account - CIP	6,909,839	-	(6,909,839)
Restricted Account - OCP	3,261,200	3,863,000	601,800
Grant and Project Reimbursement Account	8,914,056	400,000	(8,514,056)
SRF Loan Proceeds	36,056,481	3,500,000	(32,556,481)
WIFIA - CSO Phase III A Facilities	-	30,318,957	30,318,957
WIFIA - Bucklin Point Resiliency Improvements	-	18,030,668	18,030,668
<b>Total Revenue and Source of Funds</b>	<b>\$ 162,220,987</b>	<b>\$ 160,761,537</b>	<b>\$ (1,459,450)</b>
<b>Expense and Use of Funds</b>			
Personnel	\$ 25,737,917	\$ 27,273,209	\$ 1,535,292
Operating Supplies/Expense	18,111,200	18,588,660	477,460
Professional Services	1,465,190	1,550,490	85,300
Debt Service	47,816,624	43,863,780	(3,952,844)
Transfer to Project Fund - Restricted Account	13,948,480	13,372,774	(575,706)
Operating Capital Program (OCP)	3,261,200	3,863,000	601,800
Capital Improvement Program (CIP)	51,330,376	51,849,625	519,249
Debt Service Payment Account/Other	550,000	400,000	(150,000)
<b>Total Expense and Use of Funds</b>	<b>\$ 162,220,987</b>	<b>\$ 160,761,537</b>	<b>\$ (1,459,450)</b>



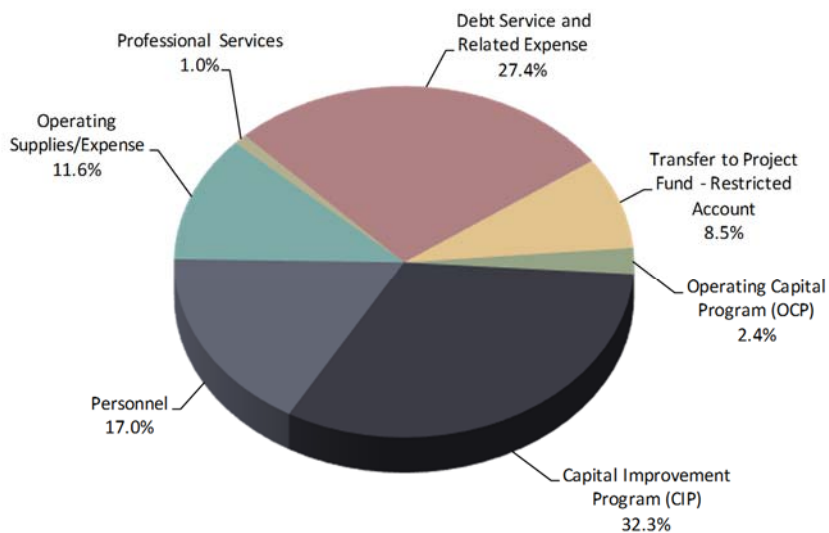
The FY 2021 budgeted revenue and sources of funds is shown in the graph below. FY 2021 budgeted user fees are \$101.9 million and comprise the majority or 63.4% of the revenue and sources of funds. Capital related sources of funds total \$56.1 million or 34.9% of the total.

### Revenue and Source of Funds



The graph below shows the FY 2021 budgeted expense and use of funds. The largest programmed line item is \$51.8 million or 32.3% for capital improvements which is followed by debt service at \$43.5 million or 27.1%. Operating expense consisting of personnel, operating supplies/expense and professional services is 29.5% of the total budgeted expense and use in FY 2021.

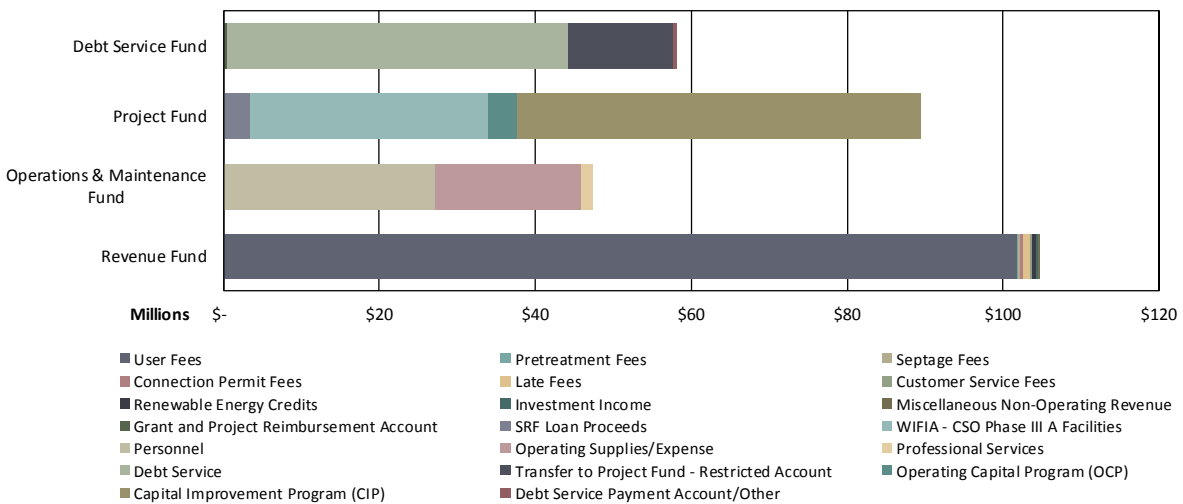
### Expense and Use of Funds



The following serves as an overview of the FY 2021 Budget by fund type.

	Revenue Fund	Operations & Maintenance Fund	Project Fund	Debt Service Fund
<b>Revenue and Sources of Funds</b>				
User Fees	\$ 101,851,912	\$ -	\$ -	\$ -
Pretreatment Fees	65,000	-	-	-
Septage Fees	330,000	-	-	-
Connection Permit Fees	346,000	-	-	-
Late Fees	900,000	-	-	-
Customer Service Fees	190,000	-	-	-
Renewable Energy Credits	577,000	-	-	-
Investment Income	243,000	-	-	-
Miscellaneous Non-Operating Revenue	146,000	-	-	-
Restricted Account - CIP	-	-	-	-
Restricted Account - OCP	-	-	3,863,000	-
Grant and Project Reimbursement Account	-	-	400,000	-
SRF Loan Proceeds	-	-	3,500,000	-
WIFIA - CSO Phase III A Facilities	-	-	30,318,957	-
WIFIA - Bucklin Point Resiliency	-	-	18,030,668	-
<b>Total Revenue and Source of Funds</b>	<b>\$ 104,648,912</b>	<b>\$ -</b>	<b>\$ 56,112,625</b>	<b>\$ -</b>

<b>Expense and Use of Funds</b>				
Personnel	\$ -	\$ 27,273,209	\$ -	\$ -
Operating Supplies/Expense	-	18,588,660	-	-
Professional Services	-	1,550,490	-	-
Debt Service	-	-	-	43,863,780
Transfer to Project Fund - Restricted Account	-	-	-	13,372,774
Operating Capital Program (OCP)	-	-	3,863,000	-
Capital Improvement Program (CIP)	-	-	51,849,625	-
Debt Service Payment Account/Other	-	-	-	400,000
<b>Total Expense and Use of Funds</b>	<b>\$ -</b>	<b>\$ 47,412,359</b>	<b>\$ 55,712,625</b>	<b>\$ 57,636,554</b>



## FY 2021 Budget – Key Assumptions

The development of the FY 2021 budget was governed by the following:

### Key long-term guidelines:

- The Strategic Plan guides the development of priorities, as well as program objectives and measures; and also determines the strategic value of the capital projects in the Capital Improvement Program (CIP) and the capital assets in the Operating Capital Program (OCP).
- The operating capital policy defines operating capital assets as those with a cost greater than \$5,000 and a minimum useful life of three years that are new, replacements, betterments, or renovations.
- The operating budget incorporates the revenue, expense and savings impact of capital projects.

### Key short-term guidelines:

- Flat fee revenue is based on actual rate base with a 0.3% increase in the number of residential dwelling units.
- Consumption fee revenue reflects a decline in billable consumption for all customer classes based upon the projected impact of COVID-19.
- Miscellaneous revenue includes Renewable Energy Credit (REC) sales at an average rate of \$21.76/REC.
- The budget includes contracted COLA increase of 2.5% and step increases for union employees and merit increases for non-union employees.
- NBC's FY 2021 budgeted contribution rate to the Rhode Island State Retirement System on behalf of participating union employees increased from 26.39% to 28.57%.
- NBC's contribution rate to the State Retirement Health Benefit for participating union employees decreased from 6.65% to 5.87% in FY 2021.
- Health insurance reflects a 5.5% increase in the health insurance premium and NBC contributions of \$1,800 (individual) or \$3,600 (family) to the Health Reimbursement Arrangement (HRA).
- Dental and vision insurance premiums are unchanged from FY 2020 and fringe benefits are budgeted based on actual enrollment and a weighted average for unfilled positions.
- The FY 2021 budget includes FTES's as follows:

<b>FY 2021 Budgeted FTEs</b>	
Net FTEs FY 2020 Budget	272.0
Added in FY 2020	3.0
New in FY 2021	10.0
<b>Net FTEs</b>	<b>285.0</b>

- The FY 2021 budget reflects the transfer of sewer connection permitting from the Construction & Engineering Division to the Operations & Maintenance Division. In addition, the insurance and risk management functions have been transferred from the Finance section to the Purchasing section in the Finance Division.
- Biosolids expense reflects a projected Consumer Price Index (CPI) adjustment of 1.7% to the contracted biosolids disposal rate. Budgeted dry ton production is based on a 24-month average at both WWTF's and includes an additional increase of 10.0% at Bucklin Point.
- An 11.0% decrease in the budgeted electricity supply rate from \$0.06500 to \$0.05786 per kWh.
- Electricity expense reflects the net impact of NBC's renewable energy sources including the Field's Point wind turbines, the Coventry wind turbines and the Green Power Purchase Agreement (PPA).
- Electricity usage is based on an average of the FY 2019 actuals and FY 2020 budget and reflects a 2.2% decrease in kWh from the prior year.
- Net Metering Credits (NMC) kWh production reflects a 3.0% increase from the prior year and no change in the budgeted NMC rate at \$0.1470/kWh.
- Natural gas expense reflects a 24-month average usage and a 2.6% increase in the budgeted delivery rate per therm. Therm usage has increased by 4.7% for a total of 353,065 in FY 2021. A budgeted natural gas supply rate of \$0.5220 through May 31, 2021.
- A second WIFIA loan totaling \$33.4 million is programmed in FY 2021.
- Chemical rates through June 30, 2021 are as follows:

	Price per Unit		
	FY 2020	FY 2021	% Change
Sodium Hypochlorite	\$ 0.68900	\$ 0.68900	0.0%
Sodium Bisulfite	1.23000	1.23000	0.0%
Sodium Hydroxide	1.98780	1.98780	0.0%
Carbon Feed	1.76000	1.76000	0.0%
Polymer-Liquid	1.29500	1.29500	0.0%
Polymer-Powder	1.85000	1.85000	0.0%
Soda Ash	451.440	451.440	0.0%

## Fiscal Year:

NBC's fiscal year runs from July 1<sup>st</sup> through the following June and is numbered with the calendar year in which it ends. The FY 2021 budget year begins July 1, 2020 and ends June 30, 2021. The prior fiscal year or FY 2020 is the 12-month period that ends June 30, 2020.

## Basis of Accounting:

The accounting policies of NBC conform to Generally Accepted Accounting Principles (GAAP) as applicable to governmental proprietary fund types (enterprise funds). For enterprise funds, the intent of the governing body is that the expense of providing goods and services to the general public on a continuing basis will be financed or recovered through user charges. The financial statements of NBC are prepared using the accrual basis of accounting; however, the budget is adopted on a modified accrual basis of accounting consistent with GAAP. The major difference is how debt service and capital expenditures are reflected.

## Basis of Budgeting:

The NBC prepares its budget on a modified accrual basis. Accordingly, revenue must be both measurable and available for the current period. With respect to expense, there are a few differences between how certain items are treated in the financial statements and the budget. Although capital expenditures are depreciated in the financial statements, they are expensed in the budget. In addition, in the financial statements principal payments are shown as a reduction of a liability but they are budgeted as expense. Lastly, depreciation and bad debt expense are included in the financial statements but they are not budgeted or expensed. See the table below for a summary of the differences.

	<b>Basis of Accounting</b>	<b>Basis of Budget</b>
	<b>Full Accrual</b>	<b>Modified Accrual</b>
<b>Revenue Recognition</b>	When earned	When measurable and available
<b>Expense Recognition</b>	When liability incurred	When liability incurred
Capital Expenditures	Increase Asset	Budgeted as expense
Depreciation	Expensed	Not Budgeted as expense
Principal Payments	Reduction of liability	Budgeted as expense
Bad Debt	Expensed	Not budgeted as expense

# The Strategic Plan and the FY 2021 Budget

Narragansett Bay is Rhode Island’s greatest resource, and the actions of NBC have a significant impact on its water quality. Water quality, in turn, has effects on aquatic life, recreational activities, tourism, waterfront development, and the livelihoods of many who make a living on or near Narragansett Bay. To ensure NBC’s ability to meet its water quality objectives within the constraints of a regulated environment, NBC continuously strives to achieve the plan’s objectives and goals.

This year’s budget was developed using the framework of the assumptions and guidelines discussed on the following pages. The service level objectives and performance levels were developed based upon NBC’s Strategic Plan prior to the development of budget figures. Once NBC’s priorities were identified on a programmatic basis, program managers identified the resources required to meet these service levels. All programs submitted their budgets and identified variances between the proposed funding levels and the prior year budget. With guidance from the Executive Director, Finance staff assessed short and long-term requirements for each program. The budget was allocated based on these needs and the total resources available. This planning process has resulted in a budget document with an integrated Performance Data section for each program and a greater focus on resource allocation for both operating programs and CIP projects based on NBC’s strategic goals.

## History of the Strategic Plan

NBC’s first Strategic Plan was developed in 2004 with input from the outside stakeholders such as NBC’s Commissioners, Citizen Advisory Committee members, regulatory agencies, and other interest groups, as well as NBC staff. The Strategic Plan is a dynamic document and its content was expanded in 2005, 2006, 2011, 2016, and most recently in 2018. NBC strives to achieve the Strategic Plan Goals as set forth in the plan to demonstrate its environmental commitment and ensure compliance with current and future regulatory requirements. The goals of the Strategic Plan are listed below.

### NBC’S Strategic Goals

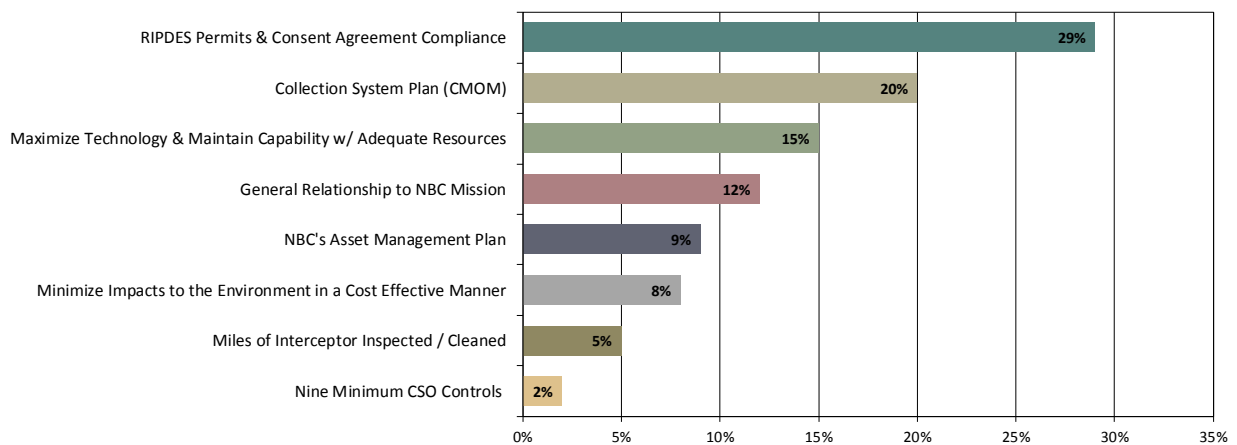
<b>CORE BUSINESS:</b>	Operate, maintain and protect our collection and treatment systems to ensure that all State and Federal requirements are met or surpassed.
<b>ENVIRONMENTAL PERFORMANCE:</b>	Continuously evaluate NBC environmental performance to identify, quantify and minimize NBC impacts to the environment in a cost effective manner.
<b>FINANCIAL MANAGEMENT:</b>	Manage NBC's finances through strong financial planning and controls such that sewer users charges are minimized.
<b>CUSTOMER FOCUS:</b>	Maintain a customer-focused attitude throughout the organization.
<b>STAFFING:</b>	Attract, develop and retain highly qualified employees.
<b>COMMUNICATION:</b>	Improve and enhance internal and external communication to increase understanding of "who we are" and "what we do".
<b>ORGANIZATIONAL PERFORMANCE:</b>	Ensure that the NBC organization is aligned with and supports our strategic goals.

## Capital Budget Strategic Plan

The Strategic Plan is also integrated into the Capital Budget. NBC's Strategic Plan ensures NBC's ability to meet water quality objectives set forth by regulatory requirements through achieving short and long-term objectives at a reasonable cost and guides NBC operations and ensures facilities and infrastructure are maintained.

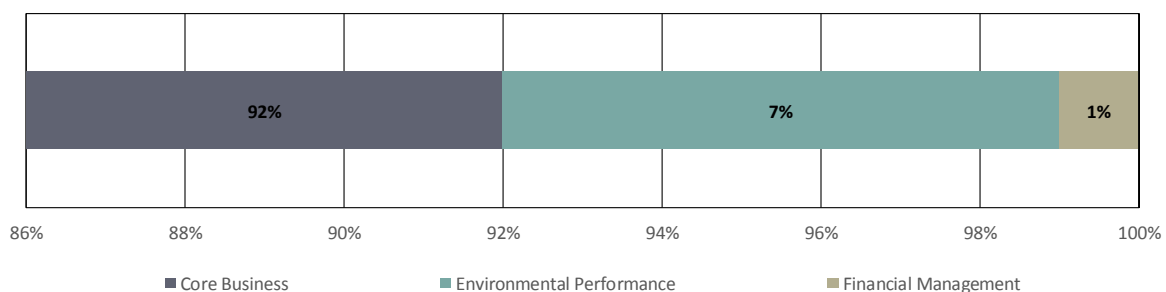
Due to the magnitude of the CIP and NBC's funding constraints, NBC evaluated proposed capital investments based on strategic value. As part of the CIP development process, project managers identify the one or more strategic goals that a project will address. Of the 51 CIP projects, 29% are related to the RIPDES Permits & Consent Agreement Compliance strategic objective. Approximately 20% of the projects in the CIP are aligned with the Collection System Plan strategic objective and include interceptor restoration and construction projects. In addition, 15% of projects are aligned to the Maximize Technology & Maintain Capability strategic objective and 12% of the projects are aligned with the General Relationship to NBC Mission strategic objective. The remaining projects are aligned with NBC's Asset Management Plan, Minimize Impacts to the Environment objectives, Miles of Interceptor Inspected / Cleaned and Nine Minimum CSO Controls objectives. The following graph shows the percentage of CIP Projects aligned by Strategic Objective.

**Percentage of CIP Projects Aligned by Strategic Objective**



Program Managers align each of the proposed Operating Capital Program capital assets to NBC's strategic plan goals. This process ensures funds are available to meet both short-term and long-term objectives in order to maintain continuous facility operations and core business functions. Approximately 92% of assets support NBC's Core Business and include infrastructure, applications and compliance at \$3.3M. In addition, 7% of assets align to NBC's Environmental Performance and support sampling and laboratory analysis. The following graph shows the percentage of FY 2021 programmed capital assets by strategic goal.

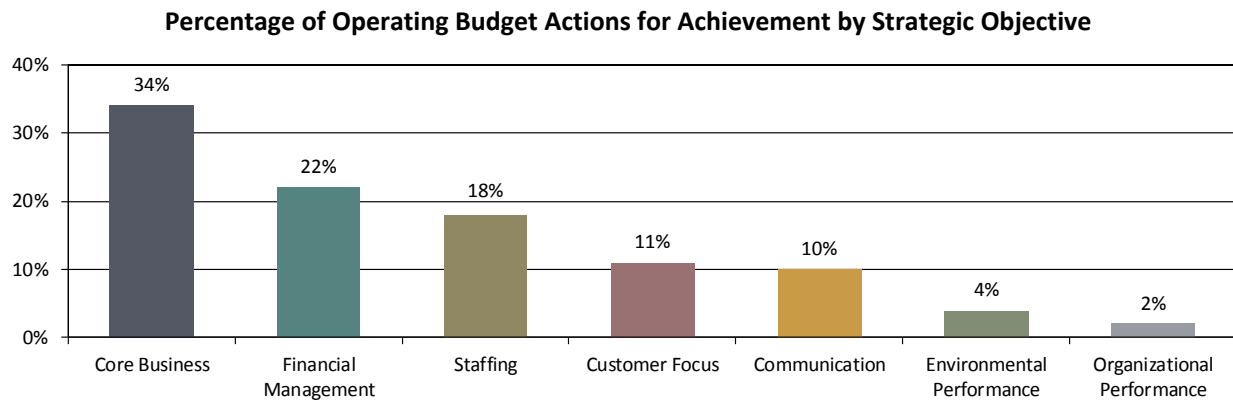
**Percentage of Operating Capital for Achievement by Strategic Objective**





## Operating Budget Strategic Plan

Finance and program managers worked to identify and incorporate Strategic Plan driven actions for achievement, service level objectives, and key target measures into their budgets. The Actions for Achievement or Service Level Objectives are linked to Target Measures and indicate a clear pathway between the long-term and short-term objectives. Program Managers determined that approximately 56% of the Actions for Achievement were aligned to Core Business and Financial Management goals. In addition, 18% of the Actions for Achievement relate to Staffing and 11% to Customer Focus. Each of the objectives and measures were reviewed and approved by the Executive Director. The following graph illustrates the percentage of Actions for Achievement aligned with each Strategic Objective.



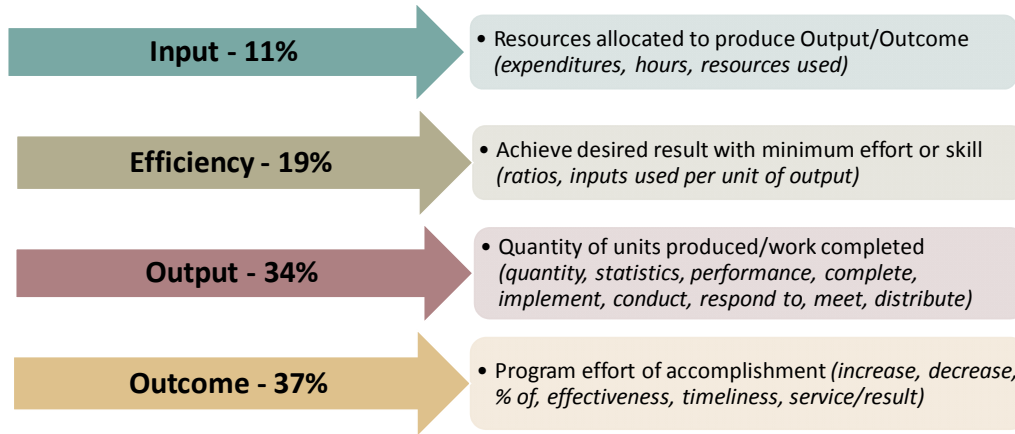
Actions for Achievement or long-term goals are then linked to each Program’s target measures or short-term goals by one of four types of performance indicators. The four types of performance indicators are input, output, efficiency, and outcome. A unit of measure is then depicted by the Program Manager in order to track the budgeted goal and actual performance for each of the target measures within their section.



The FY 2021 budget further aligns the performance measures to the S.M.A.R.T goal framework of GFOA. This goal setting framework “ensures the best chance of success for achieving goals” and transitions performance measures to represent indicators of outcome and efficiency. This planning process further ensures the allocation of budgeted resources in line with each Program’s short-term service level objections or target measures and the long-term strategic goals for goal actions for achievement. Finance staff worked with each of the Program Managers to ensure that performance data aligned with the indicators in accordance with this framework as shown below.

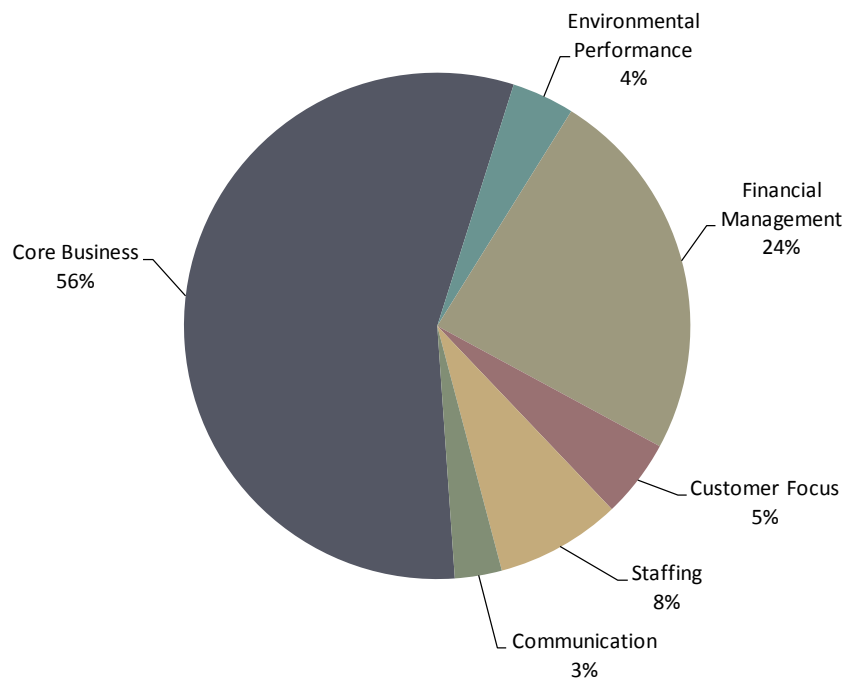
<b>SPECIFIC</b>	A specific goal is more likely to be reached because people know precisely what the objective is
<b>MEASURABLE</b>	Establish standards of evidence for gauging progress toward the goal and whether intended benefits are being realized
<b>ATTAINABLE</b>	Goals should have a certain amount of “stretch” in them – achieving the goal should require going beyond current patterns of performance and ways of thinking
<b>RESULT-ORIENTED</b>	The goal should be focused on results that make a real difference to financial position
<b>TIME-LIMITED</b>	The goal should have a clear timeframe for achievement

The following represents the percentage of the target measures and short-term goals by indicator for the entire NBC Organization. Of the 232 target measures, the majority or 37% are Outcome or result related whereas 34% of the measures are Output or quantifiable measures. The remaining 30% correlate to resources used or productivity and are either Efficiency or Input related. Both the Actions for Achievement and the Target Measures are further outlined in the Division Summaries section of this document. Each of the Division summaries further provides a chart outlining their performance data by performance indicator.



This year each section included their top priorities for FY 2021 and indicated the corresponding key code from the Strategic Plan. Additional information regarding these priorities is included in the Division Summaries section of this document. Of the 76 priorities for FY 2021 for the NBC, 43 or 56% are categorized under Core Business followed by Financial Management at 24% or 18 priorities. The following graph shows the percentage of NBC's section's priorities by goal action for achievement.

### Fiscal Year 2021 Priorities



# Goal Actions for Target Measures by Key Code

## Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements.
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements.
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies.
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets.
- CB5** Ensure climate resiliency of NBC's existing and future facilities.

## Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

## Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

## Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

## Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

## Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

## Organizational Performance

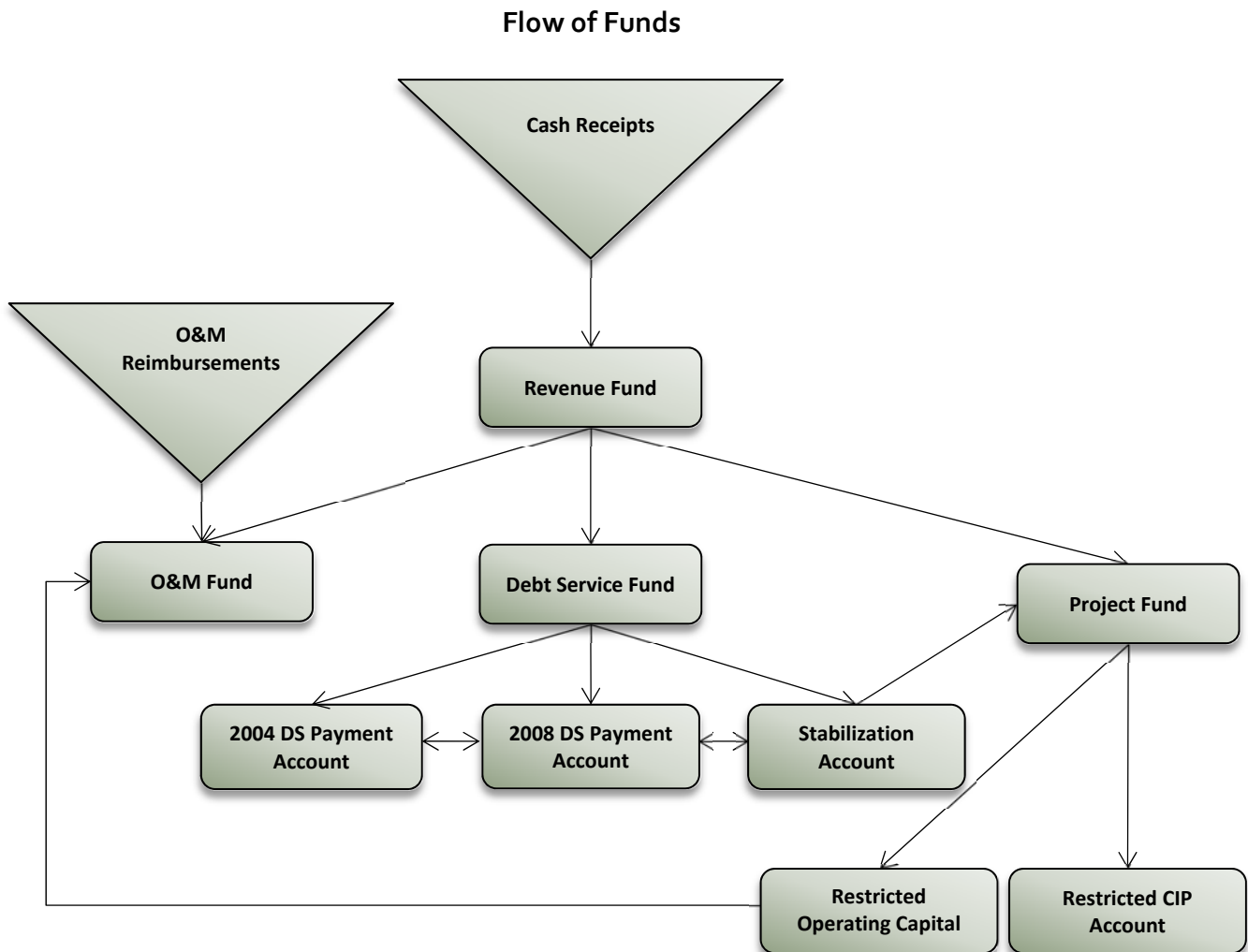
- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards

# Trust Indenture and Funds

In accordance with GASB criteria, NBC is considered an Enterprise Fund for accounting purposes. In addition, NBC has several funds established pursuant to a Trust Indenture and First Supplemental Indenture executed on April 15, 2004 by and between NBC and the Trustee. NBC has also executed 27 Supplemental Indentures (see table below), and collectively these are referred to as the "Trust Indenture."

Indenture Number	Date	Indenture Number	Date
2	December 30, 2004	15	June 28, 2012
3	August 4, 2005	16	November 28, 2012
4	December 15, 2005	17	March 21, 2013
5	December 21, 2006	18	June 6, 2013
6	February 8, 2007	19	December 12, 2013
7	October 15, 2007	20	March 6, 2014
8	December 12, 2007	21	October 28, 2014
9	July 1, 2008	22	May 5, 2015
10	November 1, 2008	23	July 30, 2015
11	October 6, 2009	24	June 2, 2016
12	February 12, 2010	25	April 4, 2019
13	June 24, 2010	26	August 27, 2019
14	March 29, 2011	27	March 19, 2020

The schematic below provides a general overview of the flow of cash as directed by the Trust Indenture. The schematic is not meant to be a complete representation of the Trust Indenture.



Due to the complexity of the documents, it is difficult to present a detailed description of all of the funds and their interrelationships. The following serves as a brief summary of the twelve funds established pursuant to the documents.

**Revenue Fund:** The Revenue Fund is the initial depository for all NBC user fee receipts and other miscellaneous receipts. These funds are transferred to the other funds as required once a month.

**Operation and Maintenance Fund:** The Operation and Maintenance (O&M) Fund is used to pay for current operations, administrative, maintenance, ordinary current repairs of NBC's facilities and infrastructure expense.

**Debt Service Fund:** The Debt Service Fund is designated for the payment of debt service and also includes the Stabilization Account where debt service coverage funds are held.

**Project Fund:** Funds from the Project Fund are designated to pay for improvements and additions to NBC's capital assets. This includes expenditures related to the Capital Budget for the Capital Improvement Program and Operating Capital Program.

**Operating Reserve for Revenue Stability Fund:** The Operating Reserve for Revenue Stability Fund may be used when there are insufficient funds in the Revenue Fund to make the monthly transfers to other accounts.

**Renewal and Replacement Fund:** The Renewal and Replacement Fund is used for the replacement or renewal of capital assets of the wastewater treatment system and related infrastructure when the expense is not covered by the Project Fund. This fund is not funded.

**Debt Service Reserve Fund:** The Debt Service Reserve Fund is used when there are insufficient funds in the Debt Service Fund to cover debt service or a reserve is required as part of a debt issuance. NBC funded a \$3.5M Reserve for the 2013 Series C Wastewater System Revenue Bond issue.

**Operation and Maintenance Reserve Fund:** The O&M Reserve Fund is designated to pay current operating expense for NBC whenever monies on deposit in the O&M Fund are deemed insufficient. This Fund is not funded.

**Redemption Fund:** The Redemption Fund is used for redemption fees, and/or principal and interest on the redemption of bonds. This Fund is not funded.

**Insurance Reserve Fund:** The Insurance Reserve Fund is used should NBC determine that it cannot reasonably obtain required insurance. This Fund is not funded.

**Unrestricted Fund:** The Unrestricted Fund is the depository for any cash surplus once all funds and accounts established under the Trust Indenture are funded. These funds may be used for any deficiency in amounts required by other funds. This Fund is not funded.

**Rebate Fund:** The Rebate Fund is used should NBC's series of bonds or subordinated bonds issued, become subject to the rebate requirement of Section 148(f) of the Internal Revenue Code.

The Environmental Enforcement Fund (EEF) is within the Revenue Fund and consists of monies recovered through administrative or civil enforcement action and cannot be used for normal operating expense in accordance with chapter 46-25 of the Rhode Island General Laws. The EEF fund is insignificant and is not included in the annual budget.

## Monthly Trust Transfers

The Trust Indenture establishes the flow of funds and all revenue, with minor exceptions, which must be deposited into the Revenue Fund. On the third day prior to the last business day of each calendar month, the NBC must apply amounts from the Revenue Fund for certain purposes in a specific order. The first such amount applied is the transfer from the Revenue Fund and deposit into the Operation and Maintenance Account in the Operation and Maintenance Fund. The NBC has calculated the FY 2021 monthly transfers for operating expense in accordance with Section 504(2) (i) of the Trust Indenture. The transfer amounts are based on the actual operating expense in FY 2020 multiplied by the percentage increase in the FY 2021 budget. The FY 2021 monthly Operation and Maintenance Fund transfers are shown in the table below.

O&M Monthly Certified Trust Transfer	
Month	Amount
Jul-20	\$ 4,433,505
Aug-20	4,893,131
Sep-20	3,226,187
Oct-20	4,785,669
Nov-20	3,655,175
Dec-20	3,023,742
Jan-21	4,600,319
Feb-21	3,073,105
Mar-21	4,054,493
Apr-21	3,889,010
May-21	3,889,010
Jun-21	3,889,010
<b>Total</b>	<b>\$ 47,412,359</b>

## Net Position

The data in this budget has been used to project net position for June 30, 2020, as shown in the table below.

Fund	Net Position FY 2019	Net Change	Projected Net Position FY 2020	Net Change	Projected Net Position FY 2021
Revenue Fund	\$ 25,972,172	\$ 333,391	\$ 26,305,563	\$ -	\$ 26,305,563
Operation and Maintenance Fund	(16,428,258)	2,952,000	(13,476,258)	-	(13,476,258)
Debt Service Fund	28,510,849	5,702,170	34,213,019	8,553,255	42,766,274
Project Fund	479,308,771	17,742,589	497,051,360	17,396,798	514,448,158
Operating Reserve for Revenue Stability Fund	4,508,560	(8,560)	4,500,000	-	4,500,000
Renewal and Replacement Fund	-	-	-	-	-
Debt Service Reserve Fund	3,503,652	(517,917)	2,985,735	-	2,985,735
Operation and Maintenance Reserve Fund	-	-	-	-	-
Redemption Fund	-	-	-	-	-
Insurance Reserve Fund	-	-	-	-	-
Unrestricted Fund	-	-	-	-	-
Rebate Fund	-	-	-	-	-
Environmental Enforcement Fund	69,948	4,000	73,948	4,000	77,948
<b>Net Position</b>	<b>\$ 525,445,694</b>	<b>\$ 26,207,673</b>	<b>\$ 551,653,367</b>	<b>\$ 25,954,052</b>	<b>\$ 577,607,420</b>

Significant changes in the net position are as follows:

**Revenue Fund:** The Revenue Fund net position is expected to increase by \$0.3 million or 1.3% from FY 2019 to FY 2020 as NBC did not budget for a surplus or a transfer for a prior year surplus in FY 2020 budget. No change to the Revenue Fund net position is projected between the FY 2020 and FY 2021 since the budget is balanced.

**Operation & Maintenance (O&M) Fund:** The FY 2019 negative net position reflects the net pension liability and OPEB liability recorded as a result of GASB Statements 68 and 75. From FY 2019 to FY 2020 the O&M Fund net position is projected to decrease by \$2.9 million due to FY 2020 O&M expense projected to be less than budgeted. No change to the O&M Fund net position is projected between the FY 2020 and FY 2021 since the budget is balanced.

**Debt Service Fund:** The Debt Service Fund net position is projected to increase by 25.0% in FY 2021 and increase in FY 2021 by 25.0%. These changes are the net result of the annual outgoing transfer of prior year coverage to the Project fund and payment of principal less the transfer for the PUC restricted debt calculation. The FY 2020 projection is lower than projected due to a decrease in cash collections related to COVID-19.

**Project Fund:** In FY 2020, the Project Fund net position is projected to increase by 3.7% or \$17.7 million due to transfers from the Debt Service Fund to pay debt service requirements, the effect of refunding Revenue Bonds less depreciation expense. The net position is projected to increase by 3.7% or \$17.4 million in FY 2021, due to the due transfers from the Debt Service Fund to pay debt service requirement less depreciation expense.

**Operating Reserve for Revenue Stability Fund:** The PUC maximum cash balance allowed in this fund is \$4.5 million. The net position is returned to this level at fiscal year-end with the transfer of interest earnings to the Revenue Fund.

**Renewal & Replacement Fund:** This fund has no assets or liabilities and NBC does not plan on using this fund.

**Debt Service Reserve Fund:** NBC funded a Debt Service Reserve Fund related to the 2013 Series C Wastewater System Revenue Bonds in the amount of \$3.5 million and certain series of these bonds were refunded in FY 2020, reducing the amount held in the reserve to \$3.0 million. The net position is returned to this level at fiscal year-end with the transfer of interest earnings to the Revenue Fund.

**Redemption Fund:** This fund has no assets or liabilities and NBC does not plan on using this fund.

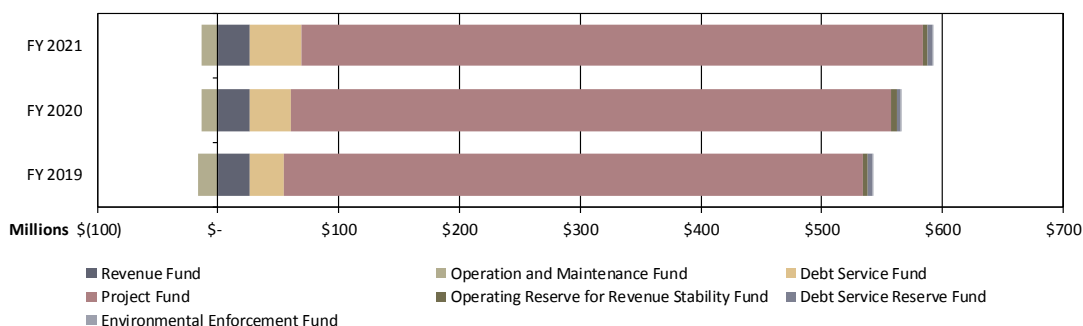
**Insurance Reserve Fund:** This fund has no assets or liabilities and NBC does not plan on using this fund.

**Unrestricted Fund:** This fund has no assets or liabilities and NBC does not plan on using this fund.

**Rebate Fund:** This fund has no assets or liabilities and NBC does not plan on using this fund.

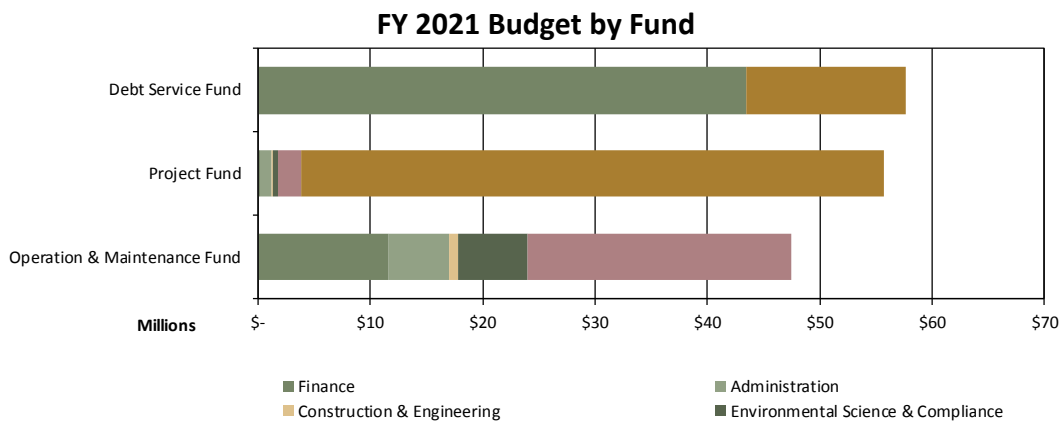
**Environmental Enforcement Fund:** This fund is not impacted by activity in the budget. A \$4,000 increase in net position is projected for FY 2020 and FY 2021 as no receipts are anticipated and the expense is projected to be at the same level as prior years.

The year-end projected net position for FY 2019, FY 2020 and FY 2021 is shown in the chart below with the largest increase in both the fund and balance in the Project Fund.



The following serves as an overview, showing the relationship between major funds and Divisions / Sections.

Fund - Organization Matrix				
Division / Section	Operation & Maintenance Fund	Project Fund	Debt Service Fund	TOTAL
<b>Administration</b>				
Administration	\$ 1,086,618	\$ 70,000	\$ -	\$ 1,156,618
Human Resources	784,228	-	-	784,228
Legal	824,927	-	-	824,927
IT	2,597,597	995,000	-	3,592,597
<i>Subtotal</i>	<i>5,293,370</i>	<i>1,065,000</i>	<i>-</i>	<i>6,358,370</i>
<b>Construction &amp; Engineering</b>				
Construction	88,802	30,000	-	118,802
Engineering	707,856	80,000	-	787,856
<i>Subtotal</i>	<i>796,658</i>	<i>110,000</i>	<i>-</i>	<i>906,658</i>
<b>Finance</b>				
Finance	2,061,215	100,000	-	2,161,215
Accounting	811,097	45,000	-	856,097
Customer Service	2,900,359	45,000	-	2,945,359
Purchasing	345,705	-	-	345,705
General Services	5,541,594	-	43,863,780	49,405,374
<i>Subtotal</i>	<i>11,659,970</i>	<i>190,000</i>	<i>43,863,780</i>	<i>55,713,749</i>
<b>Operations &amp; Maintenance</b>				
IM	2,320,617	710,000	-	3,030,617
Operations & Maintenance Services	1,218,963	70,000	-	1,288,963
Fields Point	12,397,411	740,000	-	13,137,411
Bucklin Point	7,466,377	612,000	-	8,078,377
<i>Subtotal</i>	<i>23,403,369</i>	<i>2,132,000</i>	<i>-</i>	<i>25,535,369</i>
<b>Environmental Science &amp; Compliance</b>				
Technical Analysis & Compliance	956,049	40,000	-	996,049
Pretreatment	1,219,271	45,000	-	1,264,271
Lab	2,458,727	160,000	-	2,618,727
Environmental Monitoring	1,624,946	121,000	-	1,745,946
<i>Subtotal</i>	<i>6,258,993</i>	<i>366,000</i>	<i>-</i>	<i>6,624,993</i>
<b>Non-Departmental</b>				
Capital Improvement Program	-	51,849,625	-	51,849,625
Operating Capital Program	-	-	-	-
Transfer to Project Fund - Restricted Account	-	-	13,372,774	13,372,774
Debt Service Payment Account/Other	-	-	400,000	400,000
<i>Subtotal</i>	<i>-</i>	<i>51,849,625</i>	<i>13,772,774</i>	<i>65,622,399</i>
<b>TOTAL</b>	<b>\$ 47,412,358</b>	<b>\$ 55,712,625</b>	<b>\$ 57,636,554</b>	<b>\$ 160,761,537</b>





**RESOLUTION 2020:12**

**APPROVAL OF THE NARRAGANSETT BAY COMMISSION  
FISCAL YEAR 2021 BUDGET**

WHEREAS, the Narragansett Bay Commission Board of Commissioners (Board) adopts an annual budget; and

WHEREAS, the Board has adopted and approved the FY 2022 – 2026 Capital Improvement Program (CIP) and the FY 2021 – FY 2026 Operating Capital Program (OCP); and

WHEREAS, the Finance Committee of the Board reviewed the Proposed Fiscal Year 2021 Budget in detail at the May 26, 2020 meeting;

WHEREAS, the Finance Committee and Board have reviewed the final Fiscal Year 2021 Budget;

NOW THEREFORE BE IT RESOLVED, that the Fiscal Year Budget is hereby approved as follows:

**Revenue and Sources of Funds**

User Fees	\$ 101,851,912
Pretreatment Fees	65,000
Septage Fees	330,000
Connection Permit Fees	346,000
Late Fees	900,000
Customer Service Fees	190,000
Renewable Energy Credits	577,000
Investment Income	243,000
Miscellaneous Non-Operating Revenue	146,000
Restricted Account - CIP	-
Restricted Account - OCP	3,863,000
Grant and Project Reimbursement Account	400,000
SRF Loan Proceeds	3,500,000
WIFIA - CSO Phase III A Facilities	30,318,957
WIFIA - Bucklin Point Resiliency Improvements	18,030,668
<b>Total Revenue and Source of Funds</b>	<b><u>\$ 160,761,537</u></b>

**Expense and Use of Funds**

Personnel	\$ 27,273,209
Operating Supplies/Expense	18,588,660
Professional Services	1,550,490
Debt Service	43,863,780
Transfer to Project Fund - Restricted Account	13,372,774
Operating Capital Program (OCP)	3,863,000
Capital Improvement Program (CIP)	51,849,625
Debt Service Payment Account/Other	400,000
<b>Total Expense and Use of Funds</b>	<b><u>\$ 160,761,537</u></b>

BE IT FURTHER RESOLVED; the FY 2021 Budget shall be administered as follows:

1. The Executive Director shall at all times seek to ensure that total operating and maintenance expense including debt service expense does not exceed \$91,276,138 for the period July 1, 2020 to June 30, 2021.
2. The number of full-time equivalent positions funded in the FY 2021 budget is 294. A list of the funded positions is included as part of this Resolution as Attachment 1.
3. Personnel Committee review and approval is required for the creation of new positions and the upgrading of existing positions not included in this budget. Finance Committee approval is also required if the action will result in a net increase in operating costs.
4. The Executive Director may post and fill vacancies of existing positions, modified positions or newly created positions included in this budget as well as positions added or modified in accordance with item 3 above.
5. The budget includes a 5.0% employer contribution to the non-union defined contribution retirement plan, funding of the employer share of the non-union defined benefit plan and an employer contribution to the union retirement plan at the rate established by the State Retirement Board. Budgeted operating and maintenance funds unspent at the end of the fiscal year may be used to increase the employer contribution to the non-union defined benefit plan as long the action does not impair NBC from meeting its coverage requirements.
6. The Executive Director shall report all purchase requisitions greater than \$10,000 for items included in the budget to the Finance Committee. The Executive Director shall present purchase requisitions greater than \$50,000 not included in this budget to the Finance Committee for approval.
7. The Executive Director shall administer this budget consistent with the restricted accounts as so ordered by the Public Utilities Commission until such time as the restricted accounts are modified, adjusted or amended.
8. The Executive Director shall administer this budget consistent with the Trust Indenture and all Supplemental Trust Indentures.
9. The Executive Director is hereby authorized to expend funds on capital projects for preliminary planning, staff time and other services in order to assess project need, scope and feasibility prior to project review and approval by the Board for inclusion in the CIP and/or as separate stand-alone projects.
10. The Chief Financial Officer is hereby authorized to finance the FY 2021 Operating Capital Program (OCP) and capital projects included in the NBC's FY 2022 - 2026 Capital Improvement Program from the Project Fund-Restricted Account. Capital payments by month and source shall be included in the monthly financial report submitted to the Board.
11. The Chief Financial Officer may authorize changes to the FY 2021 Operating Capital Program as long as the total expenditures do not exceed the total amount approved for the budget year. Any changes to the FY 2021 Operating Capital Program shall be presented to the Finance Committee as part of the monthly financial report.
12. The Chief Financial Officer is hereby authorized to modify budgeted Capital Improvement Program (CIP) funding sources as required to meet CIP cash draw needs, funding restrictions or emergencies.

13. The Chief Financial Officer shall prepare and submit a monthly financial report which shall include monthly financial statements, a detailed budget versus expense report, capital payments by month and source, operating budget transfers and changes to the OCP, and other related information. The monthly financial report shall be provided to the Board and presented to the Finance Committee for review prior to a regularly scheduled Board meeting.

**ADOPTED ON:** \_\_\_\_\_

**SIGNED:** \_\_\_\_\_

Position	Title	FTE's	Union	Non-Union
<b>Administration</b>				
EX001	EXECUTIVE DIRECTOR	1	-	NU
EX003	ADMINISTRATIVE COORDINATOR	1	-	NU
EX004	PUBLIC AFFAIRS MANAGER	1	-	NU
EX005	ENVIRONMENTAL EDUCATION COORDINATOR	1	-	NU
EX006	PUBLIC AFFAIRS SPECIALIST	1	-	NU
EX010	DIRECTOR OF ADMINISTRATION	1	-	NU
EX011	ADMINISTRATIVE ASSISTANT	1	-	NU
		7		
<b>Construction Services</b>				
CG001	DIRECTOR OF CONSTRUCTION AND ENGINEERING	1	-	NU
CG002	CONSTRUCTION MANAGER	1	-	NU
CG006	CONSTRUCTION OFFICE COORDINATOR	1	-	NU
CG007	RESIDENT REPRESENTATIVE	1	-	NU
CG010	MECHANICAL INSPECTOR	1	-	NU
CG013	RESIDENT REPRESENTATIVE	1	-	NU
CG015	ENGINEERING CONSTRUCTION COORDINATOR	1	-	NU
CG017	SENIOR RESIDENT REPRESENTATIVE	1	-	NU
CG019	RESIDENT REPRESENTATIVE	1	-	NU
CG018	SENIOR RESIDENT REPRESENTATIVE	1	-	NU
		10		
<b>Human Resources</b>				
HR006	HR MANAGER (EMPLOYEE/LABOR RELATIONS)	1	-	NU
HR003	HUMAN RESOURCES REP./BENEFITS COORDINATOR	1	-	NU
HR005	HUMAN RESOURCES TRAINING FACILITATOR	1	-	NU
HR007	LABOR RELATIONS REPRESENTATIVE	1	-	NU
HR002	SENIOR HUMAN RESOURCES REPRESENTATIVE	1	-	NU
HR004	HUMAN RESOURCES CLERK	1	U	-
		6		
<b>Legal</b>				
LE001	LEGAL COUNSEL	1	-	NU
LE003	CHIEF LEGAL COUNSEL	1	-	NU
LE004	LEGAL COUNSEL	1	-	NU
LE005	EXECUTIVE PARALEGAL	1	-	NU
LE007	EXECUTIVE PARALEGAL II	1	-	NU
LE008	GENERAL COUNSEL	1	-	NU
LE009	EXECUTIVE PARALEGAL	1	-	NU
		7		
<b>Engineering</b>				
EC001	PRINCIPAL FACILITIES ENGINEER	1	-	NU
EC002	ENGINEERING MANAGER	1	-	NU

Position	Title	FTE's	Union	Non-Union
EC003	PRINCIPAL ENVIRONMENTAL ENGINEER	1	-	NU
EC004	ENVIRONMENTAL ENGINEER	1	-	NU
EC005	ENVIRONMENTAL ENGINEER	1	-	NU
EC007	CSO PROGRAM MANAGER	1	-	NU
EC008	FACILITIES ENGINEER	1	-	NU
EC009	FISCAL COORDINATOR	1	-	NU
EC011	PRINCIPAL ENVIRONMENTAL ENGINEER	1	-	NU
EC010	FACILITIES MANAGEMENT ADMINISTRATOR	1	-	NU
		<u>10</u>		
<b>Finance</b>				
FI001	CHIEF FINANCIAL OFFICER	1	-	NU
FI004	FINANCIAL ANALYST	1	-	NU
FI007	SENIOR BUDGET ANALYST	1	-	NU
FI012	SENIOR FINANCIAL ANALYST	1	-	NU
FI013	SENIOR CAPITAL ANALYST	1	-	NU
FI014	FINANCIAL ANALYST	1	-	NU
FI015	ADMINISTRATIVE ASSISTANT - FINANCE	1	-	NU
FI016	RETIREMENT BENEFITS SPECIALIST	1	-	NU
FI017	TREASURY AND DEBT ANALYST	1	-	NU
FI018	PRINCIPAL BUDGET ANALYST	1	-	NU
		<u>10</u>		
<b>Accounting</b>				
AC001	ACCOUNTING MANAGER	1	-	NU
AC015	ASSISTANT ACCOUNTING MANAGER	1	-	NU
AC011	CAPITAL ACCOUNTING ASSISTANT	1	-	NU
AC006	CAPITAL PRINCIPAL ACCOUNTANT	1	-	NU
AC005	PAYROLL ADMINISTRATOR	1	-	NU
AC004	PAYROLL SUPERVISOR	1	-	NU
AC007	PRINCIPAL ACCOUNTANT	1	-	NU
AC008	STAFF ACCOUNTANT	1	-	NU
AC010	STAFF ACCOUNTANT	1	-	NU
AC002	SENIOR FISCAL CLERK	1	U	-
		<u>10</u>		
<b>Information Technology</b>				
IT001	IT MANAGER	1	-	NU
IT002	SENIOR NETWORK AND COMMUNICATIONS ADMINISTRATOR	1	-	NU
IT004	SENIOR SYSTEMS ADMINISTRATOR	1	-	NU
IT005	SENIOR APPLICATIONS SYSTEM SUPERVISOR	1	-	NU
IT007	JUNIOR SYSTEMS / NETWORK ADMINISTRATOR	1	-	NU
IT008	SENIOR DATABASE AND LINUX ADMINISTRATOR	1	-	NU
IT012	SYSTEMS DESIGN PROGRAMMER	1	-	NU

Position	Title	FTE's	Union	Non-Union
IT013	SENIOR SYSTEMS DEVELOPMENT PROGRAMMER	1	-	NU
IT014	SENIOR .NET DEVELOPER	1	-	NU
IT015	HELPDESK 1	1	-	NU
IT016	IT ADMINISTRATIVE ASSISTANT	1	-	NU
IT017	FACILITIES SYSTEM ADMINISTRATOR	1	-	NU
IT010	PC/PHONE SUPPORT/SYSTEMS ADMIN. SPECIALIST	1	-	NU
		<u>13</u>		

**Customer Service**

CS030	ASSISTANT BILLING SUPERVISOR	1	-	NU
CS037	ASSISTANT BILLING SUPERVISOR	1	-	NU
CS032	BILLING ANALYST	1	-	NU
CS033	BILLING ANALYST - CASH	1	-	NU
CS008	BILLING SUPERVISOR	1	-	NU
CS039	BILLING SUPERVISOR	1	-	NU
CS028	COLLECTIONS ANALYST	1	-	NU
CS035	COLLECTIONS SUPERVISOR	1	-	NU
CS003	CUSTOMER RESEARCH SUPERVISOR	1	-	NU
CS004	CUSTOMER SERVICE ANALYST	1	-	NU
CS005	CUSTOMER SERVICE ANALYST	1	-	NU
CS001	CUSTOMER SERVICE MANAGER	1	-	NU
CS036	CUSTOMER SERVICE SPECIAL PROJECTS COORDINATOR	1	-	NU
CS006	CUSTOMER SERVICE SUPPORT SUPERVISOR	1	-	NU
CS013	CUSTOMER SERVICE REPRESENTATIVE	1	U	-
CS016	CUSTOMER SERVICE REPRESENTATIVE	1	U	-
CS017	CUSTOMER SERVICE REPRESENTATIVE	1	U	-
CS018	CUSTOMER SERVICE REPRESENTATIVE	1	U	-
CS020	CUSTOMER SERVICE REPRESENTATIVE	1	U	-
CS024	CUSTOMER SERVICE REPRESENTATIVE	1	U	-
CS019	CUSTOMER SERVICE REPRESENTATIVE-FISCAL CLERK	1	U	-
CS026	CUSTOMER SERVICE REPRESENTATIVE-FISCAL CLERK	1	U	-
CS009	FIELD INVESTIGATOR	1	U	-
CS011	FIELD INVESTIGATOR	1	U	-
CS022	FISCAL CLERK - CUSTOMER SERVICE	1	U	-
CS021	SENIOR FISCAL CLERK	1	U	-
CS014	CUSTOMER SERVICE REPRESENTATIVE	1	U	-
CS038	ASSISTANT CUSTOMER SERVICE MANAGER	1	-	NU
		<u>28</u>		

**Purchasing**

PU001	PURCHASING MANAGER	1	-	NU
PU002	PURCHASING COORDINATOR	1	-	NU
PU010	PROGRAMS ANALYST	1	-	NU
PU009	ASSISTANT PURCHASING COORDINATOR	1	-	NU
		<u>4</u>		

Position	Title	FTE's	Union	Non-Union
<b>Interceptor Maintenance</b>				
IM002	ASSISTANT IM MANAGER	1	-	NU
IM004	IM INSPECTOR	1	-	NU
IM001	IM MANAGER	1	-	NU
IM032	IM SUPERVISOR	1	-	NU
IM033	IM SUPERVISOR	1	-	NU
IM031	INSTRUMENTATION ENGINEER	1	-	NU
IM035	PERMITS COORDINATOR	1	-	NU
IM005	SENIOR TECHNICAL ASSISTANT	1	-	NU
IM014	OPERATOR II	1	U	-
IM015	OPERATOR II	1	U	-
IM019	OPERATOR II	1	U	-
IM020	OPERATOR II	1	U	-
IM021	OPERATOR II	1	U	-
IM025	OPERATOR II	1	U	-
IM030	OPERATOR III	1	U	-
IM029	OPERATOR IV	1	U	-
IM027	ENVIRONMENTAL ENGINEER	1	-	NU
IM036	SENIOR PERMITS COORDINATOR	1	-	NU
IM034	TECHNICAL ASSISTANT	1	-	NU
IM037	ASSET MANAGEMENT SPECIALIST	1	-	NU
IM006	IM CLERK	1	U	
IM011	OPERATOR III	1	U	-
IM012	OPERATOR II	1	U	-
		23		
<b>Operations &amp; Maintenance Services</b>				
EN001	DIRECTOR OF OPERATIONS & MAINTENANCE	1	-	NU
EN013	CONTROL SYSTEMS ADMINISTRATOR	1	-	NU
EN014	ASST. CONTROL SYSTEM ADMINISTRATOR	1	-	NU
EN015	ASSET MANAGEMENT ADMINISTRATOR	1	-	NU
EN016	CONTROL SYSTEMS ASSOCIATE	1	-	NU
EN018	CONTROL SYSTEMS ASSOCIATE	1	-	NU
EN019	TECHNICAL ADVISOR FOR OPERATIONS	1	-	NU
		7		
<b>Field's Point</b>				
FP045	MAINTENANCE MANAGER	1	-	NU
FP013	MAINTENANCE SUPERVISOR	1	-	NU
FP073	MAINTENANCE SUPERVISOR	1	-	NU
FP005	O AND M TECHNICIAN	1	-	NU
FP001	OPERATIONS MANAGER	1	-	NU
FP010	OPERATIONS SUPERVISOR	1	-	NU
FP011	OPERATIONS SUPERVISOR	1	-	NU

Resolution 2020:12  
 FY 2021 Budgeted Positions

Attachment 1

Position	Title	FTE's	Union	Non-Union
FP012	OPERATIONS SUPERVISOR	1	-	NU
FP015	OPERATIONS SUPERVISOR	1	-	NU
FP003	CLERK	1	U	-
FP070	ELECTONICS & INSTRUMENTATION TECHNICIAN	1	U	-
FP058	FLEET MECHANIC	1	U	-
FP027	FP OPERATOR / HEO	1	U	-
FP046	INVENTORY CONTROL CLERK	1	U	-
FP047	INVENTORY CONTROL CLERK	1	U	-
FP061	LEAD ELECTRICIAN	1	U	-
FP053	MECHANIC I	1	U	-
FP054	MECHANIC I	1	U	-
FP057	MECHANIC I	1	U	-
FP065	MECHANIC I	1	U	-
FP049	MECHANIC II	1	U	-
FP050	MECHANIC II	1	U	-
FP051	MECHANIC II	1	U	-
FP066	MECHANIC II	1	U	-
FP069	MECHANIC II	1	U	-
FP026	OPERATOR I	1	U	-
FP030	OPERATOR I	1	U	-
FP034	OPERATOR I	1	U	-
FP043	OPERATOR I	1	U	-
FP044	OPERATOR I	1	U	-
FP128	OPERATOR I	1	U	-
FP129	OPERATOR I	1	U	-
FP139	OPERATOR I	1	U	-
FP025	OPERATOR II	1	U	-
FP016	PROCESS MONITOR	1	U	-
FP017	PROCESS MONITOR	1	U	-
FP018	PROCESS MONITOR	1	U	-
FP019	PROCESS MONITOR	1	U	-
FP020	PROCESS MONITOR	1	U	-
FP021	PROCESS MONITOR	1	U	-
FP023	PROCESS MONITOR	1	U	-
FP024	PROCESS MONITOR	1	U	-
FP074	PROCESS MONITOR	1	U	-
FP072	SENIOR ELECTRICIAN	1	U	-
FP059	SENIOR ELECTRONICS & INSTRUMENTATION TECHNICIAN	1	U	-
FP022	SENIOR PROCESS MONITOR	1	U	-
FP002	ASST. OPERATIONS MANAGER	1	-	NU
FP008	O AND M COORDINATOR	1	-	NU
FP009	OPERATIONS SUPERVISOR	1	-	NU
FP063	ELECTRICIAN	1	U	-
FP038	ELECTRONICS & INSTRUMENTATION TECHNICIAN	1	U	-



Position	Title	FTE's	Union	Non-Union
FP056	MECHANIC I	1	U	-
FP541	MECHANIC I	1	U	-
FP032	OPERATOR I	1	U	-
		54		
<b>Bucklin Point</b>				
BP041	ASSISTANT OPERATIONS MANAGER	1	-	NU
BP042	MAINTENANCE MANAGER	1	-	NU
BP054	MAINTENANCE SUPERVISOR	1	-	NU
BP001	OPERATIONS MANAGER	1	-	NU
BP043	OPERATIONS SUPERVISOR	1	-	NU
BP044	OPERATIONS SUPERVISOR	1	-	NU
BP045	OPERATIONS SUPERVISOR	1	-	NU
BP046	OPERATIONS SUPERVISOR	1	-	NU
BP055	ASSET MANAGEMENT ASSISANT	1	U	-
BP040	ASSISTANT ELECTRONICS & INSTRUMENTATION TECHNICIAN	1	U	-
BP039	ASSISTANT MAINT. PLANNER/SCHEDULER	1	U	-
BP047	CLERK	1	U	-
BP031	ELECTRICAL FOREMAN	1	U	-
BP022	ELECTRICIAN	1	U	-
BP030	ELECTRONICS & INSTRUMENTATION TECHNICIAN	1	U	-
BP021	HEAVY EQUIPMENT OPERATOR	1	U	-
BP023	MAINTENANCE PLANNER/SCHEDULER	1	U	-
BP024	MECHANIC I	1	U	-
BP026	MECHANIC I	1	U	-
BP029	MECHANIC I	1	U	-
BP034	MECHANIC II	1	U	-
BP035	MECHANIC II	1	U	-
BP048	MECHANIC II	1	U	-
BP103	OPERATIONS FOREMAN	1	U	-
BP013	OPERATOR I	1	U	-
BP016	OPERATOR I	1	U	-
BP025	OPERATOR I	1	U	-
BP037	OPERATOR I	1	U	-
BP056	OPERATOR I	1	U	-
BP057	OPERATOR I	1	U	-
BP519	OPERATOR I	1	U	-
BP011	OPERATOR II	1	U	-
BP012	OPERATOR II	1	U	-
BP005	PROCESS MONITOR	1	U	-
BP006	PROCESS MONITOR	1	U	-
BP007	PROCESS MONITOR	1	U	-
BP008	PROCESS MONITOR	1	U	-
BP009	PROCESS MONITOR	1	U	-
BP050	PROCESS MONITOR	1	U	-

Position	Title	FTE's	Union	Non-Union
BP051	PROCESS MONITOR	1	U	-
BP049	SENIOR ELECTRONICS & INSTRUMENTATION TECHNICIAN	1	U	-
BP004	UTILITY CREW FOREMAN	1	U	-
BP032	ELECTRICIAN	1	U	-
BP033	INVENTORY CONTROL CLERK	1	U	-
BP017	OPERATOR I	1	U	-
BP052	PROCESS MONITOR	1	U	-
BP053	PROCESS MONITOR	1	U	-
		47		

**Technical Analysis & Compliance**

PE001	DIRECTOR OF ENVIRONMENTAL SCIENCE & COMPLIANCE	1	-	NU
PE002	ENVIRONMENTAL COORDINATOR	1	-	NU
PE006	ENVIRONMENTAL SCIENTIST	1	-	NU
PE011	ENVIRONMENTAL SCIENTIST	1	-	NU
PE009	ENVIRONMENTAL SUSTAINABILITY ENGINEER	1	-	NU
PE010	SAFETY COMPLIANCE COORDINATOR	1	-	NU
PE013	SENIOR ENVIRONMENTAL SCIENTIST	1	-	NU
PE014	SUSTAINABILITY COORDINATOR	1	-	NU
PE007	TECHNICAL ANALYSIS & COMPLIANCE MANAGER	1	-	NU
PE004	ENVIRONMENTAL COMPLIANCE TECHNICAL ASSISTANT	1	-	NU
		10		

**Pretreatment**

PT002	ASSISTANT PRETREATMENT MANAGER	1	-	NU
PT004	PRETREATMENT ENGINEER	1	-	NU
PT008	PRETREATMENT ENGINEER	1	-	NU
PT001	PRETREATMENT MANAGER	1	-	NU
PT009	PRETREATMENT TECHNICIAN	1	-	NU
PT010	PRETREATMENT TECHNICIAN	1	-	NU
PT011	PRETREATMENT TECHNICIAN	1	-	NU
PT012	PRETREATMENT TECHNICIAN	1	-	NU
PT013	PRETREATMENT TECHNICIAN	1	-	NU
PT003	PRINCIPAL PRETREATMENT ENGINEER	1	-	NU
PT018	SENIOR PRETREATMENT TECHNICIAN	1	-	NU
PT014	PRETREATMENT CLERK	1	U	-
PT015	PRETREATMENT CLERK	1	U	-
PT016	PRETREATMENT CLERK	1	U	-
		14		

**Laboratory**

LA002	ASSISTANT LABORATORY MANAGER	1	-	NU
LA006	ENVIRONMENTAL CHEMIST	1	-	NU
LA011	ENVIRONMENTAL CHEMIST	1	-	NU
LA007	LAB SAMPLE COMPLIANCE COORDINATOR	1	-	NU

Position	Title	FTE's	Union	Non-Union
LA001	LABORATORY MANAGER	1	-	NU
LA020	QUALITY CHEMIST	1	-	NU
LA004	SENIOR ENVIRONMENTAL CHEMIST	1	-	NU
LA003	SENIOR ORGANIC CHEMIST	1	-	NU
LA005	BIOLOGIST II	1	U	-
LA008	CHEMIST	1	U	-
LA009	CHEMIST	1	U	-
LA015	CLERK	1	U	-
LA010	LABORATORY TECHNICIAN	1	U	-
LA012	TECHNICIAN	1	U	-
LA013	TECHNICIAN	1	U	-
LA017	TECHNICIAN	1	U	-
LA018	TECHNICIAN	1	U	-
LA022	BIOLOGIST	1	U	-
LA021	LABORATORY SUPERVISOR	1	-	NU
		<u>19</u>		
<b>Environmental Monitoring</b>				
EM002	ASSISTANT ENVIRONMENTAL MONITORING MANAGER	1	-	NU
EM001	ENVIRONMENTAL MONITORING MANAGER	1	-	NU
EM023	LIMS DATA COORDINATOR	1	-	NU
EM007	MONITORING FIELD SUPERVISOR	1	-	NU
EM008	MONITORING FIELD SUPERVISOR	1	-	NU
EM506	MONITORING FIELD SUPERVISOR	1	-	NU
EM017	CLERK	1	U	-
EM009	ENVIRONMENTAL MONITOR	1	U	-
EM011	ENVIRONMENTAL MONITOR	1	U	-
EM012	ENVIRONMENTAL MONITOR	1	U	-
EM013	ENVIRONMENTAL MONITOR	1	U	-
EM014	ENVIRONMENTAL MONITOR	1	U	-
EM015	ENVIRONMENTAL MONITOR	1	U	-
EM016	ENVIRONMENTAL MONITOR	1	U	-
EM021	ENVIRONMENTAL MONITOR	1	U	-
		<u>15</u>		
<b>Total FTEs</b>		<u><u>294</u></u>		



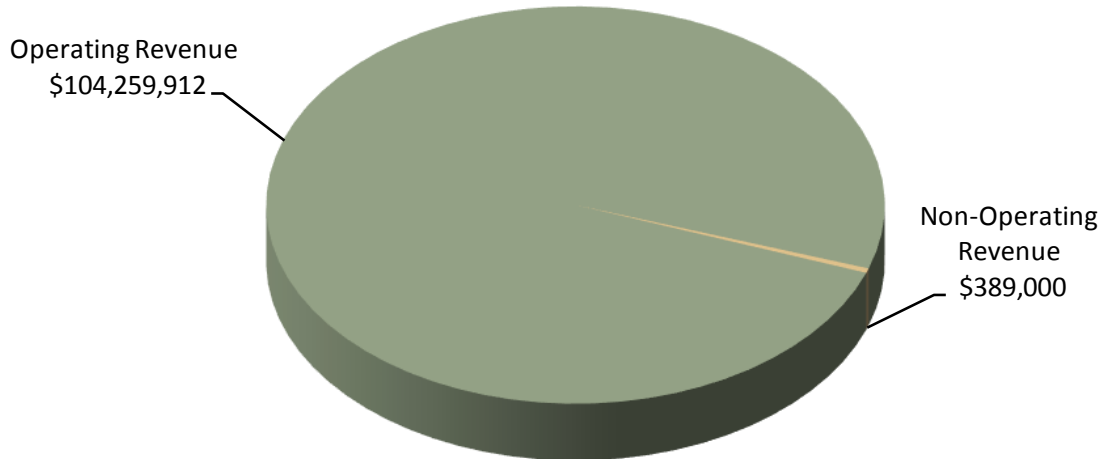
# Operating Budget

NBC's FY 2021 Operating Budget is \$104.6 million, which is 2.3% or approximately \$2.4 million lower than the prior year budget.

	<b>FY 2019 Actual</b>	<b>FY 2020 Budget</b>	<b>FY 2021 Budget</b>	<b>Budgeted Difference</b>
<b>Revenue</b>				
<b>Operating Revenue</b>				
User Fees	\$ 96,450,364	\$ 104,620,531	\$ 101,851,912	\$ (2,768,619)
Pretreatment Fees	1,066,369	62,800	65,000	2,200
Septage Income	321,036	335,000	330,000	(5,000)
Connection Fees/Capacity Charge	126,300	172,580	346,000	173,420
Late Fees	1,052,671	800,000	900,000	100,000
Customer Service Fees	195,460	230,000	190,000	(40,000)
Renewable Energy Credits	150,596	419,000	577,000	158,000
<i>Total Operating Revenue</i>	<u>99,362,797</u>	<u>106,639,911</u>	<u>104,259,912</u>	<u>(2,379,999)</u>
<b>Non-Operating Revenue:</b>				
Investment Income	290,251	280,000	243,000	(37,000)
Miscellaneous	145,161	159,500	146,000	(13,500)
<i>Total Non-Operating Revenue</i>	<u>435,412</u>	<u>439,500</u>	<u>389,000</u>	<u>(50,500)</u>
<b>Transfer from Revenue Fund Balance</b>	-	-	-	-
<b>Total Revenue</b>	<b>\$ 99,798,208</b>	<b>\$ 107,079,411</b>	<b>\$ 104,648,912</b>	<b>\$ (2,430,499)</b>
<b>Expense</b>				
<b>Operations and Maintenance Expense</b>				
Personnel	\$ 24,382,523	\$ 25,737,917	\$ 27,273,209	\$ 1,535,292
Operating Supplies/Expense	15,920,121	18,111,200	18,588,660	477,460
Professional Services	1,168,923	1,465,190	1,550,490	85,300
<i>Total Operations &amp; Maintenance</i>	<u>41,471,567</u>	<u>45,314,307</u>	<u>47,412,359</u>	<u>2,098,052</u>
<b>Debt Service</b>				
Principal	28,801,972	28,848,395	29,902,698	1,054,303
Interest	17,774,191	18,968,229	13,961,081	(5,007,148)
<i>Total Debt Service</i>	<u>46,576,163</u>	<u>47,816,624</u>	<u>43,863,780</u>	<u>(3,952,844)</u>
<b>Transfer to Project Fund - Restricted Account</b>	11,750,478	13,948,480	13,372,774	(575,706)
<b>Total Expense</b>	<b>\$ 99,798,208</b>	<b>\$ 107,079,411</b>	<b>\$ 104,648,912</b>	<b>\$ (2,430,499)</b>

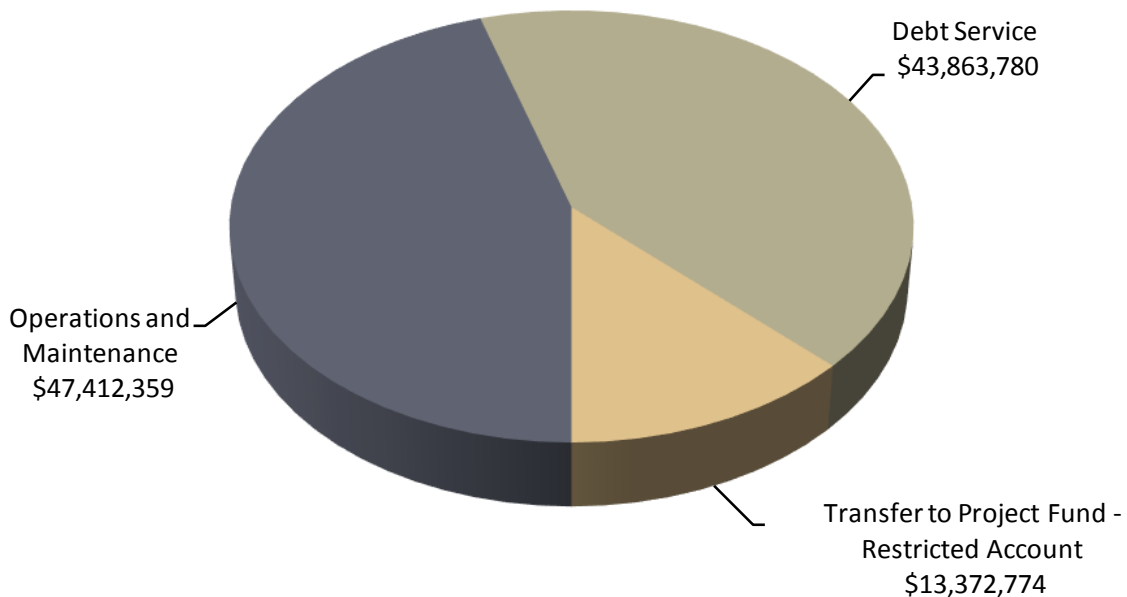
The FY 2021 budgeted operating revenue is \$2.4 million or 2.3% lower than last year’s budget. Total projected revenue for FY 2021 is approximately \$104.6 million, with User Fees being the most significant source of revenue at \$101.9 million or 97.3%. User fee revenue reflects a 6.17% rate increase effective July 1, 2019. The chart below illustrates the sources of FY 2021 budgeted revenue.

### Sources of Revenue



The largest category of expense in FY 2021 is Debt Service, which is approximately \$43.9 million and represents 41.9% of total uses of revenue. Budgeted Operations and Maintenance expense is \$47.4 million or 45.3%. The budget also includes a Transfer to the Project Fund – Restricted Account of \$13.4 million. The chart below illustrates FY 2021 budgeted uses of revenue.

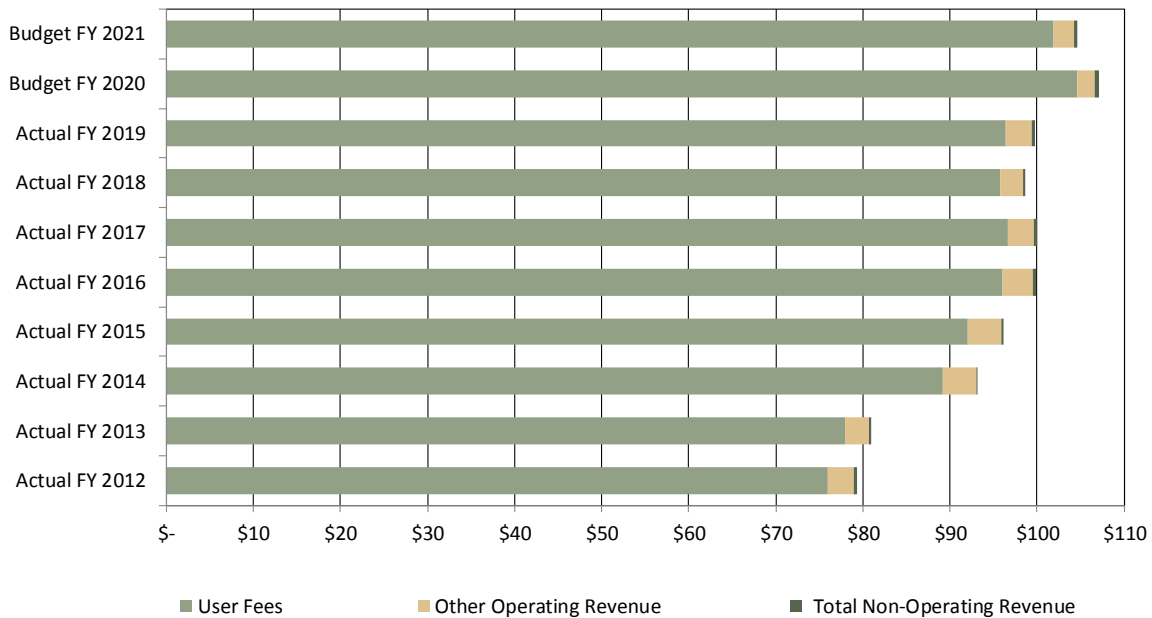
### Uses of Revenue



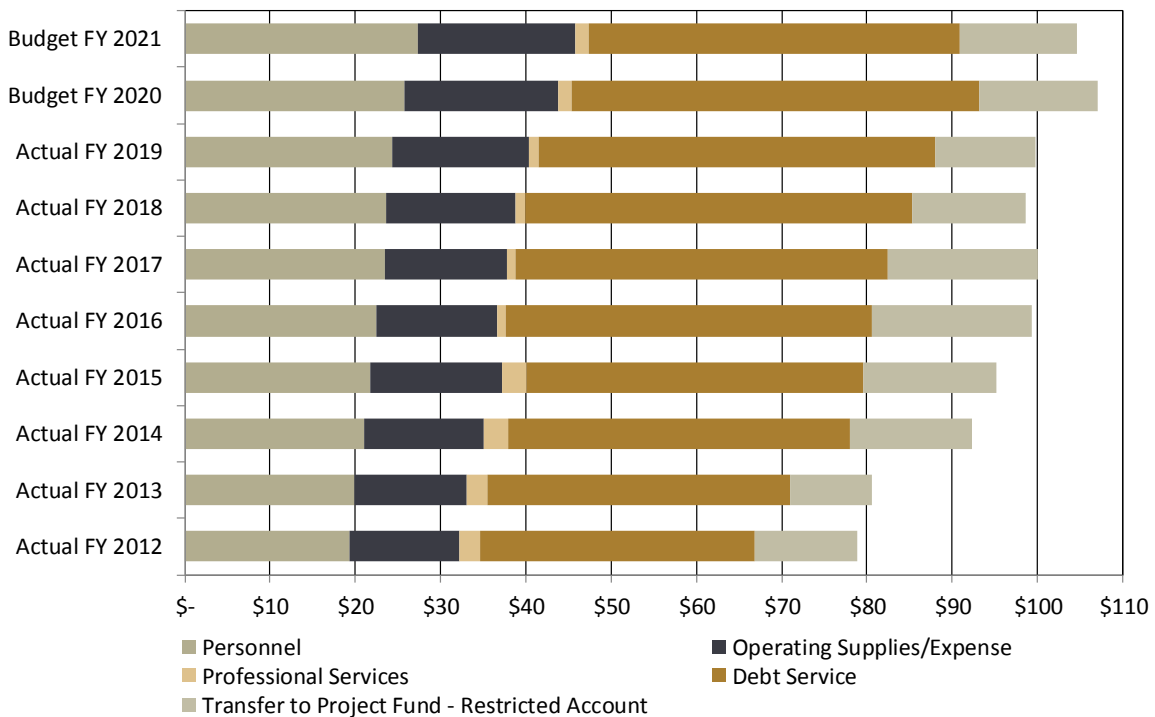
# Historical Overview

Revenue has grown significantly over the past ten years, primarily to support the debt service and debt service coverage associated with NBC’s capital program. The charts on this page represent a ten year historical overview of NBC’s revenue and expense.

### Ten-Year Historical Revenue Comparison (Millions \$)

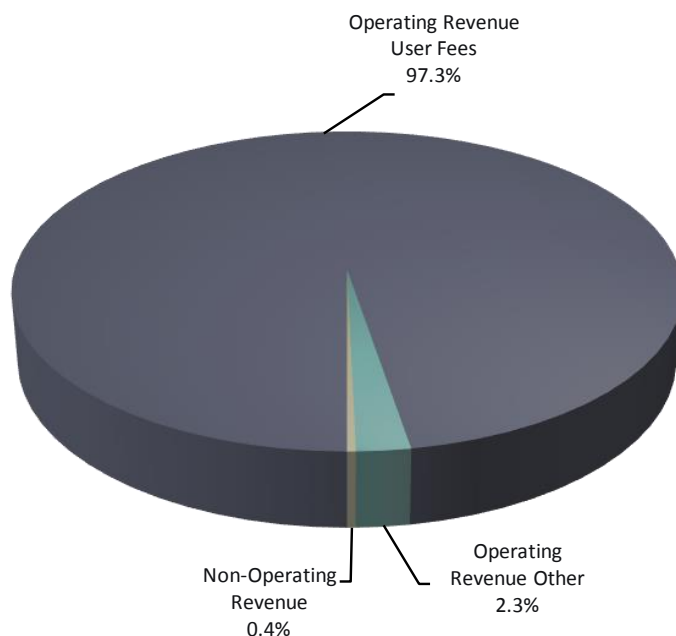


### Ten-Year Historical Expense Comparison (Millions \$)



# Revenue Profile

## Revenue by Category



Budgeted revenue in FY 2021 is approximately \$2.4 million or 2.3% less than FY 2020. This is the net effect of a 2.2% decrease in operating revenue and a 11.5% decrease in non-operating revenue. Historical and budgeted revenue is shown in the table below.

Revenue	FY 2018 Actual	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget	Percent Change	Budgeted Difference
<b>Operating Revenue</b>						
User Fees	\$ 95,822,841	\$ 96,450,364	\$ 104,620,531	\$ 101,851,912	(2.6%)	\$ (2,768,619)
Pretreatment Fees	1,066,370	1,066,369	62,800	65,000	3.5%	2,200
Septage Income	333,037	321,036	335,000	330,000	(1.5%)	(5,000)
Connection Fees/Capacity Charge	123,319	126,300	172,580	346,000	100.5%	173,420
Late Fees	796,362	1,052,671	800,000	900,000	12.5%	100,000
Customer Service Fees	38,848	195,460	230,000	190,000	(17.4%)	(40,000)
Renewable Energy Credits	152,338	150,596	419,000	577,000	37.7%	158,000
<i>Total Operating Revenue</i>	98,333,115	99,362,797	106,639,911	104,259,912	(2.2%)	(2,379,999)
<b>Non-Operating Revenue</b>						
Investment Income	199,406	290,251	280,000	243,000	(13.2%)	(37,000)
Miscellaneous	114,951	145,161	159,500	146,000	(8.5%)	(13,500)
<i>Total Non-Operating Revenue</i>	314,357	435,412	439,500	389,000	(11.5%)	(50,500)
<b>Total Revenue</b>	<b>\$ 98,647,472</b>	<b>\$ 99,798,208</b>	<b>\$ 107,079,411</b>	<b>\$ 104,648,912</b>	<b>(2.3%)</b>	<b>\$ (2,430,499)</b>

Of the \$104.6 million in total revenue, approximately \$101.9 million is from user fees, \$2.4 million is from other operating revenue and \$389 thousand is from non-operating revenue.

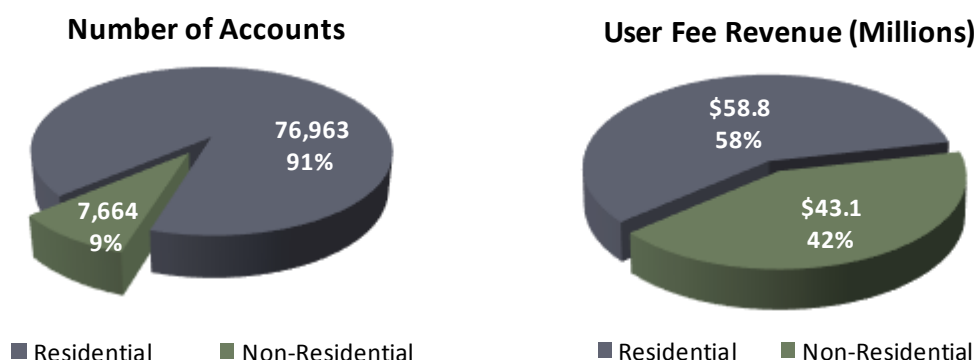


## User Fees

In FY 2021, user fees represent 97.7% of the projected operating revenue and 97.3% of total revenue. On a year-to-year basis, budgeted user fees are approximately 2.6% lower than last year's budget due primarily to projected lower consumption revenue as a result of COVID-19 impacts that are anticipated to continue into next fiscal year.

NBC's user fee rate structure classifies users as residential, commercial or industrial. NBC has approximately 76,963 residential accounts, which include residential structures up to and including six dwelling units and all residential condominiums regardless of the number of dwelling units. Commercial and industrial users, or the non-residential accounts, include residential structures containing more than six dwelling units, commercial, mixed-use and industrial properties. NBC bills approximately 7,664 non-residential accounts. Overall, 91% of NBC's customer accounts are residential and 9% are non-residential.

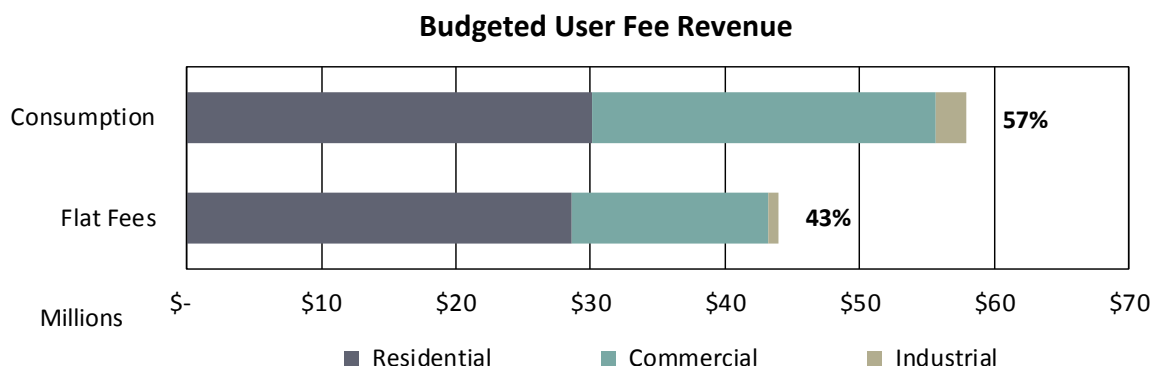
All customers are billed a flat fee and a consumption based fee. Residential customers are charged a flat fee based upon the number of dwelling units. Non-residential customers are charged a flat fee based upon meter size. Residential accounts comprise generate 58% of FY 2021 budgeted user charge revenue and non-residential accounts generate 42%. The following charts show the allocation of residential vs. non-residential number of accounts and user fee revenue.



The FY 2021 budgeted user fee revenue is \$101.9 million which is 2.6% lower than the prior year. The decrease is due to \$2.7 million or 4.4% lower budgeted consumption revenue along with a 0.3% reduction in flat fee revenue. The table below compares the FY 2020 and FY 2021 budgeted user fee revenue consumption and flat fees.

FY 2020 vs. FY 2021 Budgeted User Fees				
	FY 2020	FY 2021	Difference	Percent
Consumption	\$ 60,569,769	\$ 57,911,495	\$ (2,658,274)	(4.4%)
Flat Fees	44,050,762	43,940,417	(110,345)	(0.3%)
<b>Total</b>	<b>\$ 104,620,531</b>	<b>\$ 101,851,912</b>	<b>\$ (2,768,619)</b>	<b>(2.6%)</b>

The majority of user fee revenue is from consumption based fees as is shown in the following chart.



### Consumption Revenue

Consumption fee revenue is based upon billable water usage, with distinct consumption rates for each customer class. As part of NBC’s most recent rate case for new rates effective July 1, 2019, the billable consumption rate base was adjusted to reflect updated consumption trends. NBC was billing at the new rate base levels in FY 2020 until March of 2020 when the “stay-at-home” order issued by the State of Rhode Island in response to the COVID-19 pandemic appeared to cause a decline in consumption. NBC is not sure how long consumption may be impacted but it appears that the effects of COVID-19 on NBC’s user base is not likely to end in FY 2020. Therefore, NBC has taken a conservative approach and has adjusted consumption downward for all customer classes through December 2020.

FY 2020 vs. FY 2021 Budgeted HCF				
	FY 2020 Budget	FY 2021 Budget	Difference	Percent
Residential	8,152,818	7,908,233	(244,585)	(3.0%)
Commercial	4,667,872	4,457,818	(210,054)	(4.5%)
Industrial	673,807	606,426	(67,381)	(10.0%)
<b>Total</b>	<b>13,494,497</b>	<b>12,972,478</b>	<b>(522,019)</b>	<b>(3.9%)</b>

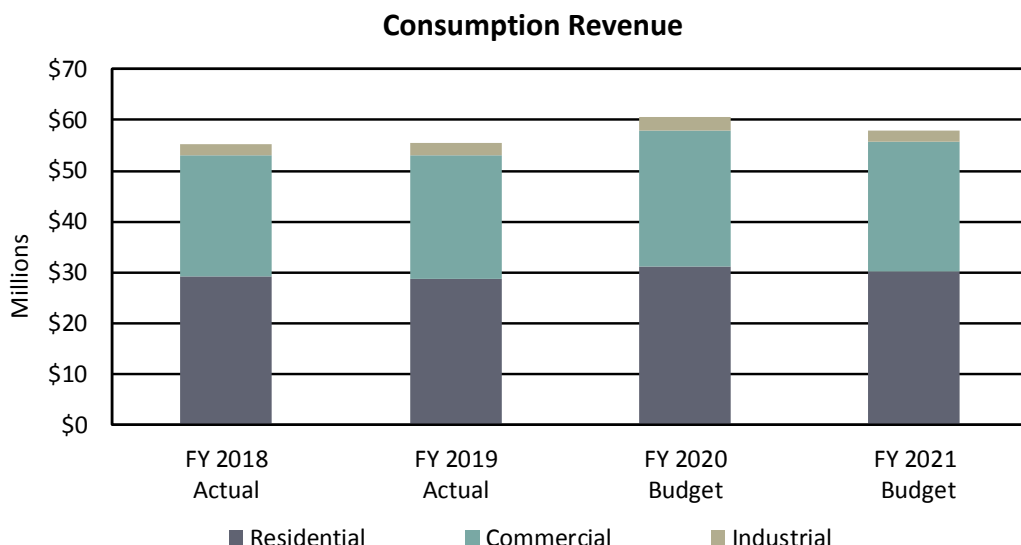
The impact on budgeted consumption based revenue by customer class is not directly proportional to the decline by customer class due to two factors. First, each user category is billed at a different rate, and second, the FY 2020 budgeted consumption revenue was based on projected new rates that were 0.34% higher than what was approved by the RIPUC. As a result of these two factors, overall budgeted consumption revenue is projected to be 4.4% lower than the prior year, however, the reduction by customer class is slightly different than the change in consumption.

FY 2020 vs. FY 2021 Budgeted Consumption Revenue				
	FY 2020 Budget	FY 2021 Budget	Difference	Percent
Residential	\$ 31,169,909	\$ 30,130,369	\$ (1,039,540)	(3.3%)
Commercial	26,864,998	25,507,633	(1,357,365)	(5.1%)
Industrial	2,534,862	2,273,492	(261,370)	(10.3%)
<b>Total</b>	<b>\$ 60,569,769</b>	<b>\$ 57,911,495</b>	<b>\$ (2,658,274)</b>	<b>(4.4%)</b>

The following table shows billable consumption by fiscal year with budgeted consumption lower in FY 2021 than the prior three fiscal years.

<b>Billable Consumption (HCF)</b>				
	<b>Residential</b>	<b>Commercial</b>	<b>Industrial</b>	<b>Total</b>
Actual FY 2018	8,233,501	4,694,089	655,659	13,583,249
Actual FY 2019	8,347,801	4,813,604	627,422	13,788,827
FY 2020 Budget	8,152,818	4,667,872	673,807	13,494,497
FY 2021 Budget	7,908,233	4,457,818	606,426	12,972,478

The following chart shows that the FY 2021 budgeted consumption revenue is lower than the prior year, however, due to the July 1, 2019 rate increase, NBC projects that consumption revenue will be higher than actual revenue in FY 2018 and FY 2019.



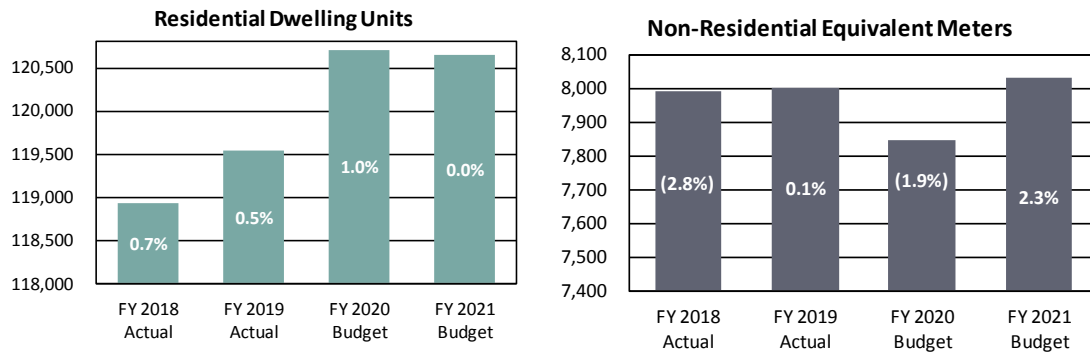
### Flat Fee Revenue

Flat fee revenue is based on the number of dwelling units for residential customers and billable meters by meter size for non-residential customers. FY 2021 budgeted flat fee revenue is \$110 thousand lower than the prior year primarily due to lower residential flat fee revenue.

<b>FY 2020 vs. FY 2021 Budgeted Flat Fee Revenue</b>					
	<b>FY 2020</b>	<b>FY 2021</b>	<b>Difference</b>	<b>Percent</b>	
Residential	\$ 28,756,597	\$ 28,657,617	\$ (98,980)	(0.3%)	
Commercial	14,555,891	14,558,596	2,705	0.0%	
Industrial	738,274	724,205	(14,069)	(1.9%)	
	\$ 44,050,762	\$ 43,940,417	\$ (110,345)	(0.3%)	

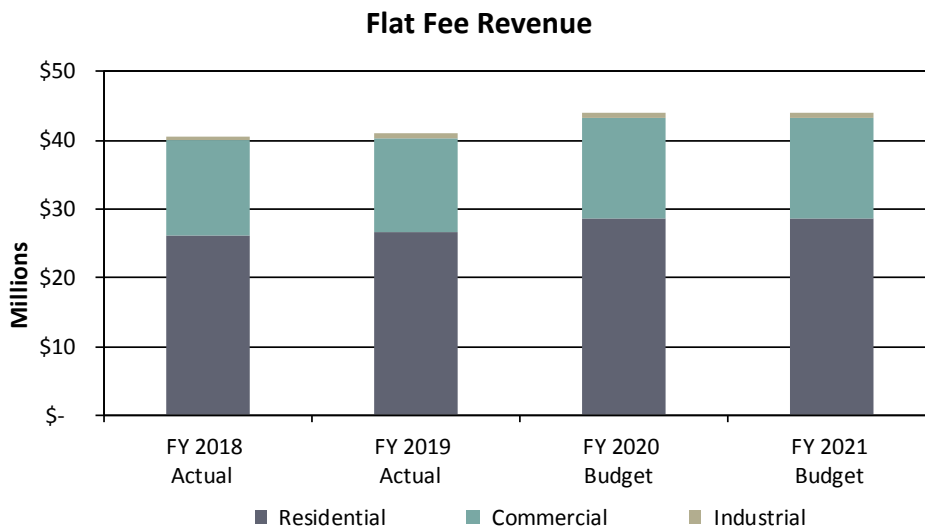
FY 2021 budgeted residential flat fee has been adjusted to reflect fewer actual dwelling units than were reflected in the adjusted rate base from NBC's most recent rate proceeding as well as the fact that the final RIPUC approved rates effective July 1, 2019 were 0.34% lower than projected. Non-residential flat fee revenue is budgeted at prior year levels since the number of equivalent meters is 2.3% higher than the PUC approved levels which offsets the lower final RIPUC rates. Overall, budgeted flat fee revenue is \$110,345 or 0.3% lower in FY 2021 than the prior year.

The following charts show the actual and budgeted residential dwelling units and non-residential equivalent meters.



The following table and chart show flat fee revenue by fiscal year with budgeted flat fee revenue slightly lower than the prior year budgeted level.

Flat Fee Revenue					
	Residential	Commercial	Industrial	Total	
FY 2018 Actual	\$ 26,231,403	\$ 13,723,826	\$ 700,351	\$ 40,655,580	
FY 2019 Actual	26,695,901	13,653,306	669,778	41,018,985	
FY 2020 Budget	28,756,597	14,555,891	738,274	44,050,762	
FY 2021 Budget	28,657,617	14,558,596	724,205	43,940,417	



The following table below shows that three of the last four rate increases have been for debt service and debt service coverage. The July 1, 2019 rate increase was for operations and maintenance expense and a rate base adjustment. This year's budget does not contemplate a rate increase. For more information regarding future rate increases, please see the CIP Impact and Long-Term Plan section of the budget.

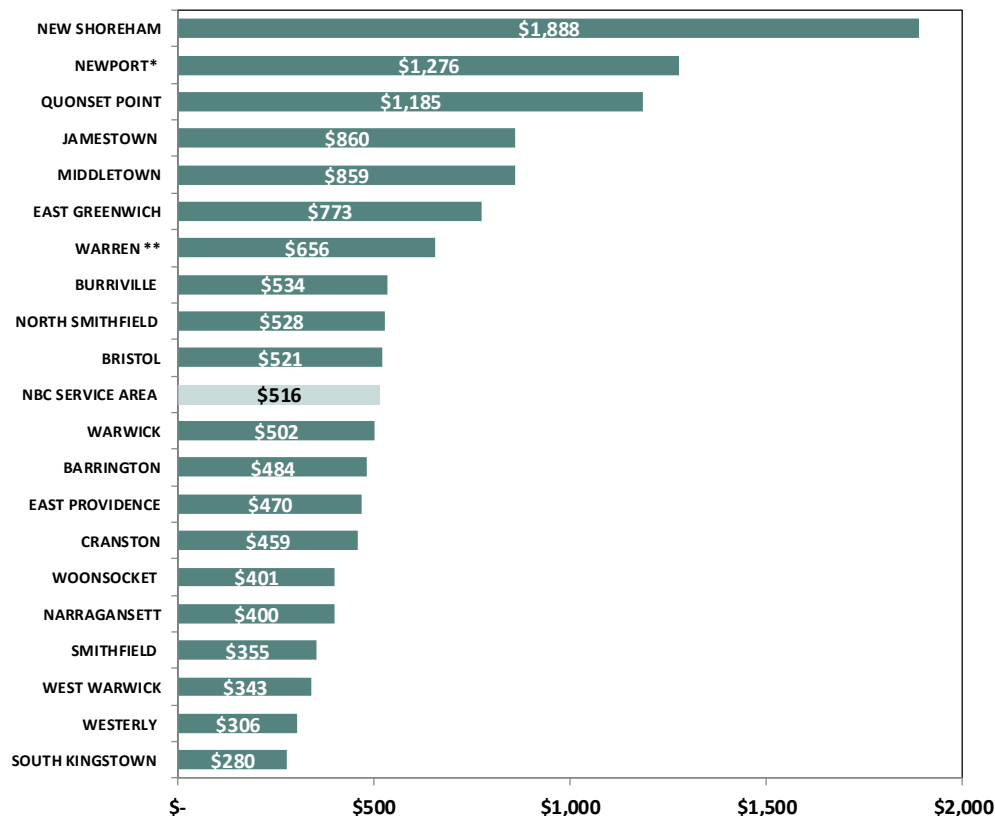
Rate History				
Effective Date	7/1/2015	7/14/2016	1/1/2019	7/1/2019
Type of Filing	Compliance	Compliance	Compliance	General
Purpose	Debt	Debt	Debt	O&M/Rate Base
Revenue Increase	2.29%	1.48%	2.88%	5.88%
User Rate Increase	2.40%	1.53%	2.98%	6.17%
Average Annual Residential Fee (150 gpd)	\$470	\$477	\$491	\$516

The table below shows NBC's FY 2021 user rates for residential and non-residential users. At these rates, NBC's estimated average annual residential sewer user fee based on annual usage of 150 gallons per day is \$516.

NBC User Fees Effective July 1, 2019		
Residential	Non-Residential	
Customer Charge - based on number of Dwelling Units	<b>Meter Size</b>	<b>Charge</b>
Residential Customer Charge: \$237.41/dwelling unit	5/8"	\$ 563
Consumption Charge: \$3.810/hcf	3/4"	\$ 845
Total Annual Average Residential Rate: \$516	1"	\$ 1,408
(Based on 73.2 hcf* or 150 gallons per day)	1 1/2"	\$ 2,815
<b>Non-Residential</b>	2"	\$ 4,504
Customer Charge - based on Meter Size	3"	\$ 8,445
Commercial Consumption Charge: \$5.722/hcf	4"	\$ 14,075
Industrial Consumption Charge: \$3.749/hcf	6"	\$ 28,150
	8"	\$ 45,040
	10"	\$ 64,745
*hcf = hundred cubic feet		

Since FY 2018, NBC has calculated the average annual residential sewer user fee based on the updated actual average consumption of 150 gallons per day per dwelling unit. The following table shows the results of NBC's 2019 annual sewer rate survey based upon usage of 150 gallons per day. The survey shows that despite NBC's large operation and significant capital improvements, NBC's average residential user rate of \$516 in 2019 was below the state average of \$647.

#### 2019 Annual Rhode Island Residential Sewer Charges

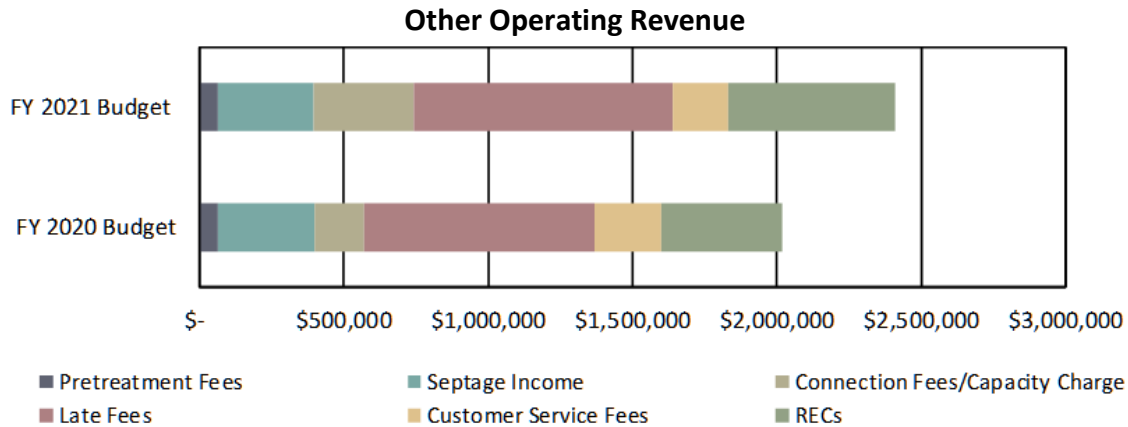


\* Newport includes stormwater fees

\*\* Warren sewer use fees include a component based on ad-valorem taxes. For purposes of this survey, the fee is based on the median home value of \$216,000

## Other Operating Revenue

While NBC's primary source of operating revenue is from user fees, NBC has other operating revenue, which represents the remaining 2.3%. The chart below shows that the largest sources of other operating revenue are late fees, new connection permit/capacity charge fees, customer service fees, Renewable Energy Credit (REC) revenue, septage fees and pretreatment fees. Overall, budgeted other operating revenue is \$388,620 or 19.2% higher in FY 2021 than the prior year due primarily to an increase in new connection related revenue.



NBC implemented a new sewer connection permit fee/capacity charge structure in FY 2020 based on whether the new service is a direct or indirect connection. NBC anticipates revenue from this source will be 100% higher than what was budgeted in FY 2020 and is budgeting at that higher level in FY 2021. Please see the following table for a comparison of the budgeted revenue from these fees.

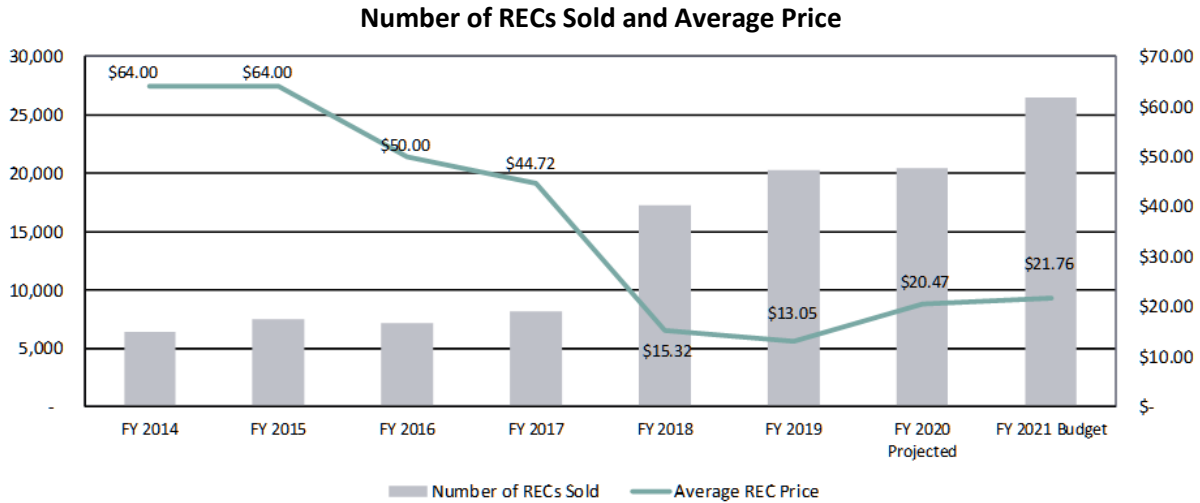
Connection Permit Fees / Capacity Charge				
	FY 2020 Budget	FY 2021 Budget	Difference	
Connection Permit Fees	\$ 43,580	\$ 55,000	\$	11,420
Capacity Charge	129,000	291,000		162,000
<b>Total</b>	<b>\$ 172,580</b>	<b>\$ 346,000</b>	<b>\$</b>	<b>173,420</b>

The FY 2021 budget for customer service fees is \$40,000 less than the prior year. This is due to lower than budgeted real estate closing fees in FY 2020 that may be in part due to reduced activity impacts of COVID-19. NBC is budgeting FY 2021 customer service fees at the projected FY 2020 level. Please see the following table for a comparison of the budgeted revenue from these fees.

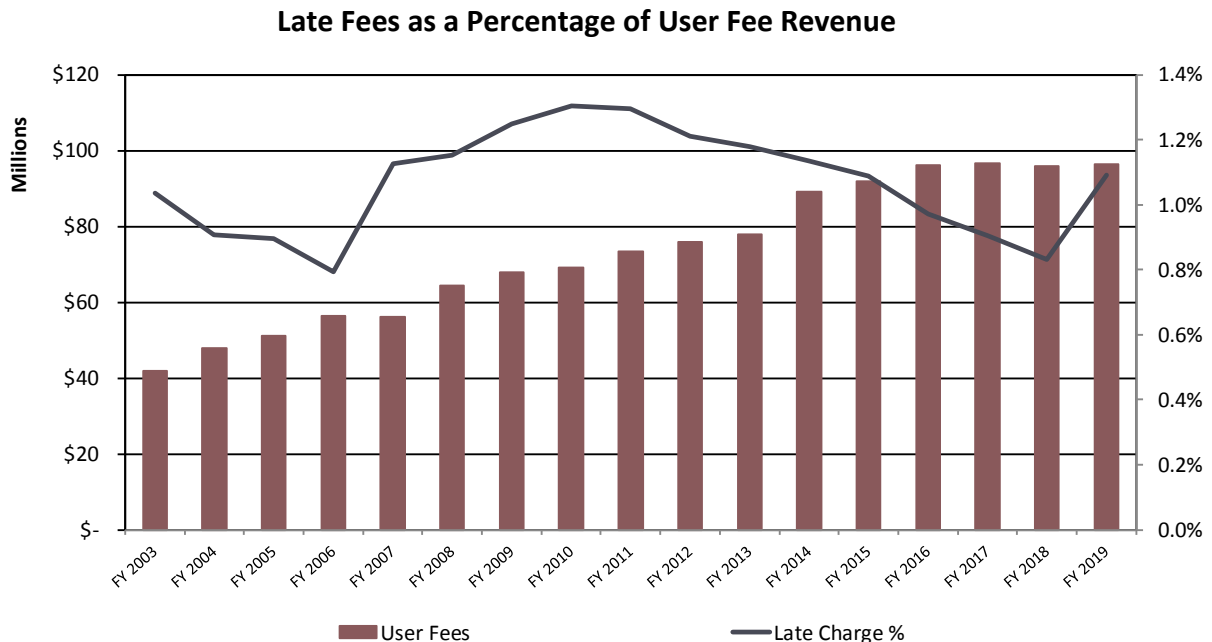
Customer Service Fees				
	FY 2020 Budget	FY 2021 Budget	Difference	
Real Estate Closing Fee	\$ 204,000	\$ 158,000	\$	(46,000)
Abatement Application Fee	6,000	2,000		(4,000)
Returned Check Fee	20,000	30,000		10,000
<b>Total</b>	<b>\$ 230,000</b>	<b>\$ 190,000</b>	<b>\$</b>	<b>(40,000)</b>

The FY 2021 budget also reflects a \$158,000 or 38.0% increase in REC revenue over the prior year. This is the net effect of a 29.5% increase in RECs generated due to a new Power Purchase Agreement (PPA) for three solar power facilities located at off-site locations and a projected 6.3% increase in the price per REC from \$20.47/kWh to \$21.76/kWh. Total REC revenue budgeted in FY 2021 is \$577,000.

Budgeted Renewable Energy Credits					
	FY 2020		FY 2021		Difference
<b>Renewable Energy Credits</b>	\$	419,000	\$	577,000	\$ 158,000
Average Rate/REC	\$	20.47	\$	21.76	\$ 1.29
Number of RECs		20,485		26,522	6,037



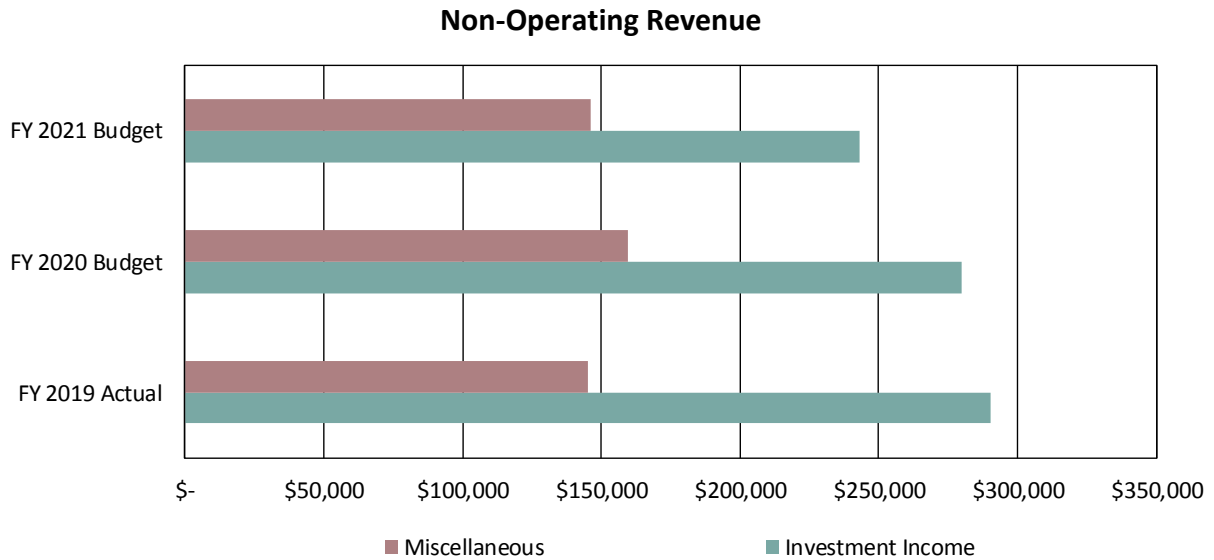
Late fees are assessed at a rate of 1.0% per month on any unpaid balance past due 30 days from the billing date. In FY 2019, the increase of late fees is a result of the conversion to the new Customer Service billing system. Through the conversion scheduled water-shut offs were cancelled. NBC projects the FY 2020 late fee revenue to be approximately \$97 thousand higher than budgeted in part due to limitations imposed by the RIPUC on collection activity in response to COVID-19. NBC anticipates that COVID-19 may continue to impact collections in FY 2021, which will increase past due balances and therefore late fee revenue. As a result, NBC is budgeting FY 2021 late fee revenue \$100 thousand more than the prior year. The following chart shows how late fee revenue as a percentage of operating revenue has generally declined over the past five fiscal years with the exception of FY 2019, an indication of effective collections.



Septage fees are paid by permitted haulers based upon the amount of septage that they discharge at NBC's Septage Receiving Station. FY 2021 budgeted septage revenue is unchanged from the prior year.

### Non-Operating Revenue

Non-Operating revenue includes investment income, rental revenue and miscellaneous revenue. As is shown in the following table, Non-Operating revenue is projected to decrease \$50,500 or 11.5% from the FY 2020 budgeted level. Investment income is budgeted \$37,000 lower than the prior year due to lower interest rates. The budget also reflects a 11.5% decline in miscellaneous revenue. The following chart shows the non-operating revenue on a year-to-year basis.



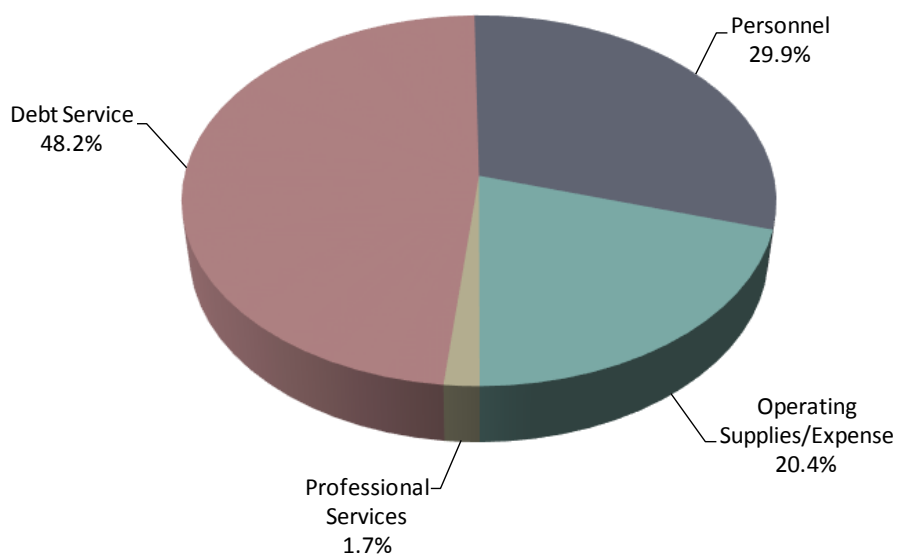


# Expense Profile

## Expense by Element

The chart below shows the fiscal year 2021 operating expense by element. Debt Service accounts for nearly half of the total Operating Budget, at 48.2%. The next largest expense category is Personnel, at 29.9% of the budget followed by Operating Supplies and Expense at 20.4% and Professional Services at 1.7%.

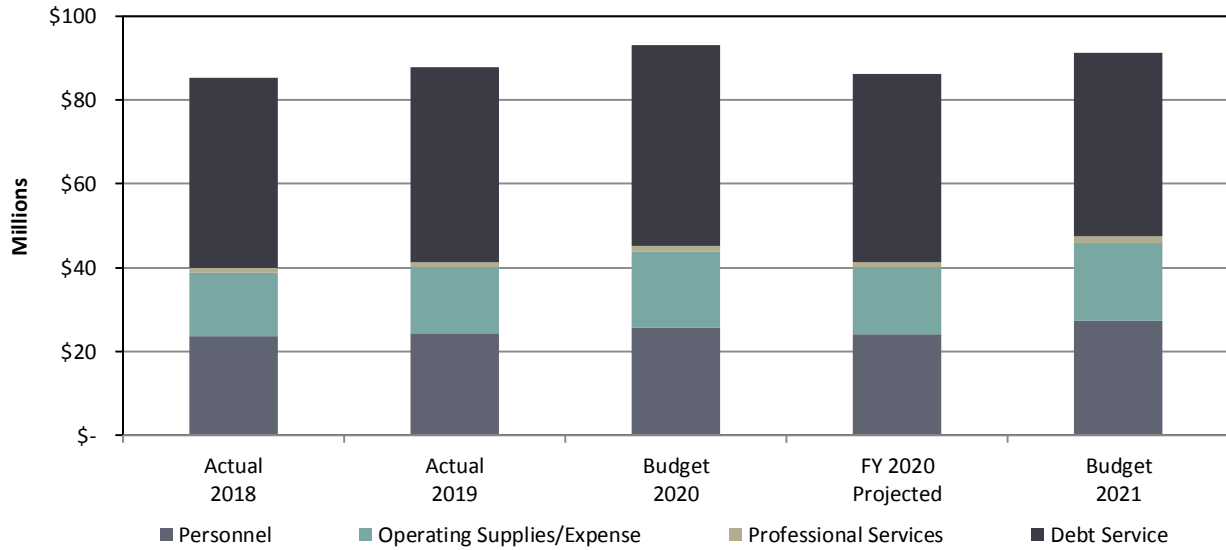
**FY 2021 Operating Budget by Element of Expense**



NBC's total Operating Budget expense for FY 2021 is \$91,276,138. This is a decrease of approximately \$1.9 million or 2.0% from the approved FY 2020 budget. The following table and chart show historical, projected and budgeted expense over a four-year period.

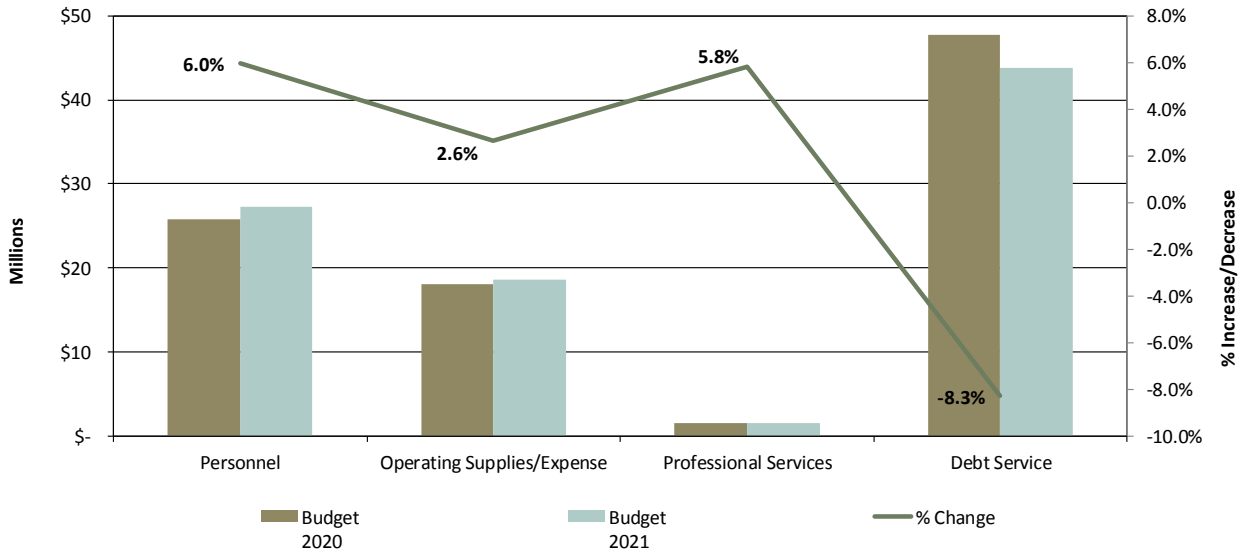
	Actual 2018	Actual 2019	Budget 2020	FY 2020 Projected	Budget 2021	FY 20 - FY 21 % Change	FY 2021 % Budget
Personnel	\$ 23,581,657	\$ 24,382,524	\$ 25,737,917	\$ 24,198,400	\$ 27,273,209	6.0%	29.9%
Operating Supplies/Expense	15,125,106	15,863,966	18,111,200	16,061,348	18,588,660	2.6%	20.4%
Professional Services	1,196,940	1,076,295	1,465,190	1,159,549	1,550,490	5.8%	1.7%
<i>Subtotal</i>	39,903,703	41,322,785	45,314,307	41,419,297	47,412,359	4.6%	51.9%
Debt Service	45,431,230	46,576,162	47,816,624	44,847,952	43,863,780	(8.3%)	48.2%
<b>Total</b>	<b>\$ 85,334,933</b>	<b>\$ 87,898,947</b>	<b>\$ 93,130,931</b>	<b>\$ 86,267,249</b>	<b>\$ 91,276,138</b>	<b>-2.0%</b>	<b>100.0%</b>

### Budget by Element of Expense



The graph below compares budgeted expense in FY 2020 to FY 2021 and illustrates the increases and decreases for each element of expense. Expense has increased in three of four categories over the prior year’s budget. Personnel expense increased by 6.0% or approximately \$1.5 million; Operating Supplies/Expense increased by 2.6% or approximately \$477 thousand; Professional Services increased by 5.8% or \$85,300; while Debt Service decreased by 8.3% or \$3.9 million from last year’s budget.

### FY 2020/2021 Budget Comparison of Expense by Element



Major highlights by element of expense are discussed in the sections that follow.

## Personnel

Personnel expense consists primarily of employee wages and benefits, employer payroll taxes and unemployment expense. Personnel expense is budgeted net of capital reimbursements for staff working on capital projects. The FY 2021 budgeted personnel expense is \$27.3 million, which represents a net increase of approximately 6.0% or approximately \$1.5 million over the prior year.

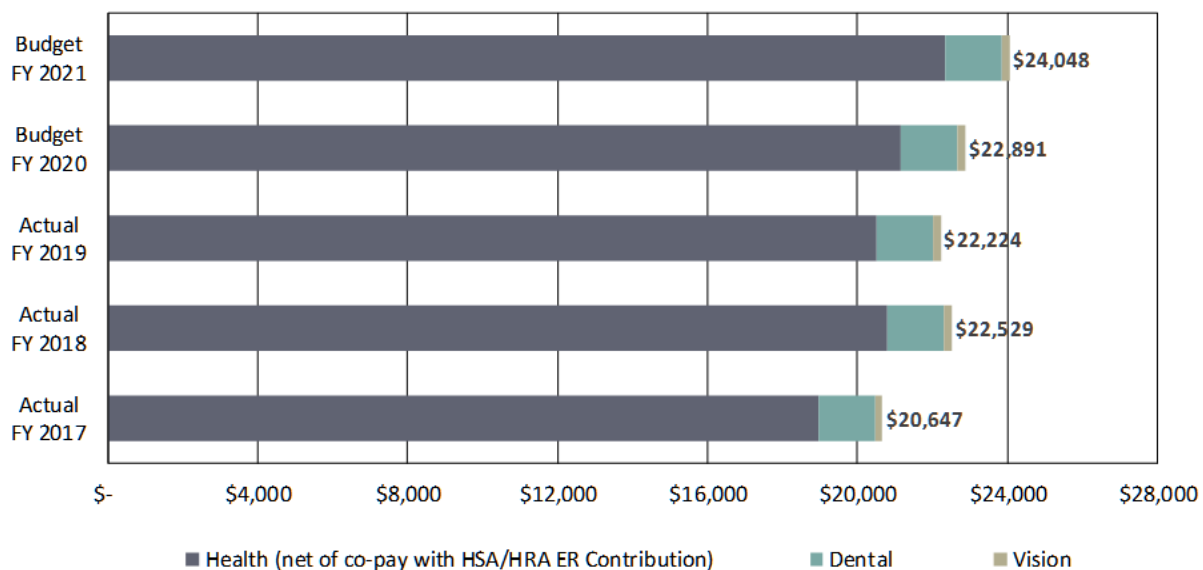
The NBC employs non-union employees and union employees. The NBC’s union employees are members of either the Rhode Island Laborers’ District Council Public Service Employees’ Local 1033 of the Laborers’ International Union of North America (LIUNA), American Federation of Labor - Congress of Industrial Organizations (AFL-CIO), or of the Rhode Island Council 94, American Federation of State, County and Municipal Employees (AFSCME), AFL-CIO, Local 1010 and Local 2884.

With respect to salaries and wages, this year’s budget includes contracted step increases and the COLA of 2.5% for union employees in accordance with the third year of the three-year CBA contract. Salaries for non-union employees reflect comparable merit increases. FY 2021 budgeted overtime for union and non-union employees is \$49,500 higher than FY 2020.

## Health, Dental and Vision Benefits

Health, dental and vision benefits are budgeted based on actual enrollment and a weighted average for unfilled positions. The FY 2021 budget reflects an increase of 10.9% to the health insurance budgeted line item. This is the result of an increase in budgeted FTEs and a higher budgeted health insurance premium. In FY 2021, NBC will offer a HDHP with employer funding up to \$1,800 (individual) and \$3,600 (family) of a Health Reimbursement Arrangement. As is shown in the chart below, the budgeted health insurance premium for family coverage is 5.5% higher than last year while the dental and vision premiums remain unchanged.

**Budgeted Health, Dental & Vision Insurance for Family Coverage**



The FY 2021 Budget includes funding for the wellness initiative program offered by NBC that encourages employees to participate in wellness activities. The non-union Long-Term Disability insurance premium remains unchanged from the prior year. The budgeted benefits comparison for a family plan is shown in the following table and is 5.1% higher than the prior year budget.

Healthcare Benefits	Actual	Actual	Actual	Budget	Budget
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Health*	\$ 18,942	\$ 20,802	\$ 20,497	\$ 21,164	\$ 22,321
Dental	1,510	1,510	1,510	1,510	1,510
Vision	195	217	217	217	217
Total	<u>\$ 20,647</u>	<u>\$ 22,529</u>	<u>\$ 22,224</u>	<u>\$ 22,891</u>	<u>\$ 24,048</u>

\* Net of employee premium co-payment with HSA/HRA employer contribution

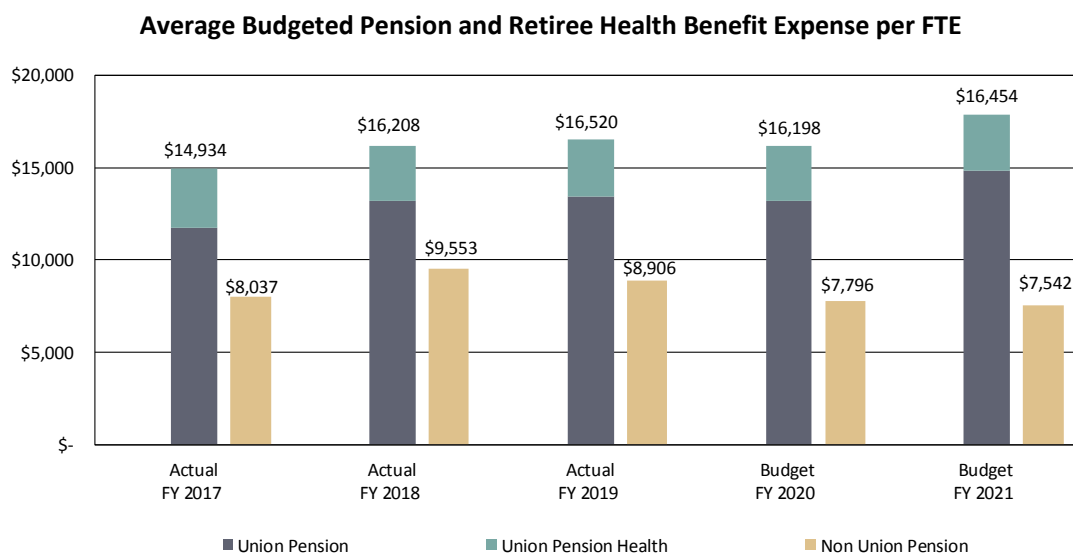
## Retirement

Union employees participate in the Employees' Retirement System of Rhode Island (ERSRI). ERSRI sets the annual employer contribution rate for both the pension and retiree health benefits. The FY 2021 employer contribution to the union pension increased to 28.57% and the union retiree health benefits decreased to 5.87%.

Other Benefits:	Actual	Actual	Actual	Budget	Budget
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
State Retirement (Union)	26.34%	26.34%	26.34%	26.39%	28.57%
Non-Union Retirement	10.00%	10.00%	10.00%	10.00%	10.00%
FICA	6.20%	6.20%	6.20%	6.20%	6.20%
Medicare	1.45%	1.45%	1.45%	1.45%	1.45%
Retirement Health (Union)	5.97%	5.97%	5.97%	6.65%	5.87%

NBC's non-union employees participate in a defined contribution plan and a defined benefit plan which are administered by NBC. The FY 2021 budget for non-union retirement expense is 10.0% of the budgeted non-union salaries and wages.

The following chart shows that the average employer retirement contribution per FTE for union employees is more than double that of non-union employees in FY 2021.

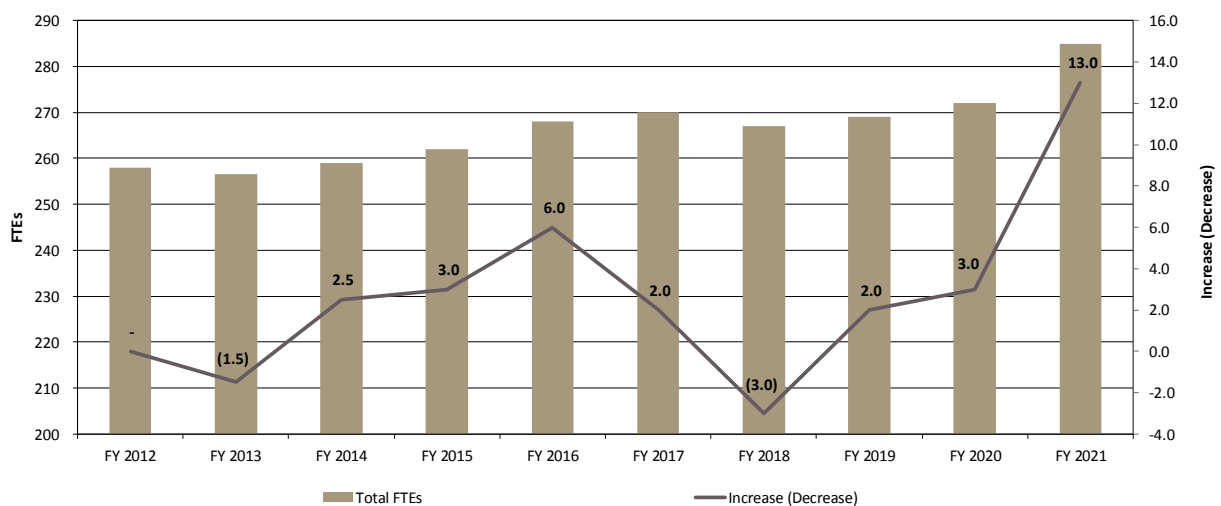


## Budgeted FTEs

The total number of FTEs included in the FY 2021 budget is 294, which is 13 more than the prior year budget. Three positions were authorized last budget year subsequent to the adoption of the FY 2020 budget, and 10 new FTE's are included in this year's budget. Budgeted turnover remains unchanged from the prior year budget at 9.0 FTEs. The net result is an increase of 13.0 FTEs to 285 funded FTEs.

Program	FY 2012	FY 2013	FY2014	FY2015	FY2016	FY 2017	FY2018	FY2019	FY2020	FY2021
Administration	8	8	8	8	8	8	8	8	6	7
Human Resources	4	4	4	4	4	4	4	4	6	6
Information Technology	11	12	12	12	12	12	12	12	12	13
Legal	5	5	5	5	5	5	5	6	7	7
Construction	12	13	13	13	11	11	10	10	9	10
Engineering	-	-	-	-	-	-	6	7	10	10
Finance	5	5	5	5	5	5	6	7	8	10
Accounting	10	10	10	10	10	10	10	10	10	10
Customer Service	24	24	24	24	25	25	25	25	27	28
Purchasing	4	4	4	4	4	4	3	3	2	4
Interceptor Maintenance	21	20	20	20	20	20	18	20	19	23
Operations & Maintenance Services	9	8	9	9	9	9	7	6	7	7
Field's Point	58	57	57	59	59	59	54	54	54	54
Bucklin Point	33	33	34	35	43	45	45	47	47	47
Technical Analysis & Compliance	5	5	5	5	5	5	4	4	10	10
Pretreatment	14	14	14	14	14	14	14	14	14	14
Laboratory	16	16	16	17	17	17	17	17	18	19
Environmental Safety & Technical Assistance	4	4	4	4	4	4	4	4	-	-
Environmental Monitoring	17	17	17	17	17	17	17	17	15	15
<b>Total FTEs</b>	<b>260</b>	<b>259</b>	<b>261</b>	<b>265</b>	<b>272</b>	<b>274</b>	<b>269</b>	<b>275</b>	<b>281</b>	<b>294</b>
<b>Less: Turnover</b>	<b>(2.0)</b>	<b>(2.5)</b>	<b>(2.0)</b>	<b>(3.0)</b>	<b>(4.0)</b>	<b>(4.0)</b>	<b>(2.0)</b>	<b>(6.0)</b>	<b>(9.0)</b>	<b>(9.0)</b>
<b>Net Budgeted FTEs</b>	<b>258</b>	<b>257</b>	<b>259</b>	<b>262</b>	<b>268</b>	<b>270</b>	<b>267</b>	<b>269</b>	<b>272</b>	<b>285</b>

## Net Budgeted Positions (FTEs)



## Reorganization

A number of position changes and reallocations were authorized during the last year and those changes are reflected in this budget. The FY 2021 budget reflects changes to the organizational chart effective July 1, 2020 as well as funding for certain position changes and adjustments resulting from the implementation of the non-union compensation study approved in FY 2020.

This year's operating budget reflects the transfer of the sewer connection permits function from the Construction & Engineering Division to the Operations & Maintenance Division. In addition, the insurance and risk management functions were transferred from the Finance section to the Purchasing section in the Finance Division.

## New Positions

In addition to three new positions added in FY 2020 subsequent to the adoption of the budget, the FY 2021 budget reflects ten new positions to address staffing needs. One position, a Facilities System Administrator in the IT section will support IT and Operations for both WWTFs. The budget also includes two positions in the Construction & Engineering Division, a Resident Representative in the Construction Services section and a Principal Environmental Engineer in the Engineering section to assist with design and construction of NBC's capital improvements. Four new positions are budgeted in the Finance section including an Administrative Assistant to support the Finance Division and manage compliance activities; a Retirement Benefits Specialist to manage NBC's Retirement Plans, a Treasury and Debt Analyst to support debt management and investment activity; and lastly a Principal Budget Analyst to assist with preparation of reports and filings. This year's budget also includes an Asset Management Specialist and an IM Clerk in the IM Section to provide asset management support. Lastly, a new Biologist I position is budgeted to perform biology analyses at the Laboratory.

FY 2021 Budget Summary of New Positions	
Title	Cost Center
Facilities System Administrator	Information Technology
Resident Representative	Construction Services
Principal Environmental Engineer	Engineering
Administrative Assistant	Finance
Retirement Benefits Specialist	Finance
Treasury and Debt Analyst	Finance
Principal Budget Analyst	Finance
Asset Management Specialist	Interceptor Maintenance
IM Clerk	Interceptor Maintenance
Biologist	Laboratory

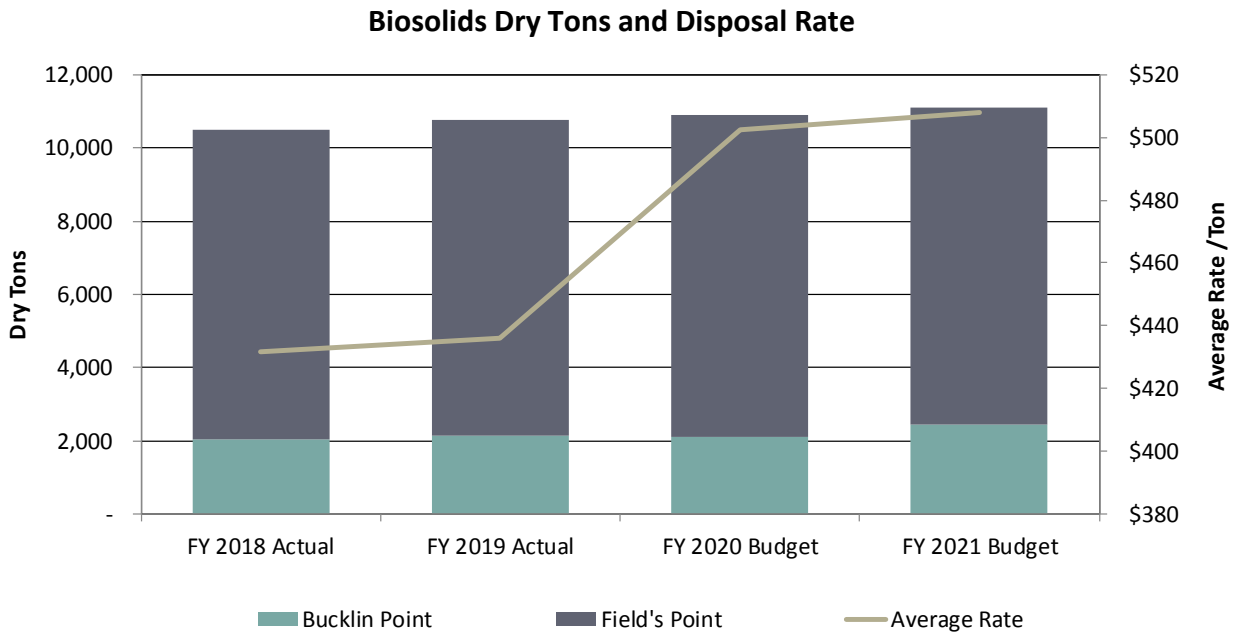
## Operating Supplies and Expense

Operating Supplies and Expense (OSE) represent 17.8% of the total FY 2021 Operating Budget. On an ongoing basis, the largest operating expense is related to the wastewater treatment processes and includes biosolids disposal, utilities, chemicals, repairs to process equipment, repairs to buildings and structures, maintenance contracts and service agreements. Other large expense is for insurance and workers' compensation. The FY 2021 OSE budget increased 2.6% or \$477,460 from the FY 2020 budget.

## Large Operating Supply and Expense

### Biosolids

Approximately 30.4% of NBC's FY 2021 budgeted OSE is for biosolids disposal at the WWTFs. The FY 2021 budget reflects a projected increase in the contracted biosolids rate of 1.71% for an increase of approximately \$5.25 per dry ton over the prior year. The number of budgeted dry tons is 207 higher than the prior year based on a 24-month average at both WWTF's and includes an additional increase of 10.0% at Bucklin Point. Overall, the FY 2021 biosolids expense is \$162,191 greater than the FY 2020 budgeted level. The following chart illustrates the historical and budget data for biosolids dry ton production and average disposal rates.



## Electricity and Renewable Energy

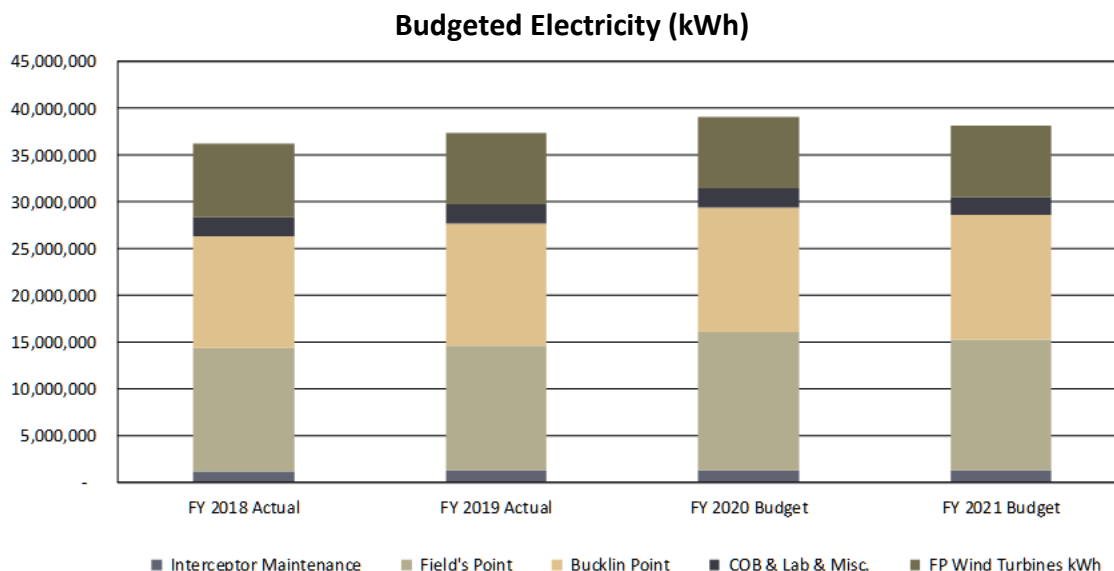
### Electricity Expense

The FY 2021 electricity budget is a complex calculation that takes into consideration NBC's renewable energy sources. The first step is projecting the total number of kWh that are to be used in the budget year. The FY 2021 budgeted electricity use is based upon the following assumptions:

- Downward trend in purchased electricity of 854 thousand kWh
- An 11.0% decrease in the budgeted supply rate from \$0.06500 to \$0.05786
- Biogas Reuse production will be zero – facility not yet ready for full operation
- Field's Point Wind Turbine Production projected at 7,618,057 kWh

kWh					
Facility	FY 2018 Actual	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget	Budgeted Difference
Interceptor Maintenance	1,137,663	1,289,891	1,336,374	1,313,133	(23,242)
Field's Point	13,191,979	13,267,488	14,771,143	14,019,316	(751,828)
Bucklin Point	12,042,000	13,150,000	13,271,914	13,210,957	(60,957)
COB & Lab & Misc.	2,036,057	1,986,609	2,022,646	2,004,628	(18,019)
Purchased kWh	28,407,699	29,693,988	31,402,077	30,548,033	(854,045)
FP Wind Turbines kWh	7,772,190	7,622,877	7,613,237	7,618,057	4,820
"Behind the Meter" kWh	7,772,190	7,622,877	7,613,237	7,618,057	4,820
<b>Total kWh</b>	<b>36,179,889</b>	<b>37,316,865</b>	<b>39,015,314</b>	<b>38,166,090</b>	<b>(849,225)</b>

The FY 2021 budget is based on usage of 38,166,090 kWh which is 849,225 kWh or 2.2% less than the prior year budget.



The next step is the calculation of the electricity expense. The FY 2021 budget incorporates the electricity expense impacts of NBC's renewable energy projects. The location of the renewable energy source impacts how NBC realizes the resulting financial benefit. There are differences between the two types of renewable energy resource facilities. Specifically, "Behind the Meter" projects reduce NBC's purchase of electricity whereas "Net-Metered" projects reduce NBC's electricity expense through the application of Net Metering Credits (NMC). The following table highlights some of the distinctions.

Budgetary Impact of Renewable Energy Resources	
"Behind the Meter" Projects	"Net Metered" Projects
Field's Point Wind Turbines	Coventry Turbines
Bucklin Point Biogas Reuse	Green PPAs
Energy produced and used on-site	Energy produced off-site and net metered
Reduces kWh purchased	Generates Net Metering Credits (NMC)
Reflected in budget as reduction in purchased kWh	NMC applied to National Grid Bill
NBC saves supply, distribution and related costs	75% of PPA Generated NMC Paid to PPA



To determine the electricity expense, electricity produced by “Behind the Meter” sources is deducted from the total projected kWh use in the budget year. This year’s budget reflects “Behind the Meter” production of 7,618,057 kWh from the FP Turbines and the budget reflects purchased electricity of 30.5 million kWh. The budgeted electricity supply rate is \$0.05786/kWh which is 11.0% lower than the prior year. As is shown below, the FY 2021 budgeted electricity expense is approximately \$4.0 million, which is 4.9% or \$205,580 less than the prior year budget.

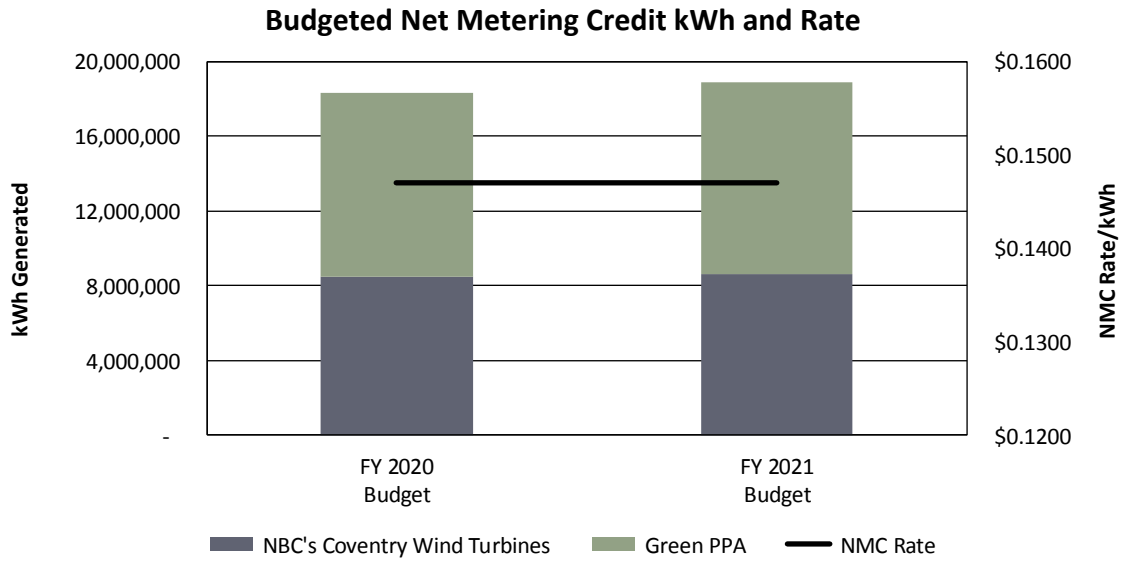
FY 2021 Electricity Expense						
	COB/WQSB	Interceptor Maintenance	Field's Point	Tunnel Pump Station	Bucklin Point	Total
<b>kWh Purchased</b>	<b>2,004,628</b>	<b>1,313,133</b>	<b>6,419,941</b>	<b>7,599,375</b>	<b>13,210,957</b>	<b>30,548,033</b>
Fixed Annual Customer Charge	\$ 13,212	\$ 17,940	\$ 13,212	\$ 13,212	\$ 13,212	\$ 70,788
Supply & Delivery	226,563	273,184	826,632	1,005,549	1,461,528	3,793,456
Subtotal	\$ 239,775	\$ 291,124	\$ 839,844	\$ 1,018,761	\$ 1,474,740	\$ 3,864,244
Rhode Island Gross Earnings Tax (RIGET)	9,990	12,130	34,993	42,448	61,447	161,007
with RIGET	\$ 249,765	\$ 303,254	\$ 874,837	\$ 1,061,209	\$ 1,536,187	\$ 4,025,251

### Net Metering Credits (NMC) and Power Purchase Agreements (PPA)

The NBC owns three off-site wind turbines and retains 100% of the NMC credits generated from those facilities. In addition, NBC has PPAs for two solar facilities and one wind facility that also generate NMC and are located off-site. NBC retains 25% of the NMC generated from those facilities and pays the contractor 75% of the NMC.

As is shown in the following table, the FY 2021 budgeted kWh production from the net-metered resources is 18.9 million kWh which is 3.0% or 553 thousand kWh more than FY 2020. The FY 2021 budgeted NMC rate is the same as prior year at \$0.147/kWh. The FY 2021 budgeted NMC are \$2.8 million, which is \$81 thousand or 3.0% higher than the prior year. Of this amount, the PPA payable is \$36 thousand or 2.3% higher than last year. Overall, this will result in a net reduction in budgeted operating supplies and expense of \$1.6 million.

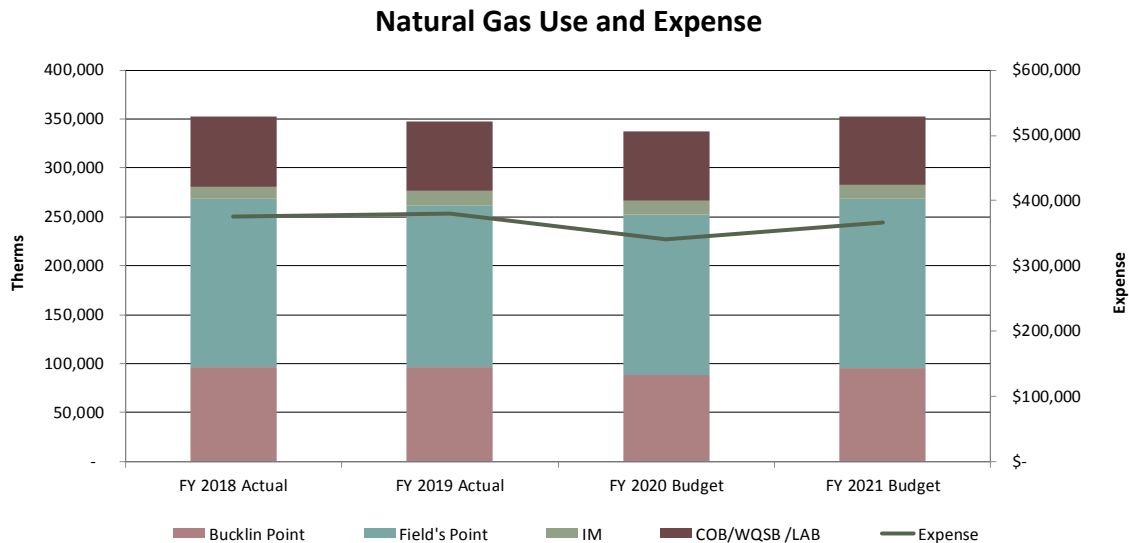
Net Metering	FY 2020 Budget	FY 2021 Budget	Difference
NBC's Coventry Wind Turbines	8,508,726	8,653,621	144,895
Green PPA	9,842,397	10,250,251	407,854
<b>Total NMC kWh</b>	<b>18,351,123</b>	<b>18,903,872</b>	<b>552,749</b>
NMC Rate	\$ 0.1470	\$ 0.1470	\$ -
<b>Total NBC NMC Account 54091</b>	<b>\$ 1,250,783</b>	<b>\$ 1,272,082</b>	<b>\$ 21,299</b>
<b>Total GREEN PPA NMC Account 54096</b>	<b>\$ 1,446,832</b>	<b>\$ 1,506,787</b>	<b>\$ 59,955</b>
<b>PPA Payable Account 54095</b>	<b>\$ 1,085,124</b>	<b>\$ 1,130,090</b>	<b>\$ 44,966</b>
<b>Retained by NBC</b>	<b>\$ 1,612,491</b>	<b>\$ 1,648,779</b>	<b>\$ 36,288</b>



## Natural Gas

The FY 2021 budgeted natural gas represents 2.0% of the FY 2021 OSE budget. The budgeted amount of \$365,992 is approximately 7.4% higher than the prior year. The higher budgeted amount is based on a 24-month average usage and reflects a 2.6% increase in the budgeted rate per therm to \$1.037 per therm.

Therms	FY 2018 Actual	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget	Budgeted Difference
Field's Point	171,847	165,405	164,405	173,475	9,070
Bucklin Point	96,320	96,103	88,217	95,548	7,331
IM	12,790	15,693	13,779	14,093	314
COB/WQSB /LAB	71,890	70,514	70,807	69,949	(858)
<b>Therms</b>	<b>352,847</b>	<b>347,715</b>	<b>337,208</b>	<b>353,065</b>	<b>15,857</b>
<b>Expense</b>	<b>\$ 376,108</b>	<b>\$ 380,665</b>	<b>\$ 340,620</b>	<b>\$ 365,992</b>	<b>\$ 25,372</b>
<b>Rate per Therm</b>	<b>\$ 1.066</b>	<b>\$ 1.095</b>	<b>\$ 1.010</b>	<b>\$ 1.037</b>	<b>\$ 0.026</b>



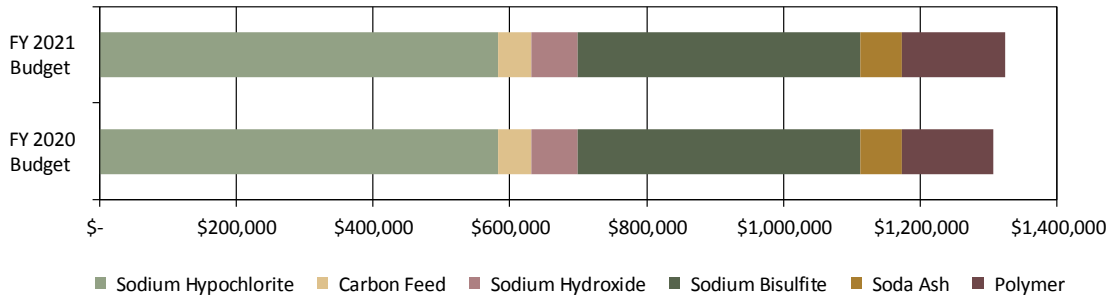
## Chemicals

Chemical expense represents approximately 7.1% of the FY 2021 OSE budget. Budgeted chemical expense is \$1,324,056 in FY 2021. Liquid polymer use at Bucklin Point is 21.6% higher as a result of increased use during wet weather events. The table below shows that other than liquid polymer, there is no change in budgeted chemicals compared to the prior year.

### Chemical Quantity and Expense

Chemical	FY 2020 Budget	FY 2021 Budget	Percent Change
Sodium Hypochlorite (Gallons)	846,047	846,047	0.0%
Sodium Bisulfite (Gallons)	335,641	335,641	0.0%
Sodium Hydroxide (Gallons)	34,754	34,754	0.0%
Carbon Feed (Gallons)	27,081	27,081	0.0%
Polymer-Liquid (Gallons)	59,641	72,520	21.6%
Polymer-Powder (Lbs.)	30,641	30,641	0.0%
Soda Ash (Tons)	135	135	0.0%
<b>Chemical Expense</b>	<b>\$ 1,307,378</b>	<b>\$ 1,324,056</b>	<b>1.3%</b>

### Chemical Expense



FY 2021 Budget			
	Quantity	Rate	Total
<b>Field's Point</b>			
Sodium Hypochlorite	785,712	\$ 0.6890	\$ 541,356
Sodium Bisulfite	302,325	1.2300	371,860
Sodium Hydroxide	34,754	1.9878	69,084
Carbon Feed	25,105	1.7600	44,185
Subtotal Field's Point	1,147,896		\$ 1,026,485
<b>Bucklin Point:</b>			
Sodium Hypochlorite	60,335	\$ 0.6890	\$ 41,571
Sodium Bisulfite	33,316	1.2300	40,979
Carbon Feed	1,976	1.7600	3,478
Polymer-Liquid	72,520	1.2950	93,913
Polymer-Powder	30,641	1.8500	56,686
Soda Ash	135	451.44	60,944
Subtotal Bucklin Point	198,923		\$ 297,571
<b>Total Chemicals</b>			<b>\$ 1,324,056</b>

## Maintenance Contracts

Maintenance contract expense represents approximately 7.8% of the FY 2021 OSE budget. The FY 2021 budget for maintenance contract expense has decreased by approximately 0.5% or \$7,139 on a year-to-year basis. This is the net impact of new multi-year contracts with pricing advantages, the transition to software subscriptions and price increases to existing contracts.

Maintenance Contracts	FY 2020 Budget	FY 2021 Budget	Budgeted Difference
Administration Division	\$ 585,092	\$ 734,966	\$ 149,874
Construction & Engineering Division	42,958	37,586	(5,372)
Finance Division	113,750	6,490	(107,260)
Operations & Maintenance Division	587,452	574,170	(13,282)
Environmental Science & Compliance Division	132,187	101,088	(31,099)
<b>Total</b>	<b>\$ 1,461,439</b>	<b>\$ 1,454,300</b>	<b>\$ (7,139)</b>

The Administration Division represents 50.5% of the total FY 2021 budget at \$734,966, a 25.6% or \$149,874 increase over the prior year due to the transfer of the CS Application maintenance expense from the Finance Division as well as price increases for other contracts.

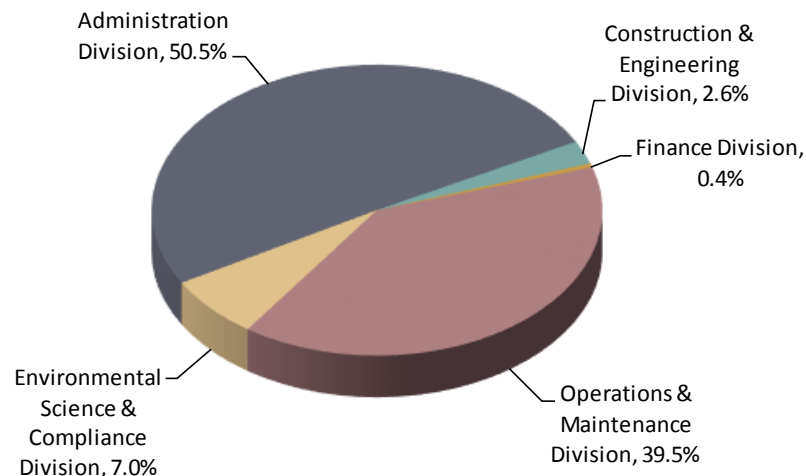
The Construction & Engineering Division represents 2.6% of the total FY 2021 budget at \$37,586, a 12.5% or \$5,372 decrease from FY 2020.

The Finance Division represents 0.4% of the total FY 2021 budget at \$6,490, a 94.3% decrease from the prior year due to the transfer of the CS Application support expense to the Administration Division.

The Operations & Maintenance Division represents 39.5% of the FY 2021 budget at \$574,170, a 2.3% or \$13,282 decrease from the prior year. This includes new maintenance and support for the Bucklin Point WWTF turbo blowers and generator maintenance and support for both WWTFs.

The Environmental Science & Compliance Division represents 7.0% of the FY 2021 budget, a 23.5% decrease from the prior year and includes contracts in the amount of \$101,088 dedicated to the maintenance, support and calibration of critical laboratory equipment.

### Maintenance Contracts by Division



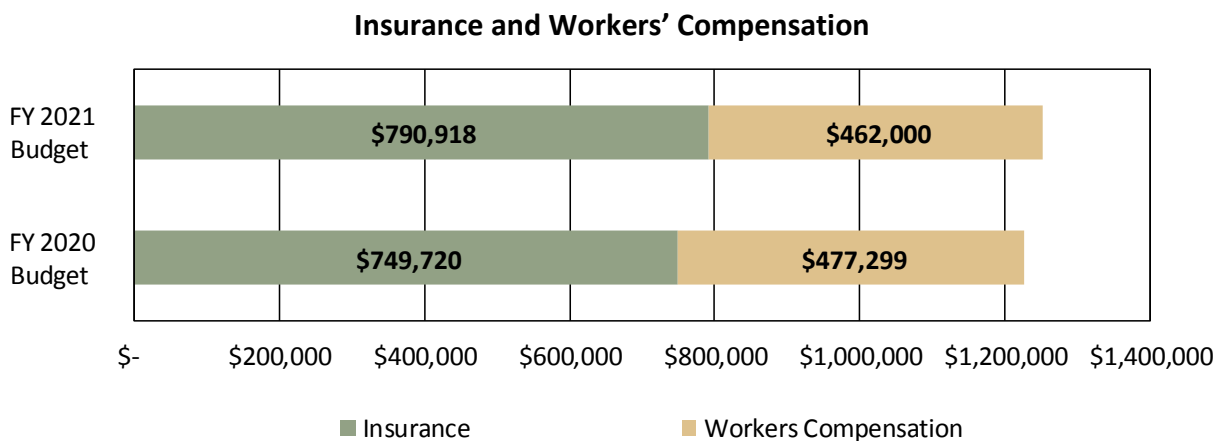
## Service Agreements

Service agreement expense represents approximately 1.0% of the FY 2021 OSE budget. The FY 2021 budget is \$189,267, which is \$205,094 less than the prior year. Approximately, 78.1% of the FY 2021 budget represents service agreements for electrical testing at both WWTFs as part of NBC's asset management program. Electrical testing is conducted on all transformers, motors and underground high-power voltage lines to ensure safe and continuous operation of the facilities. Service Agreement expense is as follows:

Service Agreement Expense			
Contract	FY 2020 Budget	FY 2021 Budget	Difference
Field's Point Electrical Testing	\$ 196,972	\$ 141,267	\$ (55,705)
Bucklin Point Electrical Testing	148,003	6,500	(141,503)
Other	49,386	41,500	(7,886)
<b>Total Expense</b>	<b>\$ 394,361</b>	<b>\$ 189,267</b>	<b>\$ (205,094)</b>

## Insurance and Workers' Compensation

Insurance and Workers Compensation expense represents 6.7% of the FY 2021 OSE budget. The FY 2021 budgeted amount of \$1,252,918 is 2.1% or \$25,899 higher than the FY 2020 budget. This year's budget reflects increased policy premiums of \$41,198 for insurance and a \$15,299 decrease in the workers' compensation premium. The following graph shows the total budgeted insurance and workers compensation expense on a year-to-year basis.

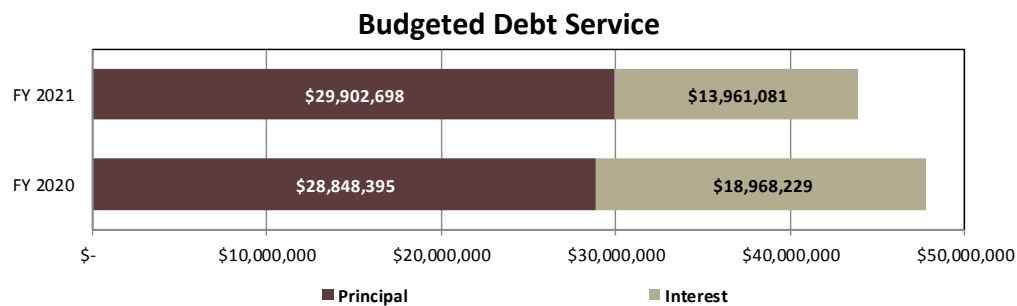


Professional Services comprise 3.3% of the total O&M expense and the FY 2021 budget is \$85,300 higher than the FY 2020 budget. This includes a decrease in funding for the PUC regulatory assessment fee and legal fees. Other reflects an increase of \$205,700 and includes leadership development, increased banking and retirement plan fees and includes \$89,600 for PFAS testing services to be performed by an outside laboratory.

Professional Services Expense	FY 2020 Budget	FY 2021 Budget	Variance
Regulatory	\$ 579,000	\$ 534,100	\$ (44,900)
Mgmt & Audit Services	364,000	288,500	(75,500)
Other	522,190	727,890	205,700
<b>Total Professional Services</b>	<b>\$ 1,465,190</b>	<b>\$ 1,550,490</b>	<b>\$ 85,300</b>

## Debt Service

Debt service is the largest element of expense in NBC's FY 2021 budget, representing 41.9% of the total budget. Budgeted debt service in FY 2021 is \$43.8 million which is 8.3% or approximately \$3.9 million less than the prior year. The lower debt service is the result of the conversion of the variable rate demand bonds to a low fixed rate, bond refundings and the defeasance of two SRF issues in FY 2020. In light of potential COVID-19 impacts on collections, NBC has budgeted \$375 thousand for interest on Revenue Anticipation Notes. Please see the CIP Impact and Long-Term Plan section of the budget for additional information regarding capital financing and debt service.

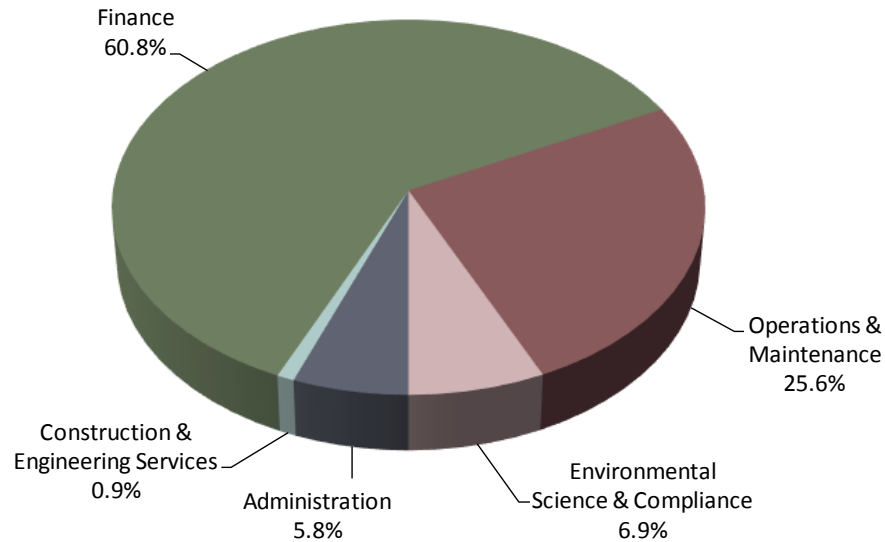


### FY 2021 Budgeted Principal and Interest

FY 2021 Budget			
Issue	Interest	Principal	Total
<b>RIIB SRF Loans</b>			
2002 Series - \$57.0M	\$ 139,714	\$ 3,430,090	\$ 3,569,804
2003 Series - \$40.0M	223,628	2,200,000	2,423,628
2004 Series B - \$40.0M	222,118	3,393,000	3,615,118
2005 Series B - \$30.0M	153,938	1,621,000	1,774,938
2006 Series A - \$30.0M	165,655	1,584,000	1,749,655
2007 Series B - \$25.0M	176,834	1,384,000	1,560,834
2009 Series A - \$55.0M	883,223	2,666,025	3,549,247
2010 Series A - \$2.0M	24,053	83,207	107,260
2010 Series B - \$20.0M	363,073	953,000	1,316,073
2011 Series A - \$30.0M	597,392	1,293,237	1,890,629
2012 Series A - \$25.75M	486,737	1,162,350	1,649,088
2013 Series B - \$25.0M	481,732	1,125,330	1,607,062
2014 Series A - \$45.0M	1,032,227	1,962,000	2,994,227
2015 Series B - \$41.7535M	1,143,642	1,074,259	2,217,902
2016 Series A - \$23.0M	475,295	988,000	1,463,295
2019 Series A - \$35.0M	683,641	1,421,200	2,104,841
2019 Series B - \$10.0M	172,989	432,000	604,989
<b>Subtotal RIIB SRF Loans</b>	<b>7,425,891</b>	<b>26,772,698</b>	<b>34,198,589</b>
<b>Revenue Bonds</b>			
2008 Series A - \$66.0M	1,293,049	-	1,293,049
2013 Series C - \$34.97M	451,000	560,000	1,011,000
2015 Series A - \$40.085M	128,600	-	128,600
2020 Series A - \$196.36M	4,287,542	2,570,000	6,857,542
<b>Subtotal Revenue Bonds</b>	<b>6,160,190</b>	<b>3,130,000</b>	<b>9,290,190</b>
<b>Revenue Anticipation Notes</b>	<b>375,000</b>	<b>-</b>	<b>375,000</b>
<b>Total</b>	<b>\$ 13,961,081</b>	<b>\$ 29,902,698</b>	<b>\$ 43,863,779</b>

## Expense by Division

NBC is organized into five Divisions. The graph below depicts the percentage of the FY 2021 budget that the Divisions represent.



This year's operating budget reflects the organizational changes that were incorporated into the FY 2021 budget and discussed in the Personnel section of the Expense Profile discussed earlier.

	Actual 2018	Actual 2019	Budget 2020*	Budget 2021*	FY 20 - FY 21 % Change	FY 2021 % of Budget
Administration	\$ 1,635,193	\$ 3,675,990	\$ 4,819,633	\$ 5,293,370	9.8%	5.8%
Construction & Engineering Services	492,595	461,668	916,205	796,658	(13.0%)	0.9%
Finance	55,374,608	57,241,202	59,070,438	55,523,749	(6.0%)	60.8%
Operations & Maintenance	22,102,499	20,987,298	22,593,542	23,403,369	3.6%	25.6%
Environmental Science & Compliance	5,730,038	5,681,571	5,731,113	6,258,993	9.2%	6.9%
<b>Total</b>	<b>\$ 85,334,933</b>	<b>\$ 88,047,729</b>	<b>\$ 93,130,931</b>	<b>\$ 91,276,138</b>	<b>(2.0%)</b>	<b>100.0%</b>

\*Reflects organizational changes

A brief overview of the FY 2021 Budget changes from the prior year for each Division is discussed below.

### Administration Division

The FY 2021 Administration Division budget is \$473,737 or 9.8% more than the FY 2020 budget. Personnel increased by \$246,085 or 7.4% and reflects a net increase of one FTE. Operating supplies and expense increased by \$218,252 or 17.8% compared to FY 2020 and includes increased maintenance contract expense budgeted in the Information Technology section, that was allocated in the Finance Division in the prior year. Professional services expense increased by \$9,400 or 3.3% from the prior year and includes additional funds for employee training.

### Construction and Engineering Division

The FY 2021 Construction and Engineering Division budget is \$119,547 or 13.0% or lower than the FY 2020 budget. Personnel decreased by \$194,140 and reflects the net increase of one additional FTE and increased budgeted salary reimbursements. This year's budget also reflects the transfer of responsibility and the

associated personnel for the issuance of sewer connection permits to the Operations & Maintenance Division. Operating supplies and expense and professional services increased by \$74,593 compared to FY 2020 for increased maintenance contracts and building and ground maintenance expense related to facilities management.

### Finance Division

The FY 2021 Finance Division budget is \$3,546,689 or 6.0% lower than the FY 2020 budget. The primary reason is debt service which is \$3.9 million or 8.3% lower than the prior year as a result of a number of debt management activities in FY 2020. This is offset by higher personnel expense increased of \$540,543 for a net increase of five FTEs over the prior year to support Finance and Customer Service. Operating supplies and expense decreased by \$124,387 or 2.2% primarily due to the transfer of the CS Application maintenance contract expense to the Information Technology section of the Administration Division.

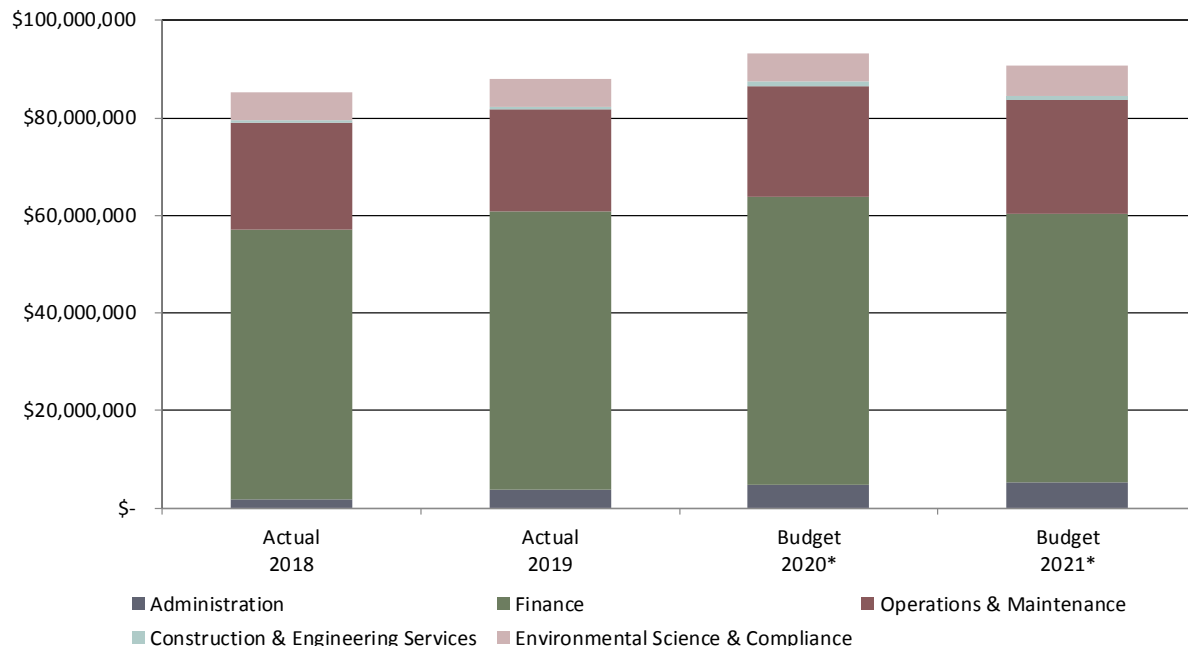
### Operations and Maintenance Division

The FY 2021 Operations and Maintenance Division budget is \$809,827 or 3.6% higher than the FY 2020 budget. Personnel expense increased by \$562,363 or 4.6% and includes a net increase of four FTEs. This year’s budget also reflects the transfer of the sewer connection permit program from the Construction & Engineering Division. Operating supplies and expense and Professional services increased by \$247,464 and include increased expense for biosolids disposal and treatment costs, as well as \$150,000 for expense related to the startup and testing of the biogas reuse facilities at Bucklin Point.

### Environmental Science and Compliance Division

The FY 2021 Environmental Science and Compliance Division budget increased by \$527,879 or 9.2% from the prior year. Personnel expense increased by \$380,441 due to decreased capital project salary reimbursements and an increase of one FTE. Operating supplies and expense increased by \$56,838 over the prior year and reflects increased expense for lab supplies. Professional services expense increased by \$90,600 and includes outside laboratory testing.

**Expense by Division**



\*Reflects organizational changes

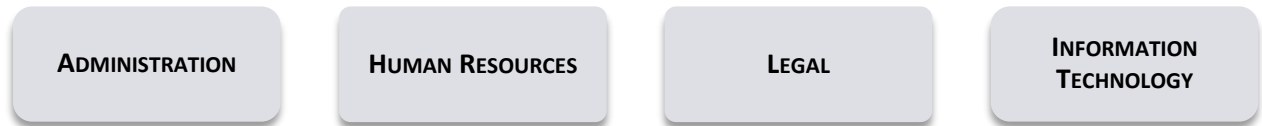






# ADMINISTRATION DIVISION

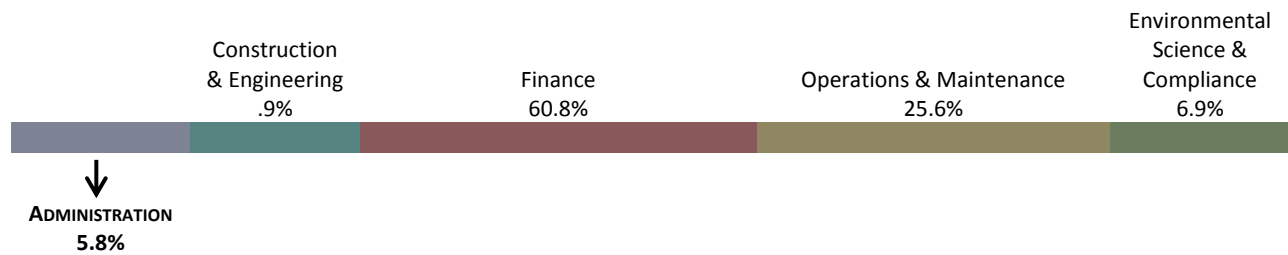
## Division Summary



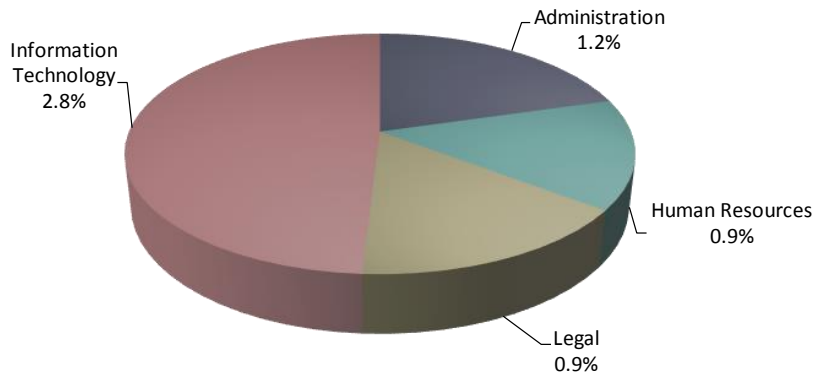
### The Program

The Administration Division is responsible for Administration, Human Resources, Legal Services and Information Technology.

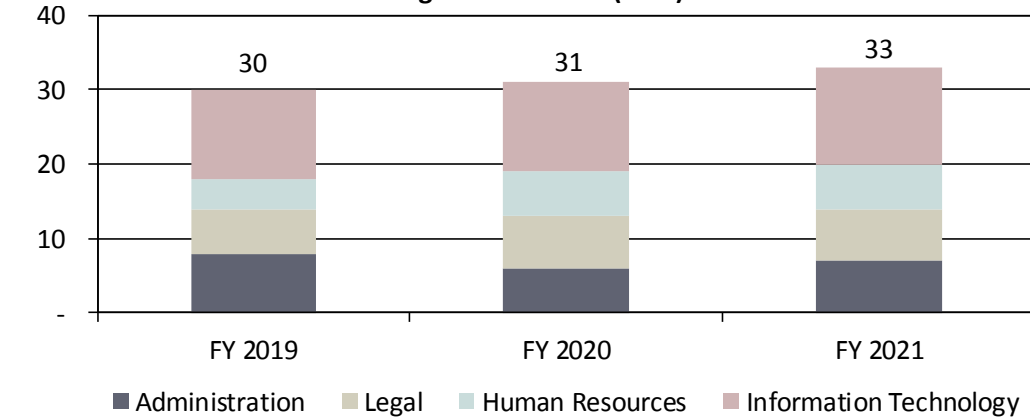
### FY 2021 Budget by Division



### ADMINISTRATION DIVISION Budget by Section



### Budgeted Positions (FTEs)\*



\*Does not include turnover

## ADMINISTRATION DIVISION

### Division Summary

#### The Budget

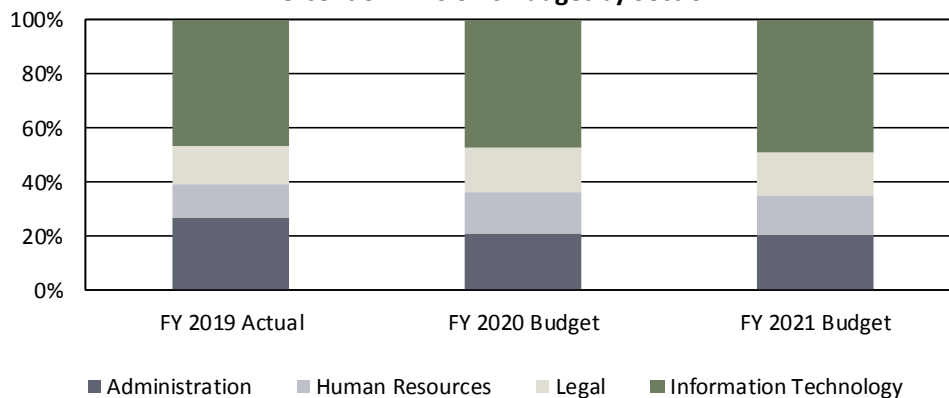
Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel	\$ 3,422,299	\$ 3,313,096	\$ 3,559,181
Operating Supplies/Expense	143,860	1,225,037	1,443,289
Professional Services	109,831	281,500	290,900
<i>Total O&amp;M</i>	<b>\$ 3,675,990</b>	<b>\$ 4,819,633</b>	<b>\$ 5,293,370</b>

Funding by Source - Revenue	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
	<b>\$ 3,675,990</b>	<b>\$ 4,819,633</b>	<b>\$ 5,293,370</b>

#### Significant Budget Modifications

The FY 2021 Administration Division budget is \$473,737 or 9.8% more than the FY 2020 budget. Personnel increased by \$246,085 or 7.4% and reflects a net increase of two FTEs. Operating supplies and expense increased by \$218,252 or 17.8% compared to FY 2020 and includes increased maintenance contract expense budgeted in the Information Technology section, that was allocated in the Finance Division in the prior year. Professional services expense increased by \$9,400 or 3.3% from the prior year and includes additional funds for employee training.

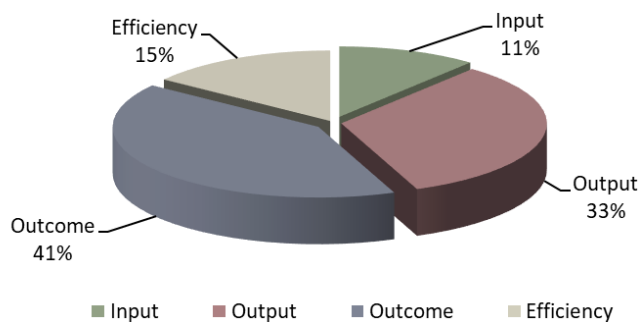
Percent of Division's Budget by Section



#### Administration Division Performance Data Summary

The chart below illustrates the Administration Division's Performance Data by type of measure. The measures can be found in the individual sections following this division summary. In this Division, Outcome and Efficiency make up 56% of the performance measures.

Percentage of Performance Measurement Types



## ADMINISTRATION Section Summary

### The Program

The Administration section includes the Executive Director, Director of Administration, Public Affairs and Government Affairs. The Administration section is responsible for overall agency management responsibilities, including policy development, collective bargaining negotiations, contract compliance, liaison activities with local, state and federal entities and officials, legal oversight and maintenance of a strong public information program.

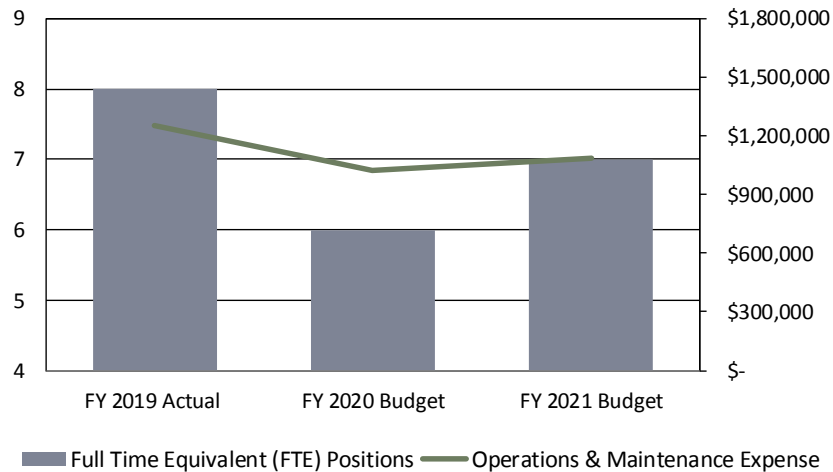
### The Budget

Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel	\$ 1,117,746	\$ 799,396	\$ 852,118
Operating Supplies/Expense	131,424	193,800	202,000
Professional Services	5,318	31,000	32,500
<i>Total O&amp;M</i>	<b>\$ 1,254,488</b>	<b>\$ 1,024,196</b>	<b>\$ 1,086,618</b>
<b>Funds by Source - Revenue</b>	<b>\$ 1,254,488</b>	<b>\$ 1,024,196</b>	<b>\$ 1,086,618</b>

### Significant Budget Modifications

The FY 2021 Administration budget is \$62,422 or 6.1% higher than the FY 2020 budget. Personnel expense increased by \$52,722 and reflects the addition of one FTE from the prior year due to a reorganization of duties and responsibilities. Operating supplies and expense increased by \$8,200, the majority of which is for educational outreach and office expenses. Professional services increased by \$1,500 from the prior year for clerical services.

ADMINISTRATON  
Historical Data



### PROGRAM STAFFING (BUDGETED)

	FY 2019	FY 2020	FY 2021
Union FTEs	-	-	-
Non-Union FTEs	8	6	7
<i>Less Turnover</i>	-	-	-
<b>Total</b>	<b>8</b>	<b>6</b>	<b>7</b>

## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards

## **ADMINISTRATION**

### **Performance Data**

#### **Major Accomplishments FY 2020 by Key Code**

- CB2** Completed land acquisition for the CSO Phase III A Facilities
- CB2** Short-listed three potential CSO Phase III A Tunnel design-build teams
- CB2** Initiated the disposition of surplus property acquired as part of the CSO Phase II Program
- FM1** Collaborated with the General Treasurer's Office to investigate a ratepayer's assistance program
- S3** Completed the Non-Union Compensation Study
- S4** Initiated Leadership Essentials Training Program
- C1** Developed "Mr. Can vs. The Wicked Wipes" educational campaign
- C1** Worked with the Providence City Council President and the Southside Community Land Trust to transform surplus property into an urban farm/community garden
- C1** Conducted 60 educational tours of the WWTFs
- C1** Involved 15 schools in the NBC Watershed Explorers program and provided education to 780 students from cities and towns within NBC's service area
- C3** Created and placed monthly sponsored content with GoLocalProv
- OP1** Filed for and received authority from the PUC for a railroad crossing between New York Avenue and Shipyard Street

#### **Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code**

- CB2** Select and engage the Phase CSO III Facilities Tunnel design-build team
- CB3** Complete the AUS Lien Sale software component
- S2** Conduct Leadership Training
- C1** Implement the "Pipe" Collection System Education Program

## ADMINISTRATION

### Target Measures

## CORE BUSINESS

*Operate, maintain and protect our collection and treatment systems to ensure that all State and Federal requirements are met or surpassed*

---

**GOAL ACTION FOR ACHIEVEMENT:** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements

**KEY CODE:** CB2

**TARGET MEASURE:** Conduct a minimum of 9 capital project meetings

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	9	9	9	9

## CUSTOMER FOCUS

*Maintain a customer-focused attitude throughout the organization*

---

**GOAL ACTION FOR ACHIEVEMENT:** Maintain programs and participate in projects that give back to NBC's service area

**KEY CODE:** CF4

**TARGET MEASURE:** Grant 40 or more awards/scholarships

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	40	40	40	40

## STAFFING

*Attract, develop and retain highly qualified employees*

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure compliance with Federal and State labor laws

**KEY CODE:** S1

**TARGET MEASURE:** Submit affirmative action plan to the Equal Employment Opportunity Commission by due date

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Due Date	8/1/19	8/1/2018	8/1/2019	8/1/20

**GOAL ACTION FOR ACHIEVEMENT:** Provide professional, technical and safety training to maximize team performance and employee safety

**KEY CODE:** S2

**TARGET MEASURE:** Meet 2 or more times with union and non-union staff

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	2	2	2	2

**TARGET MEASURE:** Receive the Best Places to Work in RI Award

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Consecutive Years	9	9	10	11

**TARGET MEASURE:** Create NBC monthly newsletter and include a minimum of 50 NBC Staff articles

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	12	Monthly	Monthly	Monthly
Quantity - Articles	30	50	50	35



## COMMUNICATION

Improve and enhance internal and external communication to increase understanding of “who we are” and “what we do”

**GOAL ACTION FOR ACHIEVEMENT:** Strengthen and expand relationships with stakeholders and ratepayers to ensure support of NBC’s mission

**KEY CODE:** C1

**TARGET MEASURE:** Meet with RIDEM Officials quarterly

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	4	4	4	4

**TARGET MEASURE:** Meet and/or correspond 4 or more times with Rhode Island’s Congressional Delegation

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	4	4	4	4

**TARGET MEASURE:** Conduct a minimum of 100 lessons at schools in the NBC service area

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Lessons Conducted	100	100	100	100
Participating Students	780	480	480	480

**TARGET MEASURE:** Arrange a minimum of 20 water quality testing field trips for local schools

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	60	20	20	20

**TARGET MEASURE:** Ensure 100% of participating schools attend the Watershed Explorer Environmental Education Conference

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100% - 15 Schools	100%	100%	100%

**TARGET MEASURE:** Respond to 100% of requests for WWTF presentations/tours

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100% - 60 Tours	100%	100%	100%

**GOAL ACTION FOR ACHIEVEMENT:** Ensure updated information about NBC’s programs and projects is accessible to the public

**KEY CODE:** C3

**TARGET MEASURE:** Update website a minimum of once per week to provide current information on NBC activity

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	Weekly	Weekly	Weekly	Weekly

## ORGANIZATIONAL PERFORMANCE

Ensure that the NBC organization is aligned with and supports our strategic goals.

**GOAL ACTION FOR ACHIEVEMENT:** Conduct NBC business in an open manner and in conformance with all state ethics standards

**KEY CODE:** OP3

**TARGET MEASURE:** Post NBC Board and/or Committee meeting notices 48 hours prior to meeting date on RI Secretary of State website, at State Library, RI State House, and NBC facilities. Post all draft/approved meeting minutes within 35 days on RI Secretary of State website

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Meeting Notices >48 Hours Prior to Meeting	>48 hours	>48 hours	>48 hours	>48 hours
Draft Minutes <35 Days of Meeting	<35 days	<35 days	<35 days	<35 days
Approved Minutes <35 Days of Approval	<35 days	<35 days	<35 days	<35 days

# HUMAN RESOURCES

## Section Summary

### The Program

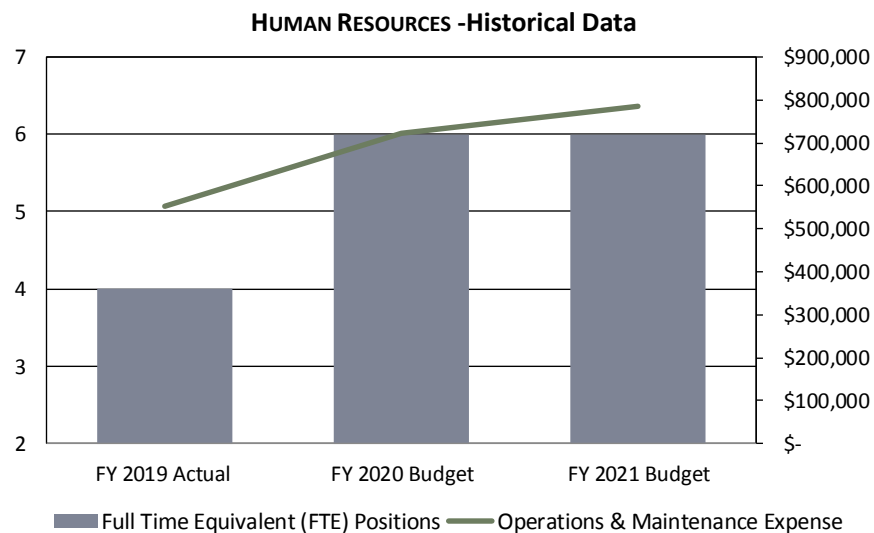
The Human Resources section is responsible for the administration and processing of employee records, employee recruitment and retention, workers' compensation, non-union retirement plans and equal employment opportunity for union and non-union personnel. This section is also responsible for regulatory compliance, multi-union contract administration and compliance as well as the evaluation and administration of employee benefits and for administering provisions of the two collective bargaining agreements along with collective bargaining negotiations. This section will also be responsible for establishing and maintaining an in-house training program.

### The Budget

Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel	\$ 477,965	\$ 584,885	\$ 616,322
Operating Supplies/Expense	27,000	52,145	76,006
Professional Services	47,420	84,000	91,900
<i>Total O&amp;M</i>	<b>\$ 552,385</b>	<b>\$ 721,030</b>	<b>\$ 784,228</b>
<b>Funds by Source - Revenue</b>	<b>\$ 552,385</b>	<b>\$ 721,030</b>	<b>\$ 784,228</b>

### Significant Budget Modifications

The FY 2021 Human Resources budget is \$63,198 or 8.76% higher than the FY 2020 budget. Personnel increased by \$31,437 over the FY 2020 budget. Operating supplies and expense increased by \$23,861 over the prior year and includes supplies for Operator Training and general needs for new hires. Professional services have increased by \$7,900 to support leadership training and clerical services for arbitration.



### PROGRAM STAFFING (BUDGETED)

	FY 2019	FY 2020	FY 2021
Union FTEs	1	1	1
Non-Union FTEs	3	5	5
<i>Less Turnover</i>	-	-	-
<b>Total</b>	<b>4</b>	<b>6</b>	<b>6</b>

## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards

## **HUMAN RESOURCES**

### **Performance Data**

#### **Major Accomplishments FY 2020 by Key Code**

- FM7** Evaluated and renewed NBC's Dental and Flexible Spending Account Plans
- FM7** Evaluated and renewed NBC's Life Insurance Plan with no rate increase
- FM7** Assisted with administration of the non-union retirement plans
- CF3** Implemented the FY 2020 budget and monthly Personnel Committee approval changes into Oracle Database
- CF3** Entered non-union and union salary increases and union steps into Oracle
- S1** Completed timely reporting of all state and federal required disclosures to staff and government agencies
- S3** Provided workplace wellness and training programs to staff
- S3** Conducted open enrollment fairs at both WWTF's
- S4** Received Best Places to Work RI Award
- S4** Initiated Leadership Essentials Training
- S4** Calculated annual sick leave bonuses for eligible employees
- S5** Administered the Employee Sick Leave Bank

#### **Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code**

- CB3** Develop a revised non-union performance appraisal process
- FM5** Evaluate recruitment on advertising websites
- S2** Establish and maintain an in-house training program
- S3** Effectively manage NBC's employee benefits program

## HUMAN RESOURCES

### Target Measures

## FINANCIAL MANAGEMENT

*Manage NBC's finances through strong financial planning and controls such that sewer user charges are minimized.*

**GOAL ACTION FOR ACHIEVEMENT:** Effectively administer NBC's risk management and employee benefits programs

**Key Code:** FM7

**TARGET MEASURE:** Complete Retirement Plan Census by due date

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Due Date - Defined Benefit	1/30/2019	2/28/2019	2/28/2020	2/28/2021
Due Date - Defined Contribution	7/30/2018	7/30/2018	7/30/2019	7/30/2020

## CUSTOMER FOCUS

*Maintain a customer-focused attitude throughout the organization*

---

**GOAL ACTION FOR ACHIEVEMENT:** Maximize automation and computerization throughout the agency

**KEY CODE:** CF3

**TARGET MEASURE:** Provide up to date information on NBC's Benefits Webpage quarterly

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	7 updates	Quarterly	Quarterly	Quarterly

## STAFFING

*Attract, develop and retain highly qualified employees.*

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure compliance with Federal and State labor laws

**KEY CODE:** S1

**TARGET MEASURE:** Submit annual EEO report by due date

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Due date	12/30/2018	11/1/2018	11/1/2019	11/1/2020

**GOAL ACTION FOR ACHIEVEMENT:** Provide professional, technical and safety training to maximize team performance and employee safety

**KEY CODE:** S2

**TARGET MEASURE:** Implement a minimum of 1 employee training program

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	1	1	1	1

**TARGET MEASURE:** Attend a minimum of 2 outside HR related seminars

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	4	2	2	2

**TARGET MEASURE:** Education and learning programs that support vertical career progression

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Programs	N/A	N/A	5	3

**GOAL ACTION FOR ACHIEVEMENT:** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff

**KEY CODE:** S3

**TARGET MEASURE:** Evaluate comparable benefit solutions six months prior to renewal

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100%	100%	100%	100%

**TARGET MEASURE:** Implement a minimum of 2 “Good Health” programs

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	3	2	2	2

**TARGET MEASURE:** Provide a minimum of 10 participant meetings with NBC’s investment advisor

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Participant Meetings	27	10	10	15

**TARGET MEASURE:** Implement a minimum of 2 Wellness Incentive Programs

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Programs Offered	8	2	2	5
Participating Employees	68%	50%	50%	50%
Employees Reaching Wellness Maximum	38%	30%	30%	30%

**TARGET MEASURE:** Maintain a workers’ compensation experience modification rating of 1.00 or lower

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Rating	1.51	≤1.00	≤1.00	≤1.00

**GOAL ACTION FOR ACHIEVEMENT:** Employ best practices to retain qualified employees and ensure succession planning

**KEY CODE:** S4

**TARGET MEASURE:** Investigate workers’ compensation injuries and make recommendations to prevent reoccurrence

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	14 Investigations	100%	100%	100%

**TARGET MEASURE:** Conduct exit interviews

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	14 Exit Interviews	100%	100%	100%

**TARGET MEASURE:** Prepare and distribute employment postings within 1 week of approval

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	45 Employment Postings	100%	100%	100%

**TARGET MEASURE:** Receive the Best Places to Work in RI Award

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Consecutive Years	9	9	10	11

**TARGET MEASURE:** Maintain the number of grievances filed

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	7	≤10	≤10	≤10

## LEGAL Section Summary

### The Program

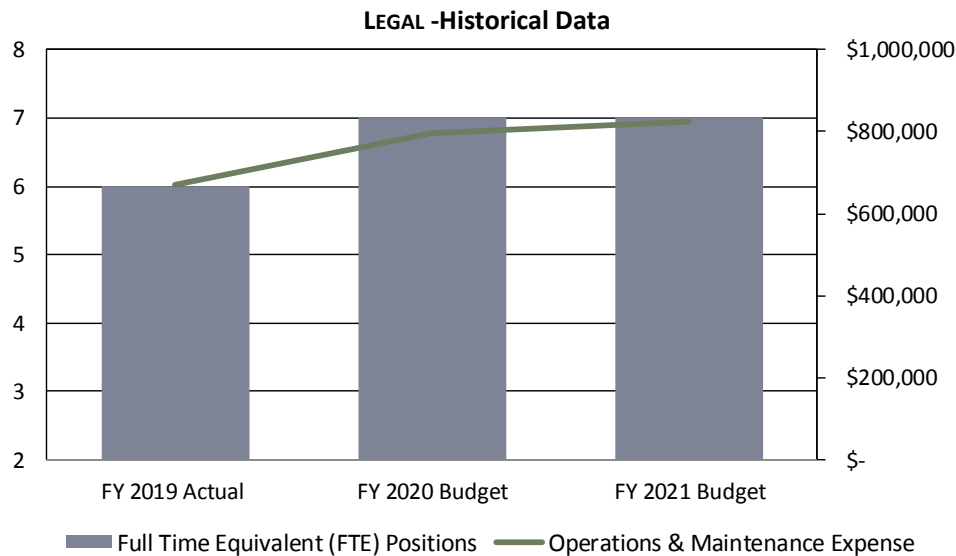
The Legal/Government Affairs section provides legal advice and services related to issues that arise in the course of NBC's business activities. NBC's legal staff has expertise in environmental, contractual, corporate, legislative, real estate, collections and bankruptcy law. Outside legal services are used to supplement in-house expertise as needed.

### The Budget

	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
<b>Operations &amp; Maintenance Expense</b>			
Personnel	\$ 551,632	\$ 605,903	\$ 634,502
Operating Supplies/Expense	12,436	22,800	23,925
Professional Services	104,513	166,500	166,500
<i>Total O&amp;M</i>	<b>\$ 668,581</b>	<b>\$ 795,203</b>	<b>\$ 824,927</b>
<b>Funds by Source - Revenue</b>	<b>\$ 668,581</b>	<b>\$ 795,203</b>	<b>\$ 824,927</b>

### Significant Budget Modifications

The FY 2021 Legal budget is \$29,724 or 3.7% higher than the FY 2020 budget. The FY 2021 Personnel expense represents an increase of \$28,599 and reflects increased salary reimbursements related to capital projects. Operating supplies and expense increased by \$1,125 and Professional services remains unchanged.



<b>PROGRAM STAFFING (BUDGETED)</b>			
	FY 2019	FY 2020	FY 2021
Union FTEs	-	-	-
Non-Union FTEs	6	7	7
<i>Less Turnover</i>	-	-	-
<b>Total</b>	<b>6</b>	<b>7</b>	<b>7</b>

## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards



## LEGAL

### Performance Measures

#### Major Accomplishments FY 2020 by Key Code

- CB1** Lobbied, analyzed, and opined on pending State legislation that would impact the NBC
- CB1** Responded to all public record requests within the statutory timeframe to the appropriate Rhode Island agencies/parties
- CB1** Negotiated a Consent Agreement with RIDEM for two outstanding Notices of Violations that were issued in FY 2020
- CB1** Ensured proper reporting with regard to NBC's continuous disclosure and post-issuance compliance documents
- CB2** Assisted Construction and Engineering with legal and regulatory aspects of the CSO Phase III Facilities project
- FM1** Assisted with the negotiation and finalization of the WIFIA Loan Agreement and associated documents
- FM1** Negotiated a resolution to Synagro's request for relief via a rate increase driven by a Change of Law
- FM2** Assisted Finance with a modification to the terms and conditions approved by the PUC relative to main sewer line extensions
- CF3** Assisted with the implementation/integration of the Customer Service Application to resolve outstanding issues with respect to bankruptcy and lien sale
- OP3** Filed all ethics and public records training compliance within the required timeframe

#### Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code

- CB1** Lobby, analyze, and opine on pending State legislation that will impact the NBC
- CB1** Respond to all public record requests within the statutory timeframe to the appropriate Rhode Island agencies/parties

## LEGAL

### Target Measures

## CORE BUSINESS

*Operate, maintain and protect our collection and treatment systems to ensure that all State and Federal requirements are met or surpassed.*

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements

**KEY CODE:** CB1

**TARGET MEASURE:** Issue Enforcement Actions within two weeks of request

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	2 Enforcement Actions	100%	100%	100%

## FINANCIAL MANAGEMENT

*Manage NBC's finances through strong financial planning and controls such that sewer user charges are minimized.*

---

**GOAL ACTION FOR ACHIEVEMENT:** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes

**KEY CODE:** FM2

**TARGET MEASURE:** Conduct a minimum of 1 lien sale annually

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	N/A	2	1	1

**TARGET MEASURE:** Ensure at least 65% of accounts are paid prior to lien sale

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	N/A	65%	65%	65%

**TARGET MEASURE:** Monitor 100% of bankruptcies and file proof of claims where appropriate

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Flagged Bankruptcies/Proof of Claims	78 Flagged	100%	100%	100%
Discharged Accounts	131 Accounts	100%	100%	100%

## CUSTOMER FOCUS

*Maintain a customer-focused attitude throughout the organization*

---

**GOAL ACTION FOR ACHIEVEMENT:** Establish agency-wide customer service focused training programs

**KEY CODE:** CF2

**TARGET MEASURE:** Maintain APRA Certification and respond to all public records requests within 30 days

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Certifications	6	4	4	4
Request Response Time	5 days	≤30 days	≤30 days	≤30 days
Number of Responses	6	100%	100%	100%

## STAFFING

*Attract, develop and retain highly qualified employees*

---

**GOAL ACTION FOR ACHIEVEMENT:** Provide professional, technical and safety training to maximize team performance and employee safety

**KEY CODE:** S2

**TARGET MEASURE:** Provide a minimum of 30 training hours

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Hours	34	30	30	30

## COMMUNICATION

*Improve and enhance internal and external communication to increase understanding of “who we are” and “what we do”*

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure updated information about NBC's programs and projects is accessible to the public

**KEY CODE:** C3

**TARGET MEASURE:** Review 100% of bills introduced

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	2,309 Bills Reviewed	100%	100%	100%

**TARGET MEASURE:** Propose 100% of NBC related legislation amendments where appropriate

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	5 proposed amendments	100%	100%	100%

**TARGET MEASURE:** Provide legislative reports to the Board on 100% of legislation of interest to NBC and present the Final Report in September

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Legislative Reports	41 Pieces of Legislation	100%	100%	100%
Final Legislative Report	September 29, 2018	9/2018	9/2019	9/2020

**GOAL ACTION FOR ACHIEVEMENT:** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission

**KEY CODE:** C1

**TARGET MEASURE:** Conduct/coordinate a minimum of 2 presentations

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	2	2	2	2

## ORGANIZATIONAL PERFORMANCE

*Ensure that the NBC organization is aligned with and supports our strategic goals.*

---

**GOAL ACTION FOR ACHIEVEMENT:** Conduct NBC business in an open manner and in conformance with all state ethics standards

**KEY CODE:** OP3

**TARGET MEASURE:** Execute 100% of conflict of interest forms for NBC staff/Board of Commissioners

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	0 Forms	100%	100%	100%

## INFORMATION TECHNOLOGY Section Summary

### The Program

The IT section is responsible for NBC's networks, security, telecommunications, hardware, software and databases. IT ensures the agency has the technology needed to perform expected services efficiently with a level of 99% uptime.

### The Budget

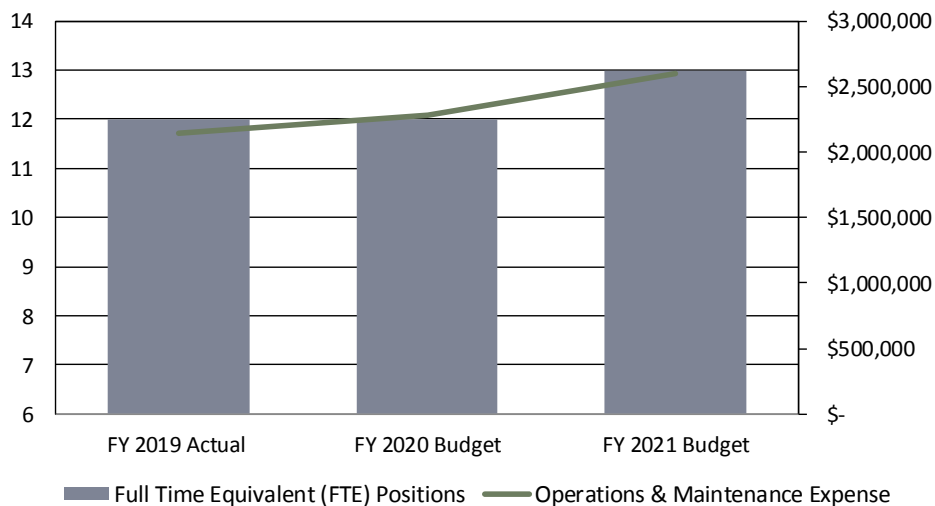
Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel	\$ 1,274,956	\$ 1,322,912	\$ 1,456,239
Operating Supplies/Expense	850,800	956,292	1,141,358
Professional Services	17,362	-	-
<i>Total O&amp;M</i>	<b>\$ 2,143,118</b>	<b>\$ 2,279,204</b>	<b>\$ 2,597,597</b>

<b>Funds by Source - Revenue</b>	<b>\$ 2,143,118</b>	<b>\$ 2,279,204</b>	<b>\$ 2,597,597</b>
----------------------------------	---------------------	---------------------	---------------------

### Significant Budget Modifications

The FY 2021 Information Technology budget is \$318,393 or 13.9% higher than the FY 2020 budget. Personnel expense is \$133,327 higher than the prior year reflecting an increase in FY 2021 for one FTE, a Facilities System Administrator. Operating supplies and expense have increased by \$185,066 compared to FY 2020, \$113,750 of that includes a budget transfer of a maintenance contract from a capital project.

INFORMATION TECHNOLOGY-HISTORICAL DATA



PROGRAM STAFFING (BUDGETED)

	FY 2019	FY 2020	FY 2021
Union FTEs	-	-	-
Non-Union FTEs	12	12	13
<i>Less Turnover</i>	-	-	-
<b>Total</b>	<b>12</b>	<b>12</b>	<b>13</b>

## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards

## **INFORMATION TECHNOLOGY**

### **Performance Data**

#### **Major Accomplishments FY 2020 by Key Code**

- CB3** Assumed responsibility of all NBC copier contracts and maintenance
- CB3** Assumed responsibility of all NBC telephone and wireless contracts and maintenance
- CB3** Upgraded Infor Public Sector from version 8.5 to 11.1
- CB3** Upgraded Edge Switches to provide multi-gig capabilities in heavy wireless usage areas
- CB3** Implemented CIS Mobile solution
- CB3** Created new reports and analytical tools to support the Customer Service system
- FM2** Updated new sewer user rates in the CIS Infinity system
- C2** Migrated email to Microsoft hosted Office 365 Solution
- C2** Redesigned NBC's Narrabay.com and Snapshot of the Bay websites
- C2** Developed a Facilities Help Desk for issue and repair reporting to facilities management
- C2** Implemented the use of ManageEngine software to manage Active Directory, Asset Management, and Helpdesk applications
- OP1** Changed the Oracle suite reimbursement format from paper check to ACH deposit.
- OP1** Implemented a single sign on solution to the Oracle suite

#### **Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code**

- CB1** Review and create as needed internal IT policies and procedures
- CB1** Review and revise the Cyber Security Plan to protect NBCs servers and applications
- CB3** Implement a new data backup system to accommodate the increase in data volume
- CB4** Streamline the digital asset management tracking of software licenses and deployed hardware

## INFORMATION TECHNOLOGY

### Target Measures

#### CORE BUSINESS

*Operate, maintain and protect our collection and treatment systems to ensure that all State and Federal requirements are met or surpassed*

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements

**KEY CODE:** CB1

**TARGET MEASURE:** Complete Bi-Annual Security audit and implement suggestions within 12 months

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Audit Complete	No Audit	No Audit	Yes	No Audit

**GOAL ACTION FOR ACHIEVEMENT:** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies

**KEY CODE:** CB3

**TARGET MEASURE:** Ensure 100% of servers are running current supported Applications and Operating systems

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	98%	100%	100%	100%

**TARGET MEASURE:** Ensure no more than 10 downtime hours to maintain system availability

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Hours	2	≤10	≤10	≤10

**TARGET MEASURE:** Prevent 100% of security breaches into NBC servers and applications

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	98%/ 3,950,070 Scanned 103,442 Violations	100%	100%	100%

**TARGET MEASURE:** Prevent 100% of security breaches into NBC email server

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100%/ 1,387,883 Blocked 6,362 Quarantined	100%	100%	100%

#### FINANCIAL MANAGEMENT

*Manage NBC's finances through strong financial planning and controls such that sewer user charges are minimized*

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure the timely, efficient and cost effective purchase of goods and services

**KEY CODE:** FM6

**TARGET MEASURE:** Complete 100% of planned capital items

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Budgeted	13			
Completed	13	100%	100%	100%

## CUSTOMER FOCUS

*Maintain a customer-focused attitude throughout the organization*

---

**GOAL ACTION FOR ACHIEVEMENT:** Enhance customer communication through consistent procedures and the implementation of new technologies

**KEY CODE:** CF5

**TARGET MEASURE:** Respond to 100% service desk requests within two hours

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100%	100%	100%	100%

## STAFFING

*Attract, develop and retain highly qualified employees*

---

**GOAL ACTION FOR ACHIEVEMENT:** Provide professional, technical and safety training to maximize team performance and employee safety

**KEY CODE:** S2

**TARGET MEASURE:** Provide a minimum of 140 user training sessions

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Incentive	1	50	50	0
Non-Incentive	127	100	100	0

**TARGET MEASURE:** Provide a minimum of 250 employee training hours

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Hours	250	250	250	250

## ORGANIZATIONAL PERFORMANCE

*Ensure that the NBC organization is aligned with and supports our strategic goals.*

---

**GOAL ACTION FOR ACHIEVEMENT:** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance

**KEY CODE:** OP1

**TARGET MEASURE:** Ensure computer hardware does not exceed 5-year Desktop lifecycle

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
PCs	98.5%	100%	100%	100%
Thin Clients	100%	100%	100%	100%

**TARGET MEASURE:** Ensure NBC software updates are at least one version behind the latest released version

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Oracle	100%	100%	100%	100%
Hansen	100%	100%	100%	100%
GIS	100%	100%	100%	100%

**TARGET MEASURE:** Ensure maximum number of current supported versions of application and operating systems are maintained

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
PCs	100%	100%	100%	100%
Thin Clients	100%	100%	100%	100%



# CONSTRUCTION AND ENGINEERING DIVISION

## Division Summary

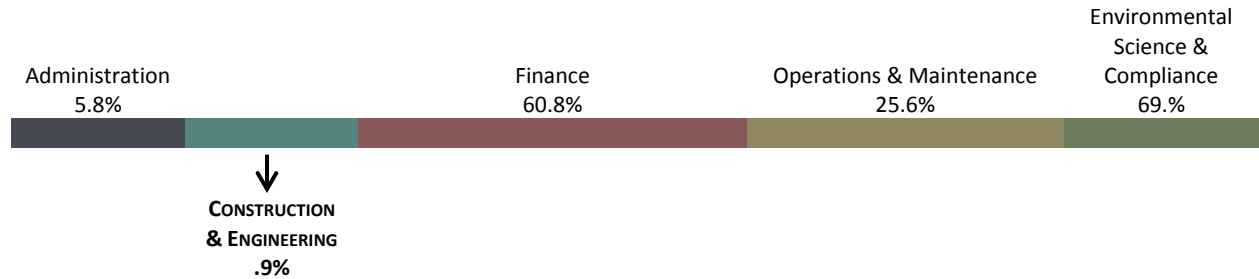
CONSTRUCTION SERVICES

ENGINEERING

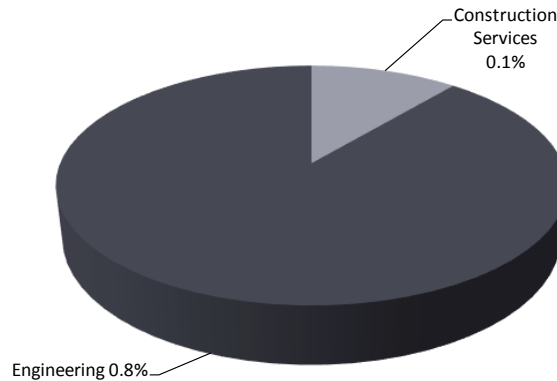
### The Program

The Construction and Engineering Division is responsible for the planning, design and construction of capital improvements necessary to comply with regulatory requirements, take advantage of technological advancements, ensure the integrity of NBC's infrastructure and achieve operational efficiencies. These improvements represent construction of new facilities, rehabilitation and replacement of existing infrastructure as well as incorporating the needs identified through NBC's Asset Management Program. This Division also provides facilities engineering and maintenance services for the entire NBC campus.

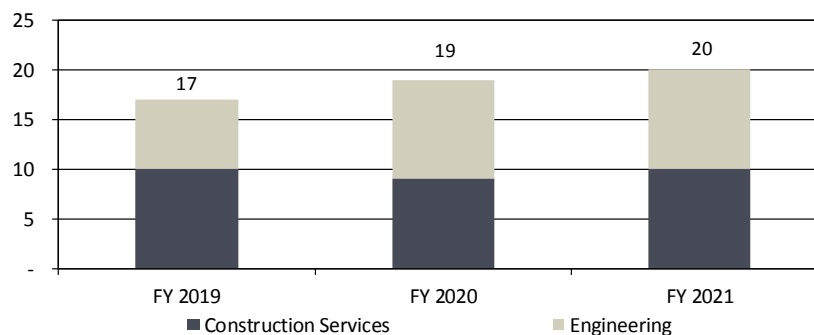
### FY 2020 Budget by Division



### CONSTRUCTION & ENGINEERING DIVISION Budget by Section



### BUDGETED POSITIONS (FTEs)\*



\*Does not include turnover

## CONSTRUCTION AND ENGINEERING DIVISION

### Division Summary

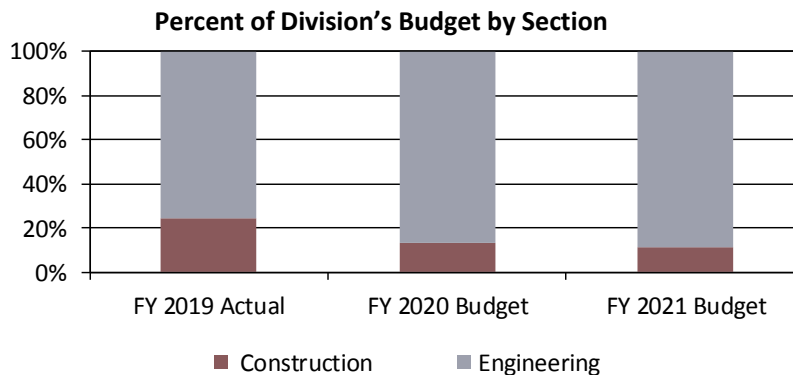
#### The Budget

	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Operations & Maintenance Expense			
Personnel Costs	\$ 423,015	\$ 582,433	\$ 388,293
Operating Supplies/Expense	36,953	330,572	401,565
Professional Services	1,700	3,200	6,800
<i>Total O&amp;M</i>	<i>\$ 461,668</i>	<i>\$ 916,205</i>	<i>\$ 796,658</i>

<b>Funds by Source - Revenue</b>	<b>\$ 461,668</b>	<b>\$ 916,205</b>	<b>\$ 796,658</b>
----------------------------------	-------------------	-------------------	-------------------

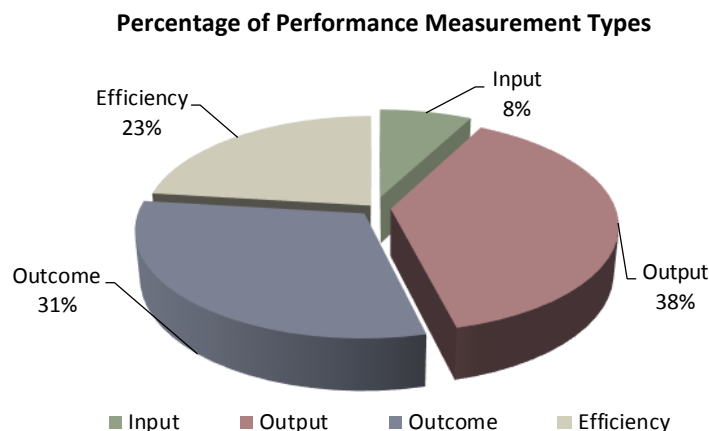
#### Significant Budget Modifications

The FY 2021 Construction and Engineering Division budget is \$119,547 or 13.0% or lower than the FY 2020 budget. Personnel decreased by \$194,140 and reflects the net increase of one additional FTE and increased budgeted salary reimbursements. This year's budget also reflects the transfer of responsibility and the associated personnel for the issuance of sewer connection permits to the Operations & Maintenance Division. Operating supplies and expense and professional services increased by \$74,593 compared to FY 2020 for increased maintenance contracts and building and ground maintenance expense related to facilities management.



#### Construction and Engineering Division Performance Data Summary

The chart below illustrates the Construction and Engineering Division's Performance Data by type of measure. The measures can be found in the individual sections following this division summary. In this Division, Outcome and Efficiency make up 54% of the performance measures.



## CONSTRUCTION SERVICES

### Section Summary

#### The Program

The Construction Services section is responsible for overseeing construction of capital improvement projects related to NBC's collection system and wastewater treatment facilities. Improvements to NBC's infrastructure are necessary to ensure proper collection and treatment of wastewater and stormwater in the service area.

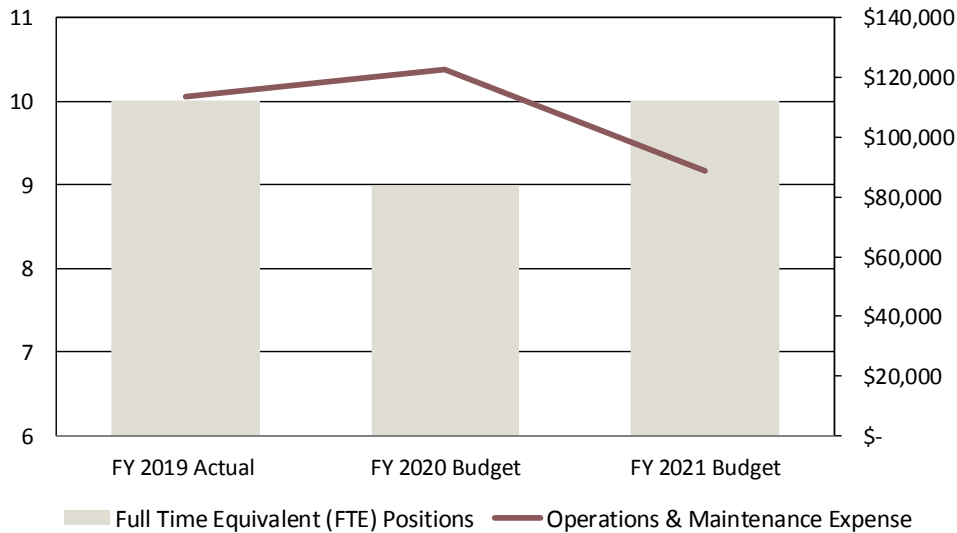
#### The Budget

Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel Costs	\$ 104,743	\$ 103,531	\$ 64,602
Operating Supplies/Expense	8,906	19,200	24,200
Professional Services	-	-	-
<i>Total O&amp;M</i>	<b>\$ 113,649</b>	<b>\$ 122,731</b>	<b>\$ 88,802</b>
<b>Funds by Source - Revenue</b>	<b>\$ 113,649</b>	<b>\$ 122,731</b>	<b>\$ 88,802</b>

#### Significant Budget Modifications

The FY 2021 Construction Services budget is \$33,929 lower than the FY 2020 budget. Personnel expense decreased \$38,929 by increased salary reimbursements related to capital projects and includes the addition of one FTE. Operating Supplies and expense increased by \$5,000 for repairs to survey equipment.

#### CONSTRUCTION SERVICES -Historical Data



#### PROGRAM STAFFING (BUDGETED)

	FY 2019	FY 2020	FY 2021
Union FTEs	-	-	-
Non-Union FTEs	10	9	10
<i>Less Turnover</i>	-	-	-
<b>Total</b>	<b>10</b>	<b>9</b>	<b>10</b>

## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards

## **CONSTRUCTION SERVICES**

### **Performance Data**

#### **Major Accomplishments FY 2020 by Key Code**

- CB1** Ensured the CSO Phase III A Facilities bid documents met WIFIA requirements
- CB1** Ensured that the Bucklin Point Resiliency Improvements Project met WIFIA requirements
- CB2** Assisted with the design of the CSO Phase III A Facilities
- CB2** Completed the Bucklin Point Biogas Project (Project 12000)
- CB2** Completed the Providence River Siphon (Project 30457)
- CB2** Completed the NBC Interceptor Easement Restoration, BVI Wetlands (Project 30503)
- CB2** Completed the CSO Phase III A High Street Demolition (Project 30811)

#### **Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code**

- CB2** Assist with the design-build contract for the CSO Phase III A Facilities
- CB2** Complete the COB Renovations (Project 90900)
- CB2** Administer the design-build contract for the Bucklin Point Operations Building (Project 81700)
- CB2** Construct a new UV Disinfection Building (Project 81000) at the Bucklin Point WWTF

## Target Measures

### CORE BUSINESS

*Operate, maintain and protect our collection and treatment systems to ensure that all State and Federal requirements are met or surpassed*

---

**GOAL ACTION FOR ACHIEVEMENT:** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements

**KEY CODE:** CB2

**TARGET MEASURE:** Resident engineering cost is 15% or less of construction cost (non-CSO contracts)

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	14%	≤15%	≤15%	≤15%

**TARGET MEASURE:** Contract cost is less than 8% higher than original bid amount on an annual basis

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	4%	≤8%	≤8%	≤8%

**TARGET MEASURE:** Ensure 85% of CIP contracts completed within six months of master schedule

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	80%	85%	85%	85%

**TARGET MEASURE:** Receive 100% WBE, MBE and EEO plans for approval prior to award of contract

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100% - 6	100%	100%	100%

**TARGET MEASURE:** Collect, review and maintain certified payrolls

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	Monthly	Monthly	Monthly	Monthly

**TARGET MEASURE:** Process 100% of Change Orders

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100% - 9 Change Orders	100%	100%	100%

**TARGET MEASURE:** Ensure all Awards of Contracts are presented to the Board for Approval

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100% - 6	100%	100%	100%

**TARGET MEASURE:** Conduct weekly meetings with all contractors for active ongoing projects

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	52	52	52	52

**TARGET MEASURE:** Apply for and receive a Certificate of Approval from RIDEM prior to Funding

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100%	100%	100%	100%

**TARGET MEASURE:** Comply with MBE/WBE quarterly reporting requirements

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	4	4	4	4

**TARGET MEASURE:** Develop 100% of contract plans and specifications by NBC staff as requested

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100% - 2	100%	100%	100%

**TARGET MEASURE:** Review constructability and bid ability of all design specifications

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100% - 6 reviews	100%	100%	100%

## FINANCIAL MANAGEMENT

Manage NBC's finances through strong financial planning and controls such that sewer user charges are minimized

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure the timely, efficient and cost-effective purchase of goods and services

**KEY CODE:** FM6

**TARGET MEASURE:** Review and process 100% of contractual capital invoices

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100% - 85 invoices	100%	100%	100%

**TARGET MEASURE:** Ensure Change Orders that exceed 5% of bid are presented to the Board for approval

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100% - 2 presented	100%	100%	100%

## STAFFING

Attract, develop and retain highly qualified employees

---

**GOAL ACTION FOR ACHIEVEMENT:** Provide professional, technical and safety training to maximize team performance and employee safety

**KEY CODE:** S2

**TARGET MEASURE:** Provide a minimum of 100 training hours

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	70	100	100	100

## COMMUNICATION

Improve and enhance internal and external communication to increase understanding of "who we are" and "what we do"

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure updated information about NBC's programs and projects is accessible to the public

**KEY CODE:** C3

**TARGET MEASURE:** Ensure ongoing construction updates are communicated to NBC staff, Board of Commissioners and the public

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100% - 8 updates	100%	100%	100%

## ENGINEERING Section Summary

### The Program

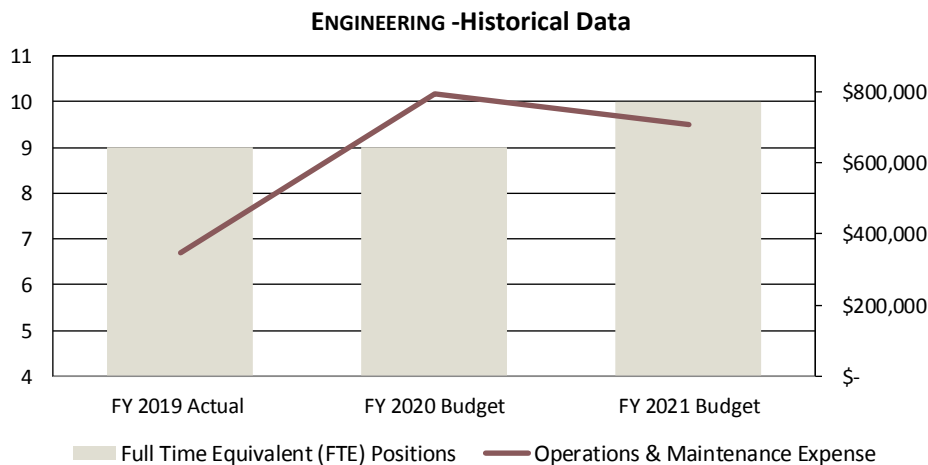
The primary responsibility of the Engineering section is to plan and design facilities, necessary for the collection, pumping and treatment of wastewater within NBC's service area. Projects designed by the Engineering section are identified in NBC's five-year Capital Improvement Plan include CSO facilities, improvements to the wastewater treatment facilities, sewer system improvement projects and CSO interceptor repair and construction projects. The Engineering section also provides facilities engineering and maintenance services for the NBC campus.

### The Budget

Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel Costs	\$ 318,272	\$ 478,902	\$ 323,691
Operating Supplies/Expense	28,047	311,372	377,365
Professional Services	1,700	3,200	6,800
<i>Total O&amp;M</i>	<b>\$ 348,019</b>	<b>\$ 793,474</b>	<b>\$ 707,856</b>
<b>Funds by Source - Revenue</b>	<b>\$ 348,019</b>	<b>\$ 793,474</b>	<b>\$ 707,856</b>

### Significant Budget Modifications

The FY 2021 Engineering budget is \$85,618 or 10.8% less than the FY 2020 budget. Personnel decreased by \$155,211 and reflects significant salary reimbursements related to capital projects in FY 21. Operating supplies and expense and professional services increased by a total of \$69,593 with the majority representing building and ground maintenance and building and structure repairs.



### PROGRAM STAFFING (BUDGETED)

	FY 2019	FY 2020	FY 2021
Union FTEs	-	-	-
Non-Union FTEs	7	10	10
<i>Less Turnover</i>	-	-	-
<b>Total</b>	<b>7</b>	<b>10</b>	<b>10</b>



## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards

## **ENGINEERING**

### **Performance Data**

#### **Major Accomplishments FY 2020 by Key Code**

- CB1** Completed and submitted a detailed Resiliency Plan to RIDEM in accordance with the RIPDES Permit
- CB2** Procured Professional Engineering and Architectural Services for the conceptual planning and design for the new Operations Building, new Maintenance/Storage Building and other appurtenant work at the Bucklin Point WWTF (Project 81700)
- CB2** Issued the Request for Qualifications for the design-build of CSO Phase III A Pawtucket Tunnel and Pump Station (Project 30801)
- CB2** Finalized the design for the Green Stormwater Infrastructure Projects in Central Falls as part of the CSO Phase III Program (Project 30809)
- CB2** Scanned all WWTF related record drawings into the GIS electronic filing system
- CF5** Created a new GIS database with acquired data from NBC along with cities and towns

#### **Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code**

- CB2** Bid the construction for the FY 2019 WWTF Improvements (Project 20200)
- CB2** Initiate the Lincoln Septage Station Replacement (Project 71000)
- CB2** Address resiliency concerns at the Bucklin Point WWTF by retaining a qualified design-build team to complete the detailed design and construction of the new Operations Building, new Maintenance/ Storage Building and other appurtenant work
- CB4** Complete the NBC mobile routing service to optimize field employee efficiency while working on NBC assets

**ENGINEERING**  
**Target Measures**

**CORE BUSINESS**

*Operate, maintain and protect our collection and treatment systems to ensure that all State and Federal requirements are met or surpassed*

---

**GOAL ACTION FOR ACHIEVEMENT:** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements

**KEY CODE:** CB2

**TARGET MEASURE:** Complete design phase of projects to ensure integrity of NBC's infrastructure and achieve operating efficiencies

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Nutrient Removal	0	1	0	0
Sewer Collection System	1	1	2	2
Phase III Combined Sewer Overflow	4	2	4	3
WWTF Improvements	3	4	4	5

**TARGET MEASURE:** Planning and design contract expense is ≤10% of approved contract

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100%	100%	100%	100%

**TARGET MEASURE:** Record 100% of file easements for projects

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	1 Easement	100%	100%	100%

**GOAL ACTION FOR ACHIEVEMENT:** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies

**KEY CODE:** CB3

**TARGET MEASURE:** Update NBC's GIS database and application software

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Database Updates	500 Updates	100%	100%	100%
Software Updates	2 Updates	100%	100%	100%

**GOAL ACTION FOR ACHIEVEMENT:** Maintain NBC's asset management program to ensure continuous operation and the protection of assets

**KEY CODE:** CB4

**TARGET MEASURE:** Perform required facility inspections

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Elevators	4	Quarterly	Quarterly	Quarterly
Fire Alarms	4	Quarterly	Quarterly	Quarterly
Mechanical Equipment	20 Inspections	100%	100%	100%

**TARGET MEASURE:** Complete 85% of building maintenance requests within two weeks

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	107 Requests 98%	85%	85%	85%

## FINANCIAL MANAGEMENT

*Manage NBC's finances through strong financial planning and controls such that sewer user charges are minimized*

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure the timely, efficient and cost-effective purchase of goods and services

**KEY CODE:** FM6

**TARGET MEASURE:** Complete 100% of planned capital items

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Budgeted	0			
Completed	N/A	100%	100%	100%

**TARGET MEASURE:** Spend \$8/sq. ft. or less on NBC corporate office building maintenance

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Dollars per square foot	\$7.25	\$8.00	\$8.00	\$8.00

## STAFFING

*Attract, develop and retain highly qualified employees*

---

**GOAL ACTION FOR ACHIEVEMENT:** Provide professional, technical and safety training to maximize team performance and employee safety

**KEY CODE:** S2

**TARGET MEASURE:** Attend a minimum of 1 professional training session per year

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Sessions	0	1	1	1

## COMMUNICATION

*Improve and enhance internal and external communication to increase understanding of "who we are" and "what we do"*

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure updated information about NBC's programs and projects is accessible to the public

**KEY CODE:** C3

**TARGET MEASURE:** Conduct monthly capital project meetings

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	10	8	8	8

# FINANCE DIVISION

## Division Summary



### The Program

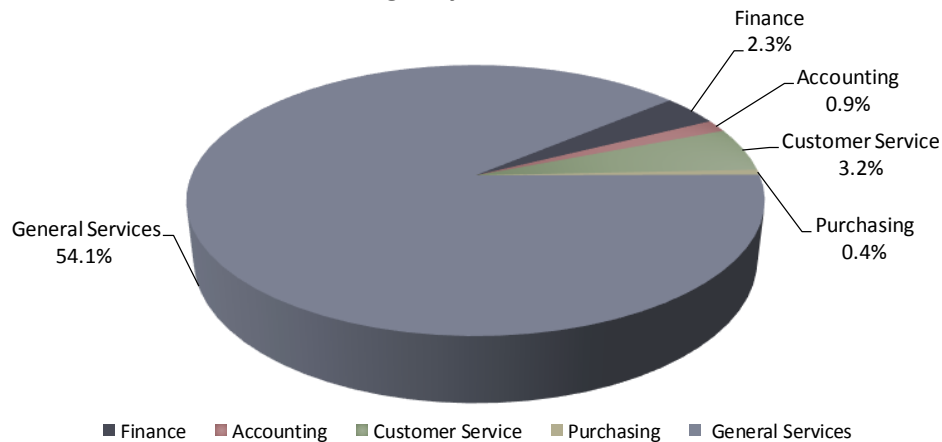
The Finance Division is responsible for the Finance, Cash Management, Payroll, Administration of Retirement Plans, Accounting, Customer Service, and Purchasing functions at NBC. This Division is responsible for providing sound financial leadership and support to all areas of NBC, and for the production of monthly financial statements in accordance with "Generally Accepted Accounting Principles". The Division is also responsible for utilities, the issuance of long-term debt, rate filings, and ensuring compliance with applicable state and federal laws, rules and regulations.

### FY 2020 Budget by Division

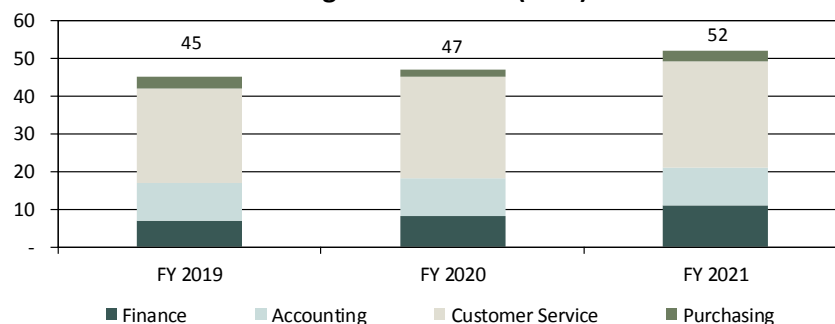


↓  
FINANCE  
60.8%

### FINANCE DIVISION Budget by Section



### Budgeted Positions (FTEs)\*



\*Does not include turnover

# FINANCE DIVISION

## Division Summary

### The Budget

Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel	\$ 4,254,782	\$ 4,660,345	\$ 5,200,888
Operating Supplies/Expense	5,442,440	5,536,079	5,411,692
Professional Services	967,817	1,057,390	1,047,390
<b>Total O&amp;M</b>	<b>10,665,039</b>	<b>11,253,814</b>	<b>11,659,970</b>

### Debt Service

Debt Service	46,576,163	47,816,624	43,863,780
<b>Total Debt Service</b>	<b>46,576,163</b>	<b>47,816,624</b>	<b>43,863,780</b>

### Total Expense

\$ 57,241,202	\$ 59,070,438	\$ 55,523,749
---------------	---------------	---------------

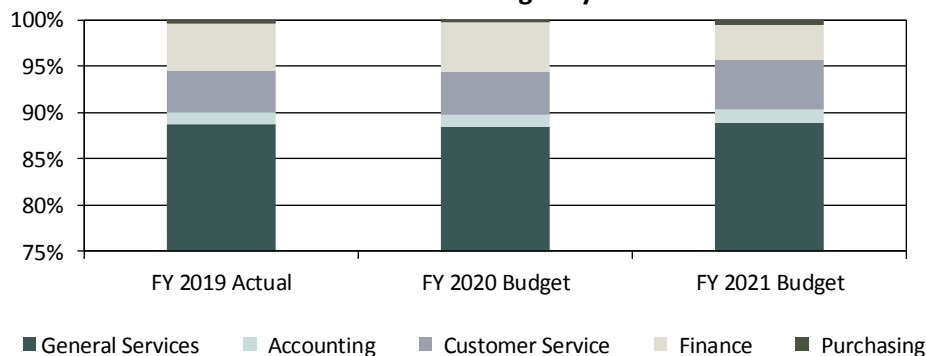
### Funds by Source - Revenue

\$ 57,241,202	\$ 59,070,438	\$ 55,523,749
---------------	---------------	---------------

### Significant Budget Modifications

The FY 2021 Finance Division budget is \$3,546,689 or 6% lower than the FY 2020 budget. The primary reason is debt service which is approximately \$3.9 million or 8.3% lower than the prior year as a result of a number of debt management activities in FY 2020. This is offset by higher personnel expense increased of \$540,543 for a net increase of five FTEs over the prior year to support Finance and Customer Service. Operating supplies and expense decreased by \$124,387 or 2.3% primarily due to the transfer of the CS Application maintenance contract expense to the Information Technology section of the Administration Division.

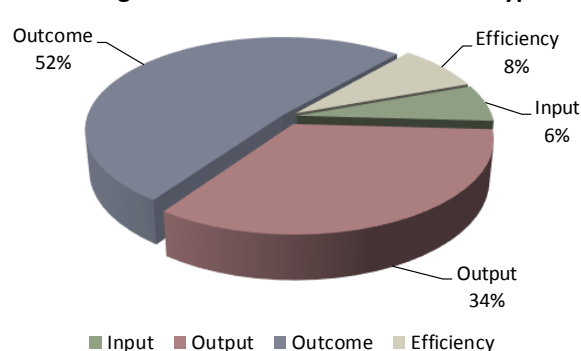
Percent of Division's Budget by Section



### Finance Division Performance Data Summary

The chart below illustrates the Finance Division's Performance Data by type of measure. The measures can be found in the individual sections following this division summary. In this Division, Outcome and Efficiency make up 60% of the performance measures.

Percentage of Performance Measurement Types



## FINANCE Section Summary

### The Program

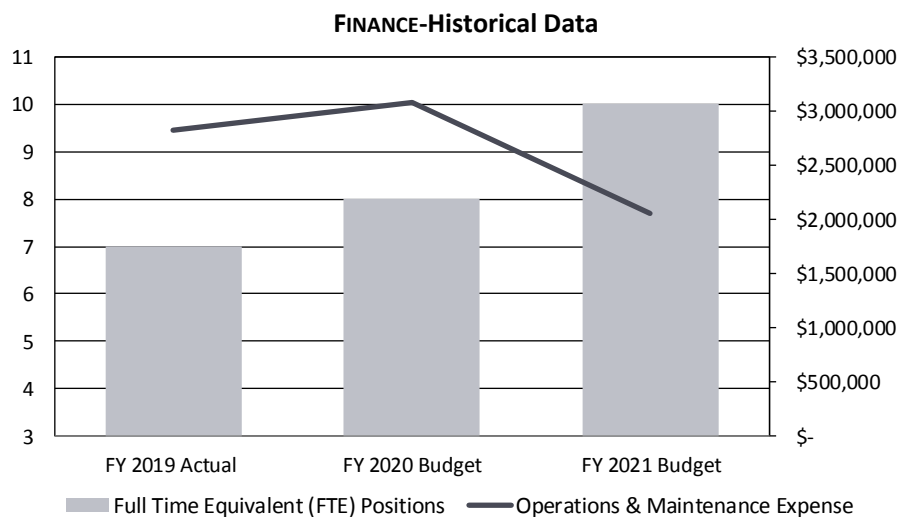
The Finance section ensures that NBC has sufficient resources and employs sound fiscal policies and practices to provide the highest quality service at a reasonable cost. The Finance section is responsible for development and management of the annual Operating Budget, the Capital Improvement Program, Operating Capital Program, the establishment of user charges and management of long-term debt. The Finance section ensures compliance with requirements of the RIPUC, the Trust Indenture and Supplemental Indentures, Continuing Disclosure, Post-Issuance Compliance and other regulatory requirements. This section is also responsible for cash management and NBC's retirement plans.

### The Budget

Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel	\$ 759,781	\$ 881,693	\$ 1,072,490
Operating Supplies/Expense	1,260,103	1,268,219	52,725
Professional Services	804,407	936,000	936,000
<i>Total O&amp;M</i>	<b>\$ 2,824,291</b>	<b>\$ 3,085,912</b>	<b>\$ 2,061,215</b>
<b>Funds by Source - Revenue</b>	<b>\$ 2,824,291</b>	<b>\$ 3,085,912</b>	<b>\$ 2,061,215</b>

### Significant Budget Modifications

The FY 2021 Finance budget is \$1,024,697 or 33% lower than the FY 2020 budget. Personnel expense increased by \$190,797 and includes a net increase of four FTEs over the prior year. Operating supplies and expense decreased by \$1,215,494 reflecting a transfer of insurance and workers comp to General Services budget and Professional services remains unchanged.



### PROGRAM STAFFING (BUDGETED)

	FY 2019	FY 2020	FY 2021
Union FTEs	-	-	-
Non-Union FTEs	7	8	10
<i>Less Turnover</i>	-	-	-
<b>Total</b>	<b>7</b>	<b>8</b>	<b>10</b>

## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards



## FINANCE

### Performance Data

#### Major Accomplishments FY 2020 by Key Code

- FM1** Received affirmation of the AA-/Stable Long-term unenhanced credit rating from S&P Global and AAA/A-1+ Long-term rating and a new AA-/Stable Long-term rating for the 2019 WIFIA loan
- FM1** Received AA/Stable Long-term rating from Kroll Bond Rating Agency for NBC's WIFIA loan
- FM1** Executed a \$268.7 million WIFIA loan from USEPA at a rate of 1.89%
- FM1** Filed and received authority with the Division of Public Utilities to (1) enter into long-term debt through the federal WIFIA loan program and (2) issue refunding bonds
- FM1** Converted the VRDBs from weekly mode to a fixed rate of 2.29%.
- FM1** Received \$1.99 million in refunding loan savings through the Rhode Island Infrastructure Bank
- FM1** Prepared and submitted a second Letter of Interest for WIFIA funding and was invited to apply for a second WIFIA loan for the Bucklin Point Resiliency Improvements Project
- FM1** Refunded the 2013 Series A and 2013 Series C Revenue Bonds for NPV savings >\$8.3 million
- FM1** Continued to implement the new debt management software
- FM1** Filed to amend NBCs Terms and Conditions with RIPUC for recovery of sewer expansion capital costs, stormwater permit fees and a modification to the credit card fee structure
- FM1** Assisted with the trading and sale of REC's
- FM2** Developed new reporting tools and revenue analytics for the new Customer Service system
- FM2** Designed a "Rate Increase Fact Sheet" and a "Billing Cancellation and Rebill Fact Sheet" to assist staff when responding to customer inquiries
- FM3** Developed the Capital Budget to include the five-year Operating Capital Program, Capital Improvement Program and managed capital funding
- FM3** Developed and administered the Operating Budget, finishing under budget for the 28<sup>th</sup> year
- FM3** Achieved a funding level of 100.95% and reduced the net pension liability for the Non-Union Defined Benefit Plan
- FM4** Prepared and submitted information to comply with Continuing Disclosure, Post-Issuance Compliance, Trust Indenture, Letter of Credit, RIPUC Orders, IRS and other commitments
- FM4** Completed Post-Issuance Compliance procedures and forms
- FM4** Issued an RFQP for Investment Banking Services
- FM4** Complied with IRS audit for 2017 employment taxes which resulted in no findings
- FM5** Completed the FY 2020 Non-Union Defined Benefit Plan Financial Reports in conformance with GASB 67, GASB 68 and GASB 82
- FM5** Updated the internal Budget webpage with additional fillable forms and reference guides
- FM5** Modified Schedule B accounts to reallocate net metering credits
- FM5** Initiated ACH reimbursements instead of check
- CF5** Revised NBC policy G-V-7: Accident Reporting Guidelines for NBC Vehicles to include a new Loss Notice Form and guidelines for reporting accidents

- C2** Received the Government Finance Officers' Association (GFOA) Distinguished Budget Presentation Award and received Capital and Special Performance Measures Recognition
- OP1** Realigned the operating budget target measure key codes in accordance with the new Strategic Plan

**Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code**

- FM1** Receive WIFIA funding and seek Division approval prior to entering into a loan agreement with USEPA
- FM1** Maintain AA- and AAA/A-1+ credit ratings from Standard and Poor's and Kroll Bond Rating Agency
- FM4** Ensure compliance with the Trust Indenture and Supplemental Indentures, IRS, SEC, RIPUC and all applicable laws, rules and regulations

## FINANCE

### Target Measures

#### FINANCIAL MANAGEMENT

Manage NBC's finances through strong financial planning and controls such that sewer user charges are minimized

**GOAL ACTION FOR ACHIEVEMENT:** Ensure sufficient funding and receive the lowest cost of borrowing with the least rate payer impact

**KEY CODE: FM1**

**TARGET MEASURE:** Timely filing with PUC to maintain sufficient operating and capital funding by due date and spend .5% or less of Requested Revenue on Outside Rate Case Assistance

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
General Rate Filing	10/10/2018	9/30/2018	No filing	9/30/2020
Debt Service Filing	10/04/2018	9/30/2018	No filing	11/30/2020
Rate Case Assistance (Percentage)	3.6%	0.5%	0.5%	0.5%

**TARGET MEASURE:** Transmit compliance reports to the Public Utilities Commission

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Capital Projects	2	2	2	2
Restricted Accounts	4	4	4	4
Non-Union Retirement Plans	1	1	1	1

**TARGET MEASURE:** Maintain at Least "A+" Unenhanced Credit Rating

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
S&P Credit Rating	AA- AAA/A-1+	AA- AAA/A-1+	AA- AAA/A-1+	AA- AAA/A-1+
Kroll Bond Rating Agency	N/A	N/A	N/A	AA-

**TARGET MEASURE:** Update Long-Term Financial Plan annually

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	2	1	1	1

**TARGET MEASURE:** Receive GFOA Distinguished Budget Presentation Award

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Consecutive Years	17	17	18	19

**TARGET MEASURE:** Process 100% of budget transfers 5 days prior to month end

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100% (133 budget transfers)	100%	100%	100%

**TARGET MEASURE:** Prepare and transmit monthly finance report to Finance Committee

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	12	Monthly	Monthly	Monthly

**TARGET MEASURE:** Upload Budget, Operating Capital Program, and Capital Improvement Program updates to budget webpage

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	12	Monthly	Monthly	Monthly

**GOAL ACTION FOR ACHIEVEMENT:** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting

**KEY CODE:** FM4

**TARGET MEASURE:** Compliance with Continuing Disclosure Commitments

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Annual Operating Data and CAFR on EMMA	12/24/2018	3/31/2019	3/31/2020	3/31/2021
Annual Operating Data and CAFR with RIIB	12/24/2018	3/31/2019	3/31/2020	3/31/2021
Material Events within 10 days of Occurrence	No Events	<10 Days	<10 Days	<10 Days

**TARGET MEASURE:** Ensure compliance with federal and state statutory requirements

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Tax Due Diligence Prior to Issuance	No Issuances	100%	100%	100%
RIGL 35-14 Fiscal Integrity & Accountability	12/04/2018	12/31/2018	12/31/2019	12/31/2020
RIGL 42-10-1-1 PFMB Debt Reporting	8/30/2018	9/30/2018	9/30/2019	9/30/2020
RIGL 42-90-1 Government Consultants	12/04/2018	10/1/2018	10/1/2019	10/1/2020
Governments Survey of Public Pensions	11/08/2018	12/31/2018	12/31/2019	12/31/2020

**TARGET MEASURE:** Perform Post-Issuance Compliance monthly reporting

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Tax Exempt Spend Down Requirements	Monthly	Monthly	Monthly	Monthly
Due Date - Determine Arbitrage Liability	7/08/18	8/31/2018	8/31/2019	8/31/2020
Provide Arbitrage Calculation Information	1 Request	100%	100%	100%

**TARGET MEASURE:** Revise Capital Cash Flow Projected Draw a minimum of 2 times per year

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	2	2 Updates	2 Updates	2 Updates

**TARGET MEASURE:** Process 100% of operating capital transfer requests and provide monthly transfer summary to Finance Committee

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Total Transfer Requests	100% (25 requests)	100%	100%	100%
Frequency	10	8	8	8

**GOAL ACTION FOR ACHIEVEMENT:** Effectively administer NBC's risk management and employee benefits programs

**KEY CODE:** FM7

**TARGET MEASURE:** Prudently administer the non-union defined benefit plan

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Due Date - Actuarial Study	6/30/19	3/31/2019	3/31/2020	6/31/2021
Percentage - Funded Minimum ARC	100%	100%	100%	100%
Due Date - GASB Financial Report	8/31/18	8/31/2018	8/31/2019	8/31/2020

**TARGET MEASURE:** Review retirement plan investments quarterly

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	4	4/Year	4/Year	4/Year

## STAFFING

*Attract, develop and retain highly qualified employees*

**GOAL ACTION FOR ACHIEVEMENT:** Provide professional, technical and safety training to maximize team performance and employee safety

**KEY CODE:** S2

**TARGET MEASURE:** Provide a minimum of 100 Training/Seminars hours

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Hours	214	30	30	100

## COMMUNICATION

*Improve and enhance internal and external communication to increase understanding of “who we are” and “what we do”*

---

**GOAL ACTION FOR ACHIEVEMENT:** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC’s mission

**KEY CODE:** C1

**TARGET MEASURE:** Budget Receives a Proficient or Better Rating as a Communication Device by GFOA

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Received	Proficient/Outstanding	Yes	Yes	Yes

**TARGET MEASURE:** Complete Annual Sewer User Fee Survey

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
MWRA	12/04/2018	Yes	Yes	Yes
NACWA	12/21/2018	Yes	Yes	Yes
NBC Statewide	1/30/2018	Yes	Yes	Yes

## ACCOUNTING Section Summary

### The Program

The Accounting section is responsible for preparing and issuing monthly financial statements in accordance with "Generally Accepted Accounting Principles". Accounting provides cash management support and ensures compliance with the flow of funds set forth in the Trust Indenture and PUC Orders. The Accounting section is also responsible for processing payroll, vendor payments, capital project expenditures, maintaining the general ledger and assisting with rate filings.

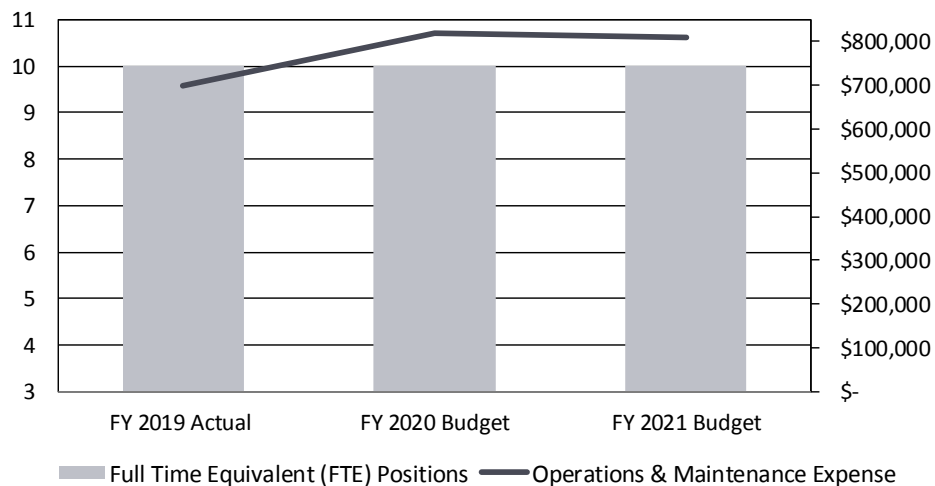
### The Budget

Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel	\$ 655,454	\$ 763,894	\$ 749,397
Operating Supplies/Expense	9,809	10,270	16,700
Professional Services	34,500	45,000	45,000
<i>Total O&amp;M</i>	<b>\$ 699,763</b>	<b>\$ 819,164</b>	<b>\$ 811,097</b>
<b>Funds by Source - Revenue</b>	<b>\$ 699,763</b>	<b>\$ 819,164</b>	<b>\$ 811,097</b>

### Significant Budget Modifications

The FY 2021 Accounting budget is \$8,067 lower than the FY 2020 budget. Personnel expense decreased by \$14,497 over the prior year. Operating supplies and expense and Professional services increased by \$6,430 and includes funding for the financial audit.

ACCOUNTING -Historical Data



PROGRAM STAFFING (BUDGETED)

	FY 2019	FY 2020	FY 2021
Union FTEs	2	1	1
Non-Union FTEs	8	9	9
<i>Less Turnover</i>	-	-	-
<b>Total</b>	<b>10</b>	<b>10</b>	<b>10</b>

## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards

## **ACCOUNTING**

### **Performance Data**

#### **Major Accomplishments FY 2020 by Key Code**

- FM1** Continued to work on the implementation of the new debt management software
- FM3** Completed the FY 2019 audit of the financial statements by the September 30th statutory deadline
- FM3** Completed the FY 2019 Single Audit by the November 30th deadline
- FM3** Received a clean audit opinion and no management letter for the 22nd consecutive year
- FM3** Received the GFOA Certificate of Achievement for Excellence in Financial Reporting for the 17th consecutive year
- FM4** Calculated the monthly trust transfer, fund accounting and cash flow
- FM4** Prepared and distributed the IRS W-2, 1099 and ACA reporting for CY 2019
- FM4** Completed the monthly restricted account reporting required by the Public Utilities Commission
- FM4** Assisted with the IRS audit for 2017 employment taxes which resulted in no findings
- FM5** Prepared and issued RFP for auditing services for FY 2020-2022
- FM6** Processed approximately \$1.0 million in purchase card payments
- FM6** Processed and submitted approximately \$38.3 million in capital invoices for payment
- FM6** Processed operating invoices and bi-weekly payrolls and received \$2,516 in discounts for prompt payment
- FM6** Updated the NBC vendor database with current W-9 information

#### **Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code**

- CB4** Establish a complete formal inventory of assets not placed in service
- FM3** Complete the FY 2020 audit and receive a clean audit opinion and no management letter
- FM4** Ensure proper calculation of the monthly trust transfer and prepare monthly financial statements
- FM6** Establish formal procedures to pay vendors through ACH



## ACCOUNTING

### Target Measures

#### FINANCIAL MANAGEMENT

*Manage NBC's finances through strong financial planning and controls such that sewer user charges are minimized*

**GOAL ACTION FOR ACHIEVEMENT:** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards

**KEY CODE:** FM3

**TARGET MEASURE:** Implement Government Accounting Standard Boards (GASB) pronouncements that apply to NBC

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100% - 1 GASB	100%	100%	100%

**GOAL ACTION FOR ACHIEVEMENT:** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting

**KEY CODE:** FM4

**TARGET MEASURE:** Receive the GFOA Certificate of Achievement for Excellence in Financial Reporting

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Consecutive Years	17	17	18	19

**TARGET MEASURE:** Timely completion of financial audit

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Completion of CAFR	9/30/2018	9/30/2018	9/30/2019	9/30/2020
Consecutive Years - No Management Letter	20 Years	20 Years	21 Years	22
Address Findings within 5 days	0 Findings	0 Findings	0 Findings	0 Findings
Receive a clean opinion	Yes	Yes	Yes	Yes

**TARGET MEASURE:** Timely completion of single audit if required

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Completion of Single Audit	10/15/2018	3/31/2019	3/21/2020	3/21/2021
Address findings within 5 days	0 Findings	0 Findings	0 Findings	0 Findings

**TARGET MEASURE:** Prepare monthly financial statements within five business days of month-end

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Timeframe	≤5 Days	≤5 Days	≤5 Days	≤5 Days

**TARGET MEASURE:** Prepare the restricted account reporting within 25 days of month-end

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Timeframe	≤25 Days	≤25 Days	≤25 Days	≤25 Days

**TARGET MEASURE:** Prepare trust transfers 3 days before the last business day of month-end

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Timeframe	4 <sup>th</sup> Day	4 <sup>th</sup> Day	4 <sup>th</sup> Day	4 <sup>th</sup> Day

**TARGET MEASURE:** Perform monthly fund reconciliation within 25 days after month-end

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Timeframe	≤25 Days	≤25 Days	≤25 Days	≤25 Days

**TARGET MEASURE:** Prepare W-2s and 1099s at the end of the calendar year and the quarterly 941 payroll tax returns

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
W-2s	302	100%	100%	100%
1099s	83	100%	100%	100%
941s	4	100%	100%	100%

**TARGET MEASURE:** Prepare and submit the consultant report for the RI Secretary of State by October 1<sup>st</sup> of each year

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Due Date	7/10/2018	10/1/2018	10/1/2019	10/1/2020

**TARGET MEASURE:** Post quarterly financial statements on NBC’s website and submit the quarterly surcharge reports to RIDEM

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Financials Posted	4	4	4	4
Surcharge Reports Submitted	4	4	4	4

**GOAL ACTION FOR ACHIEVEMENT:** Ensure the timely, efficient and cost-effective purchase of goods and services  
**KEY CODE:** FM6

**TARGET MEASURE:** Process 100% of invoices

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Operating Invoices	8,958	100%	100%	100%
Capital Invoices	1,237	100%	100%	100%

## STAFFING

*Attract, develop and retain highly qualified employees*

---

**GOAL ACTION FOR ACHIEVEMENT:** Provide professional, technical and safety training to maximize team performance and employee safety  
**KEY CODE:** S2

**TARGET MEASURE:** Ensure accountants and payroll administrators complete a minimum of 50 training hours

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Hours	98	50	50	50

## CUSTOMER SERVICE Section Summary

### The Program

The Customer Service Section is responsible for accurate and timely monthly billing of approximately 85,000 accounts in the NBC service area. Water consumption based billings comprise more than half of the annually billed user charges, and NBC receives water consumption data from seven different water supply boards. The billing section also responds to customer inquiries such as real estate closing requests. Additionally, Customer Service has field investigators who research accounts and facilitate the abatement program. Customer Service processes cash and electronic payments, handles all collection activity including phone calls, water shut-offs and support for the lien sale.

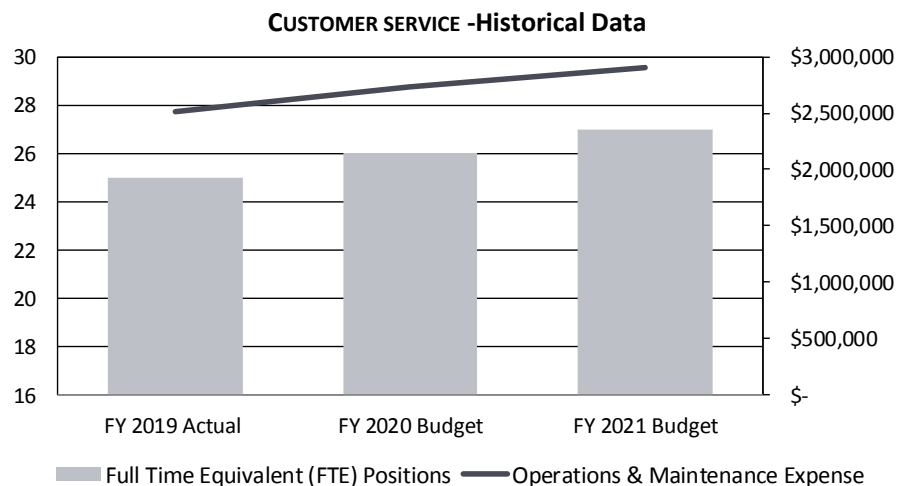
### The Budget

Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel	\$ 1,983,176	\$ 2,145,223	\$ 2,287,894
Operating Supplies/Expense	502,217	545,980	566,075
Professional Services	33,236	46,390	46,390
<i>Total O&amp;M</i>	<b>\$ 2,518,629</b>	<b>\$ 2,737,593</b>	<b>\$ 2,900,359</b>

<b>Funds by Source - Revenue</b>	<b>\$ 2,518,629</b>	<b>\$ 2,737,593</b>	<b>\$ 2,900,359</b>
----------------------------------	---------------------	---------------------	---------------------

### Significant Budget Modifications

The FY 2021 Customer Service budget is \$162,766, or 5.95% higher than the FY 2020 budget. Personnel expense increased by \$142,671 over the prior year and includes a net increase of one additional FTE that was added in FY 2020. Operating supplies and expense increased by \$20,095 and professional services remained the same year to year.



### PROGRAM STAFFING (BUDGETED)

	FY 2019	FY 2020	FY 2021
Union FTEs	14	13	13
Non-Union FTEs	11	14	15
<i>Less Turnover</i>	-	(1)	(1)
<b>Total</b>	<b>25</b>	<b>26</b>	<b>27</b>

## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards

## **CUSTOMER SERVICE Performance Data**

### **Major Accomplishments FY 2020 by Key Code**

- CB3** Implemented the final platform of the new Customer Service Application: Mobile Enterprise
- CB3** Ensured that the new Customer Service System Application is performing to its capability
- FM2** Completed timely and accurate monthly billings of NBC's approximately 85,000 Accounts
- FM2** Billed more than \$100M in user fee revenue
- CF5** Obtained site meter readings for more than 300 customers per month on average
- CF5** Received and responded to an average of 5,000 customer calls per month

### **Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code**

- FM2** Ensure complete and accurate billing and streamline collection strategies to maximize results
- CF1** Provide excellent customer service
- CF2** Ensure that all Customer Service staff is trained on the new Application: Mobile Enterprise
- CF5** Continue to ensure that new Customer Service Application is performing to its capability

## CUSTOMER SERVICE

### Target Measures

## FINANCIAL MANAGEMENT

*Manage NBC's finances through strong financial planning and controls such that sewer user charges are minimized*

---

**GOAL ACTION FOR ACHIEVEMENT:** Maximize the efficiency, effectiveness, and accuracy of NBC's rate structures and collection processes to reduce accounts receivable

**KEY CODE:** FM2

**TARGET MEASURE:** Ensure a minimum of 98% of accounts have an actual meter reading within 12 months

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	98% - 993,872 Meter Readings	98%	98%	98%

**TARGET MEASURE:** Call a minimum of 90% of accounts with over 30-day balances

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	7,158 Accounts	90%	90%	50%

**TARGET MEASURE:** Create a minimum of 8% of Budget Agreements for accounts with over 30-day balances

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	8% - 1,553 Agreements	8%	8%	8%

**TARGET MEASURE:** Send foreclosure letters to 100% properties going into foreclosure

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100% - 320 Accounts	100%	100%	100%

**TARGET MEASURE:** Select a minimum of 5,000 accounts for Water Shut-off

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Selected	8,753	5,000	5,000	5,000
Posted	1,776 Accounts	50%	50%	50%
Terminated	193 Accounts	18%	18%	18%

**TARGET MEASURE:** Late fees are 1.5% or less of the percentage of user fee billing

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	1.09%	<1.5%	<1.5%	<1.5%

## CUSTOMER FOCUS

*Maintain a customer-focused attitude throughout the organization*

---

**GOAL ACTION FOR ACHIEVEMENT:** Provide prompt, courteous, efficient and educational services

**KEY CODE:** CF2

**TARGET MEASURE:** Add new meters into customer service application

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	3,402 Meters	100%	100%	100%

**TARGET MEASURE:** Investigate new sewer connection permits

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100%- 309 Permits	100%	100%	100%

**TARGET MEASURE:** Process 100% of Abatement Applications

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	107 Applications	100%	100%	100%

**TARGET MEASURE:** Resolve account disputes within 30 days

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	96% - 848 resolutions	96%	96%	96%

**TARGET MEASURE:** Process closing requests within 48 hours

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Total Closing Requests	5,816			
Processed within 48 hours	672	95%	95%	95%

**GOAL ACTION FOR ACHIEVEMENT:** Maximize customer focus attitude by providing excellent customer service and developing strong customer relationships

KEY CODE: CF4

**TARGET MEASURE:** Review 15 or more large user accounts and conduct a minimum of 500 manual site meter readings

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity - Reviewed	15	15	15	15
Quantity - Read	500	500	500	500

## STAFFING

*Attract, develop and retain highly qualified employees*

**GOAL ACTION FOR ACHIEVEMENT:** Provide professional, technical and/or safety training to optimize team performance and ensure user comfort with systems and processes

KEY CODE: S3

**TARGET MEASURE:** Provide a minimum of 1,500 employee training hours

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Hours	1,500	1,500	1,500	1,500

## PURCHASING Section Summary

### The Program

The Purchasing section is responsible for ensuring the legal, timely, and cost-effective purchasing of goods and services. This section also oversees NBC's Insurance and Risk Management and coordinates the contracting of REC sales and assists with renewable energy projects

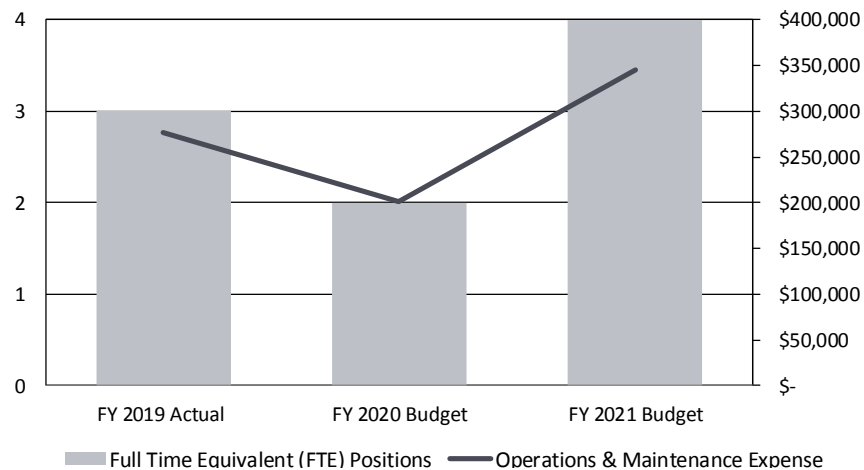
### The Budget

Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel	\$ 274,562	\$ 197,803	\$ 341,055
Operating Supplies/Expense	1,710	2,900	4,650
Professional Services	-	-	-
<i>Total O&amp;M</i>	<b>\$ 276,272</b>	<b>\$ 200,703</b>	<b>\$ 345,705</b>
<b>Funds by Source - Revenue</b>	<b>\$ 276,272</b>	<b>\$ 200,703</b>	<b>\$ 345,705</b>

### Significant Budget Modifications

The FY 2021 Purchasing budget is \$145,002 or 72% higher than the FY 2020 budget. Personnel expense increased by \$143,252 and reflects the addition of two FTEs added in FY 2020. Operating supplies and expense increased by \$1,750 reflecting new hire needs. Professional services remained unchanged.

PURCHASING -Historical Data



PROGRAM STAFFING (BUDGETED)

	FY 2019	FY 2020	FY 2021
Union FTEs	-	-	-
Non-Union FTEs	3	2	4
<i>Less Turnover</i>	-	-	-
<b>Total</b>	<b>3</b>	<b>2</b>	<b>4</b>



## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards

## **PURCHASING Performance Data**

### **Major Accomplishments FY 2020 by Key Code**

- CB1** Trained NBC staff to ensure compliance with State of RI Purchasing Regulations
- CB1** Reviewed new legislation to ensure compliance
- CB1** Renewed 25 insurance policies with premiums totaling approximately \$750 thousand
- CB4** Added bid specifications and sole source documents to share point
- FM4** Ensured that all purchases were in conformance with State of RI Law and NBC Purchasing Regulations
- FM6** Prepared 100% of received bid proposals and specifications within 30 days
- FM6** Assisted with emergency purchases
- FM6** Managed the purchase card program which included 2,456 purchases and \$1,002,816 in expenditures
- FM7** Initiated the development of a comprehensive Risk Management Program
- CF3** Developed new asset insurance coverage fillable forms
- CF3** Posted bid requests and awards on-line
- S2** Ensured new employees were trained in the Oracle Purchasing System

### **Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code**

- CB1** Prepare robust purchasing specifications to ensure competitive bids
- FM4** Ensure compliance with Federal and State purchasing laws
- FM5** Encourage vendor participation in NBC's Purchase Card Program
- FM6** Ensure the timely, efficient and cost effective purchase of goods and services needed to operate, maintain and improve NBC's facilities
- FM7** Continue developing a Risk Management Program
- FM7** Revise the NBC vehicle accident reporting procedures

**PURCHASING**  
**Target Measures**

**FINANCIAL MANAGEMENT**

*Manage NBC's finances through strong financial planning and controls such that sewer user charges are minimized*

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure the timely, efficient and cost-effective purchase of goods and services  
**KEY CODE:** FM6

**TARGET MEASURE:** Process 100% of purchase requisitions

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	1,591 requisitions	100%	100%	100%

**TARGET MEASURE:** Complete 85% of bid specifications within 30 days

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	92%-35 bid specifications	85%	85%	85%

**TARGET MEASURE:** Ensure contracts are awarded within 60 days of RFQP

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Timeframe	30 days-29 contracts	≤60 days	≤60 days	≤60 days

**TARGET MEASURE:** Review all contracts three months prior to expiration

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	7 contracts	100%	100%	100%

**GOAL ACTION FOR ACHIEVEMENT:** Effectively administer NBC's risk management and employee benefit programs  
**KEY CODE:** FM7

**TARGET MEASURE:** Evaluate and ensure sufficient insurance policies are in effect prior to expiration

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	25 insurance policies	100%	100%	100%

**CUSTOMER FOCUS**

*Maintain a customer-focused attitude throughout the organization*

---

**GOAL ACTION FOR ACHIEVEMENT:** Enhance customer communication through consistent procedures and the implementation of new technologies  
**KEY CODE:** CF5

**TARGET MEASURE:** Provide Finance Committee with list of purchase requisitions greater than \$10,000

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	202 Requisitions	100%	100%	100%

**GOAL ACTION FOR ACHIEVEMENT:** Enhance internal communications to ensure consistency, reliability and satisfaction  
**KEY CODE:** CF3

**TARGET MEASURE:** Ensure NBC does not have more than 50 vehicles that weigh less than 8,500 tons

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	49	≤50	≤50	≤50

## STAFFING

*Attract, develop and retain highly qualified employees*

---

**GOAL ACTION FOR ACHIEVEMENT:** Provide professional, technical and safety training to maximize team performance and employee safety

**KEY CODE:** S2

**TARGET MEASURE:** Provide a minimum of 24 employee training hours

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Hours	24	24	24	24

## GENERAL SERVICES Section Summary

### The Program

The General Services section includes overhead items such as funding of the HDHP, Health Reimbursement Arrangement, unemployment, gas and electricity utilities, net metering credits and sale of RECs, and debt service.

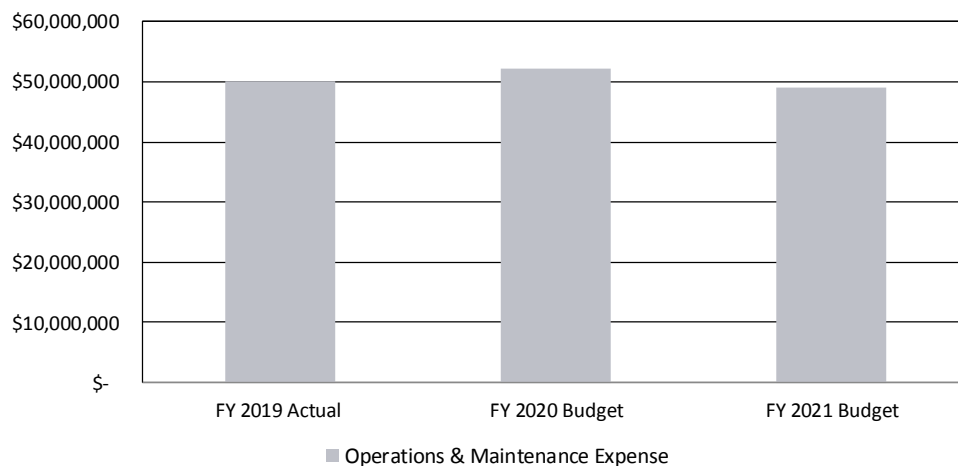
### The Budget

	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
<b>Operations &amp; Maintenance Expense</b>			
Personnel	\$ 581,809	\$ 671,732	\$ 750,052
Operating Supplies/Expense	2,790,801	3,708,710	4,771,542
Professional Services	30,893	30,000	20,000
<i>Total O&amp;M</i>	<u>3,403,503</u>	<u>4,410,442</u>	<u>5,541,594</u>
<b>Debt Service</b>			
Debt Service	46,576,163	47,816,624	43,863,780
<i>Total Debt Service</i>	<u>46,576,163</u>	<u>47,816,624</u>	<u>43,863,780</u>
<b>Total Expense</b>	<b>\$ 49,979,666</b>	<b>\$ 52,227,066</b>	<b>\$ 49,405,374</b>
<b>Funds by Source - Revenue</b>	<b>\$ 49,979,666</b>	<b>\$ 52,227,066</b>	<b>\$ 49,405,374</b>

### Significant Budget Modifications

The FY 2021 General Services budget is approximately \$2.8 million or 5.4% lower than the FY 2020 budget. Personnel expense increased by \$78,320 due to an increase in budgeted unemployment and health insurance premium. Operating supplies and expense increased by \$1,062,832 which reflects the transfer of insurance and workers compensation from the Finance section. Professional services decreased by \$10,000. Debt service decreased by 8.3% or approximately \$4 million as a result of lower interest payments on refunded loans, final payments for SRF bond issues in the prior fiscal year and programmed for interest on Revenue Anticipation Notes.

#### GENERAL SERVICES -Historical Data



#### PROGRAM STAFFING (BUDGETED)

Responsibilities are executed by Finance Division Staff

## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards

## **GENERAL SERVICES**

### **Performance Data**

#### **Major Accomplishments FY 2020 by Key Code**

- CB1** Reviewed documentation with the State of RI Archivist for record destruction
- FM4** Created trust transfer procedures and processing forms
- FM5** Negotiated the electricity supply rate through fiscal year 2020 and rolled the capacity charge into the rate to maximize net metering credits
- FM5** Negotiated the natural gas supply rate through May 2021
- FM8** Administered and negotiated the contracts for the sale of RECs
- FM8** Secured new REC contracts through 2022

#### **Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code**

- FM5** Ensure NBC receives lowest competitive supply rate for Electricity
- FM5** Ensure NBC receives lowest competitive supply rate multi-year contract for Natural Gas
- FM5** Ensure 100% of RECs are bundled and transferred prior to expiration
- FM5** Monitor net metering credits to ensure no net metering credits are lost
- FM5** Assist with the sustainable energy program

## GENERAL SERVICES

### Target Measures

#### FINANCIAL MANAGEMENT

*Manage NBC's finances through strong financial planning and controls such that sewer user charges are minimized*

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting

**KEY CODE:** FM4

**TARGET MEASURE:** Ensure timely funding for monthly trust transfers

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	12 transfers	Monthly	Monthly	Monthly

**TARGET MEASURE:** Prepare and submit monthly trust transfer certifications to Trustee on the third day prior to the last Business Day of each month

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	12 certifications	Monthly	Monthly	Monthly

**TARGET MEASURE:** Ensure weekly funding of the Health Reimbursement Account

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	52 weeks	Weekly	Weekly	Weekly

**GOAL ACTION FOR ACHIEVEMENT:** Develop and administer programs to increase efficiency and cost-effectiveness of operations

**KEY CODE:** FM5

**TARGET MEASURE:** Ensure renewable energy credits are bundled and transferred at least semi-annually

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	4 – 20, 305 REC's	≥2	≥2	≥2

**TARGET MEASURE:** Submit the energy generation report to NBC's energy advisor each month

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	12 reports	Monthly	Monthly	Monthly

**TARGET MEASURE:** Ensure quarterly submission of energy generation report to the renewable energy consultants, which include kilowatt hours

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	4 reports	Quarterly	Quarterly	Quarterly

**TARGET MEASURE:** Review supply and delivery rates for Electricity and Natural Gas annually

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Electricity Supply Rate	\$0.07690	Annual	Annual	Annual
Natural Gas Supply Rate	\$5.220/Dth	Annual	Annual	Annual

**TARGET MEASURE:** Ensure 100% of RECs are minted by the end of each fiscal year

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Field's Point Wind	7,837 REC's	100%	100%	100%
WED Wind	9,251 REC's	100%	100%	100%
Solar	6,226 REC's	100%	100%	100%



## CUSTOMER FOCUS

*Maintain a customer-focused attitude throughout the organization*

---

**GOAL ACTION FOR ACHIEVEMENT:** Enhance customer communication through consistent procedures and the implementation of new technologies

**KEY CODE:** CF5

**TARGET MEASURE:** Ensure 100% of NBC records are recorded and archived as required

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	0 records	100%	100%	100%

## COMMUNICATION

*Improve and enhance internal and external communication to increase understanding of “who we are” and “what we do”*

---

**GOAL ACTION FOR ACHIEVEMENT:** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC’s mission

**KEY CODE:** C1

**TARGET MEASURE:** Process 100% of outgoing mail daily

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	29,599 pieces of mail	100%	100%	100%



# OPERATIONS AND MAINTENANCE DIVISION

## Division Summary



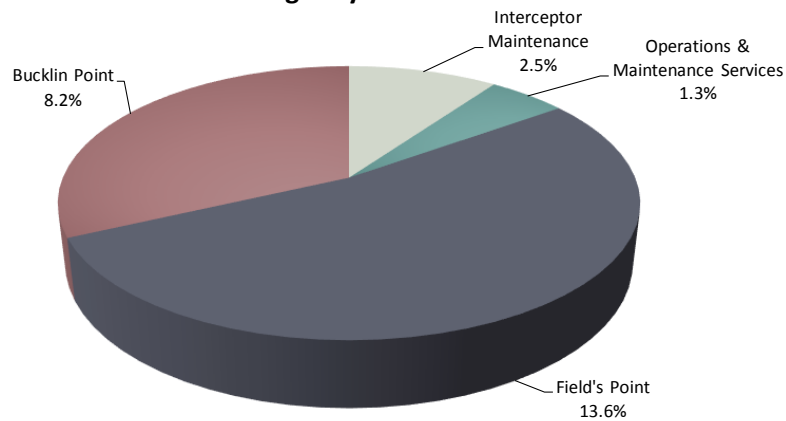
### The Program

The Operations and Maintenance Division is responsible for managing, operating and maintaining NBC's wastewater treatment facilities, infrastructure and collection system. This Division also ensures process control for continuous collection and treatment of wastewater throughout NBC's service area in accordance with all State and Federal regulatory requirements. This Division also maintains the Asset Management Program to ensure proper maintenance, repair and replacement of NBC's assets.

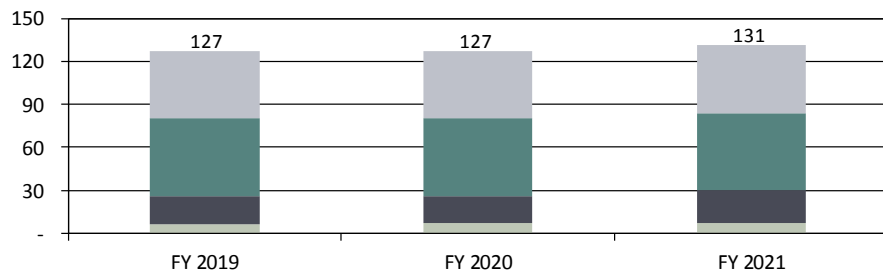
### FY 2020 Budget by Division



### OPERATIONS & MAINTENANCE DIVISION Budget by Section



### Budgeted Positions (FTEs)\*



■ Operations & Maintenance Services ■ Intercepter Maintenance ■ Field's Point ■ Bucklin Point

\*Does not include turnover

## OPERATIONS AND MAINTENANCE DIVISION

### Division Summary

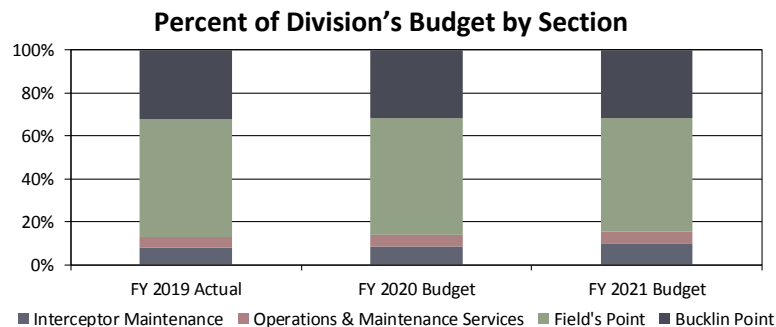
The Operations and Maintenance Division is responsible for managing, operating and maintaining NBC's wastewater treatment facilities, infrastructure and collection system. This Division also ensures process control for continuous collection and treatment of wastewater throughout NBC's service area in accordance with all State and Federal regulatory requirements. This Division also maintains the Asset Management Program to ensure proper maintenance, repair and replacement of NBC's assets.

### The Budget

	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
<b>Expenditures by Element of Expense</b>			
Personnel	\$ 11,356,206	\$ 12,214,649	\$ 12,777,012
Operating Supplies/Expense	9,605,584	10,334,293	10,590,057
Professional Services	25,508	44,600	36,300
<i>Total O&amp;M</i>	<i>\$ 20,987,298</i>	<i>\$ 22,593,542</i>	<i>\$ 23,403,369</i>
<b>Funds by Source - Revenue</b>			
	<b>\$ 20,987,298</b>	<b>\$ 22,593,542</b>	<b>\$ 23,403,369</b>

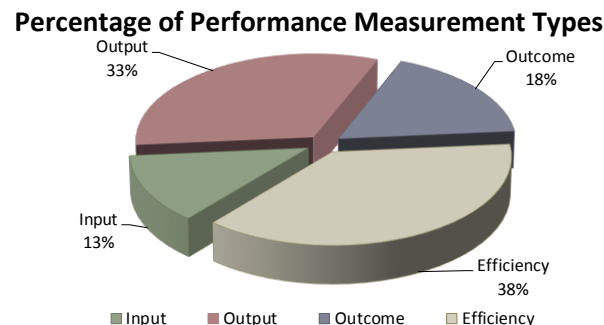
### Significant Budget Modifications

The FY 2021 Operations and Maintenance Division budget is \$809,827 or 3.6% higher than the FY 2020 budget. Personnel expense increased by \$562,363 or 4.6% and includes a net increase of four FTEs. This year's budget also reflects the transfer of the sewer connection permit program from the Construction & Engineering Division. Operating supplies and expense and Professional services increased by \$247,464 and includes increased expense for biosolids disposal and treatment costs, as well as \$150,000 for expense related to the startup and testing of the biogas reuse facilities at Bucklin Point.



### Operations Division Performance Data Summary

The chart below illustrates the Operations and Maintenance Division's Performance Data by type of measure. The measures can be found in the individual sections following the division summary. In this Division, Outcome and Efficiency make up 56% of the performance measures.



## OPERATIONS AND MAINTENANCE SERVICES

### Section Summary

#### The Program

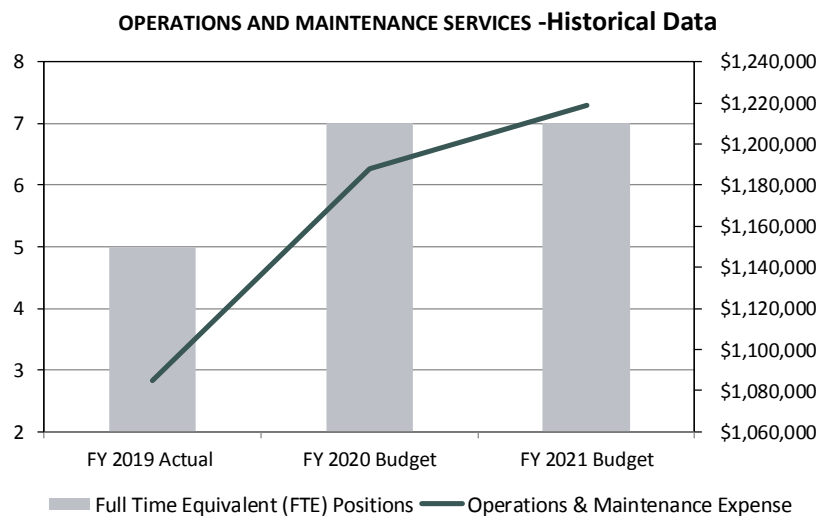
The Operations and Maintenance Services section provides support for the management of NBC's two wastewater treatment facilities and interceptor maintenance. This section ensures compliance with all State and Federal regulations, reporting requirements, consent agreements and permits. The Operations and Maintenance Services section maintains the Asset Management Program and the computerized control systems to allow for continuous operations and process control.

#### The Budget

Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel	\$ 807,341	\$ 843,234	\$ 885,768
Operating Supplies/Expense	277,303	344,466	333,195
Professional Services	-	-	-
<i>Total O&amp;M</i>	<b>\$ 1,084,644</b>	<b>\$ 1,187,700</b>	<b>\$ 1,218,963</b>
<b>Funds by Source - Revenue</b>	<b>\$ 1,084,644</b>	<b>\$ 1,187,700</b>	<b>\$ 1,218,963</b>

#### Significant Budget Modifications

The FY 2021 O&M Services budget is \$31,263 or 2.6% higher than the FY 2020 budget. Personnel expense increased by \$42,534 over the prior year. Operating supplies and expense decreased by \$11,271 from the prior year.



#### PROGRAM STAFFING (BUDGETED)

	FY 2019	FY 2020	FY 2021
Union FTEs	-	-	-
Non Union FTEs	6	7	7
<i>Less Turnover</i>	-	-	-
<b>Total</b>	<b>6</b>	<b>7</b>	<b>7</b>

## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards

## **OPERATIONS AND MAINTENANCE SERVICES**

### **Performance Data**

#### **Major Accomplishments FY 2020 by Key Code**

- CB3** Upgraded the Wonderware software control system and the Data Acquisition servers thereby improving oversight and real-time performance management on multitudes of information and technologies at the WWTF's
- CB4** Completed the FY 2019 Asset Priority Report
- FM6** Reorganized the hundreds of parts and equipment within the Asset Management Program
- S2** Developed a training program and guidelines for the Hansen Service Requests and Work Order system

#### **Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code**

- CB4** Revise the NBC Asset Management Plan
- CB4** Implement a bar code system to enhance the Asset Management Inventory Module
- CB4** Make improvements to the NBC Inventory database

## Target Measures

### CORE BUSINESS

*Operate, maintain and protect our collection and treatment systems to ensure that all State and Federal requirements are met or surpassed*

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure compliance with all State and Federal regulations, permits, consent agreements, certifications, NBC regulations and reporting requirements

**KEY CODE:** CB1

**TARGET MEASURE:** Submit the annual dry ton report to RIDEM

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Timeframe	1/25/2019	Annual	Annual	Annual

**TARGET MEASURE:** Complete and submit the Coastal Resources Management Council (CRMC) annual report

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Due Date	1/2/2019	12/31/2018	12/31/2019	12/31/2020

**GOAL ACTION FOR ACHIEVEMENT:** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies

**KEY CODE:** CB3

**TARGET MEASURE:** Ensure 100% up-to-date supported levels of applications and operating systems and licensing requirements

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity-FP	1	100%	100%	100%
Quantity-BP	3	100%	100%	100%

### STAFFING

*Attract, develop and retain highly qualified employees*

---

**GOAL ACTION FOR ACHIEVEMENT:** Employ best practices to retain qualified employees and ensure succession planning

**KEY CODE:** S4

**TARGET MEASURE:** Monthly planning/scheduling meeting with each WWTF manager

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	76	24	24	24

**GOAL ACTION FOR ACHIEVEMENT:** Provide professional, technical and safety training to maximize team performance and employee safety

**KEY CODE:** S2

**TARGET MEASURE:** Director attend a minimum of 1 professional training session per year

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	0	1	1	N/A

**TARGET MEASURE:** Attend a minimum of 1 professional training session per year

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	N/A	N/A	N/A	1



## INTERCEPTOR MAINTENANCE

### Section Summary

#### The Program

The Interceptor Maintenance (IM) section is responsible for operating and maintaining NBC's collection system to ensure flows are properly transported to the WWTF's in compliance with State and Federal requirements. The IM Section performs various maintenance and inspection tasks as mandated by the RIPDES permit; including visual inspections of flow and infrastructure conditions, video monitoring inspections, correction of infrastructure impediments, performing minor construction repairs, identifying Capital Improvements associated with CSO facilities, wastewater pumping facilities and general sewer system repairs and upgrades. The IM Department monitors new development projects that may impact the collection system and provides assistance to communities and the two NBC-Owned Wastewater Treatment Facilities as needed. IM also manages the NBC's Sewer Permitting Program and Collection System Flow Monitoring Program.

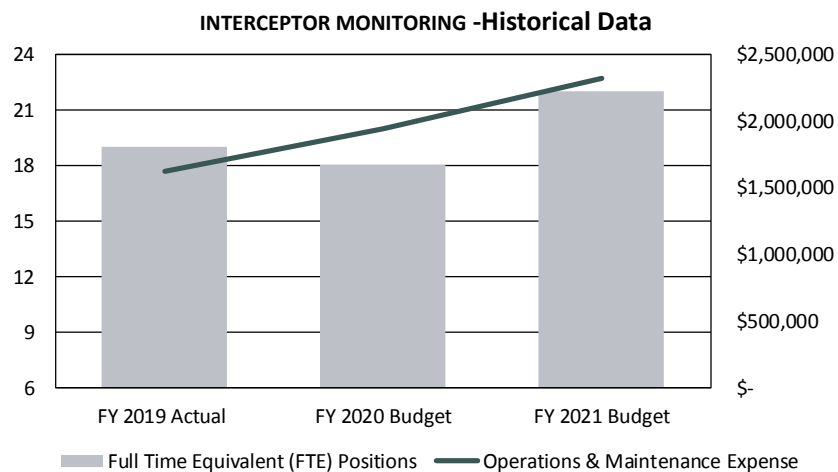
#### The Budget

Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel	\$ 1,307,371	\$ 1,558,988	\$ 1,863,441
Operating Supplies/Expense	305,392	367,573	447,076
Professional Services	7,501	18,600	10,100
<i>Total O&amp;M</i>	<b>\$ 1,620,264</b>	<b>\$ 1,945,161</b>	<b>\$ 2,320,617</b>

Funds by Source - Revenue	\$ 1,620,264	\$ 1,945,161	\$ 2,320,617
---------------------------	--------------	--------------	--------------

#### Significant Budget Modifications

The FY 2021 IM budget is \$375,456 or 19.3% higher than the FY 2020 budget. Personnel expense increased by \$304,453 reflecting a net increase of three FTEs. Operating supplies and expense increased by \$79,503, the majority of that being for CSO netting and screening and grit disposal. Professional services decreased \$8,500 in security services.



#### PROGRAM STAFFING (BUDGETED)

	FY 2019	FY 2020	FY 2021
Union FTEs	12	10	11
Non Union FTEs	8	9	12
<i>Less Turnover</i>	(1)	(1)	(1)
<b>Total</b>	<b>19</b>	<b>18</b>	<b>22</b>

## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards

## **INTERCEPTOR MAINTENANCE**

### **Performance Data**

#### **Major Accomplishments FY 2020 by Key Code**

- CB1** Ensured 100% compliance with all RIPDES requirements for the collection system
- CB1** Issued 295 sewer connection and stormwater permits
- CB4** Maintained 705 catch basins to reduce grit deposit into the system and convey storm water to public sewers
- CB4** Inspected approximately 3 miles of collection system interceptors
- CB4** Removed approximately 375 tons of sediment from the collection system
- EP1** Removed approximately 24 tons of floatable material captured at various CSOs
- FM5** Implemented a mobile computerized work tracking system (Field Inspector) to improve work order efficiency
- FM5** Eliminated 6,000 paper work orders utilizing Field Inspector
- CF4** Performed 10 hours of community assistance within the NBC service area
- S2** Completed 240 hours of staff trainings
- C2** Worked with the cities and towns in our district to stream-line the permits process

#### **Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code**

- CB1** Comply with RIPDES requirements for the collection system
- CB4** Maintain 705 catch basins to reduce grit deposit into the system
- CB4** Complete baseline inspections of the collection system in order to identify and schedule necessary upgrades in the Asset Management Program
- S2** Complete 150 hours of staff trainings

## Target Measures

### CORE BUSINESS

*Operate, maintain and protect our collection and treatment systems to ensure that all State and Federal requirements are met or surpassed*

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements.

**KEY CODE:** CB1

**TARGET MEASURE:** Comply with RIPDES permit required inspections and reporting

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage - Event Reporting	100% - 1 Event	100%	100%	100%
Pump Station Inspections	Weekly	Weekly	Weekly	Weekly
Regulators Inspections	Bimonthly	Bimonthly	Bimonthly	Bimonthly
Tide Gates Inspections	Monthly	Monthly	Monthly	Monthly
Sump Pumps Inspections	Quarterly	Quarterly	Quarterly	Quarterly
Catch Basins Inspections	Semiannually	Semiannually	Semiannually	Semiannually

**TARGET MEASURE:** Submit BMP report semi-annually and CMOM report by due date

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency - BMP Report	2	2	2	2
Due Date - CMOM Report	1/31/2019	1/31/2019	1/31/2020	1/31/2021

**GOAL ACTION FOR ACHIEVEMENT:** Maintain NBC's asset management program to ensure continuous operation and the protection of assets

**KEY CODE:** CB4

**TARGET MEASURE:** Address emergency situations within 24 hours of notification

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	1 Emergency	100%	100%	100%

**TARGET MEASURE:** Perform at least 90% of work orders

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Preventative Work Orders Completed	1,015	90%	90%	90%
Corrective Work Orders Completed	1,346			
Quantity - Staff Hours	7,560	5,000	5,000	5,000

### ENVIRONMENTAL PERFORMANCE

*Continuously evaluate NBC environmental performance to identify, quantify and minimize NBC impacts to the environment in a cost effective manner*

---

**GOAL ACTION FOR ACHIEVEMENT:** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact

**KEY CODE:** EP1

**TARGET MEASURE:** Respond to dry weather bypass within 6 hours of initial notification

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Hours	0	≤6	≤6	≤6

**TARGET MEASURE:** Remove pollutants from CSO trash nets within 72 hours of event

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	34.44 Tons	100%	100%	100%

## FINANCIAL MANAGEMENT

Manage NBC's finances through strong financial planning and controls such that sewer user charges are minimized

---

**GOAL ACTION FOR ACHIEVEMENT:** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes

**KEY CODE:** FM2

**TARGET MEASURE:** Collect 100% of Permit Fees

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	\$126,012	100%	100%	100%

**GOAL ACTION FOR ACHIEVEMENT:** Ensure the timely, efficient and cost-effective purchase of goods and services

**KEY CODE:** FM6

**TARGET MEASURE:** Complete 100% of planned capital items

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Budgeted	3	100%	100%	100%
Completed	2			

## CUSTOMER FOCUS

Maintain a customer-focused attitude throughout the organization

---

**GOAL ACTION FOR ACHIEVEMENT:** Provide excellent customer service

**KEY CODE:** CF1

**TARGET MEASURE:** Issue Sewer and Stormwater Connection Permits within 10 business days

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Timeframe	6.67	≤10 Business Days	≤10 Business Days	≤10 Business Days

**TARGET MEASURE:** Issue Sewer Alteration Permits within 10 business days

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Timeframe	17.1	≤10 Business Days	≤10 Business Days	≤10 Business Days

**TARGET MEASURE:** Provide Customer Service with 100% of new sewer connection permit data

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	305 New Accounts	100%	100%	100%

**GOAL ACTION FOR ACHIEVEMENT:** Maintain programs and participate in projects that give back to NBC's service area

**KEY CODE:** CF4

**TARGET MEASURE:** Provide assistance to NBC communities with collection system maintenance

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Hours	48.5	40	40	40

## STAFFING

Attract, develop and retain highly qualified employees

---

**GOAL ACTION FOR ACHIEVEMENT:** Provide professional, technical and safety training to maximize team performance and employee safety

**KEY CODE:** S 2

**TARGET MEASURE:** Provide staff a minimum of 100 technical/standard operating procedures training hours

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Hours	193	100	100	100

**TARGET MEASURE:** Schedule quarterly safety committee meetings with staff and post minutes

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	2	4	4	4

## FIELD'S POINT Section Summary

### The Program

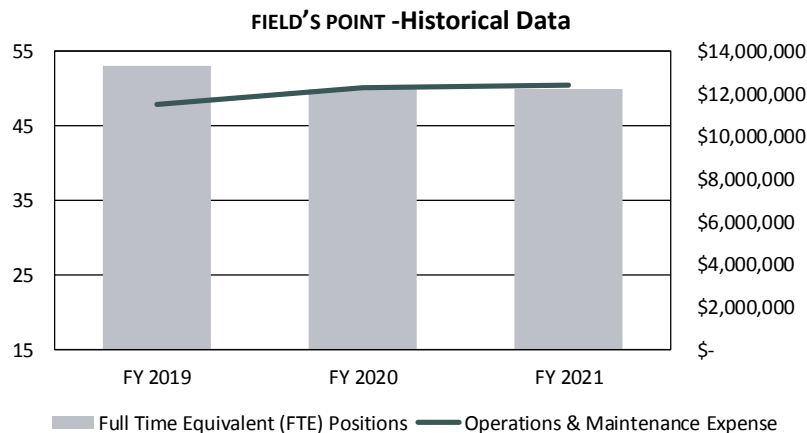
The Field's Point WWTF is the largest wastewater treatment facility in Rhode Island with capacity of receiving flows up to 77 MGD and ensuring they receive full tertiary treatment. Flows greater than 77 MGD are initially sent to the CSO Tunnel system for storage until the flows can be pumped from the Tunnel Pump Station to the treatment plant to receive primary treatment and disinfection. The staff efficiently and effectively operates these facilities to produce the highest quality effluent to meet or exceed RIPDES permit requirements. This section must ensure that all process functions are constantly optimized in order to meet each of the permit requirements.

### The Budget

Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel	\$ 4,876,730	\$ 5,208,681	\$ 5,298,870
Operating Supplies/Expense	6,624,396	7,103,044	7,085,341
Professional Services	8,570	13,000	13,200
<i>Total O&amp;M</i>	<b>\$ 11,509,696</b>	<b>\$ 12,324,725</b>	<b>\$ 12,397,411</b>
<b>Funds by Source - Revenue</b>	<b>\$ 11,509,696</b>	<b>\$ 12,324,725</b>	<b>\$ 12,397,411</b>

### Significant Budget Modifications

The FY 2021 Field's Point budget is \$72,686 higher than the FY 2020 budget. Personnel expense increased by \$90,189. Operating supplies and expense and Professional services decreased for a total of \$17,503.



### PROGRAM STAFFING (BUDGETED)

	FY 2019	FY 2020	FY 2021
Union FTEs	42	42	42
Non Union FTEs	12	12	12
<i>Less Turnover</i>	(1)	(4)	(4)
<b>Total</b>	<b>53</b>	<b>50</b>	<b>50</b>

## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards

**FIELD'S POINT**  
**Performance Data**

**Major Accomplishments FY 2020 by Key Code**

- CB1** Achieved the seasonal RIPDES limit of 5.0 mg/L for total nitrogen
- CB3** Assessed and replaced gas detection systems in the CSO Tunnel Pump Station and collection system pumping stations
- CB3** Installed new hydrogen sulfide detection meters in the gravity thickener tanks
- FM5** Produced 57.7% of Fields Point electrical needs through operation of the wind turbines
- S2** Initiated basic training assessments to strengthen operations staff skill-set using building skills checklists
- OP1** Reconfigured office space into a controlled setting for electricity and instrumentation testing and equipment repair

**Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code**

- CB1** Ensure compliance with the seasonal RIPDES limit of 5.0 mg/L for total nitrogen
- CB4** Complete the rebuild of an Ernest Street Pumping Station bar rack and grit tank
- CB4** Complete the relining of Hypochlorite tanks 1, 2, 3 and 4
- S2** Complete basic training assessments of operations staff using building skills checklists and identify training opportunities



**FIELD'S POINT**  
**Target Measures**

**CORE BUSINESS**

*Operate, maintain and protect our collection and treatment systems to ensure that all State and Federal requirements are met or surpassed*

**GOAL ACTION FOR ACHIEVEMENT:** Ensure compliance with all State and Federal regulations, permits, consent agreements, certifications, NBC regulations and reporting requirements

**KEY CODE:** CB 1

**TARGET MEASURE:** Meet or exceed discharge parameter permit levels

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
TSS (mg/l)	3.10	≤20	≤20	≤20
Enterococci (MPN/100ml)	7.59	≤35	≤35	≤35
CBOD (mg/l)	3.73	≤20	≤20	≤20
Nitrogen (mg/l)	2.69	≤5	≤5	≤5

**TARGET MEASURE:** Ensure residual chlorine complies with permit limit of 65 parts per billion

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Average Parts per Billion (ppb)	.05	≤65	≤65	≤65

**TARGET MEASURE:** Achieve total seasonal nitrogen permit limit of 5 mg/l

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
mg/l	2.69	<5	<5	<5

**TARGET MEASURE:** Ensure treatment of wastewater and stormwater collected through the Tunnel Pump Station

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Gallons	2,396 MG 94.9%	100%	100%	100%

**TARGET MEASURE:** Process 100% of regulatory permits for treatment by due date

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	3 Regulatory Permits	100%	100%	100%

**GOAL ACTION FOR ACHIEVEMENT:** Maintain NBC's asset management program to ensure continuous operation and the protection of assets

**KEY CODE:** CB 4

**TARGET MEASURE:** Perform no less than 90% of work orders

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Preventative Maintenance Work Orders	91.14% (8,130)	90%	90%	90%
Corrective Maintenance Work Orders	8.86% (790)	10%	10%	10%
Total Staff Hours	80.45% (2,920)	80%	80%	80%

**TARGET MEASURE:** Integrate Asset Management into Operating Capital Program for treatment plants

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Budgeted Items	20	14	18	13
New Needs	5			
Completed Items	21			

## FINANCIAL MANAGEMENT

Manage NBC's finances through strong financial planning and controls such that sewer user charges are minimized

---

**GOAL ACTION FOR ACHIEVEMENT:** Develop and administer programs to increase efficiency and cost-effectiveness of operations

**KEY CODE:** FM5

**TARGET MEASURE:** Limit gallons of chemicals added to treatment process

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Hypochlorite	728,192	<600,000	<600,000	<700,000
Sodium Bisulfite	278,287	<219,000	<219,000	<300,000
Carbon Feed	0	<27,300	<27,300	<27,300
Sodium Hydroxide	0	<45,500	<45,500	<45,500

**TARGET MEASURE:** Produce less than 25 dry tons of sludge per day

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	23.63 Dry Tons	<25 Dry Tons	<22 Dry Tons	<22 Dry Tons

**TARGET MEASURE:** Implement 100% of energy conservation initiatives

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	2 initiatives	100%	100%	100%

## STAFFING

Attract, develop and retain highly qualified employees

---

**GOAL ACTION FOR ACHIEVEMENT:** Provide professional, technical and safety training to maximize team performance and employee safety

**KEY CODE:** S2

**TARGET MEASURE:** Offer a minimum of 300 training/safety hours

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Hours	1,210	300	300	300

## BUCKLIN POINT Section Summary

### The Program

The BPWWTF is the second largest treatment facility in Rhode Island with the capacity of treating up to 116 MGD of flow through its treatment processes. The secondary treatment process can fully treat up to 46 MGD. Influent flows greater than 46 MGD and up to 116 MGD are diverted to the Wet Weather Treatment Facility, where they receive primary treatment, disinfection with sodium hypochlorite and de-chlorination with sodium bisulfite before being released into the Seekonk River.

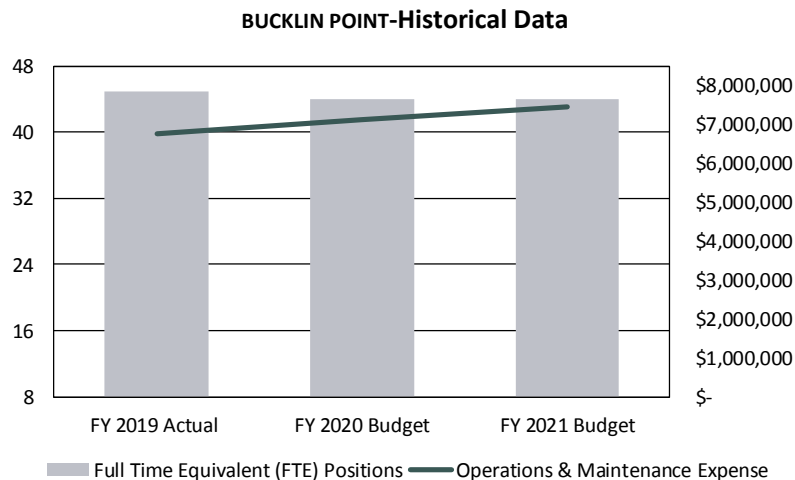
### The Budget

Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel	\$ 4,364,764	\$ 4,603,746	\$ 4,728,932
Operating Supplies/Expense	2,398,493	2,519,210	2,724,445
Professional Services	9,437	13,000	13,000
<i>Total O&amp;M</i>	<b>\$ 6,772,694</b>	<b>\$ 7,135,956</b>	<b>\$ 7,466,377</b>

**Funds by Source - Revenue**      **\$ 6,772,694**    **\$ 7,135,956**    **\$ 7,466,377**

### Significant Budget Modifications

The FY 2021 Bucklin Point budget is \$330,421 or 4.6% higher than the FY 2020 budget. Personnel expense increased by \$125,186. Operating supplies and expense increased \$205,235 over the prior year, \$150,000 of which is for expense related to the startup and testing of the biogas reuse facilities. Professional services remain unchanged.



### PROGRAM STAFFING (BUDGETED)

	FY 2019	FY 2020	FY 2021
Union FTEs	39	39	39
Non Union FTEs	8	8	8
<i>Less Turnover</i>	(2)	(3)	(3)
<b>Total</b>	<b>45</b>	<b>44</b>	<b>44</b>

## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards

**BUCKLIN POINT**  
**Performance Data**

**Major Accomplishments FY 2020 by Key Code**

- CB1** Achieved the seasonal RIPDES limit for total nitrogen (5mg/l)
- CB3** Replaced the ultraviolet lamps in bank "B" of the UV disinfection system
- CB3** Replaced the Screening & Grit muffin monster assembly which included two gear boxes, two motors, an auger assembly and a cutter assembly
- CB3** Rebuilt Bar Rack #4 which included gear sprockets, chain and flygt assemblies for screenings
- CB4** Optimized inventory management procedures to ensure appropriate inventory levels and reduce work order processing time
- OP3** Received the NACWA "Excellence in Treatment" Gold Award

**Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code**

- CB1** Achieve the seasonal RIPDES limit for total nitrogen (5mg/l)
- CB2** Monitor and maintain proper operation to maximize performance of the Biogas Reuse Facility
- CB3** Rebuild the effluent pump assembly and motor
- CB4** Continue to work on the inventory asset management reorganization

**BUCKLIN POINT**  
**Target Measures**

**CORE BUSINESS**

*Operate, maintain and protect our collection and treatment systems to ensure that all State and Federal requirements are met or surpassed*

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure compliance with all State and Federal regulations, permits, consent agreements, certifications, NBC regulations and reporting requirements

**KEY CODE:** CB1

**TARGET MEASURE:** Meet or exceed discharge parameter permit levels

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
TSS (mg/l)	5.84	≤30	≤30	≤30
Enterococci (MPN/100ml)	5.21	≤35	≤35	≤35
CBOD (mg/l)	.77	≤25	≤25	≤25
Nitrogen (mg/l)	3.78	≤5	≤5	≤5

**TARGET MEASURE:** Achieve total seasonal nitrogen permit limit of 5 mg/l

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
mg/l	3.78	5.0	5.0	5.0

**GOAL ACTION FOR ACHIEVEMENT:** Maintain NBC's asset management program to ensure continuous operation and the protection of assets

**KEY CODE:** CB4

**TARGET MEASURE:** Conduct a minimum of 20 inspections of the UV Disinfection system per month

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	20	20	20	20

**TARGET MEASURE:** Perform no less than 90% of maintenance work orders

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Preventative Maintenance Work Orders	86.81% (11,455)	90%	90%	90%
Corrective Maintenance Work Orders	13.19% (1,741)	10%	10%	10%
Total Staff Hours	81.46% (2,157)	80%	80%	80%

**TARGET MEASURE:** Integrate Asset Management into Operating Capital Budget for treatment plants

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Budgeted Items	31			
New Needs	2	15	27	17
Completed Items	26			

## FINANCIAL MANAGEMENT

Manage NBC's finances through strong financial planning and controls such that sewer user charges are minimized

---

**GOAL ACTION FOR ACHIEVEMENT:** Develop and administer programs to increase efficiency and cost-effectiveness of operations

**KEY CODE:** FM5

**TARGET MEASURE:** Limit gallons/pounds of chemicals added to treatment process

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Carbon Feed Gallons	0	<2,500	<2,500	<2,500
Powder Polymer Pounds	30,800	<9,000	<9,000	<35,000
Liquid Polymer Gallons	73,300	<40,000	<40,000	<90,000
Soda Ash Tons	141.19	<30	<30	<50

**TARGET MEASURE:** Produce less than 10 dry tons of sludge per day

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	5.85 Dry Tons	<10 Dry Tons	<10 Dry Tons	<10 Dry Tons

**TARGET MEASURE:** Implement 100% of energy conservation initiatives

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	2	100%	100%	2

## STAFFING

Attract, develop and retain highly qualified employees

---

**GOAL ACTION FOR ACHIEVEMENT:** Provide professional, technical and safety training to maximize team performance and employee safety

**KEY CODE:** S2

**TARGET MEASURE:** Offer a minimum of 200 training/safety hours

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Hours	635	200	200	200





# ENVIRONMENTAL SCIENCE AND COMPLIANCE

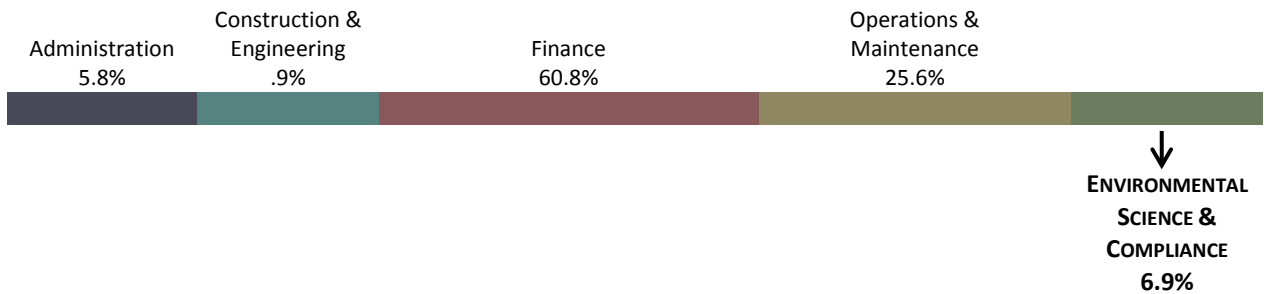
## Division Summary



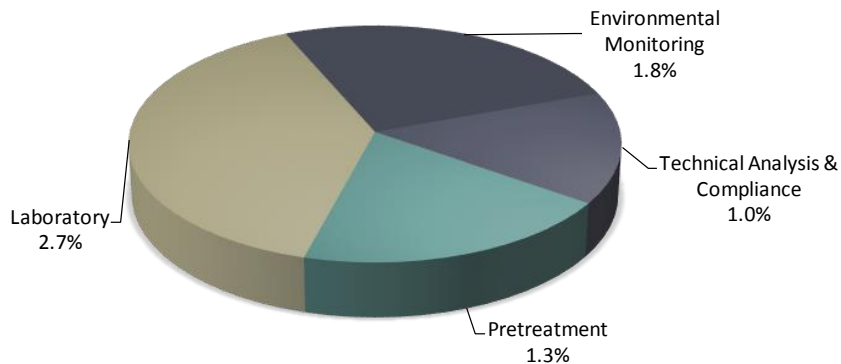
### The Program

The Environmental Science and Compliance Division is responsible for ensuring NBC compliance with all state and federal environmental permits and regulations, evaluating agency energy and environmental sustainability and water quality science. The Division includes Technical Analysis and Compliance, Pretreatment, Laboratory, and Environmental Monitoring sections. The Division provides technical support to the Operations and Maintenance Division and performs a variety of special studies.

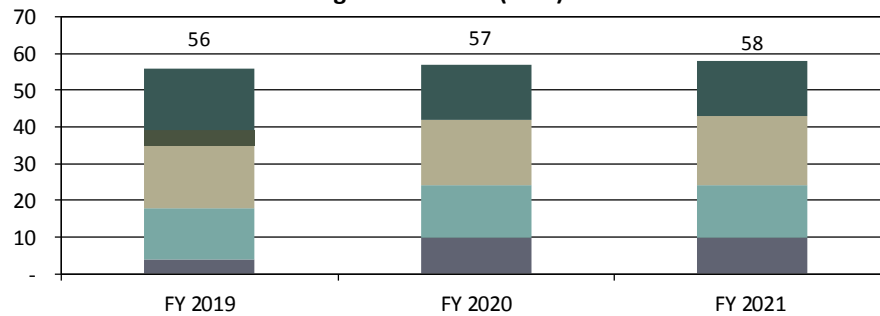
### FY 2021 Budget by Division



### ENVIRONMENTAL SCIENCE & COMPLIANCE BUDGET BY SECTION



### Budgeted Position (FTEs)\*



■ Technical Analysis & Compliance ■ Pretreatment ■ Laboratory ■ ESTA ■ Environmental Monitoring

\*Does not include turnover

## ENVIRONMENTAL SCIENCE AND COMPLIANCE DIVISION

### Division Summary

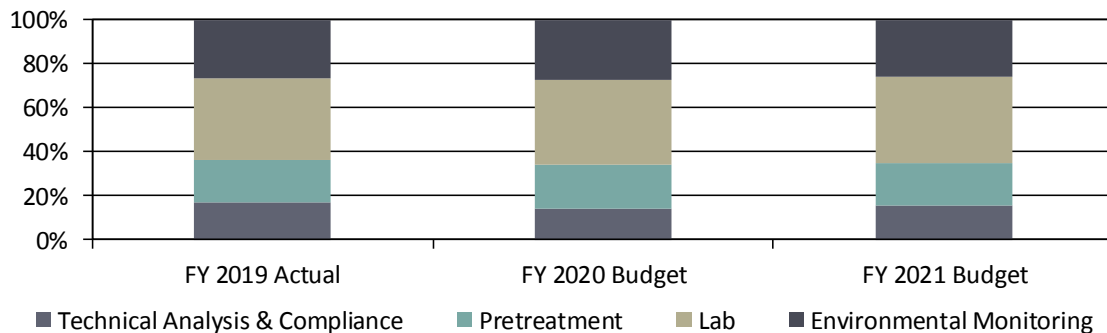
#### The Budget

Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel	\$ 4,926,220	\$ 4,967,394	\$ 5,347,836
Operating Supplies/Expense	691,284	685,219	742,057
Professional Services	64,067	78,500	169,100
<b>Total O&amp;M</b>	<b>\$ 5,681,571</b>	<b>\$ 5,731,113</b>	<b>\$ 6,258,993</b>
<b>Total Expenditures by Source</b>	<b>\$ 5,681,571</b>	<b>\$ 5,731,113</b>	<b>\$ 6,258,993</b>

#### Significant Budget Modifications

The FY 2021 Environmental Science and Compliance Division budget increased by \$527,879 or 9.2% from the prior year. Personnel expense increased by \$380,441 due to decreased capital project salary reimbursements and an increase of one FTE. Operating supplies and expense increased by \$56,838 over the prior year and reflects increased expense for lab supplies. Professional services expense increased by \$90,600 and includes outside laboratory testing.

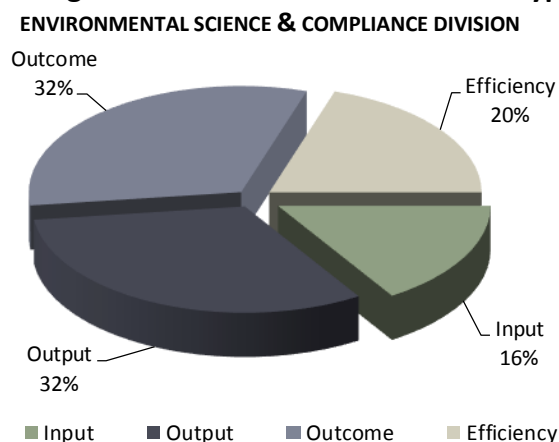
Percent of Division's Budget by Section



#### Environmental Science and Compliance Division Performance Data Summary

The chart below illustrates the Environmental Science and Compliance Division's Performance Data by type of measure. The measures can be found in the individual sections following this division summary. In this Division, Outcome and Efficiency make up 52% of the performance measures.

Percentage of Performance Measurement Types



## TECHNICAL ANALYSIS & COMPLIANCE

### Section Summary

#### The Program

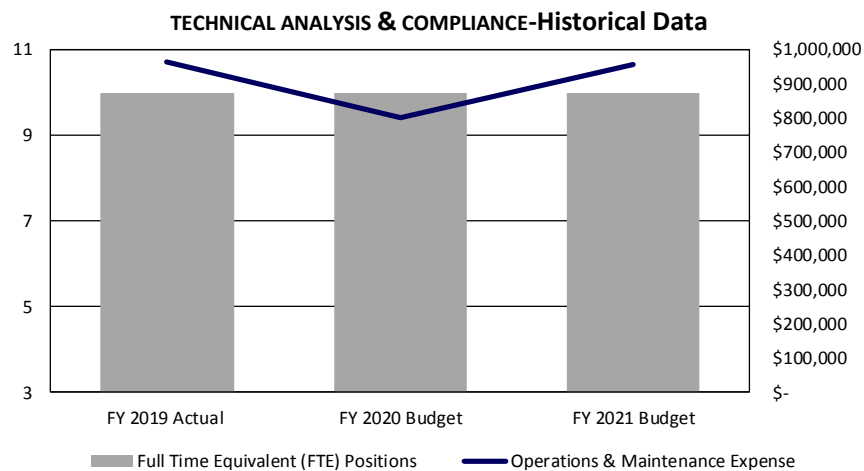
The Technical Analysis and Compliance (TAC) section is responsible for ensuring NBC's compliance with all Federal and State environmental permits and regulations. This includes permit negotiations, compliance and reporting required by RIDEM, US EPA, and OSHA. This section also submits Discharge Monitoring, Stormwater, Biosolids, LECP and OSHA reports. This section performs technical data and seeks grant and award opportunities, the issuance and revision of NBC policies and the review and update of NBC's Strategic Plan. The section provides environmental, health, safety and technical assistance to NBC staff, customers, environmental organizations and the general public. The section works to identify and develop new and innovative ways to improve the environmental performance of NBC operations and ensure that operations are performed in a safe, efficient and sustainable manner.

#### The Budget

Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel Costs	\$ 933,209	\$ 748,134	\$ 891,380
Operating Supplies/Expense	31,557	55,365	63,669
Professional Services	250	-	1,000
<i>Total O&amp;M</i>	<b>\$ 965,016</b>	<b>\$ 803,499</b>	<b>\$ 956,049</b>
<b>Funds by Source - Revenue</b>	<b>\$ 965,016</b>	<b>\$ 803,499</b>	<b>\$ 956,049</b>

#### Significant Budget Modifications

The FY 2021 TAC budget is \$152,550 or 19% higher than the FY 2020 budget. Personnel expense increased by \$143,246. Operating supplies and expense and Professional services increased by a combined \$9,304.



#### PROGRAM STAFFING (BUDGETED)

	FY 2019	FY 2020	FY 2021
Union FTEs	-	-	-
Non Union FTEs	10	10	10
<i>Less Turnover</i>	-	-	-
<b>Total</b>	<b>10</b>	<b>10</b>	<b>10</b>

## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards

## TECHNICAL ANALYSIS & COMPLIANCE

### Performance Data

#### Major Accomplishments FY 2020 by Key Code

- CB1** Timely submittal of monthly Discharge Monitoring and annual Stormwater Reports to USEPA and RIDEM
- CB1** Timely submittal of Evaluation of Technically-Based Local Limits documents to RIDEM
- CB1** Analyzed, reported and presented five years of NBC's recordable injuries and non-recordable incidents by section, body part, and cause
- CB3** Enrolled NBC in National Grid's Continuous Energy Improvement (CEI) Program to identify energy efficient operational changes that can be implemented
- CB3** Organized a Ride and Drive program to demonstrate electric fleet benefits
- EP1** Managed the Regional Ocean Modeling System project
- EP2** Provided weekly treatment plant performance updates as well as monthly summaries to optimize treatment effectiveness
- EP3** Maintained data stored in the Hach Water Information Management Solution (Hach WIMS) software package
- FM8** Expanded the wastewater reuse program at FPWWTF
- FM8** Obtained grant funds for the installation of two electric vehicle charging stations
- CF3** Employed software to increase data handling efficiency and also the amount of data automatically transferred into HachWIMS for long-term storage
- CF4** Administered the NBC Earth Day Grant Program to 20 non-profit organizations in support of river cleanups throughout the NBC service area
- S2** Organized and conducted safety training for the NBC
- S2** Attended presentations and workshops and collaborated with stakeholder groups regarding climate change, sea level rise and water quality improvements.
- C1** Strengthened and expanded relationships with several collaborators to align and improve sampling and data handling methods
- C3** Provided weekly updates to the NBC's Snapshot of Upper Narragansett Bay
- C3** Updated Narrabay.com and the "Learn More" portion of the Snapshot website to update the public about NBC programs.

## **TECHNICAL ANALYSIS & COMPLIANCE**

### **Performance Data**

#### **Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code**

- CB1** Timely submittal of reports to EPA, RIDEM, and OSHA
- CB3** Identify and assess additional renewable energy opportunities and implement energy conservation measures
- EP1** Analyze receiving water pollutant concentrations and loads and produce analytical reports
- CF4** Continue the NBC Earth Day Grant Program to support river cleanups throughout the NBC service area
- S2** Provide OSHA safety Training to 100% of new employees
- C3** Provide weekly updates to the NBC's Snapshot of Upper Narragansett Bay website

## TECHNICAL ANALYSIS & COMPLIANCE

### Target Measures

#### CORE BUSINESS

*Operate, maintain and protect our collection and treatment systems to ensure that all State and Federal requirements are met or surpassed*

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure compliance with all State and Federal regulations, permits, consent agreements, certifications, NBC regulations and reporting requirements

**KEY CODE:** CB 1

**TARGET MEASURE:** Compile and process annual OSHA 300 logs and Tier II reports two weeks prior to respective due dates

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Completion Date - OSHA 300 logs	1/8/2019	2/1/2019	2/1/2020	2/1/2021
Completion Date - Tier II Reports	2/22/2019	3/1/2019	3/1/2020	3/1/2021

**TARGET MEASURE:** Perform a minimum of 8 internal environmental health & safety audits

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	8	8	8	8

**TARGET MEASURE:** Prepare annual stormwater inspection report for both WWTF's

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
FPWWTF Due Date	2/11/2019	12/30/2018	1/30/2019	1/30/2021
BPWWTF Due Date	2/11/2019	12/30/2018	1/30/2019	1/30/2021

**TARGET MEASURE:** Submit RIPDES DMR Report by the 15<sup>th</sup> of each month

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	12	12	12	12

**TARGET MEASURE:** Submit the biosolids report to the EPA by February 19<sup>th</sup> of each year

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
EPA Due Date	2/19/2019	2/19/2019	2/19/2020	2/19/2021

#### ENVIRONMENTAL PERFORMANCE

*Continuously evaluate NBC environmental performance to identify, quantify and minimize NBC impacts to the environment in a cost effective manner*

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

**KEY CODE:** EP 3

**TARGET MEASURE:** Complete a minimum of 3 internal energy assessments to ensure NBC facilities are energy efficient

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Assessments	3	3	3	3

## FINANCIAL MANAGEMENT

Manage NBC's finances through strong financial planning and controls such that sewer user charges are minimized

---

**GOAL ACTION FOR ACHIEVEMENT:** Identify new revenue or debt financing opportunities

**KEY CODE:** FM 8

**TARGET MEASURE:** Submit National Grid incentive program applications to seek incentive funds for energy projects

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Applications submitted	1	1	1	1

**GOAL ACTION FOR ACHIEVEMENT:** Develop and administer programs to increase efficiency and cost-effectiveness of operations

**KEY CODE:** FM 5

**TARGET MEASURE:** Monitoring of NBC's energy use and renewable energy production

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Energy Produced on-site	52 Weekly	Weekly	Weekly	Weekly
Energy Produced off-site	52 Weekly	Weekly	Weekly	Weekly
Energy Purchased	12 Monthly	Monthly	Monthly	Monthly

## CUSTOMER FOCUS

Maintain a customer-focused attitude throughout the organization

---

**GOAL ACTION FOR ACHIEVEMENT:** Provide excellent customer service

**KEY CODE:** CF1

**TARGET MEASURE:** Conduct 100% of requested technical site visits

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	100% - 2 Visits	100%	100%	100%

**GOAL ACTION FOR ACHIEVEMENT:** Maintain programs and participate in projects that give back to NBC's service area

**KEY CODE:** CF4

**TARGET MEASURE:** Earth Day River Cleanup Event/Grant Program in NBC Service Area

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Event Date	4/17/2019	4/30/2019	4/30/2020	4/30/2021
Quantity - Grants	22	10	10	10
Total Grants	\$11,100	\$10,000	\$10,000	\$10,000

## STAFFING

Attract, develop and retain highly qualified employees

---

**GOAL ACTION FOR ACHIEVEMENT:** Provide professional, technical and safety training to maximize team performance and employee safety

**KEY CODE:** S2

**TARGET MEASURE:** Conduct a minimum of 2 CPR/Defibrillator training classes

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Classes	2	2	2	2
Attendees Certified	100%	100%	100%	100%



**TARGET MEASURE:** Provide a minimum of 50 Health & Safety training classes each year

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Classes	53	50	50	50

**GOAL ACTION FOR ACHIEVEMENT:** Foster a positive working environment through effective communication

**KEY CODE:** S1

**TARGET MEASURE:** Conduct monthly staff meetings

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	12	12	12	12

**TARGET MEASURE:** Conduct monthly data meetings to disseminate data and optimize operations

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	12	12	12	12

**GOAL ACTION FOR ACHIEVEMENT:** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff

**KEY CODE:** S3

**TARGET MEASURE:** Conduct semiannual review meetings with staff to discuss professional development opportunities

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	2	2	2	2

## COMMUNICATION

*Improve and enhance internal and external communication to increase understanding of “who we are” and “what we do”*

---

**GOAL ACTION FOR ACHIEVEMENT:** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC’s mission

**KEY CODE:** C1

**TARGET MEASURE:** Review 100% of NBC’s annual environmental merit awards program applications

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Merit Awards	100%	100%	100%	100%

**TARGET MEASURE:** Submit 4 technical papers/posters/abstracts for presentation/publication

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Papers	4	4	4	4

**TARGET MEASURE:** Submit 8 articles for publication in the ‘NBC Pipeline’ annually

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Articles	12	8	8	8

**TARGET MEASURE:** Educate the public and NBC stakeholders by giving presentations about the NBC and water quality improvements

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	9	4	4	5

**TARGET MEASURE:** Annual review of the Strategic Plan and update when necessary

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	1	1	1	1

**TARGET MEASURE:** Monthly updates of NBC Snapshot of the Upper Bay

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	12	12	12	12

## PRETREATMENT Section Summary

### The Program

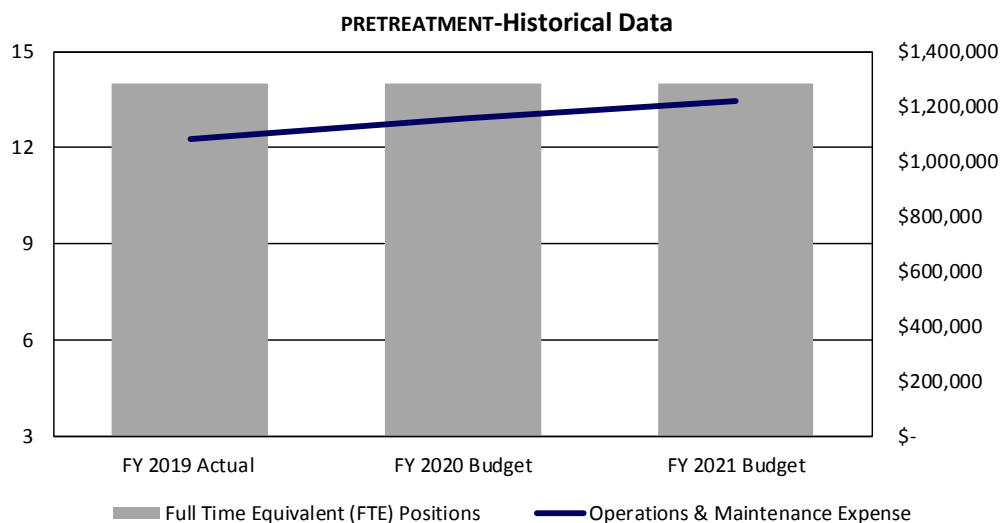
The Pretreatment section is responsible for administering the federally mandated pretreatment program. The primary purpose of the pretreatment program is to protect NBC's wastewater treatment plants and the infrastructure from toxins and pollutants that could disrupt and interfere with plant operations, as well as to protect the receiving waters, rivers and Narragansett Bay. The Pretreatment section uses various tools to accomplish this task, including the issuance of Wastewater Discharge Permits to industrial and commercial users. This section also performs site inspections of these users, responds to spills within NBC's service area and tracks toxic discharges through the sewer system to determine the source.

### The Budget

Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel	\$ 1,063,962	\$ 1,123,754	\$ 1,183,821
Operating Supplies/Expense	15,700	34,200	35,450
Professional Services	-	-	-
<i>Total O&amp;M</i>	<b>\$ 1,079,662</b>	<b>\$ 1,157,954</b>	<b>\$ 1,219,271</b>
<b>Funds by Source - Revenue</b>	<b>\$ 1,079,662</b>	<b>\$ 1,157,954</b>	<b>\$ 1,219,271</b>

### Significant Budget Modifications

The FY 2021 Pretreatment budget is \$61,317 or 5.3% higher than the FY 2020 budget. Personnel expense increased by \$60,067 from the prior year. Operating supplies and expense increased \$1,250 for the replacement of a gas meter.



### PROGRAM STAFFING (BUDGETED)

	FY 2019	FY 2020	FY 2021
Union FTEs	3	3	3
Non Union FTEs	11	11	11
<i>Less Turnover</i>	-	-	-
<b>Total</b>	<b>14</b>	<b>14</b>	<b>14</b>

## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards

**PRETREATMENT  
Performance Data**

**Major Accomplishments FY 2020 by Key Code**

- CB1** Submitted the Pretreatment Annual Report to DEM by 3/15/19 as required by the RIPDES Permits
- CB1** Inspected all Significant Industrial Users (SIU) multiple times within the 12-month period
- CB1** Continuously permitted all SIUs in accordance with federal and state regulations
- CB1** Issued 1,646 Notices of Violation for each incident of non-compliance
- EP1** Developed an application fee structure for new and revised pretreatment permits, eliminating the annual fee structure
- CF1** Issued 12 educational form letters to permitted users
- C1** Participated in seven presentations and workshops

**Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code**

- CB1** Complete and submit the Annual Pretreatment Report to RIDEM by March 15th in accordance with the RIPDES Permit
- CB1** Protect the treatment plants and collection systems from toxic and nuisance pollutant discharges that would adversely impact and interfere with NBC facilities and prevent pass through of these pollutants to Narragansett Bay
- CB1** Ensure all SIUs are continuously permitted and inspected in accordance with State and Federal requirements as well as goals established by the NBC

**PRETREATMENT**  
**Target Measures**

**CORE BUSINESS**

*Operate, maintain and protect our collection and treatment systems to ensure that all State and Federal requirements are met or surpassed*

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure compliance with all State and Federal regulations, permits, consent agreements, certifications, NBC regulations and reporting requirements

**KEY CODE:** CB 1

**TARGET MEASURE:** Conduct EPA and RIDEM required annual site inspection for NBC facilities.

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
FPWWTF	RIDEM 6/26/19 EPA 9/25/18	Annually	Annually	Annually
BPWWTF	RIDEM 6/13/19 EPA 9/30/18	Annually	Annually	Annually

**TARGET MEASURE:** Conduct annual RIDEM mandated training for NBC staff

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	81 Trainings	100%	100%	100%

**TARGET MEASURE:** Conduct non-sampling inspections of 100% Significant Industrial Users (SIUs) within the required 12 month period

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	66 Inspections	100%	100%	100%

**TARGET MEASURE:** Complete and submit Annual Pretreatment Report to DEM

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Completion date	3/14/19	3/15/19	3/15/20	3/15/21

**TARGET MEASURE:** Issue Notices of Violations (NOVs) for 100% of incidents of non-compliance

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	1,646 NOVs	100%	100%	100%

**ENVIRONMENTAL PERFORMANCE**

*Continuously evaluate NBC environmental performance to identify, quantify and minimize NBC impacts to the environment in a cost effective manner*

---

**GOAL ACTION FOR ACHIEVEMENT:** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact

**KEY CODE:** EP 1

**TARGET MEASURE:** Compile and publish in the newspaper a list of companies in significant non-compliance

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Date	2/22/19	2/28/19	2/28/20	2/28/21

## CUSTOMER FOCUS

*Maintain a customer-focused attitude throughout the organization*

---

**GOAL ACTION FOR ACHIEVEMENT:** Provide excellent customer service

**KEY CODE:** CF 1

**TARGET MEASURE:** Review 100% of process operations and pretreatment system plan submittals

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	170 Submittals	100%	100%	100%

**TARGET MEASURE:** Respond to 100% of reports of unusual influent, illegal dumping, spills and blockages

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	26 Reports	100%	100%	100%

**TARGET MEASURE:** Process 100% Wastewater Discharge Permit Applications

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	388 Applications	100%	100%	100%

**TARGET MEASURE:** Issue Wastewater Discharge Permits to previously unpermitted users within 30 days from the submittal of the permit application package.

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Timeframe	17 days	<30 Days	<30 Days	<30 days

**TARGET MEASURE:** Issue a minimum of 8 educational form letters

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	12 Letters	≥8	≥8	≥8

**TARGET MEASURE:** Participate in a minimum of 3 public presentations/workshops

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	7	≥3	≥3	≥3

## COMMUNICATION

*Improve and enhance internal and external communication to increase understanding of “who we are” and “what we do”*

---

**GOAL ACTION FOR ACHIEVEMENT:** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC’s mission

**KEY CODE:** C1

**TARGET MEASURE:** Complete pretreatment annual report and post on NBC’s website

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Date	3/14/19	4/15/19	4/15/20	4/15/21

## LABORATORY Section Summary

### The Program

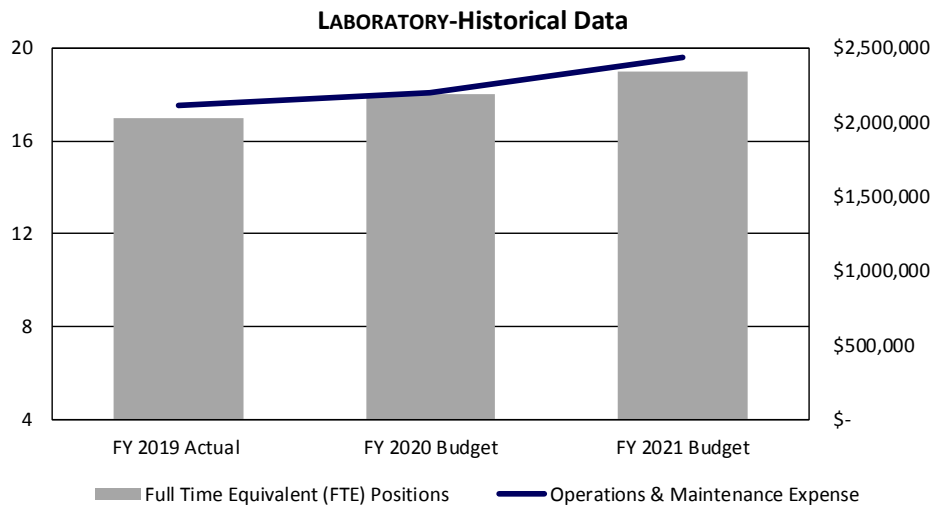
The Laboratory section is responsible for producing timely, high quality analytical data through the use of analytical measurements that are accurate, reliable and achieve the most precise measurements possible in order to comply with Federal and State regulations. The Laboratory is certified by the State of RI and must comply with certification requirements by the Department of Health (DOH) and US EPA. The Laboratory section performs all RIPDES required analyses for the FPWWTF and BPWWTF, Pretreatment programs, monitoring activities, and impacts of nutrients and fecal coliform of the urban rivers and receiving water evaluations of the upper Narragansett Bay.

### The Budget

Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel	\$ 1,580,721	\$ 1,731,499	\$ 1,874,539
Operating Supplies/Expense	504,876	438,134	463,088
Professional Services	26,131	31,500	121,100
<i>Total O&amp;M</i>	<b>\$ 2,111,728</b>	<b>\$ 2,201,133</b>	<b>\$ 2,458,727</b>
<b>Funds by Source - Revenue</b>	<b>\$ 2,111,728</b>	<b>\$ 2,201,133</b>	<b>\$ 2,458,727</b>

### Significant Budget Modifications

The FY 2021 Laboratory budget is \$257,594 or 11.7% higher than the FY 2020 budget. Personnel expense increased by \$143,040 and includes one additional FTE, a Biologist. Operating supplies and expense increased \$24,954 and professional services increased by \$89,600 for specialty laboratory testing.



### PROGRAM STAFFING (BUDGETED)

	FY 2019	FY 2020	FY 2021
Union FTEs	9	9	10
Non Union FTEs	8	9	9
<i>Less Turnover</i>	-	-	-
<b>Total</b>	<b>17</b>	<b>18</b>	<b>19</b>

## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards



**LABORATORY  
Performance Data**

**Major Accomplishments FY 2020 by Key Code**

- CB1** Obtained 100% accuracy for the laboratory's analytical proficiency for the RI State Licensing and EPA's Discharge Monitoring Report
- EP2** Analyzed all RIPDES permit samples for the two WWTFs as well as other routine and non-routine chemical and biological tests
- EP2** Provided quality analytical tests for all NBC studies and samples collected to evaluate the impact of nutrients, enterococci, and fecal coliform on Narragansett Bay
- S2** Completed 40 hours of chemistry and HAZWOP training on average per staff member

**Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code**

- CB1** Meet State and Federal requirements for Rhode Island State Licensing and EPA permit reporting
- EP2** Perform high quality analyses to optimize operation of NBC's wastewater treatment facilities
- EP2** Provide quality and expedient analytical service for all studies and samples collected

**LABORATORY**  
**Target Measures**

**CORE BUSINESS**

*Operate, maintain and protect our collection and treatment systems to ensure that all State and Federal requirements are met or surpassed*

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements

**KEY CODE:** CB 1

**TARGET MEASURE:** Annual calibration of all laboratory instrumentation

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Percentage	37 Calibrations	100%	100%	100%

**TARGET MEASURE:** Complete EPA or RIDEM mandated analyses

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
SIUs	5,913 Tests	100%	100%	100%
FPWWTF	24,479 Tests	100%	100%	100%
BPWWTF	25,586 Tests	100%	100%	100%
Manholes	3,125 Tests	100%	100%	100%
Septage	3,136 Tests	100%	100%	100%

**TARGET MEASURE:** Monthly audits of at least two laboratory procedures per month

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	24	24	24	24

**TARGET MEASURE:** Prepare and submit the Department of Health certification renewal application

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Date submitted	12/5/2019	12/1/2018	12/1/2019	12/1/2019

**GOAL ACTION FOR ACHIEVEMENT:** Maintain NBC's asset management program to ensure continuous operation and the protection of assets

**KEY CODE:** CB 4

**TARGET MEASURE:** Ensure laboratory equipment required maintenance is completed within 7 days

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Timeframe	3 Days	≤7 Days	≤7 Days	≤7 Days

**ENVIRONMENTAL PERFORMANCE**

*Continuously evaluate NBC environmental performance to identify, quantify and minimize NBC impacts to the environment in a cost effective manner*

---

**GOAL ACTION FOR ACHIEVEMENT:** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact

**KEY CODE:** EP 1

**TARGET MEASURE:** Analyze 100% of collected samples for water quality monitoring

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Nutrients	6,743 Tests	100%	100%	100%
Fecal Coliform	4,613 Tests	100%	100%	100%

**STAFFING**

*Attract, develop and retain highly qualified employees*

---

**GOAL ACTION FOR ACHIEVEMENT:** Provide professional, technical and safety training to maximize team performance and employee safety

**KEY CODE:** S 2

**TARGET MEASURE:** Provide a minimum of 300 training hours

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Hours	300	300	300	300

## ENVIRONMENTAL MONITORING

### Section Summary

#### The Program

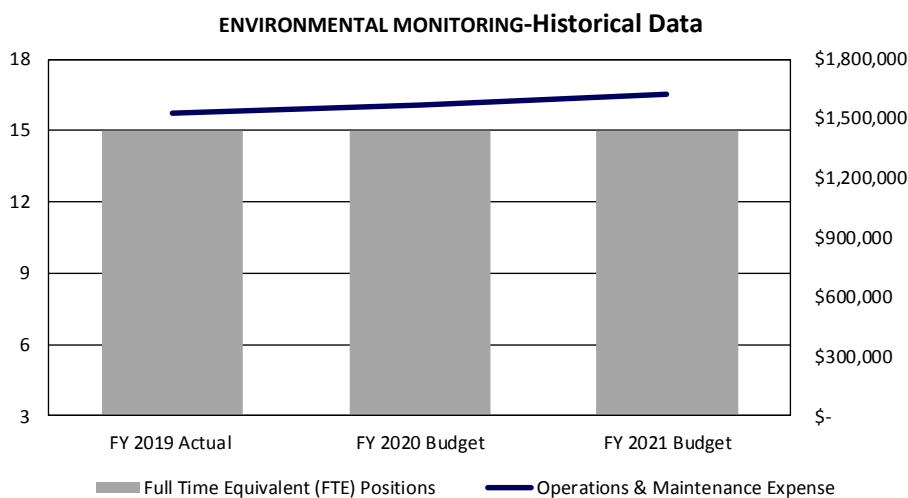
The Environmental Monitoring section is responsible for water quality monitoring throughout NBC's service area, including the two wastewater treatment facilities, the collection system and permitted pretreatment customers. Environmental Monitoring serves to ensure the health of area residents through the proper operation of the wastewater treatment plants and the quality of receiving waters. This section conducts significant industrial user and manhole sampling to ensure compliance with discharge permits and conducts daily wastewater treatment facility sampling. The Environmental Monitoring section designs and implements monitoring programs to assess the impact of constructed improvements and to respond to State and Federal mandates, including all RIPDES permit required monitoring.

#### The Budget

Operations & Maintenance Expense	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget
Personnel	\$ 1,348,328	\$ 1,364,007	\$ 1,398,096
Operating Supplies/Expense	139,151	157,520	179,850
Professional Services	37,686	47,000	47,000
<i>Total O&amp;M</i>	<b>\$ 1,525,165</b>	<b>\$ 1,568,527</b>	<b>\$ 1,624,946</b>
<b>Funds by Source - Revenue</b>	<b>\$ 1,525,165</b>	<b>\$ 1,568,527</b>	<b>\$ 1,624,946</b>

#### Significant Budget Modifications

The FY 2021 Environmental Monitoring budget is \$56,419 or 3.6% higher than the FY 2020 budget. Personnel expense increased by \$34,089. Operating supplies and expense increased by \$22,330 which includes repair and process equipment. Professional services remain unchanged from the prior year.



#### PROGRAM STAFFING (BUDGETED)

	FY 2019	FY 2020	FY 2021
Union FTEs	9	9	9
Non Union FTEs	8	6	6
<i>Less Turnover</i>	-	-	-
<b>Total</b>	<b>17</b>	<b>15</b>	<b>15</b>

## Goal Actions for Target Measures by Key Code

### Core Business

- CB1** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements
- CB2** Manage the planning, design and construction of capital improvements in the most cost-effective manner to ensure compliance with regulatory requirements
- CB3** Ensure the cost-effective operation and maintenance of NBC wastewater treatment and collection system through best practices and the implementation of new technologies
- CB4** Maintain NBC's asset management program to ensure continuous operation and the protection of assets
- CB5** Ensure climate resiliency of NBC's existing and future facilities

### Environmental Performance

- EP1** Develop data and findings regarding relative pollutant loadings from NBC and the related environmental impact
- EP2** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements
- EP3** Ensure current, relevant and comprehensive data is available to determine priorities and make decisions regarding programs and capital projects

### Financial Management

- FM1** Ensure sufficient operating and capital funding with the least ratepayer impact through the use of best practice
- FM2** Maximize the efficiency, fairness, and accuracy of NBC's rate structure, billing and collection processes
- FM3** Ensure the timely and accurate publication of financial information in accordance with GASB and GAAP standards
- FM4** Ensure compliance with Federal and State laws and regulations related to financial transactions and reporting
- FM5** Develop and administer programs to increase efficiency and cost-effectiveness of operations
- FM6** Ensure the timely, efficient and cost-effective purchase of goods and services
- FM7** Effectively administer NBC's risk management and employee benefits programs
- FM8** Identify new revenue or debt financing opportunities

### Customer Focus

- CF1** Provide excellent customer service
- CF2** Establish agency-wide customer service focused training programs
- CF3** Maximize automation and computerization throughout the agency
- CF4** Maintain programs and participate in projects that give back to NBC's service area
- CF5** Enhance customer communication through consistent procedures and the implementation of new technologies

### Staffing

- S1** Ensure compliance with Federal and State labor laws
- S2** Provide professional, technical and safety training to maximize team performance and employee safety
- S3** Maintain competitive and cost-effective benefits, compensation and wellness programs to attract and retain qualified staff
- S4** Employ best practices to retain qualified employees and ensure succession planning
- S5** Maintain positive relationships with collective bargaining units

### Communication

- C1** Strengthen and expand relationships with key stakeholders and ratepayers to ensure support of NBC's mission
- C2** Employ new technology to enhance communications with internal and external customers
- C3** Ensure updated information about NBC's programs and projects is accessible to the public

### Organizational Performance

- OP1** Evaluate and optimize NBC's organizational structure, processes and practices to maximize agency performance
- OP2** Communicate NBC's Strategic Plan to employees to facilitate achievement of NBC's goals
- OP3** Conduct NBC business in an open manner and in conformance with all state ethics standards

## **ENVIRONMENTAL MONITORING**

### **Performance Data**

#### **Major Accomplishments FY 2020 by Key Code**

- CB1** Collected approximately 29,398 samples and ensured compliance with all Federal and State monitoring mandates
- CB1** Collected samples from all SIUs that discharged process wastewater
- CB1** Sampled the two WWTFs daily to ensure compliance with RIPDES permit monitoring requirements
- CB1** Conducted RIPDES storm water inspections with Pretreatment and all Environmental Land Use Restriction (ELUR) inspections of NBC facilities
- C3** Maintained NBC's fixed site monitoring equipment, ensuring all data was collected and transferred to NBC's Snapshot of Narragansett Bay web page for NBC and stakeholder use
- C3** Ensured all sampling data was accurately entered in the LIMS system, uploaded to the reporting software, and generated reports were distributed to end users to be used for scientifically based process and managerial decisions

#### **Top Priorities for FY 2021 and How They Relate to the Strategic Plan/Goals and by Key Code**

- CB1** Sample the treatment facilities 365 days/year to comply with RIPDES permit requirements, process and provide data and assistance to Operations needed to evaluate plant performance, optimize treatment plant processes and resolve operational issues
- CB1** Sample all discharging SUIs annually to meet established USEPA Pretreatment mandates
- CB1** Conduct all sampling necessary to protect the treatment plants, health of the receiving waters, and safety of the public
- CB1** Conduct RIPDES stormwater inspections with Pretreatment and all Environmental Land Use Restriction (ELUR) inspections of NBC facilities, to ensure agency regulatory compliance

## ENVIRONMENTAL MONITORING

### Target Measures

#### CORE BUSINESS

*Operate, maintain and protect our collection and treatment systems to ensure that all State and Federal requirements are met or surpassed*

---

**GOAL ACTION FOR ACHIEVEMENT:** Ensure compliance with State and Federal regulations, permits, consent agreements, certifications, NBC rules and regulations, guidelines and reporting requirements

**KEY CODE:** CB1

**TARGET MEASURE:** Collect EPA mandated samples

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
SIUs	1,772 Samples	100%	100%	100%
WWTFs	13,775 Samples	100%	100%	100%
Manholes	920 Samples	100%	100%	100%
Septage	423 Samples	100%	100%	100%

**TARGET MEASURE:** Prepare RIPDES DMR Report by the 15<sup>th</sup> of each month

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	12	12	12	12

**TARGET MEASURE:** Conduct annual Environmental Land Use Restriction (ELUR) inspections.

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	4	3	3	5

**TARGET MEASURE:** Conduct annual RIPDES storm water inspections of NBC facilities

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	-	-	-	2

#### ENVIRONMENTAL PERFORMANCE

*Continuously evaluate NBC environmental performance to identify, quantify and minimize NBC impacts to the environment in a cost effective manner*

---

**GOAL ACTION FOR ACHIEVEMENT:** Perform data collection and analysis to optimize the treatment process and provide a scientific basis for future permit requirements

**KEY CODE:** EP 2

**TARGET MEASURE:** Collect samples to support water quality monitoring efforts

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
River	4,638 Samples	100%	100%	100%
Bay	2,546 Samples	100%	100%	100%

**TARGET MEASURE:** Publish monitoring activities and analyses for prior year on NBC's website by due date

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Date	4/30/2019	4/30/2019	4/30/2020	4/30/2021

**TARGET MEASURE:** Annually deploy fixed site monitoring equipment at a minimum of 2 sites

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Quantity	3	2	2	2

**TARGET MEASURE:** Determine impact of nutrient reductions on ecology through video monitoring a minimum of 4/year

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Frequency	15	4	4	4

**STAFFING**

*Attract, develop and retain highly qualified employees*

---

**GOAL ACTION FOR ACHIEVEMENT:** Provide professional, technical and safety training to maximize team performance and employee safety

**KEY CODE:** S 2

**TARGET MEASURE:** Provide a minimum of 250 training hours

Unit of Measure	FY 2019 Actual	FY 2019 Goal	FY 2020 Goal	FY 2021 Goal
Hours	269	250	250	220



# Capital Budget

NBC’s Capital Budget includes the Operating Capital Program (OCP) and the Capital Improvement Program (CIP). The FY 2021 Capital Budget is \$56.1 million which is \$971 thousand or 1.8% higher than the prior year.

	FY 2019 Actual	FY 2020 Budget	FY 2021 Budget	Budgeted Difference
<b>Source of Funds</b>				
Restricted Account - CIP	\$ 7,084,190	\$ 6,909,839	\$ -	\$ (6,909,839)
Restricted Account - OCP	3,887,534	3,261,200	3,863,000	601,800
Grant and Project Reimbursement Account	45,973	8,914,056	400,000	(8,514,056)
SRF Loan Proceeds	22,002,760	36,056,481	3,500,000	(32,556,481)
WIFIA - CSO Phase III A Facilities	-	-	30,318,957	30,318,957
WIFIA - Bucklin Point Resiliency Improvements	-	-	18,030,668	18,030,668
<b>Total Source of Funds</b>	<b>\$ 33,020,457</b>	<b>\$ 55,141,576</b>	<b>\$ 56,112,625</b>	<b>\$ 971,049</b>
<b>Use of Funds</b>				
Operating Capital Program	3,887,534	3,261,200	3,863,000	601,800
Capital Improvements	28,599,672	51,330,376	51,849,625	519,249
Cost of Issuance/Other	533,251	550,000	400,000	(150,000)
<b>Total Use of Funds</b>	<b>\$ 33,020,457</b>	<b>\$ 55,141,576</b>	<b>\$ 56,112,625</b>	<b>\$ 971,049</b>

The CIP and OCP identify capital expenditures over a five-year planning period and are developed within the context of the Strategic Plan’s short-term and long-term goals. NBC staff identify capital needs based upon the Asset Management Program as well as system and facility inspections. In addition, NBC engineers and scientists identify improvements that may be required to meet new permit requirements such as more stringent discharge limits as well as consent agreements. Additional capital needs such as improvements to Information Technology hardware and software are also identified as new technologies become available.

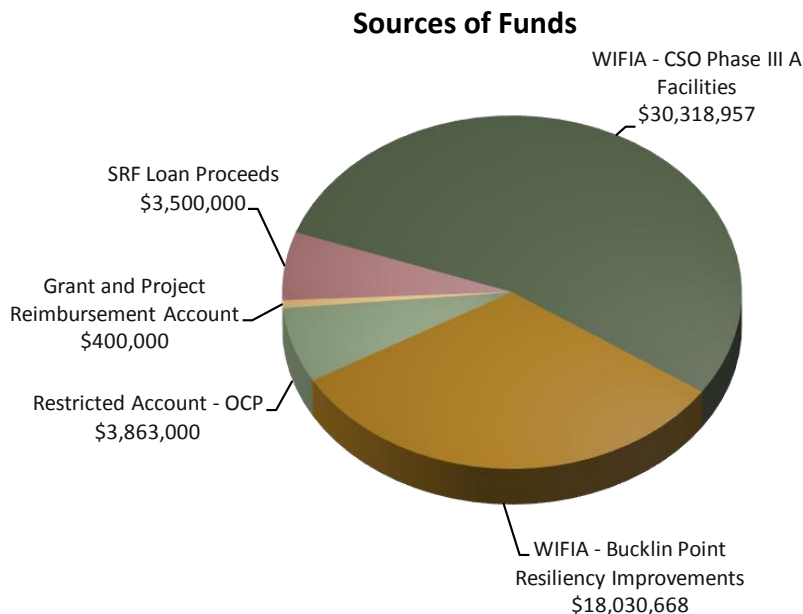


Items identified for inclusion in the Capital Budget must meet NBC’s criteria to be considered an asset. NBC’s asset criteria is further discussed in the OCP portion of this document. In general, assets that are to be purchased and installed by NBC staff within the fiscal year are included in the OCP. The highest priority items are included in the budget year and the remaining assets are programmed in subsequent years. The CIP includes larger, more complex and expensive assets that will be completed over a number of years. CIP items typically require the services of outside professional services to assist with planning, design and construction. The CIP projects are assigned priority codes and funding is allocated accordingly.

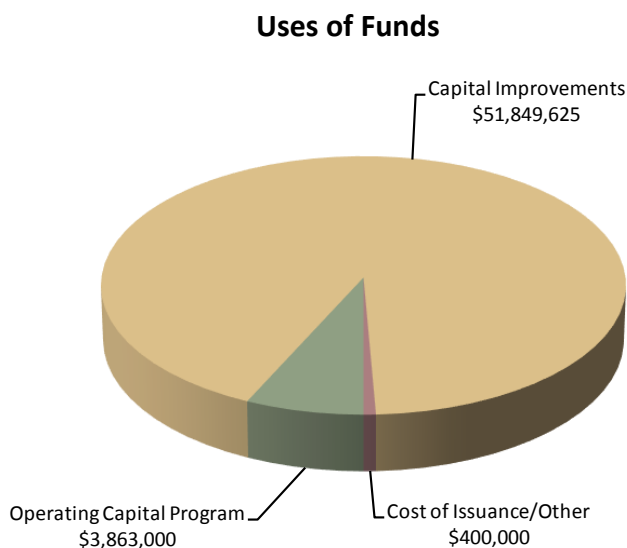
The Operating Budget includes debt service associated with the financing of the CIP. In addition, the Operating Budget line item “Transfer to Project Fund – Restricted Account” is used in the subsequent fiscal year to fund the OCP and pay-as-you-go CIP projects. Additional funding for the CIP is available from the Grant and Project Reimbursement Account in the Project Fund. NBC also funds the CIP with proceeds from the issuance of tax-exempt revenue bonds issued through the Rhode Island Infrastructure Bank, which is also referred to in this document as State Revolving Fund or “SRF” debt. In addition, NBC is participating in the United States Environmental Protection Agency’s WIFIA loan program which provides long-term low-cost credit assistance

for up to 49% of eligible project costs. If there are additional capital requirements the NBC can fund the CIP through the issuance of taxable and tax-exempt revenue bonds.

In Fiscal Year 2021, the total sources of capital funds are approximately \$56.1 million, and the largest source is WIFIA CSO Phase III A at \$30.3 million or 54%. The second largest source is the WIFIA Bucklin Point Resiliency Improvements at \$18.0 million or 32.1%. The Restricted Account – Operating Capital has \$3.9 million budgeted or 6.9%. SRF proceeds has \$3.5 million programmed for expenditure in FY 2021 or 6.2% of the total. Lastly, NBC has the Grant and Project Reimbursement Account programmed for \$400 thousand. The following chart illustrates the capital funding sources by type.



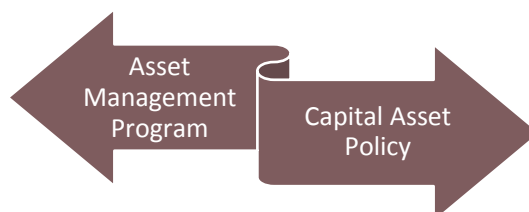
The largest category of capital budget expense in FY 2021 is Capital Improvements, which represents \$51.8 million or 92.4% of the total capital budget funds. The following chart illustrates the capital funding uses by type.



# OPERATING CAPITAL PROGRAM

NBC’s Operating Capital Program (OCP) identifies programmed asset purchases for the current budget year and subsequent five years. The OCP is based primarily on information from NBC’s Asset Management Program (AMP) and includes new assets, asset replacements, asset renovations and betterments. Examples of these assets include pumps, blowers, actuators, and bar racks.

Other operating capital items are identified through facility inspections and established programmatic priorities. Examples of these assets include fleet vehicles and laboratory equipment as well as computer hardware and software licensing. In accordance with NBC’s Capital Asset Policy, all assets must have an acquisition cost greater than \$5,000 and a useful life of three years or more.



## Operating Capital Program Overview

This year’s OCP identifies 60 assets programmed for acquisition in FY 2021 at a total cost of approximately \$3.9 million. NBC has also programmed asset purchases in FY 2022 through FY 2026 of approximately \$11.8 million for a total of \$15.7 million over the six-year period reflected in the Program. As is shown in the following table, the majority of the asset purchases, \$9.7 million or 62%, are for items required to support the wastewater treatment and collection functions in the Operations and Maintenance Division.

**FY 2021 – 2026  
Operating Capital Program**

Division	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026	Total FY 2022-2026
Administration	\$ 1,065,000	\$ 435,000	\$ 225,000	\$ 430,000	\$ 260,000	\$ 365,000	\$ 1,715,000
Construction & Engineering	110,000	77,000	20,000	35,000	32,000	32,000	196,000
Finance	190,000	10,000	85,000	45,000	45,000	45,000	230,000
Operations & Maintenance	2,132,000	1,405,000	1,295,000	1,534,000	1,504,000	1,815,000	7,553,000
Environmental Science & Compliance	366,000	518,000	516,000	328,000	406,000	332,000	2,100,000
	\$ 3,863,000	\$ 2,445,000	\$ 2,141,000	\$ 2,372,000	\$ 2,247,000	\$ 2,589,000	\$ 11,794,000

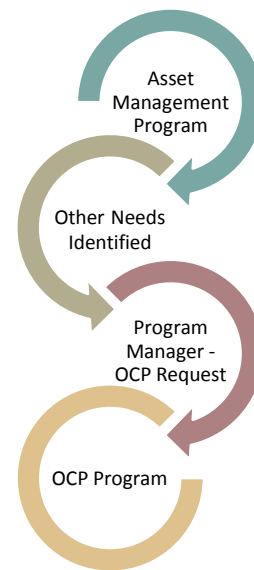
## Operating Capital Program Development

NBC is committed to making the investments needed to ensure continuous operation of its facilities, support services and core business functions. In order to achieve this goal, NBC adopted and implemented an Asset Management Program (AMP), which is the primary source used to identify operating capital needs. The AMP is a comprehensive and detailed document maintained by the Asset Management Administrator that identifies all of NBC’s assets. This includes assets acquired as part of a capital improvement project as well as assets purchased through the annual budget process.

Detailed asset information is captured in the asset management system including an asset’s location, cost and useful life. In addition, each asset is assigned a criticality factor that takes into consideration redundancy. NBC’s computerized work order system is integrated into the AMP so that preventive and corrective maintenance activity is also captured for each asset. The asset maintenance history and useful life information assists with the determination of whether an asset should be repaired or replaced. The information in the AMP enables NBC to produce a facilities and equipment condition analysis report that is used to identify and prioritize capital asset needs.

In addition to the AMP, other new assets or asset replacements are identified through the operation and inspection of facilities. Investment in Information Technology (IT) assets are typically programmed in advance to address specific needs such as refreshing employee workstations and laptops, enhancing the security of NBC’s technical infrastructure, or implementing additional functionality to current business systems. Laboratory and sampling equipment needs are often identified through the planning process to ensure compliance with new RIPDES permit or water quality sampling requirements.

Program managers use the information from the AMP and other sources as the basis for requesting funding for operating capital assets. The OCP includes requests for the upcoming budget year as well as the subsequent five years to align with the Capital Improvement Program window.



With respect to the upcoming budget year, as part of the annual budget process, each section submits detailed operating capital requests with supporting documentation for each asset. Each request is unique and includes the asset title, description, estimated cost, location, useful life, purchase justification and indicates if the asset is new, a replacement or a betterment. The requests are first reviewed by the Accounting staff to determine if the request meets the capital asset criteria. Once approved by Accounting, the requests are reviewed by Finance to ensure that the information is complete and that there is documentation to support the estimated cost. The information is compiled and included for funding in the OCP for the budget year. Each asset included in the budget is assigned a unique asset allocation number which is referenced when the asset is purchased to ensure that it was authorized.

The OCP also reflects planned asset purchases for the subsequent five years. Although detailed information is required for all requested operating capital assets in the budget year, less specific information is needed to program future purchases. Each section submits a six-year operating capital needs form as part of the annual budget process. The first-year ties into the budget year and must be accompanied by the operating capital request form discussed previously. Assets in subsequent years must include the asset title, location, a brief explanation of how the asset will be used, and justification. These requests are reviewed by Finance and are incorporated into the OCP.

### Fiscal Sustainability Plan

In order to borrow funds through the Rhode Island Infrastructure Bank (RIIB), NBC is required to have an established Fiscal Sustainability Plan (FSP) that complies with the Amendments to Titles I, II, V, and VI in the Water Resources Reform and Development Act under the Federal Water Pollution Control Act (Regulations). Under the guidance of NBC’s Board of Commissioner’s Fiscal Sustainability Plan Policy, the Asset Management Program (AMP), Capital Improvement Program (CIP), Annual Operating Budget and Operating Capital Program (OCP) were developed and implemented. These planning tools protect NBC’s significant capital investments and conservation efforts and have been formally incorporated into the FSP. The AMP provides direction in developing the OCP based on the identified needs that meet the criteria set forth in NBC’s Capital Asset Policy.



## Operating Capital Program Guidelines

The development of the FY 2021 Operating Capital Program is governed by the following:

- The operating capital policy defines operating capital items as those with costs greater than \$5,000 and a minimum useful life of three years.
- The Asset Management Policy requires the identification of short-term capital needs and the development of a long-term (five-year) asset replacement Program.
- The Accounting Manager must ensure that asset criteria is met and approve the capitalization of assets.

## Operating Capital Program Calendar

Development of the Operating Capital Program is as follows:

### NOVEMBER 2019

- Budget Forms Available
- FY 2021 – 2026 Operating Capital Submittals due to Finance

### DECEMBER 2019

- Review submittals with respect to Asset Criteria and GL account code

### JANUARY 2020

- Complete Operating Capital Schedules
- Draft Operating Capital Program Narrative

### FEBRUARY 2020

- Finalize Operating Capital Program Document
- Finance Committee and Board Review and Approval of OCP on February 25, 2020

## Operating Capital Program Amendment Procedures

During the fiscal year there may be a need to make changes to the operating capital budget to accommodate those instances in which the actual bids received for items are higher than budgeted amounts, or where the installation of a new asset requires additional resources beyond what was anticipated. In addition, changes may be required to accommodate emergencies. In these cases, a Division Director may request a modification to the operating capital budget. If a modification to the operating capital budget is needed, it is preferred that an entire asset is reallocated to the new item. In some cases, this is not possible and partial reallocations are accommodated. The Chief Financial Officer may authorize changes in the operating capital budget as long as the total expenditures do not exceed the total amount approved for the fiscal year. Procedures for modifications to the operating capital budget during the year are as follows:

**Non-Emergencies:**

- Prior to Purchase, the Operating Capital Reallocation Request Form is completed, signed by the Division Director and accompanied by vendor quote for the estimated cost.
- The Form is reviewed by the Accounting and Finance Departments to determine if the item meets the criteria to be considered an asset in accordance with NBC’s Capital Asset Policy.
- The Form is reviewed with the Chief Financial Officer
- If approved, a new Asset Allocation number is assigned, and operating capital funding is transferred.

**Emergencies:**

- The item is purchased in accordance with NBC’s Purchasing Rules and Regulations for emergency purchases.
- The Operating Capital Reallocation Request Form is completed and signed by the Division Director and accompanied by a quote for the estimated cost.
- The Form is reviewed by the Accounting and Finance Departments to determine if the item meets the criteria to be considered an asset in accordance with NBC’s Capital Asset Policy and is then reviewed with the Chief Financial Officer.
  - Capital Asset Criteria Met – funding is transferred in the operating capital budget and Asset Allocation number assigned.
  - Capital Asset Criteria Not Met – purchase will be expensed in the operating budget.

**Operating Capital Program by Strategic Objective**

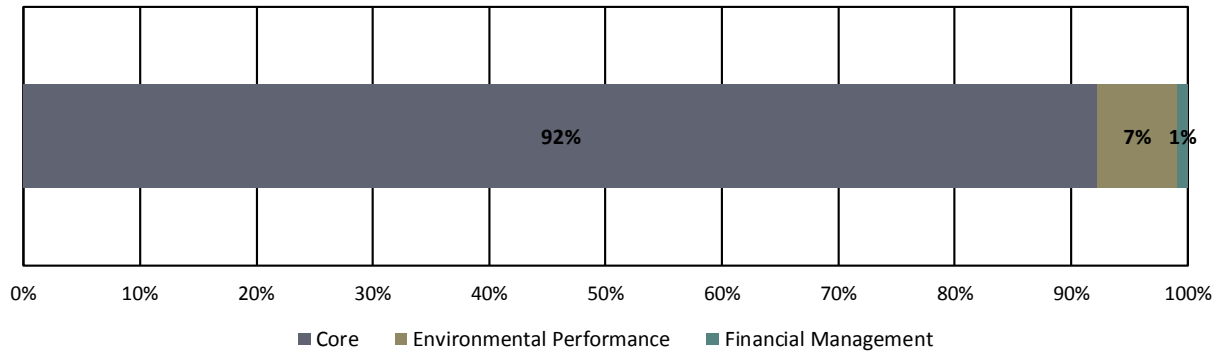
The Strategic Plan guides NBC operations and ensures facilities and infrastructure are maintained. As part of the OCP development, the budgeted capital assets have been categorized by the goal the asset will address. NBC’s Strategic Plan Goals are listed below.

**NBC’S Strategic Goals**

<b>CORE BUSINESS:</b>	Operate, maintain and protect our collection and treatment systems to ensure that all State and Federal requirements are met or surpassed.
<b>ENVIRONMENTAL PERFORMANCE:</b>	Continuously evaluate NBC’s environmental performance to identify, quantify and minimize NBC impacts to the environment in a cost effective manner.
<b>FINANCIAL MANAGEMENT:</b>	Manage NBC’s finances through strong financial planning and controls such that sewer users charges are minimized.

Of the 60 budgeted capital assets in FY 2021, \$3.5 million or 92% are related to NBC’s Core Business goal for infrastructure, applications and compliance. In addition, 7% relate to NBC’s Environmental Performance goal and represents sampling and laboratory analysis assets. The remaining assets are aligned with the Financial Management goal. The following chart illustrates the percentage of budgeted assets by strategic goal.

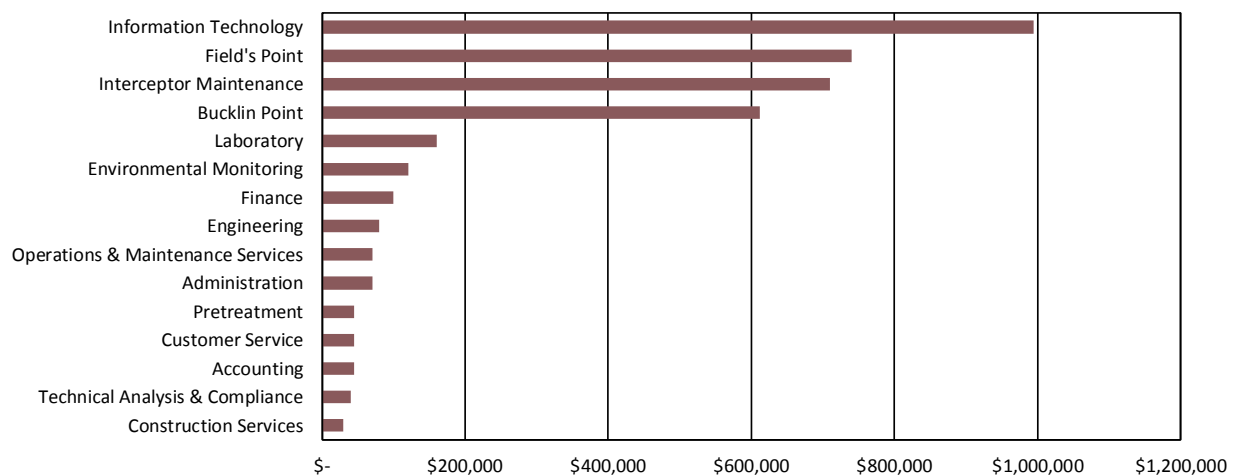
**Percentage of Capital Assets by Strategic Goal**



**Operating Capital Program by Cost Center**

The largest percentage of the FY 2021 operating capital program is to support the wastewater treatment facilities (WWTF) which represent a combined 35.0% of the programmed operating capital with \$740 thousand at Field’s Point and \$612 thousand at Bucklin Point. NBC has prioritized the replacement of numerous pumps, vehicles, tanks, bar racks, and other equipment required to operate the facilities and maintain infrastructure. The Information Technology (IT) section’s operating capital budget of \$995 thousand, or 25.8% of the total, includes \$670 thousand for the replacement of the backup solution used to maintain NBC’s data and limit exposure to malware and viruses. This total also includes the annual PC refresh program along with hardware and software investments. The Interceptor Maintenance (IM) section’s operating capital budget comprises 18.4% of the total or \$710 thousand. IM plans to replace three vehicles, including two 20-year old sewer cleaning vehicles. The first is a combination sewer cleaning vehicle at \$485 thousand which is used to clean sewer pipes, manholes, tanks and chambers. The second is a sewer cleaning vehicle at \$185 thousand which is used to clean catch basins, sumps as well as netting facilities. The FY 2021 operating capital by cost center is reflected in the following chart.

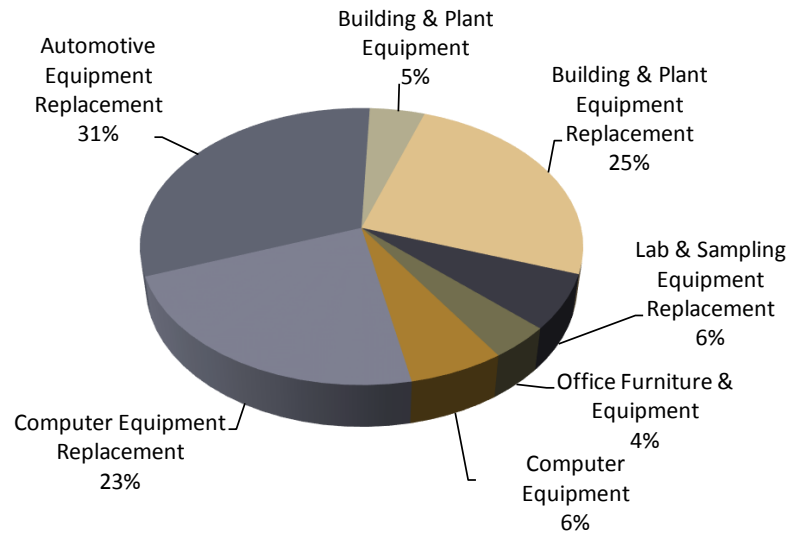
**FY 2021 Operating Capital by Cost Center**



## Fiscal Year 2021 Operating Capital Program by Type

The FY 2021 OCP identifies asset purchases totaling approximately \$3.9 million. The largest asset category is for Automotive Equipment Replacement at \$1.2 million or 31%. This is followed by Building & Plant Equipment Replacement representing \$957 thousand or 25% of the total. Computer Equipment & Computer Equipment Replacement represent 6% and 23% at a combined total of \$1.1 million. Lab & Sampling Equipment Replacement and Building & Plant Equipment comprise 6% and 5% respectively. Office Furniture & Equipment Replacement comprise the remaining 4% of the FY 2021 asset acquisitions.

### FY 2021 Operating Capital by Type



NBC's strategic goal of maximizing technology and maintaining capability is demonstrated through computer equipment purchases that are programmed in FY 2021. The majority, or 97%, is related to replacement of an aging and capacity constrained backup solution, hardware upgrades and software enhancements to existing business systems. In addition, NBC has programmed the acquisition of a new Comprehensive Annual Financial Reporting (CAFR) Software solution.

Computer Equipment	Total	% of Total
Backup Solution	\$ 670,000	
Annual PC Refresh Program	75,000	
Edge Switch Upgrades	50,000	
Programmable Logic Controller	50,000	
Customer Service System Enhancements	50,000	
LIMs Enhancements	50,000	
Software Licensing Updates	40,000	
Conference Room Upgrades	25,000	
Computer Room Upgrades	25,000	
WWTFs Computer System Upgrades	20,000	
Antivirus Upgrades	10,000	
Enhancements/Upgrades	1,065,000	97%
CAFR Software	35,000	
New Software	35,000	3%
<b>Total</b>	<b>\$ 1,100,000</b>	<b>100%</b>



The following table illustrates NBC’s FY 2021 programmed replacement investments which ensure the protection of assets and continuous operation of the facilities. The majority of the Replacement Reserve items are vehicles at 37%, computer hardware & software at 27% and laboratory & sampling equipment at 8%. Other significant investments include items needed to operate the treatment plants and other assets.

Replacement Assets	Total	% of Total
Vehicles	\$ 1,194,000	37%
Computer Hardware & Software	865,000	27%
Laboratory & Sampling Equipment	247,000	8%
Bar Rack Rebuilds	235,000	7%
Pumps	170,000	5%
Hypochlorite Tanks	125,000	4%
Grit Tank Components	100,000	3%
Cameras at Field's Point	70,000	2%
Other	257,000	8%
<b>Total</b>	<b>\$ 3,263,000</b>	<b>100%</b>

Lastly, NBC plans on purchasing new assets in the Building & Plant Equipment category that will support operations and ensure core business goals are met. Installation of new camera equipment at the Bucklin Point WWTF to monitor the bar rack, grit and sludge belt thickening areas total \$60,000 and represents 34% of the total for this category. The purchase of heaters for the high voltage transformers located at the Ernest Street Pump Station and new mowers for the Bucklin Point WWTF total \$75,000 and represents 23% and 20% respectively of the total for this category.

Building & Plant Equipment	Total	% of Total
Cameras	\$ 60,000	34%
High Voltage Transformer Heaters	40,000	23%
Mowers	35,000	20%
Other	40,000	23%
<b>Total</b>	<b>\$ 175,000</b>	<b>100%</b>

### Operating Capital Program Funding

Operating Capital is funded from the Restricted Account – Operating Capital in the Project Fund. In accordance with the Trust Indenture, subsequent to fiscal year end, a calculation is made to determine the amount that can be transferred from the Stabilization Account in the Debt Service Fund to the Restricted Accounts in the Project Fund to support the Capital Budgets. This is also consistent with the Order from the Rhode Island Public Utilities Commission. An additional calculation is performed to further allocate the funds to the Operating Capital and Capital Improvement Program Restricted Accounts. For the Operating Capital Program, the fund transfer at the beginning of each fiscal year to the Restricted Account – Operating Capital takes into consideration any unspent balance from the prior year (see calculation below).



The following table shows that in FY 2021, NBC plans to fund the OCP with \$3.9 million from the Restricted Account – Operating Capital in the Project Fund. NBC has also programmed funding of \$5.0 million per year for FY 2022 through FY 2026 for the OCP from this same source.

#### OCP - SOURCES

Sources of Funds (Thousands)	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026	Total FY 2022-2026
Restricted Account-Operating Capital	\$ 3,863	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 25,000
<b>Total</b>	<b>\$ 3,863</b>	<b>\$ 5,000</b>	<b>\$ 5,000</b>	<b>\$ 5,000</b>	<b>\$ 5,000</b>	<b>\$ 5,000</b>	<b>\$ 25,000</b>

The FY 2021 programmed asset purchases total approximately \$3.9 million. In FY 2022 through FY 2026, NBC has programmed the acquisition of the assets identified in the OCP as well as an additional placeholder amount. This ensures that total programmed uses are \$5.0 million per year in the five-year window.

#### OCP – USES

Uses of Funds (Thousands)	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026	Total FY 2022-2026
Operating Capital Program	\$ 3,863	\$ 2,445	\$ 2,141	\$ 2,372	\$ 2,247	\$ 2,589	\$ 11,794
Operating Capital Placeholder	-	2,555	2,859	2,628	2,753	2,411	13,206
<b>Total</b>	<b>\$ 3,863</b>	<b>\$ 5,000</b>	<b>\$ 5,000</b>	<b>\$ 5,000</b>	<b>\$ 5,000</b>	<b>\$ 5,000</b>	<b>\$ 25,000</b>

## Operating Capital Summary by Fiscal Year

Asset Type	Asset Title	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026	Total Cost
<b>ADMINISTRATION</b>								
<b>Administration</b>								
New	Vehicle	\$ 40,000	\$ -	\$ -	\$ -	\$ -	\$ -	40,000
New	Office Furniture & Reconfiguration	30,000	20,000	-	-	-	-	50,000
	<i>Subtotal Administration</i>	<u>70,000</u>	<u>20,000</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>90,000</u>
<b>Information Technology</b>								
Replacement	Backup Solution	670,000	-	-	-	-	-	670,000
Replacement	Annual PC Refresh Program	75,000	75,000	75,000	75,000	75,000	75,000	450,000
Replacement	Edge Switch Upgrades	50,000	50,000	-	50,000	-	50,000	200,000
New	Customer Service System	50,000	50,000	-	50,000	-	-	150,000
New	LIMS Enhancement	50,000	-	50,000	-	50,000	-	150,000
New	Software Licensing Updates	40,000	40,000	40,000	40,000	40,000	40,000	240,000
New	Conference Room Upgrades	25,000	25,000	25,000	25,000	25,000	25,000	150,000
New	Computer Room Enhancements	25,000	25,000	25,000	25,000	25,000	25,000	150,000
New	Antivirus Upgrades	10,000	10,000	10,000	10,000	10,000	10,000	60,000
New	Bi-annual Security Assessment	-	75,000	-	75,000	-	75,000	225,000
New	Oracle ERP/Database Enhancements	-	40,000	-	40,000	-	40,000	120,000
New	Hansen Upgrades	-	25,000	-	25,000	-	25,000	75,000
Replacement	Copy Machine	-	-	-	15,000	-	-	15,000
Replacement	Large Form Scanner/Printer	-	-	-	-	35,000	-	35,000
	<i>Subtotal Information Technology</i>	<u>995,000</u>	<u>415,000</u>	<u>225,000</u>	<u>430,000</u>	<u>260,000</u>	<u>365,000</u>	<u>2,690,000</u>
<b>CONSTRUCTION &amp; ENGINEERING</b>								
<b>Construction Services</b>								
Replacement	Vehicle 433	30,000	-	-	-	-	-	30,000
Replacement	Vehicle 357	-	32,000	-	-	-	-	32,000
Replacement	Vehicle 343	-	-	-	-	32,000	-	32,000
Replacement	Vehicle 337	-	-	-	-	-	32,000	32,000
	<i>Subtotal Construction Services</i>	<u>30,000</u>	<u>32,000</u>	<u>-</u>	<u>-</u>	<u>32,000</u>	<u>32,000</u>	<u>126,000</u>
<b>Engineering</b>								
Replacement	HVAC	50,000	-	-	-	-	-	50,000
Replacement	Flow Meters	30,000	-	-	-	-	-	30,000
Replacement	GPS Rover	-	25,000	-	-	-	-	25,000
Replacement	Survey Equipment	-	20,000	-	35,000	-	-	55,000
Replacement	Gas Water Heater	-	-	20,000	-	-	-	20,000
	<i>Subtotal Engineering</i>	<u>80,000</u>	<u>45,000</u>	<u>20,000</u>	<u>35,000</u>	<u>-</u>	<u>-</u>	<u>180,000</u>
<b>FINANCE</b>								
<b>Finance</b>								
New	Office Furniture & Equipment	100,000	-	-	-	-	-	100,000
Replacement	Copy Machine	-	-	40,000	-	-	-	40,000
	<i>Subtotal Finance</i>	<u>100,000</u>	<u>-</u>	<u>40,000</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>140,000</u>
<b>Accounting</b>								
New	CAFR Software	35,000	-	-	-	-	-	35,000
New	Office Furniture & Equipment	10,000	-	-	-	-	-	10,000
	<i>Subtotal Accounting</i>	<u>45,000</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>45,000</u>
<b>Customer Service</b>								
Replacement	Vehicle 372	35,000	-	-	-	-	-	35,000
New	Office Furniture & Equipment	10,000	10,000	10,000	10,000	10,000	10,000	60,000
Replacement	Vehicle 339	-	-	35,000	-	-	-	35,000
Replacement	Vehicle 335	-	-	-	35,000	-	-	35,000
Replacement	Vehicle 316	-	-	-	-	35,000	-	35,000
Replacement	Vehicle 377	-	-	-	-	-	35,000	35,000
	<i>Subtotal Customer Service</i>	<u>45,000</u>	<u>10,000</u>	<u>45,000</u>	<u>45,000</u>	<u>45,000</u>	<u>45,000</u>	<u>235,000</u>
<b>OPERATIONS &amp; MAINTENANCE</b>								
<b>Interceptor Maintenance</b>								
Replacement	Vehicle 420	475,000	-	-	-	-	-	475,000
Replacement	Vehicle 415	185,000	-	-	-	-	-	185,000
Replacement	Vehicle 347	50,000	-	-	-	-	-	50,000
Replacement	Vehicle 348	-	38,000	-	-	-	-	38,000
Replacement	HVAC System	-	35,000	-	-	-	-	35,000
Replacement	Vehicle 355	-	35,000	-	-	-	-	35,000
Replacement	Vehicle 367	-	30,000	-	-	-	-	30,000
Replacement	Equipment 851A	-	10,000	-	-	-	-	10,000
Replacement	Vehicle 376	-	-	140,000	-	-	-	140,000
Replacement	Vehicle 459	-	-	16,000	-	-	-	16,000
Replacement	Vehicle 363	-	-	-	225,000	-	-	225,000

## Operating Capital Summary by Fiscal Year

Asset Type	Asset Title	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026	Total Cost
Replacement	Vehicle 334	-	-	-	32,000	-	-	32,000
Replacement	Vehicle 341	-	-	-	32,000	-	-	32,000
Replacement	Copy machine	-	-	-	12,000	-	-	12,000
Replacement	Vehicle 346	-	-	-	7,000	-	-	7,000
Replacement	Vehicle 472	-	-	-	-	150,000	-	150,000
Replacement	Vehicle 373	-	-	-	-	30,000	-	30,000
Replacement	Roof	-	-	-	-	30,000	-	30,000
Replacement	Fence Gate Controller	-	-	-	-	12,000	-	12,000
Replacement	Equipment 829A	-	-	-	-	10,000	-	10,000
Replacement	Equipment 656A	-	-	-	-	8,000	-	8,000
Replacement	Vehicle 329	-	-	-	-	-	500,000	500,000
<i>Subtotal Interceptor Maintenance</i>		<b>710,000</b>	<b>148,000</b>	<b>156,000</b>	<b>308,000</b>	<b>240,000</b>	<b>500,000</b>	<b>2,062,000</b>
<b>Operations &amp; Maintenance Services</b>								
Replacement	Programmable Logic Controller	50,000	-	-	-	-	-	50,000
Replacement	Computer System Upgrades	20,000	-	-	-	-	-	20,000
<i>Subtotal Operations &amp; Maintenance Services</i>		<b>70,000</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>70,000</b>
<b>Field's Point</b>								
Rehabilitation	Bar Rack	150,000	150,000	150,000	152,000	152,000	152,000	906,000
Replacement	Vehicle 485	130,000	-	-	-	-	-	130,000
Rehabilitation	Grit Tank	100,000	105,000	105,000	110,000	110,000	115,000	645,000
Rehabilitation	Hypochlorite Tanks	85,000	-	-	-	-	-	85,000
Replacement	Cameras	70,000	-	-	-	-	-	70,000
Replacement	Screw Pump Gear Box	65,000	-	-	-	-	-	65,000
Replacement	Tunnel Pump Motor	45,000	-	50,000	-	-	-	95,000
New	Heaters	40,000	-	-	-	-	-	40,000
Replacement	Fiberglass Double Door	20,000	-	-	-	-	-	20,000
Replacement	Isolation Valves	15,000	15,000	15,000	-	-	-	45,000
Replacement	Flow Meter	10,000	-	-	6,000	18,000	40,000	74,000
Rehabilitation	Vehicle 465	10,000	-	-	-	-	-	10,000
Replacement	Hydro flow Screen	-	200,000	-	-	-	-	200,000
Replacement	Vehicle 406	-	40,000	-	-	-	-	40,000
Replacement	Sodium Bisulfite Tank	-	35,000	-	35,000	-	-	70,000
Replacement	Vehicle 375	-	35,000	-	-	-	-	35,000
Replacement	Vehicle 379	-	35,000	-	-	-	-	35,000
Replacement	Grit Pump and Motor	-	30,000	-	35,000	-	-	65,000
Replacement	Vehicle 495	-	30,000	-	-	-	-	30,000
Replacement	Metering Pump	-	27,000	-	-	-	25,000	52,000
Replacement	Equipment 0024	-	25,000	-	-	-	-	25,000
Replacement	Sludge Pump	-	22,000	44,000	20,000	-	-	86,000
Replacement	Equipment 0040	-	22,000	-	-	-	-	22,000
Replacement	Equipment 0069	-	22,000	-	-	-	-	22,000
Replacement	Equipment 0070	-	22,000	-	-	-	-	22,000
Replacement	Ammonia Probe	-	20,000	-	-	-	-	20,000
Replacement	Nitrate Meter	-	20,000	-	-	-	-	20,000
Replacement	Dewatering Pump and Motor	-	19,000	-	-	-	-	19,000
Replacement	Bridge Crane Drive, Trolley & Drum Hoist	-	18,000	-	-	-	-	18,000
Replacement	Nitrate Probe	-	16,000	-	-	-	-	16,000
Replacement	Dewatering Pump	-	12,000	-	-	-	-	12,000
Replacement	Equipment 0025	-	10,000	-	-	-	-	10,000
Rehabilitation	Sewage Pump	-	-	210,000	250,000	40,000	250,000	750,000
Rehabilitation	Crane	-	-	50,000	-	-	-	50,000
Replacement	Vehicle 446	-	-	45,000	-	-	-	45,000
Replacement	Gear Box Small Screw	-	-	40,000	-	-	-	40,000
Replacement	Return Sludge Pumps	-	-	40,000	-	-	-	40,000
Replacement	Vehicle 366	-	-	35,000	-	-	-	35,000
Replacement	Copy Machine	-	-	17,000	-	12,000	-	29,000
Replacement	Tank Level Indicators	-	-	7,000	-	-	-	7,000
Replacement	Vehicle 389	-	-	-	35,000	-	-	35,000
Replacement	Odor Control Unit	-	-	-	30,000	-	-	30,000
Replacement	Sluice Gate Hydraulic System	-	-	-	30,000	-	-	30,000
Replacement	Wasting Pump	-	-	-	30,000	-	-	30,000
Replacement	Exhaust Fans	-	-	-	25,000	-	-	25,000
Replacement	Vehicle 434	-	-	-	22,000	-	-	22,000
Replacement	Sludge Grinder	-	-	-	15,000	15,000	18,000	48,000
Replacement	Equipment 109A	-	-	-	15,000	-	-	15,000
Replacement	Variable Frequency Drive	-	-	-	10,000	10,000	-	20,000
Replacement	Fire Alarm Panel	-	-	-	5,000	-	-	5,000
Replacement	Dehumidifiers	-	-	-	-	200,000	-	200,000


## Operating Capital Summary by Fiscal Year

Asset Type	Asset Title	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026	Total Cost
Replacement	Vehicle 353	-	-	-	-	150,000	-	150,000
Replacement	Vehicle 464	-	-	-	-	40,000	-	40,000
Replacement	Equipment 0050	-	-	-	-	35,000	-	35,000
Replacement	Vehicle 360	-	-	-	-	35,000	-	35,000
Replacement	Sluice Gate Actuators	-	-	-	-	30,000	-	30,000
Replacement	Actuator	-	-	-	-	20,000	40,000	60,000
Replacement	Froth Spray Pump & Motor	-	-	-	-	20,000	-	20,000
Replacement	Sump Pump	-	-	-	-	20,000	-	20,000
Rehabilitation	Gearbox, Stems & Hydraulic Piston	-	-	-	-	14,000	-	14,000
Replacement	Equipment 911A	-	-	-	-	9,000	-	9,000
Replacement	Gas Meter	-	-	-	-	6,000	-	6,000
Replacement	Lower Bearing and Stub Shaft	-	-	-	-	-	80,000	80,000
Replacement	Influent Sluice Gate Gearboxes	-	-	-	-	-	40,000	40,000
Replacement	Vehicle 352	-	-	-	-	-	40,000	40,000
Replacement	Scum Dewatering Pump	-	-	-	-	-	36,000	36,000
Replacement	Plant Water Pump & Motor	-	-	-	-	-	35,000	35,000
Replacement	Vehicle 345	-	-	-	-	-	28,000	28,000
Replacement	Screw Pump Motor	-	-	-	-	-	25,000	25,000
Replacement	Water Champ	-	-	-	-	-	25,000	25,000
Replacement	LEL Meters	-	-	-	-	-	10,000	10,000
Replacement	Effluent Bisulfite Analyzer	-	-	-	-	-	9,000	9,000
<i>Subtotal Field's Point</i>		<b>740,000</b>	<b>930,000</b>	<b>808,000</b>	<b>825,000</b>	<b>936,000</b>	<b>968,000</b>	<b>5,207,000</b>
<b>Bucklin Point</b>								
Rehabilitation	Bar Rack	85,000	85,000	90,000	90,000	90,000	95,000	535,000
Rehabilitation	Effluent Pump	85,000	-	-	-	-	-	85,000
Replacement	Vehicle 382	70,000	-	-	-	-	-	70,000
New	Cameras	60,000	-	-	-	-	-	60,000
Replacement	Vehicle 390	50,000	-	-	-	-	-	50,000
Rehabilitation	Hypochlorite Tank	40,000	-	-	-	-	-	40,000
Replacement	Vehicle 356	40,000	-	-	-	-	-	40,000
Replacement	Motor and Gearbox	32,000	35,000	35,000	35,000	-	-	137,000
Replacement	Aeration Train Actuators	30,000	-	-	-	-	-	30,000
New	Dewatering Pump	20,000	-	-	-	-	-	20,000
New	Remote Control Slope Mower	20,000	-	-	-	-	-	20,000
New	Scum Pump	20,000	-	-	-	-	-	20,000
Replacement	Grit Pump	18,000	18,000	18,000	20,000	20,000	20,000	114,000
Replacement	Sump Pumps	17,000	-	-	-	20,000	-	37,000
New	Lawn Mower and Bagger	15,000	-	-	-	-	-	15,000
Rehabilitation	Centrate Pump	10,000	-	-	-	-	-	10,000
Replacement	Vehicle 444	-	40,000	-	-	-	-	40,000
Replacement	Vehicle 479	-	40,000	-	-	-	-	40,000
Replacement	Dewatering Pump	-	30,000	25,000	-	-	-	55,000
Replacement	Hypochlorite Pump	-	25,000	-	-	-	-	25,000
Replacement	Vehicle 368 Loader	-	14,000	-	-	-	-	14,000
Replacement	Vehicle 368 Mower	-	12,000	-	-	-	-	12,000
Replacement	Vehicle 368 Backhoe	-	10,000	-	-	-	-	10,000
Replacement	Copy Machine	-	9,000	-	-	-	-	9,000
Replacement	Equipment 0065	-	9,000	-	-	-	-	9,000
Replacement	Muffin Monster Grinder	-	-	40,000	40,000	-	45,000	125,000
Replacement	Recirculation Pumps	-	-	25,000	-	-	-	25,000
Replacement	Air Handling Equipment	-	-	20,000	-	-	-	20,000
Replacement	UVT Probe	-	-	20,000	-	-	-	20,000
Replacement	Sodium Bisulfite Tanks	-	-	14,000	-	-	-	14,000
Replacement	Equipment 104A	-	-	12,000	-	-	-	12,000
Replacement	Disinfection Control System	-	-	10,000	-	-	-	10,000
Replacement	Equipment 106A	-	-	8,000	-	-	-	8,000
Replacement	Vehicle 455	-	-	8,000	-	-	-	8,000
Replacement	Variable Frequency Drive	-	-	6,000	-	-	-	6,000
Rehabilitation	Screw Pump	-	-	-	70,000	-	-	70,000
Replacement	Vehicle 351	-	-	-	28,000	-	-	28,000
Replacement	Equipment 0066	-	-	-	25,000	-	-	25,000
Replacement	Equipment 0067	-	-	-	25,000	-	-	25,000
Replacement	Leveling Screws	-	-	-	20,000	-	-	20,000
Replacement	LEL Gas Level System	-	-	-	15,000	-	-	15,000
Replacement	2 Flow Meters	-	-	-	12,000	-	-	12,000
Replacement	Equipment Vehicle 344	-	-	-	8,000	-	-	8,000
Replacement	Equipment 802A	-	-	-	7,000	-	-	7,000
Replacement	Smart UPS	-	-	-	6,000	-	-	6,000

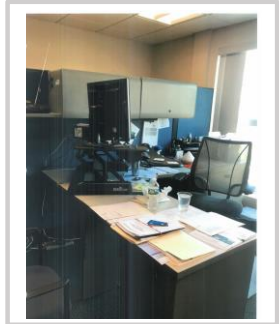
## Operating Capital Summary by Fiscal Year

Asset Type	Asset Title	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026	Total Cost
Replacement	Vehicle 330	-	-	-	-	45,000	-	45,000
Replacement	Vehicle 331	-	-	-	-	45,000	-	45,000
Replacement	Flow Meter	-	-	-	-	26,000	6,000	32,000
Replacement	Turbo Blower Harmonic Filter	-	-	-	-	24,000	-	24,000
Replacement	Limatorque Actuators & Gear Operator	-	-	-	-	15,000	-	15,000
Replacement	Voltage Regulator	-	-	-	-	12,000	-	12,000
Replacement	Equipment 910A	-	-	-	-	10,000	-	10,000
Replacement	Equipment 0102A	-	-	-	-	7,000	-	7,000
Replacement	Power Monitoring System Panel	-	-	-	-	7,000	-	7,000
Replacement	Siemens RIOP2A Control Panel	-	-	-	-	7,000	-	7,000
Replacement	Vehicle 368	-	-	-	-	-	85,000	85,000
Replacement	Vehicle 344	-	-	-	-	-	35,000	35,000
Replacement	Digester Valve Actuators	-	-	-	-	-	15,000	15,000
Replacement	Equipment 118A	-	-	-	-	-	10,000	10,000
Replacement	Meters, Detectors and Transmitters	-	-	-	-	-	10,000	10,000
Replacement	TSS Metering	-	-	-	-	-	10,000	10,000
Replacement	Equipment 0102A	-	-	-	-	-	8,000	8,000
Replacement	Gas Detection System	-	-	-	-	-	8,000	8,000
<i>Subtotal Bucklin Point</i>		<u>612,000</u>	<u>327,000</u>	<u>331,000</u>	<u>401,000</u>	<u>328,000</u>	<u>347,000</u>	<u>2,346,000</u>
<b>ENVIRONMENTAL SCIENCE &amp; COMPLIANCE</b>								
<b>Technical Analysis &amp; Compliance</b>								
Replacement	Vehicle 492	40,000	-	-	-	-	-	40,000
<i>Subtotal Technical Analysis &amp; Compliance</i>		<u>40,000</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>	<u>40,000</u>
<b>Pretreatment</b>								
Replacement	Vehicle 386	45,000	-	-	-	-	-	45,000
Replacement	Vehicle 371	-	-	45,000	-	-	-	45,000
Replacement	Vehicle 359	-	-	-	-	45,000	-	45,000
<i>Subtotal Pretreatment</i>		<u>45,000</u>	<u>-</u>	<u>45,000</u>	<u>-</u>	<u>45,000</u>	<u>-</u>	<u>135,000</u>
<b>Laboratory</b>								
Replacement	Mercury Analyzer	65,000	-	-	-	-	65,000	130,000
Replacement	Autoclave	60,000	60,000	-	-	-	60,000	180,000
Replacement	Biological Media Dispenser	35,000	-	-	-	-	35,000	70,000
Replacement	ICP Mass Spectrometer	-	160,000	-	-	-	-	160,000
Replacement	Salt Water Nutrient Analyzer	-	85,000	-	-	-	-	85,000
Replacement	ICP-OES Trace Metals Spectrometer	-	85,000	-	-	-	-	85,000
Replacement	ICP-OES Industrial Metals Spectrometer	-	-	90,000	-	-	-	90,000
Replacement	Cyanide Analyzer	-	-	85,000	-	-	-	85,000
Replacement	Water Purification Systems	-	-	120,000	-	-	-	120,000
Replacement	Oil and Grease Analyzer	-	-	55,000	-	-	-	55,000
Replacement	Gas Chromatography MS Analyzer	-	-	-	85,000	-	-	85,000
Replacement	Fresh Water Nutrient Analyzer	-	-	-	85,000	-	-	85,000
Replacement	TOC Analyzer	-	-	-	37,000	-	-	37,000
Replacement	Auto-Titration System	-	-	-	-	117,000	-	117,000
Replacement	BOD Skalar Analyzer	-	-	-	-	97,000	-	97,000
Replacement	Analytical Balances	-	-	-	-	23,000	-	23,000
Replacement	Lab Dish Washers	-	-	-	-	-	70,000	70,000
<i>Subtotal Laboratory</i>		<u>160,000</u>	<u>390,000</u>	<u>350,000</u>	<u>207,000</u>	<u>237,000</u>	<u>230,000</u>	<u>1,574,000</u>
<b>Environmental Monitoring</b>								
Replacement	Fixed Site Sondes	55,000	55,000	55,000	55,000	55,000	60,000	335,000
Replacement	Fixed Site Probes, Meters	32,000	32,000	32,000	32,000	34,000	34,000	196,000
Replacement	Vehicle 432	34,000	-	-	-	-	-	34,000
Replacement	Vehicle 365	-	34,000	-	-	-	-	34,000
Replacement	Vehicle 358	-	-	34,000	-	-	-	34,000
Replacement	Vehicle 349	-	-	-	34,000	-	-	34,000
Replacement	Vehicle 340	-	-	-	-	35,000	-	35,000
Replacement	Refrigerated Autosamplers	-	7,000	-	-	-	8,000	15,000
<i>Subtotal Environmental Monitoring</i>		<u>121,000</u>	<u>128,000</u>	<u>121,000</u>	<u>121,000</u>	<u>124,000</u>	<u>102,000</u>	<u>717,000</u>
<b>Total</b>		<u><b>\$ 3,863,000</b></u>	<u><b>\$ 2,445,000</b></u>	<u><b>\$ 2,141,000</b></u>	<u><b>\$ 2,372,000</b></u>	<u><b>\$ 2,247,000</b></u>	<u><b>\$ 2,589,000</b></u>	<u><b>\$ 15,657,000</b></u>

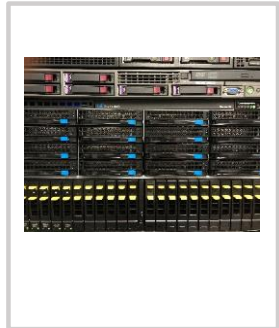
<b>Asset Allocation No.</b>	<b>21-021-001</b>		
<b>Asset Title</b>	<b>Vehicle</b>	<b>Cost Center:</b>	Administration
<b>Asset Location</b>	COB	<b>Amount:</b>	\$ 40,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input checked="" type="checkbox"/> Other <u>Replace Lease</u>
<b>Asset Description:</b>	Hybrid vehicle for Executive Director to use for out of office meetings and general transportation.		
<b>Budget Account:</b>	16510 Automotive Equipment		
<b>Type:</b>	NEW		
<b>Original date in service:</b>	<u>N/A</u>	<b>Original estimated useful life:</b>	<u>N/A</u> <b>Useful life:</b> <u>10 Years</u>




<b>Asset Allocation No.</b>	<b>21-021-002</b>		
<b>Asset Title</b>	<b>Office Furniture &amp; Reconfiguration</b>	<b>Cost Center:</b>	Administration
<b>Asset Location</b>	COB	<b>Amount:</b>	\$ 30,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input checked="" type="checkbox"/> Other <u>As needed</u>
<b>Asset Description:</b>	Office furniture and reconfiguration needed for re-organization.		
<b>Budget Account:</b>	16580 Office Furniture & Equipment		
<b>Type:</b>	NEW		
<b>Original date in service:</b>	<u>N/A</u>	<b>Original estimated useful life:</b>	<u>N/A</u> <b>Useful life:</b> <u>3 Years</u>




<b>Asset Allocation No.</b>	<b>21-033-001</b>		
<b>Asset Title</b>	<b>Backup Solution</b>	<b>Cost Center:</b>	Information Technology
<b>Asset Location</b>	COB	<b>Amount:</b>	\$ 670,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input checked="" type="checkbox"/> Other <u>As needed</u>
<b>Asset Description:</b>	Replace Barracuda backup solution.		
<b>Budget Account:</b>	16555 Computer Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2014</u>	<b>Original estimated useful life:</b>	<u>5 Years</u> <b>Useful life:</b> <u>5 Years</u>




<b>Asset Allocation No.</b>	<b>21-033-002</b>		
<b>Asset Title</b>	<b>Annual PC Refresh Program</b>	<b>Cost Center:</b>	Information Technology
<b>Asset Location</b>	NBC-wide	<b>Amount:</b>	\$ 75,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input checked="" type="checkbox"/> Other <u>As needed</u>
<b>Asset Description:</b>	Replace computers over 5 years with new ones.		
<b>Budget Account:</b>	16555 Computer Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2014</u>	<b>Original estimated useful life:</b>	<u>5 Years</u> <b>Useful life:</b> <u>5 Years</u>




<b>Asset Allocation No.</b>	<b>21-033-003</b>		
<b>Asset Title</b>	<b>Edge Switch Upgrades</b>	<b>Cost Center:</b>	Information Technology
<b>Asset Location</b>	NBC-wide	<b>Amount:</b>	\$ 50,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input checked="" type="checkbox"/> Other <u>As needed</u>
<b>Asset Description:</b>	Upgrade Edge switches with new technology.		
<b>Budget Account:</b>	16555 Computer Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2014</u>	<b>Original estimated useful life:</b>	<u>5 Years</u> <b>Useful life:</b> <u>5 Years</u>




<b>Asset Allocation No.</b>	<b>21-033-004</b>		
<b>Asset Title</b>	<b>Customer Service System</b>	<b>Cost Center:</b>	Information Technology
<b>Asset Location</b>	COB	<b>Amount:</b>	\$ 50,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input checked="" type="checkbox"/> Other <u>As needed</u>
<b>Asset Description:</b>	Enhancements to the customer service system.		
<b>Budget Account:</b>	16550 Computer Equipment		
<b>Type:</b>	NEW		
<b>Original date in service:</b>	<u>N/A</u>	<b>Original estimated useful life:</b>	<u>N/A</u> <b>Useful life:</b> <u>5 Years</u>



<b>Asset Allocation No.</b>	<b>21-033-005</b>		
<b>Asset Title</b>	<b>LIMS Enhancement</b>	<b>Cost Center:</b>	Information Technology
<b>Asset Location</b>	COB	<b>Amount:</b>	\$ 50,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input type="checkbox"/> Other <u>As needed</u>
<b>Asset Description:</b>	Enhancements to the Laboratory Information Management system to meet the changing needs of NBC.		
<b>Budget Account:</b>	16550 Computer Equipment		
<b>Type:</b>	NEW		
<b>Original date in service:</b>	<u>N/A</u>	<b>Original estimated useful life:</b>	<u>N/A</u> <b>Useful life:</b> <u>5 Years</u>




<b>Asset Allocation No.</b>	<b>21-033-006</b>		
<b>Asset Title</b>	<b>Software Licensing</b>	<b>Cost Center:</b>	Information Technology
<b>Asset Location</b>	NBC-wide	<b>Amount:</b>	\$ 40,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input checked="" type="checkbox"/> Other _____
<b>Asset Description:</b>	New software for use at NBC.		
<b>Budget Account:</b>	16550 Computer Equipment		
<b>Type:</b>	NEW		
<b>Original date in service:</b>	<u>N/A</u>	<b>Original estimated useful life:</b>	<u>N/A</u> <b>Useful life:</b> <u>5 Years</u>







<b>Asset Allocation No.</b>	<b>21-033-007</b>		
<b>Asset Title</b>	<b>Conference Room Upgrades</b>	<b>Cost Center:</b>	Information Technology
<b>Asset Location</b>	COB	<b>Amount:</b>	\$ 25,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input checked="" type="checkbox"/> Other <u>As needed</u>
<b>Asset Description:</b>	Update technology in the COB conference rooms.		
<b>Budget Account:</b>	16550 Computer Equipment		
<b>Type:</b>	NEW		
<b>Original date in service:</b>	<u>N/A</u>	<b>Original estimated useful life:</b>	<u>N/A</u> <b>Useful life:</b> <u>5 Years</u>



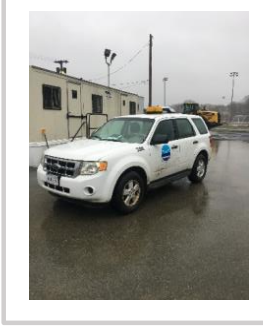
<b>Asset Allocation No.</b>	<b>21-033-008</b>		
<b>Asset Title</b>	<b>Computer Room Enhancements</b>	<b>Cost Center:</b>	Information Technology
<b>Asset Location</b>	COB	<b>Amount:</b>	\$ 25,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input checked="" type="checkbox"/> Other <u>As needed</u>
<b>Asset Description:</b>	New hardware for computer room to keep computers running efficiently.		
<b>Budget Account:</b>	16550 Computer Equipment		
<b>Type:</b>	NEW		
<b>Original date in service:</b>	<u>N/A</u>	<b>Original estimated useful life:</b>	<u>N/A</u> <b>Useful life:</b> <u>5 Years</u>



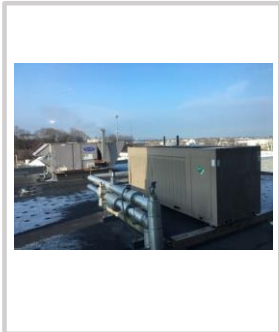
<b>Asset Allocation No.</b>	<b>21-033-009</b>		
<b>Asset Title</b>	<b>Antivirus Upgrades</b>	<b>Cost Center:</b>	Information Technology
<b>Asset Location</b>	NBC-wide	<b>Amount:</b>	\$ 10,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other <u>As needed</u>
<b>Asset Description:</b>	Upgrade antivirus software as new technology is implemented.		
<b>Budget Account:</b>	16550 Computer Equipment		
<b>Type:</b>	NEW		
<b>Original date in service:</b>	<u>N/A</u>	<b>Original estimated useful life:</b>	<u>N/A</u> <b>Useful life:</b> <u>5 Years</u>




<b>Asset Allocation No.</b>	<b>20-022-001</b>		
<b>Asset Title</b>	<b>Vehicle 433</b>	<b>Cost Center:</b>	Construction Services
<b>Asset Location</b>	COB	<b>Amount:</b>	\$ 30,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other _____
<b>Asset Description:</b>	SUV used to transport construction personnel to construction sites.		
<b>Budget Account:</b>	16515 Automotive Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2009</u>	<b>estimated useful life:</b>	<u>10 Years</u> <b>Useful life:</b> <u>10 Years</u>



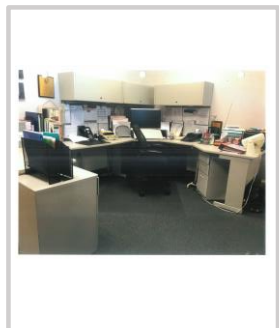
<b>Asset Allocation No.</b>	<b>20-025-001</b>		
<b>Asset Title</b>	<b>HVAC</b>	<b>Cost Center:</b>	Engineering
<b>Asset Location</b>	COB	<b>Amount:</b>	\$ 50,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Replace heating, ventilation and air conditioning roof components.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2013</u>	<b>Original estimated useful life:</b>	<u>5 Years</u> <b>Useful life:</b> <u>5 Years</u>




<b>Asset Allocation No.</b>	<b>20-025-002</b>		
<b>Asset Title</b>	<b>Flow Meters</b>	<b>Cost Center:</b>	Engineering
<b>Asset Location</b>	Water Quality Science Building	<b>Amount:</b>	\$ 30,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input checked="" type="checkbox"/> Other
<b>Asset Description:</b>	Replace pilot type flow meters for 5 strobic exhaust fans in the laboratory fume hoods/all process areas.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2017</u>	<b>Original estimated useful life:</b>	<u>3 Years</u> <b>Useful life:</b> <u>10 Years</u>



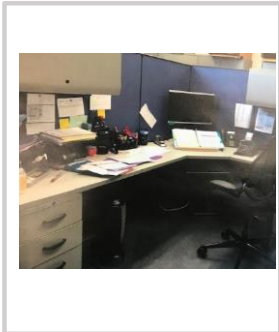
<b>Asset Allocation No.</b>	<b>20-031-001</b>		
<b>Asset Title</b>	<b>Office Furniture &amp; Reconfiguration</b>	<b>Cost Center:</b>	Finance
<b>Asset Location</b>	COB	<b>Amount:</b>	\$ 100,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input checked="" type="checkbox"/> Other <u>As needed</u>
<b>Asset Description:</b>	Office furniture and reconfiguration required after office renovations.		
<b>Budget Account:</b>	16580 Office Furniture & Equipment		
<b>Type:</b>	NEW		
<b>Original date in service:</b>	<u>N/A</u>	<b>Original estimated useful life:</b>	<u>N/A</u> <b>Useful life:</b> <u>3 Years</u>



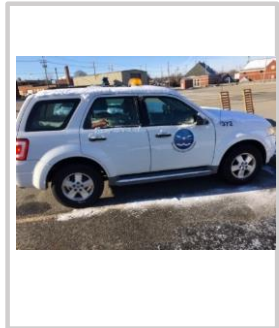
<b>Asset Allocation No.</b>	<b>21-032-001</b>		
<b>Asset Title</b>	<b>CAFR Software</b>	<b>Cost Center:</b>	Accounting
<b>Asset Location</b>	COB	<b>Amount:</b>	\$ 35,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input checked="" type="checkbox"/> Other <u>Productivity</u>
<b>Asset Description:</b>	Software to provide power and sophistication to address the most complex enterprise reporting and processes.		
<b>Budget Account:</b>	16550 Computer Equipment		
<b>Type:</b>	NEW		
<b>Original date in service:</b>	<u>N/A</u>	<b>Original estimated useful life:</b>	<u>N/A</u> <b>Useful life:</b> <u>3 Years</u>



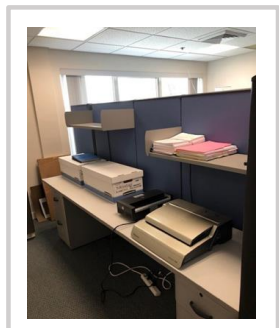
<b>Asset Allocation No.</b>	<b>21-032-002</b>		
<b>Asset Title</b>	<b>Office Furniture</b>	<b>Cost Center:</b>	Accounting
<b>Asset Location</b>	COB	<b>Amount:</b>	\$ 10,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other <u>Need Based</u>
<b>Asset Description:</b>	Furniture required after completion of renovations.		
<b>Budget Account:</b>	16580 Office Furniture & Equipment		
<b>Type:</b>	NEW		
<b>Original date in service:</b>	<u>N/A</u>	<b>Original estimated useful life:</b>	<u>N/A</u> <b>Useful life:</b> <u>3 Years</u>



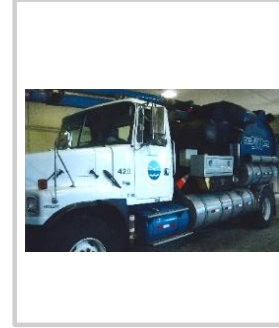
<b>Asset Allocation No.</b>	<b>21-034-001</b>		
<b>Asset Title</b>	<b>Vehicle 372</b>	<b>Cost Center:</b>	Customer Service
<b>Asset Location</b>	COB	<b>Amount:</b>	\$ 35,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input checked="" type="checkbox"/> Other _____
<b>Asset Description:</b>	Vehicle used by Field Inspectors for customer site visits.		
<b>Budget Account:</b>	16515 Automotive Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2011</u>	<b>Original estimated useful life:</b>	<u>10 Years</u> <b>Useful life:</b> <u>10 Years</u>



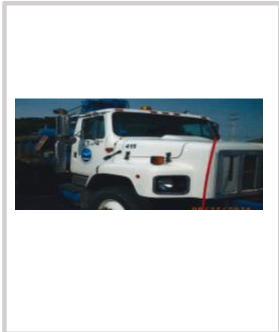
<b>Asset Allocation No.</b>	<b>21-034-002</b>		
<b>Asset Title</b>	<b>Office Furniture &amp; Equipment</b>	<b>Cost Center:</b>	Customer Service
<b>Asset Location</b>	COB	<b>Amount:</b>	\$ 10,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other <u>Need Based</u>
<b>Asset Description:</b>	Office furniture for Customer Service as a result of the implementation of the new Customer Service Application		
<b>Budget Account:</b>	16580 Office Furniture & Equipment		
<b>Type:</b>	NEW		
<b>Original date in service:</b>	<u>N/A</u>	<b>Original estimated useful life:</b>	<u>N/A</u> <b>Useful life:</b> <u>3 Years</u>




<b>Asset Allocation No.</b>	<b>21-043-001</b>		
<b>Asset Title</b>	<b>Vehicle 420</b>	<b>Cost Center:</b>	Interceptor Maintenance
<b>Asset Location</b>	IM Building	<b>Amount:</b>	\$ 485,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other _____
<b>Asset Description:</b>	Combination sewer cleaning vehicle to clean sewer pipes, manholes, tanks and chambers.		
<b>Budget Account:</b>	16515 Automotive Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2000</u>	<b>Original estimated useful life:</b>	<u>10 Years</u> <b>Useful life:</b> <u>10 Years</u>




<b>Asset Allocation No.</b>	<b>21-043-002</b>		
<b>Asset Title</b>	<b>Vehicle 415</b>	<b>Cost Center:</b>	Interceptor Maintenance
<b>Asset Location</b>	IM Building	<b>Amount:</b>	\$ 185,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management <input checked="" type="checkbox"/> Inspection <input type="checkbox"/> Other		
<b>Asset Description:</b>	Sewer cleaning vehicle to clean catch basins, sumps and netting facilities.		
<b>Budget Account:</b>	16515 Automotive Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2001</u>	<b>Original estimated useful life:</b>	<u>10 Years</u> <b>Useful life:</b> <u>10 Years</u>




<b>Asset Allocation No.</b>	<b>21-043-003</b>		
<b>Asset Title</b>	<b>Vehicle 347</b>	<b>Cost Center:</b>	Interceptor Maintenance
<b>Asset Location</b>	IM Building	<b>Amount:</b>	\$ 50,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management <input checked="" type="checkbox"/> Inspection <input type="checkbox"/> Other		
<b>Asset Description:</b>	Pickup Truck with Road Sander to transport IM staff and equipment, sand and plow during adverse weather.		
<b>Budget Account:</b>	16515 Automotive Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2014</u>	<b>Original estimated useful life:</b>	<u>5 Years</u> <b>Useful life:</b> <u>5 Years</u>




<b>Asset Allocation No.</b>	<b>21-044-001</b>		
<b>Asset Title</b>	<b>Programmable Logic Controller</b>	<b>Cost Center:</b>	Operations & Maintenance Services
<b>Asset Location</b>	Bucklin Point	<b>Amount:</b>	\$ 50,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management <input checked="" type="checkbox"/> Inspection <input type="checkbox"/> Other		
<b>Asset Description:</b>	Equipment used for performance reporting of the facilities various pumps, meters and flows.		
<b>Budget Account:</b>	16555 Computer Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2014</u>	<b>Original estimated useful life:</b>	<u>5 Years</u> <b>Useful life:</b> <u>5 Years</u>



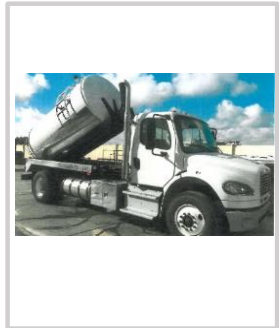
<b>Asset Allocation No.</b>	<b>21-044-002</b>		
<b>Asset Title</b>	<b>Computer Upgrade</b>	<b>Cost Center:</b>	Operations & Maintenance Services
<b>Asset Location</b>	Field's Point & Bucklin Point WWTFs	<b>Amount:</b>	\$ 20,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management <input checked="" type="checkbox"/> Inspection <input type="checkbox"/> Other		
<b>Asset Description:</b>	Automation systems that control equipment and machinery at the WWTFs.		
<b>Budget Account:</b>	16555 Computer Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2014</u>	<b>Original estimated useful life:</b>	<u>5 Years</u> <b>Useful life:</b> <u>5 Years</u>



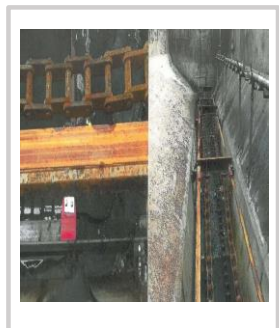
<b>Asset Allocation No.</b>	<b>21-046-001</b>		
<b>Asset Title</b>	<b>Bar Rack</b>	<b>Cost Center:</b>	Field's Point
<b>Asset Location</b>	Ernst Street Pump Station	<b>Amount:</b>	\$ 150,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Rebuild bar rack which removes large objects from influent. Rebuilding the bar rack will add an additional 4 years of useful life to the asset.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	BETTERMENT		
<b>Original date in service:</b>	<u>2016</u>	<b>Original estimated useful life:</b>	<u>4 Years</u> <b>Useful life:</b> <u>4 Years</u>



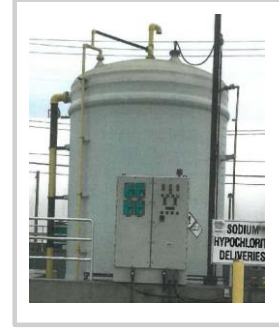
<b>Asset Allocation No.</b>	<b>21-046-002</b>		
<b>Asset Title</b>	<b>Vehicle 485</b>	<b>Cost Center:</b>	Field's Point
<b>Asset Location</b>	Field's Point	<b>Amount:</b>	\$ 130,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Replace scum truck which pumps out scum wells and empties scum into tank.		
<b>Budget Account:</b>	16515 Automotive Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2003</u>	<b>Original estimated useful life:</b>	<u>10 Years</u> <b>Useful life:</b> <u>10 Years</u>




<b>Asset Allocation No.</b>	<b>21-046-003</b>		
<b>Asset Title</b>	<b>Grit Tank</b>	<b>Cost Center:</b>	Field's Point
<b>Asset Location</b>	Field's Point Grit Building	<b>Amount:</b>	\$ 100,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Rebuild grit tank unit which allows grit to settle so it can be removed from influent. Rebuilding the grit tank will add an additional 4 years of useful life to the asset.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	BETTERMENT		
<b>Original date in service:</b>	<u>2016</u>	<b>Original estimated useful life:</b>	<u>4 Years</u> <b>Useful life:</b> <u>4 Years</u>



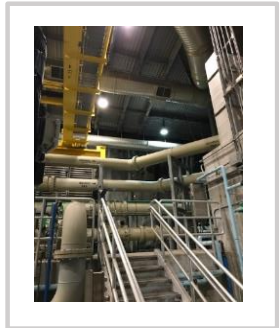
<b>Asset Allocation No.</b>	<b>21-046-004</b>		
<b>Asset Title</b>	<b>Hypochlorite Tanks</b>	<b>Cost Center:</b>	Field's Point
<b>Asset Location</b>	Field's Point Hypochlorite Tank Farm	<b>Amount:</b>	\$ 85,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Reline and reinforce sodium hypochlorite storage tanks. Relining and reinforcing the sodium hypochlorite storage tanks will add an additional 20 years of useful life to the asset.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	BETTERMENT		
<b>Original date in service:</b>	<u>1998</u>	<b>Original estimated useful life:</b>	<u>20 Years</u> <b>Useful life:</b> <u>20 Years</u>




<b>Asset Allocation No.</b>	<b>21-046-005</b>		
<b>Asset Title</b>	<b>Screw Pump Gear Box</b>	<b>Cost Center:</b>	Field's Point
<b>Asset Location</b>	Field's Point Blower Building	<b>Amount:</b>	\$ 65,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Replacement of screw pump gear box which powers large screw pump.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2010</u>	<b>Original estimated useful life:</b>	<u>10 Years</u>
		<b>Useful life:</b>	<u>10 Years</u>




<b>Asset Allocation No.</b>	<b>21-046-006</b>		
<b>Asset Title</b>	<b>Cameras</b>	<b>Cost Center:</b>	Field's Point
<b>Asset Location</b>	Tunnel Pump Station & FPWWTF	<b>Amount:</b>	\$ 70,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Replace worn obsolete cameras with new technology used to monitor Tunnel Pump Station areas, as well as monitor gates and equipment at FPWWTF.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2008</u>	<b>Original estimated useful life:</b>	<u>10 Years</u>
		<b>Useful life:</b>	<u>10 Years</u>




<b>Asset Allocation No.</b>	<b>21-046-007</b>		
<b>Asset Title</b>	<b>Tunnel Pump Motor</b>	<b>Cost Center:</b>	Field's Point
<b>Asset Location</b>	Tunnel Pump Station	<b>Amount:</b>	\$ 45,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Replace tunnel influent pumps that pump influent to the wastewater treatment facility.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2008</u>	<b>Original estimated useful life:</b>	<u>15 Years</u>
		<b>Useful life:</b>	<u>15 Years</u>




<b>Asset Allocation No.</b>	<b>21-046-008</b>		
<b>Asset Title</b>	<b>Heaters</b>	<b>Cost Center:</b>	Field's Point
<b>Asset Location</b>	Ernest Street Pump Station	<b>Amount:</b>	\$ 40,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Heaters for outside high voltage transformers used for influent pumping at the Ernest Street Pump Station.		
<b>Budget Account:</b>	16520 Building and Plant Equipment		
<b>Type:</b>	NEW		
<b>Original date in service:</b>	<u>N/A</u>	<b>Original estimated useful life:</b>	<u>N/A</u>
		<b>Useful life:</b>	<u>20 Years</u>



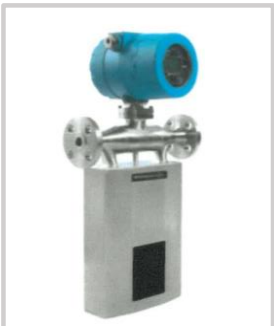
<b>Asset Allocation No.</b>	<b>21-046-009</b>		
<b>Asset Title</b>	<b>Fiberglass Double Door</b>	<b>Cost Center:</b>	Field's Point
<b>Asset Location</b>	Field's Point Wet Weather Building	<b>Amount:</b>	\$ 20,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Replace worn double door on the Wet Weather Building which allows equipment to be moved in and out of building.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>1991</u>	<b>Original estimated useful life:</b>	<u>20 Years</u>
		<b>Useful life:</b>	<u>20 Years</u>




<b>Asset Allocation No.</b>	<b>21-046-010</b>		
<b>Asset Title</b>	<b>Isolation Valves</b>	<b>Cost Center:</b>	Field's Point
<b>Asset Location</b>	Field's Point Secondary Treatment	<b>Amount:</b>	\$ 15,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Replace worn isolation sludge pump valves at the secondary treatment.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>1997</u>	<b>Original estimated useful life:</b>	<u>20 Years</u>
		<b>Useful life:</b>	<u>20 Years</u>




<b>Asset Allocation No.</b>	<b>21-046-011</b>		
<b>Asset Title</b>	<b>Flow Meter</b>	<b>Cost Center:</b>	Field's Point
<b>Asset Location</b>	Field's Point Gravity Thickener Pump Station	<b>Amount:</b>	\$ 10,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Replace worn flow meter for the solids handling, gravity thickener pump station with new technology.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2007</u>	<b>Original estimated useful life:</b>	<u>10 Years</u>
		<b>Useful life:</b>	<u>10 Years</u>




<b>Asset Allocation No.</b>	<b>21-046-012</b>		
<b>Asset Title</b>	<b>Vehicle 465</b>	<b>Cost Center:</b>	Field's Point
<b>Asset Location</b>	Field's Point Maintenance Building	<b>Amount:</b>	\$ 10,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Rebuild generator which supplies electricity to areas where there is no electricity. Rebuilding the generator will add an additional 10 years of useful life to the asset.		
<b>Budget Account:</b>	16515 Automotive Equipment Replacement		
<b>Type:</b>	BETTERMENT		
<b>Original date in service:</b>	<u>2005</u>	<b>Original estimated useful life:</b>	<u>10 Years</u>
		<b>Useful life:</b>	<u>10 Years</u>




<b>Asset Allocation No.</b>	<b>21-047-001</b>		
<b>Asset Title</b>	<b>Bar Rack</b>	<b>Cost Center:</b>	Bucklin Point
<b>Asset Location</b>	Bucklin Point Screen & Grit Building	<b>Amount:</b>	\$ 85,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Rebuild bar rack 4 at the preliminary treatment, screen and grit building to prevent damage to pumps and other equipment. Rebuilding the bar rack will add an additional 4 years of useful life to the asset.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	BETTERMENT		
<b>Original date in service:</b>	<u>2005</u>	<b>Original estimated useful life:</b>	<u>4 Years</u> <b>Useful life:</b> <u>4 Years</u>




<b>Asset Allocation No.</b>	<b>21-047-002</b>		
<b>Asset Title</b>	<b>Effluent Pump</b>	<b>Cost Center:</b>	Bucklin Point
<b>Asset Location</b>	Bucklin Point	<b>Amount:</b>	\$ 85,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Rebuild effluent pump which pumps disinfected effluent to outfall. Rebuilding the effluent pump will add an additional 8 years of useful life to the asset.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	BETTERMENT		
<b>Original date in service:</b>	<u>2005</u>	<b>Original estimated useful life:</b>	<u>15 Years</u> <b>Useful life:</b> <u>8 Years</u>



<b>Asset Allocation No.</b>	<b>21-047-003</b>		
<b>Asset Title</b>	<b>Vehicle 382</b>	<b>Cost Center:</b>	Bucklin Point
<b>Asset Location</b>	Bucklin Point Maintenance	<b>Amount:</b>	\$ 70,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Replace dump truck with sander and plow attachments used for moving heavy equipment, ground maintenance and snow removal.		
<b>Budget Account:</b>	16515 Automotive Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2009</u>	<b>Original estimated useful life:</b>	<u>10 Years</u> <b>Useful life:</b> <u>10 Years</u>




<b>Asset Allocation No.</b>	<b>21-047-004</b>		
<b>Asset Title</b>	<b>Cameras</b>	<b>Cost Center:</b>	Bucklin Point
<b>Asset Location</b>	Bucklin Point Screen & Grit Building	<b>Amount:</b>	\$ 60,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Install cameras to monitor bar racks and grit pumps in Screening & Grit building area and sludge belt thickening area at the GBT building.		
<b>Budget Account:</b>	16520 Building and Plant Equipment		
<b>Type:</b>	NEW		
<b>Original date in service:</b>	<u>N/A</u>	<b>Original estimated useful life:</b>	<u>N/A</u> <b>Useful life:</b> <u>10 Years</u>






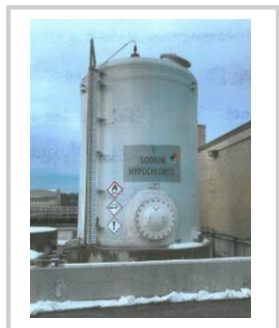
<b>Asset Allocation No.</b>	<b>21-047-005</b>		
<b>Asset Title</b>	<b>Vehicle 390</b>	<b>Cost Center:</b>	Bucklin Point
<b>Asset Location</b>	Bucklin Point	<b>Amount:</b>	\$ 50,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Replace 6" pumpset used to pump out tanks in preparation for repairs.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2003</u>	<b>Original estimated useful life:</b>	<u>15 Years</u>
		<b>Useful life:</b>	<u>15 Years</u>




<b>Asset Allocation No.</b>	<b>21-047-006</b>		
<b>Asset Title</b>	<b>Vehicle 356</b>	<b>Cost Center:</b>	Bucklin Point
<b>Asset Location</b>	Bucklin Point Maintenance	<b>Amount:</b>	\$ 40,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Replace Ford 350 pickup used to move equipment, staff, ground maintenance and snow removal.		
<b>Budget Account:</b>	16515 Automotive Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2012</u>	<b>Original estimated useful life:</b>	<u>10 Years</u>
		<b>Useful life:</b>	<u>10 Years</u>




<b>Asset Allocation No.</b>	<b>21-047-007</b>		
<b>Asset Title</b>	<b>Hypochlorite Tanks</b>	<b>Cost Center:</b>	Bucklin Point
<b>Asset Location</b>	Bucklin Point Hypochlorite Tank Farm	<b>Amount:</b>	\$ 40,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Reline sodium hypochlorite storage tanks to prevent leaking. Relining the sodium hypochlorite storage tanks will add an additional 10 years of useful life to the asset.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	BETTERMENT		
<b>Original date in service:</b>	<u>2005</u>	<b>Original estimated useful life:</b>	<u>10 Years</u>
		<b>Useful life:</b>	<u>10 Years</u>



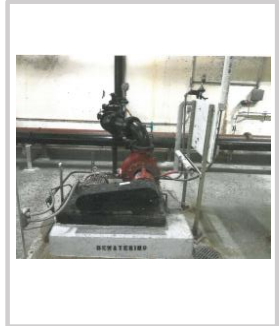
<b>Asset Allocation No.</b>	<b>21-047-008</b>		
<b>Asset Title</b>	<b>Collector Tank</b>	<b>Cost Center:</b>	Bucklin Point
<b>Asset Location</b>	Bucklin Point Screen & Grit Building	<b>Amount:</b>	\$ 32,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Replace motor and gear box on collector tank which allows grit to settle and be removed.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2005</u>	<b>estimated useful life:</b>	<u>20 Years</u>
		<b>Useful life:</b>	<u>20 Years</u>




<b>Asset Allocation No.</b>	<b>21-047-009</b>		
<b>Asset Title</b>	<b>Aeration Train Actuators</b>	<b>Cost Center:</b>	Bucklin Point
<b>Asset Location</b>	Bucklin Point Aeration Tanks	<b>Amount:</b>	\$ 30,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Replace 2 actuators with gear box for aeration train gates used to open/close gates for biological treatment.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2005</u>	<b>Original estimated useful life:</b>	<u>15 Years</u>
		<b>Useful life:</b>	<u>15 Years</u>




<b>Asset Allocation No.</b>	<b>21-047-010</b>		
<b>Asset Title</b>	<b>Dewatering Pump</b>	<b>Cost Center:</b>	Bucklin Point
<b>Asset Location</b>	Bucklin Point Primary Sludge Pump Station	<b>Amount:</b>	\$ 20,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Install a new primary dewatering pump at the primary sludge pump station needed for redundancy in this area. There is currently no backup dewatering pump in this area.		
<b>Budget Account:</b>	16520 Building and Plant Equipment		
<b>Type:</b>	NEW		
<b>Original date in service:</b>	<u>N/A</u>	<b>Original estimated useful life:</b>	<u>N/A</u>
		<b>Useful life:</b>	<u>15 Years</u>




<b>Asset Allocation No.</b>	<b>21-047-011</b>		
<b>Asset Title</b>	<b>Scum Pump</b>	<b>Cost Center:</b>	Bucklin Point
<b>Asset Location</b>	Bucklin Point Scum Pump Station 1	<b>Amount:</b>	\$ 20,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Install new scum pump, used to remove scum and grease from effluent, at scum pump station 1. Needed for redundancy in this area.		
<b>Budget Account:</b>	16520 Building and Plant Equipment		
<b>Type:</b>	NEW		
<b>Original date in service:</b>	<u>N/A</u>	<b>Original estimated useful life:</b>	<u>N/A</u>
		<b>Useful life:</b>	<u>15 Years</u>




<b>Asset Allocation No.</b>	<b>21-047-012</b>		
<b>Asset Title</b>	<b>Mower</b>	<b>Cost Center:</b>	Bucklin Point
<b>Asset Location</b>	Bucklin Point	<b>Amount:</b>	\$ 20,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Remote control slope mower used to mow hill areas at the Bucklin Point WWTF.		
<b>Budget Account:</b>	16520 Building and Plant Equipment		
<b>Type:</b>	NEW		
<b>Original date in service:</b>	<u>N/A</u>	<b>Original estimated useful life:</b>	<u>N/A</u>
		<b>Useful life:</b>	<u>10 Years</u>




<b>Asset Allocation No.</b>	<b>21-047-013</b>		
<b>Asset Title</b>	<b>Grit Pump</b>	<b>Cost Center:</b>	Bucklin Point
<b>Asset Location</b>	Bucklin Point Screen & Grit Building	<b>Amount:</b>	\$ 18,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Removes inorganic material from influent to prevent damage to equipment.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2015</u>	<b>Original estimated useful life:</b>	<u>5 Years</u>
		<b>Useful life:</b>	<u>5 Years</u>



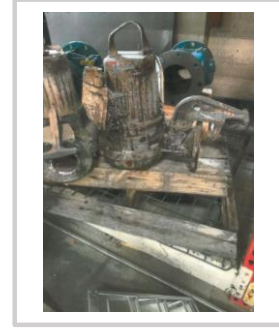
<b>Asset Allocation No.</b>	<b>21-047-014</b>		
<b>Asset Title</b>	<b>Sump Pumps</b>	<b>Cost Center:</b>	Bucklin Point
<b>Asset Location</b>	Bucklin Point Screen & Grit Building	<b>Amount:</b>	\$ 17,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	The sump pumps remove excess water to prevent flooding and protect building and equipment.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2005</u>	<b>Original estimated useful life:</b>	<u>15 Years</u>
		<b>Useful life:</b>	<u>15 Years</u>



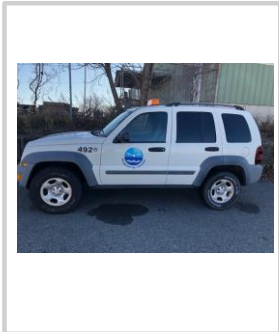
<b>Asset Allocation No.</b>	<b>21-047-015</b>		
<b>Asset Title</b>	<b>Mower &amp; Bagger</b>	<b>Cost Center:</b>	Bucklin Point
<b>Asset Location</b>	Bucklin Point	<b>Amount:</b>	\$ 15,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input checked="" type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Lawn mower and bagger to efficiently maintain grounds.		
<b>Budget Account:</b>	16520 Building and Plant Equipment		
<b>Type:</b>	NEW		
<b>Original date in service:</b>	<u>N/A</u>	<b>Original estimated useful life:</b>	<u>N/A</u>
		<b>Useful life:</b>	<u>10 Years</u>



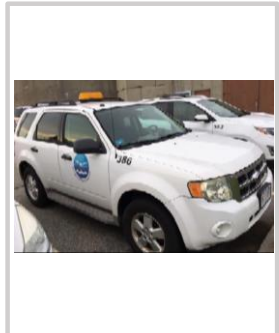
<b>Asset Allocation No.</b>	<b>21-047-016</b>		
<b>Asset Title</b>	<b>Centrate Pump</b>	<b>Cost Center:</b>	Bucklin Point
<b>Asset Location</b>	Bucklin Point Dewatering Building	<b>Amount:</b>	\$ 10,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input checked="" type="checkbox"/> Other
<b>Asset Description:</b>	Rebuild the centrate pump which processes flow from digester 1 and the sidestream building. Rebuilding the pump will add an additional 5 years of useful life to the asset.		
<b>Budget Account:</b>	16525 Building and Plant Equipment Replacement		
<b>Type:</b>	BETTERMENT		
<b>Original date in service:</b>	<u>2005</u>	<b>Original estimated useful life:</b>	<u>15 Years</u>
		<b>Useful life:</b>	<u>5 Years</u>




<b>Asset Allocation No.</b>	<b>21-051-001</b>		
<b>Asset Title</b>	<b>Vehicle 492</b>	<b>Cost Center:</b>	Technical Analysis & Compliance
<b>Asset Location</b>	Field's Point	<b>Amount:</b>	\$ 40,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input checked="" type="checkbox"/> Other <u>Vehicle rotation</u>
<b>Asset Description:</b>	Replace with electric vehicle will be used to transport goods and people to Bucklin Point, off site meetings, site visits, and conferences.		
<b>Budget Account:</b>	16515 Automotive Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2005</u>	<b>Original estimated useful life:</b>	<u>10 Years</u> <b>Useful life:</b> <u>10 Years</u>




<b>Asset Allocation No.</b>	<b>21-052-001</b>		
<b>Asset Title</b>	<b>Vehicle 386</b>	<b>Cost Center:</b>	Pretreatment
<b>Asset Location</b>	Pretreatment Building	<b>Amount:</b>	\$ 45,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input type="checkbox"/> Other <u>Vehicle rotation</u>
<b>Asset Description:</b>	Inspection Vehicle for staff to use when conducting inspections and investigations.		
<b>Budget Account:</b>	16515 Automotive Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2009</u>	<b>Original estimated useful life:</b>	<u>10 Years</u> <b>Useful life:</b> <u>10 Years</u>




<b>Asset Allocation No.</b>	<b>21-053-001</b>		
<b>Asset Title</b>	<b>Mercury Analyzer</b>	<b>Cost Center:</b>	Laboratory
<b>Asset Location</b>	Water Quality Science Building	<b>Amount:</b>	\$ 65,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input type="checkbox"/> Other _____
<b>Asset Description:</b>	The Mercury Analyzer is used to test permit samples for low level mercury.		
<b>Budget Account:</b>	16575 Lab & Sampling Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2013</u>	<b>Original estimated useful life:</b>	<u>5 Years</u> <b>Useful life:</b> <u>5 Years</u>



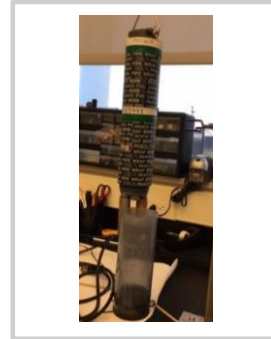
<b>Asset Allocation No.</b>	<b>21-053-002</b>		
<b>Asset Title</b>	<b>Autoclave Sterilizer</b>	<b>Cost Center:</b>	Laboratory
<b>Asset Location</b>	Water Quality Science Building	<b>Amount:</b>	\$ 60,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input type="checkbox"/> Other _____
<b>Asset Description:</b>	The Autoclave Sterilizer is used to sterilize biological media used for permit fecal coliform and enterococci testing.		
<b>Budget Account:</b>	16575 Lab & Sampling Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2011</u>	<b>Original estimated useful life:</b>	<u>7 Years</u> <b>Useful life:</b> <u>7 Years</u>




<b>Asset Allocation No.</b>	<b>21-053-003</b>		
<b>Asset Title</b>	<b>Biological Media Dispenser</b>	<b>Cost Center:</b>	Laboratory
<b>Asset Location</b>	Water Quality Science Building	<b>Amount:</b>	\$ 35,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	The Biological Media Dispenser is used to dispense biological media into test-tubes.		
<b>Budget Account:</b>	16575 Lab & Sampling Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2013</u>	<b>Original estimated useful life:</b>	<u>5 Years</u> <b>Useful life:</b> <u>5 Years</u>




<b>Asset Allocation No.</b>	<b>21-055-001</b>		
<b>Asset Title</b>	<b>Fixed Site Sondes</b>	<b>Cost Center:</b>	Environmental Monitoring
<b>Asset Location</b>	Upper Narragansett Bay	<b>Amount:</b>	\$ 55,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Fixed Site Sondes and associated equipment are used for NBC's fixed site and buoy stations in upper Bay. These will replace antiquated equipment that is no longer supported.		
<b>Budget Account:</b>	16575 Lab & Sampling Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2010</u>	<b>estimated useful life:</b>	<u>10 Years</u> <b>Useful life:</b> <u>10 Years</u>



<b>Asset Allocation No.</b>	<b>21-055-002</b>		
<b>Asset Title</b>	<b>Vehicle 432</b>	<b>Cost Center:</b>	Environmental Monitoring
<b>Asset Location</b>	Field's Point	<b>Amount:</b>	\$ 34,000
<b>Need identified:</b>	<input checked="" type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	The Sampling Vehicle will be used to collect and transport samples within NBC service district.		
<b>Budget Account:</b>	16515 Automotive Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2008</u>	<b>estimated useful life:</b>	<u>10 Years</u> <b>Useful life:</b> <u>10 Years</u>



<b>Asset Allocation No.</b>	<b>21-055-003</b>		
<b>Asset Title</b>	<b>Fixed Site Probes &amp; Meters</b>	<b>Cost Center:</b>	Environmental Monitoring
<b>Asset Location</b>	Upper Narragansett Bay	<b>Amount:</b>	\$ 32,000
<b>Need identified:</b>	<input type="checkbox"/> Asset Management	<input type="checkbox"/> Inspection	<input type="checkbox"/> Other
<b>Asset Description:</b>	Fixed Site Probes, Meters Solutions and associates equipment are use for fixed site and buoy deployments in upper Bay and to provide river data during nutrient sample collections.		
<b>Budget Account:</b>	16575 Lab & Sampling Equipment Replacement		
<b>Type:</b>	REPLACEMENT		
<b>Original date in service:</b>	<u>2015</u>	<b>Original estimated useful life:</b>	<u>5 Years</u> <b>Useful life:</b> <u>5 Years</u>





# Capital Improvement Program

The Narragansett Bay Commission’s (NBC) Capital Improvement Program (CIP) is a planning document which identifies programmed capital investments necessary to comply with current and future regulatory requirements, take advantage of technological advancements, ensure the integrity of NBC’s infrastructure and achieve operational efficiencies. The projects, schedules and costs that are included in the CIP have been developed through a planning process that involves NBC’s Engineering and Construction staff and incorporates needs identified through NBC’s asset management program. These capital improvements include construction of new facilities and rehabilitation and replacement of existing infrastructure, as well as energy efficiency and sustainability projects. The CIP shows programmed expenditures for the current Fiscal Year (FY) 2021 as well as the following five-year period of FY 2022-2026, which is referred to in this document as the “window”. Structuring the CIP this way enables NBC’s program to be easily incorporated into the State of Rhode Island’s capital budget.



*Photo: Seekonk River*

## Capital Improvement Program Overview

This year’s CIP identifies a total of 51 projects that are either in progress, to be initiated, or to be completed during FY 2021-2026. The estimated costs for this year’s CIP window are \$606.0 million, with additional expenditures of \$52.7 million in FY 2021 for a total of \$658.7 million. The majority or 85% of the expenditures are related to the third and final phase of the Combined Sewer Overflow (CSO) Abatement Facilities. Other projects account for the remaining 15% of the CIP and reflect the continued investment in NBC’s wastewater treatment and collection system infrastructure.

### FY 2021-2026 CIP Costs (In thousands)

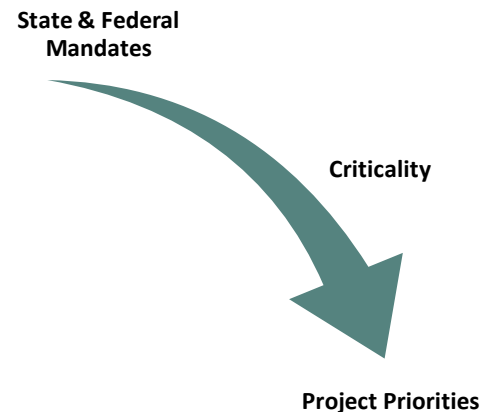
Category	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026	FY 2022-2026	Total
<b>Administrative</b>	\$ 3,573	\$ 4,364	\$ 4,490	\$ 3,229	\$ 2,371	\$ 1,055	\$ 15,508	\$ 19,082
<b>Land</b>	175	25	-	-	-	-	25	200
<b>A/E Professional</b>	19,657	19,328	13,985	12,692	10,108	2,364	58,476	78,133
<b>Construction</b>	26,640	111,556	135,491	115,708	103,713	28,473	494,941	521,581
<b>Contingency</b>	1,273	6,294	4,536	3,724	3,049	2,406	20,008	21,281
<b>Other</b>	1,413	3,450	5,187	4,962	3,265	150	17,014	18,427
<b>Total</b>	\$ 52,732	\$ 145,016	\$ 163,687	\$ 140,315	\$ 122,506	\$ 34,447	\$ 605,972	\$ 658,703

The CIP document reflects all phases of a construction project, including planning and design, as a single project. In addition, for planning purposes, projects that are substantially complete with only retainage and/or “punch-list” items remaining are considered complete and are not carried in the CIP summary or detailed project listing. These projects are, however, discussed in the completed projects section of the CIP that begins on page 10. The CIP projects are also identified by classifications which rank them in terms of priority. The CIP includes additional information regarding changes in the CIP from the prior year, new projects and the projected operating budget impact of each project.

## Capital Improvement Program Development

NBC’s comprehensive capital improvement planning process takes into consideration the project’s relationship to the strategic plan, program priorities, the permitting process, project readiness, scheduling and other factors. The CIP drives NBC’s long-term financing requirements, and therefore the particulars of each project are an essential component of NBC’s financial plan.

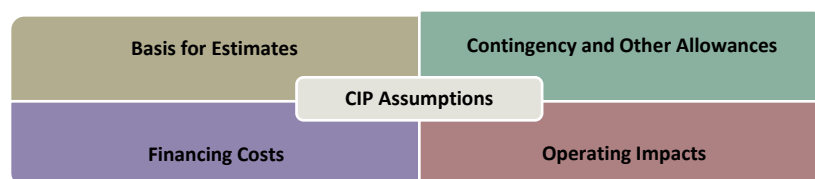
NBC’s Project Managers begin the annual CIP process with the development of detailed justifications for each capital project including project scope, basis for the cost estimate and key factors impacting costs and schedules. The Project Managers also explain modifications from the prior year’s CIP and provide the overall project schedule. A timeline with all the detailed project schedules can be found in the Appendix. The CIP Review Committee reviews the proposed capital projects including the assignment of priorities and schedules. Projects approved for inclusion in the CIP are subsequently analyzed to assess major program changes, overall capital funding needs, the strength of the project’s connection to the objectives in NBC’s Strategic Plan, as well as financing and operating cost impacts.



## Capital Improvement Program Assumptions

The costs and schedules included in this year’s CIP reflect NBC’s best estimates and are based on several assumptions as follows:

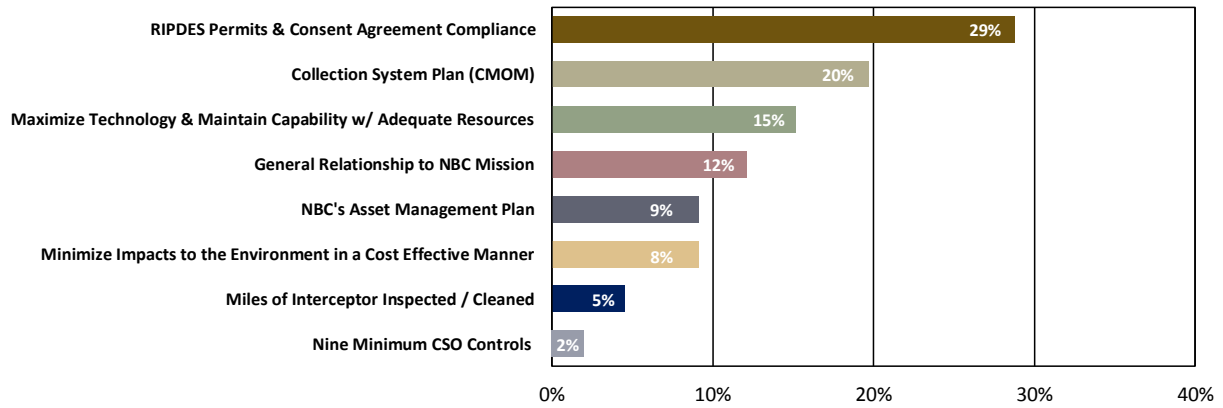
- Costs and cash flows are based on planning or design estimates and/or bids once available.
- The majority of construction projects include a 10% contingency based on the original construction cost estimate, which reflects recent industry experience. CSO Phase III A cost estimates include a 15% contingency based on the recommendation of the design engineer and the complexity of the project. Project contingencies may be subsequently modified based upon the bids. Cost estimates for new design and construction projects include a 7% allowance for NBC staff salary and fringe associated with project management, based on historical experience.
- Financing costs and debt service associated with the CIP are not included in the CIP expenditures or the project cash flows. Financing costs are capitalized and amortized over the length of the debt payment schedule and debt service is included as an expense in the annual operating budget.
- The CIP does not include the acquisition or replacement of certain assets included in the five-year Operating Capital Program as part of the Capital Budget.
- Impacts of CIP projects on the Operating Budget are estimated based on prior experience and engineering estimates.





## Capital Projects by Strategic Objective

NBC's Strategic Plan ensures NBC's ability to meet water quality objectives set forth by regulatory requirements through achieving short-term and long-term objectives at a reasonable cost. As part of the CIP development process, Project Managers identify one or more strategic goals that a project will address. The following chart illustrates the percentage of capital projects in this year's CIP aligned with each Strategic Objective.

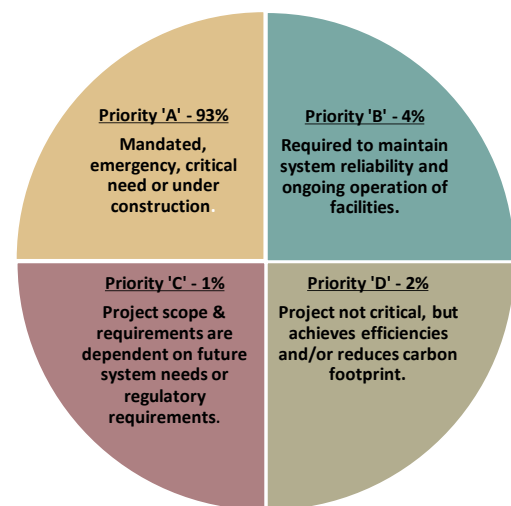


Of the 51 CIP projects, the highest percentage, or 29%, are aligned with the RIPDES Permit/RIDEM Consent Agreement strategic objective. NBC's Collection System Plan strategic objective, which includes interceptor restoration and construction projects, comprises 20% of the projects in the CIP while 15% of the projects are aligned with Maximizing Technology & Maintaining Capability with Adequate Resources objective. The remaining projects are aligned with General Relationship to NBC Mission, NBC's Asset Management Plan, Minimize Impacts to the Environment in a Cost-Effective Manner, Miles of Interceptor Inspected/Cleaned and CSO Controls objectives.

## Capital Project by Priority

As part of the CIP program development, a priority ranking is assigned based on an assessment of the project's criticality. Projects with a priority ranking of "A" represent a critical need and are either mandated, an emergency or currently under construction. Approximately 93% of the project costs identified in the window are prioritized with an "A" ranking with a total estimated cost of \$565.0 million.

In addition, 4% or \$25.0 million are identified with a "B" priority ranking, which includes projects that are required to maintain systems reliability and ongoing operations of facilities. Projects with a priority ranking of "C" are dependent on future system needs or regulatory requirements and represent 1% or \$7.1 million. The remaining 2% or \$9.3 million are ranked as priority "D" and include projects that are not critical but achieve efficiencies and/or reduce NBC's carbon footprint.

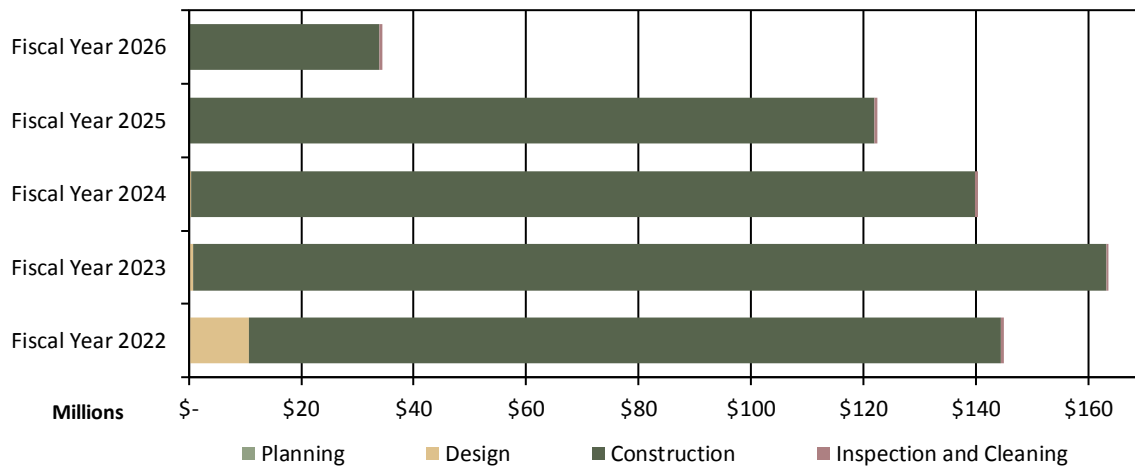


\*Percentage calculated on project cost

## Capital Expenditure by Phase

NBC’s construction projects are generally comprised of three phases including planning, design, and construction. Planning consists of tasks such as feasibility studies and determination of the technology to be implemented. The design phase includes the development of plans and specifications and the acquisition of easements and permits. During the construction phase, facility improvements and infrastructure are constructed. The CIP also includes some programmed capital projects which are not broken down into phases, such as the inspection, cleaning, and repair of NBC’s interceptors, or other one-time special studies. As is evident in the chart below, the majority, or 98% of the programmed expenditures during the five-year CIP window, relate to the construction phase at \$591.7 million.

**Capital Expenditure by Phase**

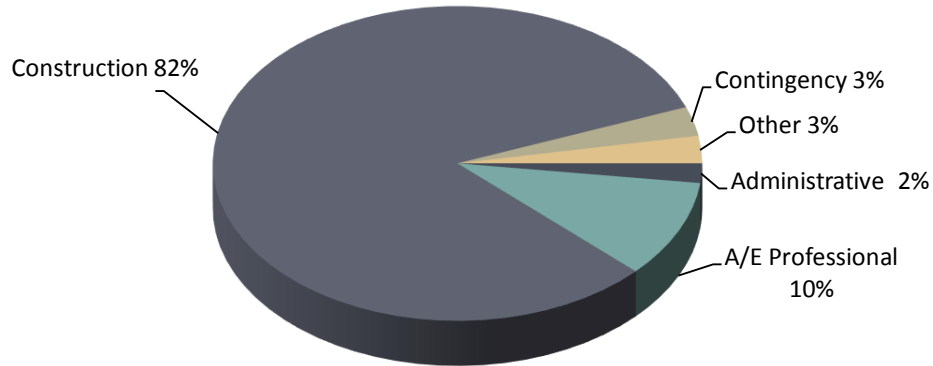


## Capital Expenditure by Cost Category

For planning purposes, the project costs are shown by categories including the Administrative category, which includes NBC’s project management costs as well as police, legal and advertising expense. The Architectural/Engineering (A/E) Professional cost category includes costs for professional planning or design services. The Construction cost category reflects contractor and outside construction management costs. Lastly, the Contingency cost category includes an allowance for construction cost increases based upon industry experience related to construction cost factors.

As shown in the chart below, Construction costs represent \$495.0 million or approximately 82% of the total costs within the FY 2022-2026 window. A/E Professional services represent approximately \$58.5 million or 10% of the costs during this same period.

### CIP Costs by Type of Activity



### Capital Expenditures by Functional Area

For planning purposes, NBC also groups capital projects into functional areas, according to the scope and tasks involved with the capital project. The functional areas are described below.

Functional Area	Project Examples
Wastewater Treatment Facilities (WWTF)	UV Disinfection, Maintenance and Storage Facilities, WWTF Improvements
Infrastructure Management (IM)	Special Studies, Energy Sustainability, Flow Monitoring, RIPDES Compliance Improvements
CSO Phase III Facilities	CSO Phase III A, B, C and D
Sewer System Improvements	Easement Restoration, Sewer System and Pump Station Improvements
Interceptor Inspection & Cleaning (IIC)	Remote Television Inspections, Grit/Debris Removal and Disposal
Interceptor Repair & Construction (IRC)	Expansion, Improvements, and Lining of Interceptors and Manhole Rehabilitation

The following table shows how the CIP costs have shifted by functional area on a year-to-year basis. It is important to note that subsequent to the Board’s approval of last year’s CIP, costs for the CSO Phase III A Facilities and Bucklin Point Resiliency Improvements were adjusted to reflect changes made during the development of an application for funding through the United States Environmental Protection Agency (EPA) Water Infrastructure Finance Innovation Act (WIFIA) program. In particular, the CSO Phase III A costs were inflated from 2018 dollars to the construction start date of each sub-project for an increase of \$44.4 million. In addition, smaller projects and newly identified needs at Bucklin Point were consolidated into a single Bucklin Point Resiliency project, increasing the costs by \$7.5 million. As a result of these two changes, last year’s CIP increased from \$507.1 million to \$558.9 million.

### Expenditures by Functional Area (In Thousands)

Functional Area (In thousands)	2021-2025		WIFIA Adjustment	2021-2025		2022-2026	
	CIP			Adjusted CIP	CIP	Change	% Change
Wastewater Treatment Facility	\$ 39,138	\$ 7,453		\$ 46,591	\$ 55,399	\$ 8,808	19%
Infrastructure Management	1,999	-		1,999	1,875	(124)	(6%)
CSO Phase III A Facilities	446,303	44,357		490,660	513,418	22,757	5%
Sewer System Improvements	4,974	-		4,974	19,295	14,321	288%
Interceptor Inspection and Cleaning	2,500	-		2,500	2,500	-	0%
Interceptor Restoration and Construction	12,204	-		12,204	13,485	1,281	10%
<b>Total</b>	<b>\$ 507,118</b>	<b>\$ 51,810</b>		<b>\$ 558,928</b>	<b>\$ 605,972</b>	<b>\$ 47,043</b>	<b>8%</b>

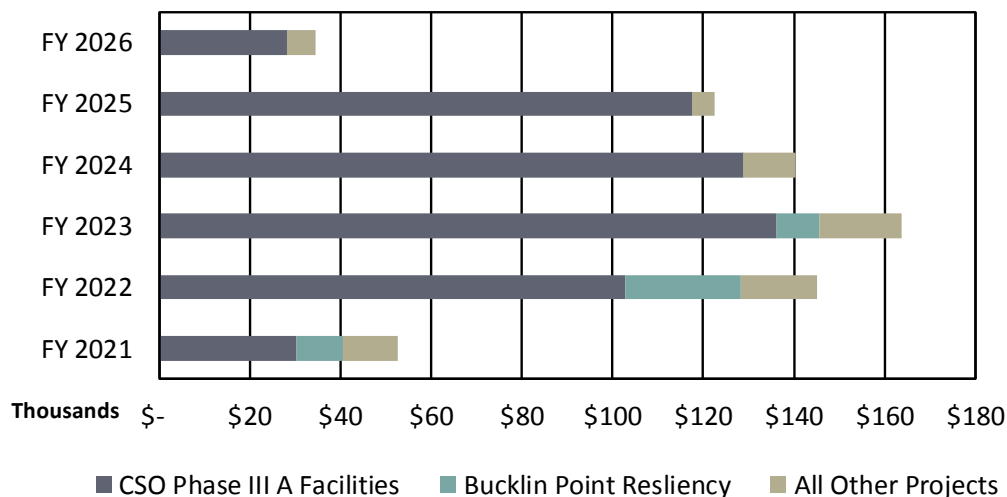
On a year-to-year basis, the most significant percentage change is a 288% increase in the Sewer System Improvements category. This is due to the new Interceptor Maintenance (IM) Storage Building and Systemwide Regulator Modifications projects and the recategorization of the IM Facilities project from the Wastewater Treatment Facility category. The Wastewater Treatment Facility category increased 19% due to the new FY 2020 WWTF Improvements project and scope changes to existing projects. The Interceptor Restoration and Construction category shows a 10% increase over the prior year due additional programmed expenditures in FY 2023. In terms of total dollars, the CSO Phase III A Facilities are \$22.8 million higher than the adjusted CIP due to a change in scope of contract 30810, Clarifiers and Flow Splitters. Lastly, the Infrastructure Management functional area shows a decrease of 6% from the prior year. Overall, programmed expenditures are \$47.0 million or 8% higher than the prior year adjusted CIP.

## Significant Capital Improvement Projects

The most significant project included in this year’s CIP is the CSO Phase III A Facilities which comprise \$513.4 million or 85% of the CIP’s programmed costs. Expenditures on this project are expected to significantly increase when construction begins in FY 2022. The Bucklin Point Resiliency Project at \$35.1 million or 6% is the second largest project in the CIP. Other projects account for the remaining 9% of the CIP programmed costs. These projects include several new projects such as an IM Storage Building, Maintenance Facilities at Field’s Point, Septage Receiving Station and Interceptor Improvements. The following table and graph show the programmed expenditures for the major projects included in the CIP window.

**Expenditures by Major Project**  
(In Thousands)

Project	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026	FY 2022- 2026	Percent
CSO Phase III A Facilities	\$ 30,320	\$ 102,920	\$ 136,059	\$ 128,855	\$ 117,431	\$ 28,153	\$ 513,418	85%
Bucklin Point Resiliency	10,165	25,486	9,505	95	-	-	35,087	6%
All Other Projects	12,247	16,610	18,123	11,365	5,075	6,295	57,467	9%
<b>Total</b>	<b>\$ 52,732</b>	<b>\$ 145,016</b>	<b>\$ 163,687</b>	<b>\$ 140,315</b>	<b>\$ 122,506</b>	<b>\$ 34,447</b>	<b>\$ 605,972</b>	



Overall, the total programmed expenditures for non-CSO projects has increased by \$47.9 million compared to the prior year's CIP, as shown in the table below.

**Year-over-Year Difference in the Non-CSO Capital Improvement Program by Major Project**  
(in Thousands)

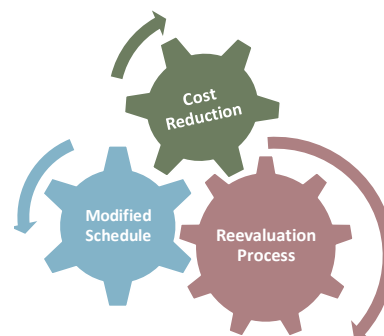
	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	Total
Bucklin Point Resiliency	\$ 5,471	\$ 10,184	\$ 6,380	\$ 95	\$ -	\$ 22,130
All other Projects	3,017	6,774	10,564	5,278	94	25,727
<b>Total Change Non-CSO Projects</b>	<b>\$ 8,488</b>	<b>\$ 16,958</b>	<b>\$ 16,944</b>	<b>\$ 5,373</b>	<b>\$ 94</b>	<b>\$ 47,857</b>
<b>Percentage Change in Non-CSO Projects</b>	<b>61%</b>	<b>67%</b>	<b>159%</b>	<b>88%</b>	<b>2%</b>	<b>79%</b>

**CSO Phase III Facilities (Project 308)**

NBC is under a Consent Agreement with RIDEM to implement a federally mandated CSO Program that will address the Commission’s 65 CSOs in both the Field’s Point and Bucklin Point service areas. The CSO Program will be completed in three phases. The first phase was the construction of the Phase I facilities (the Main Spine tunnel, drop shafts, and pump station) at a cost of approximately \$360 million. Construction of the Phase I facilities began in June 2001 and became operational in October 2008. The Commission completed design of the CSO Phase II Facilities in 2010. Construction began in September 2011 and the facilities were placed in service by December 31, 2015.

NBC initiated the reevaluation of the Phase III Facilities in January 2014 with a focus on affordability issues, an evaluation of the significant improvements in water quality achieved through the first two phases, use of an integrated approach and an investigation of “green” technologies to determine if the third phase facilities, as originally developed, remained the most cost effective approach.

Several alternatives were developed through this reevaluation process and a series of Stakeholder meetings were held to evaluate the alternatives and financial impacts. The affordability analysis based upon EPA criteria was thoroughly conducted to evaluate ratepayer impact on the various communities and census tracts in NBC’s service area. The Commission selected an alternative on April 28, 2015 and the final reevaluation report was approved by RIDEM in December 2017. The Environmental Assessment (“EA”) which was part of the Phase III evaluation was also approved in December 2017. NBC’s Consent Agreement has been renegotiated based upon the approved plan.



As a result of the reevaluation process, the Phase III CSO Program was subdivided into four phases to be completed by 2041. The program also incorporates Green Stormwater Infrastructure (GSI) facilities to be constructed in each of the four phases to reduce stormwater inflow to the existing CSO system by implementing stormwater infiltration projects, with expenditures of \$10 million on GSI in each phase

The latest total pre-design estimate, which includes “other” costs (NBC labor, police, etc.), for the four phases of the CSO Phase III Facilities is \$855.7 million. A description of the facilities, estimated cost, start and completion dates for each of the four phases are as follows.

## CSO Phase III Program

Phase	Scope	Amount *	Start	Completion
<b>Phase III A</b>	Design and construction of a 11,700 foot long deep rock tunnel in Pawtucket, a tunnel pump station to convey flow to the Bucklin Point WWTF, drop shafts and consolidation conduits and improvements to the Bucklin Point WWTF. Also included is design of the Phase III B facilities.	\$ 579.0	4/1/2013	1/31/2027
<b>Phase III B</b>	Construction of two interceptors approximately 4,200 feet and 2,000 feet in Central Falls to convey flow to the tunnel constructed in Phase III A, GSI facilities to reduce storm inflow to the CSO, and a sewer separation project.	\$ 28.5	12/1/2027	12/1/2030
<b>Phase III C</b>	Design and construction of a stub tunnel that will convey flow from CSO OF 220 to the Pawtucket tunnel constructed in Phase III A.	\$ 164.7	5/1/2032	6/30/2037
<b>Phase III D</b>	Design and construction of an interceptor to store flow from OF 039 and OF 056 and release flow as capacity allows.	\$ 83.5	4/1/2037	12/1/2041
<b>Total</b>		\$ 855.7		

\* Excludes costs incurred prior to FY 2020

### Phase III A Facilities

The Phase III A Facilities (the “Program”) consist of thirteen separate construction projects that are at different stages of completion. The following table shows the CSO Phase III A construction projects, their estimated cost, construction start and end dates, as well as the percent complete.

#### CSO Phase III A Facilities by Project (in Thousands)

Project Number	Project Name	Estimated Cost	Construction Start Date	Construction End Date	% Complete
30801	CSO Phase III A Pawtucket Tunnel & Pump Station	335,766	Dec-20	Feb-25	0%
30802	CSO Phase III A Tunnel Pump Station Fit-out	82,704	Feb-23	Apr-26	0%
30803	CSO Phase III A OF 205	6,230	May-23	Jan-25	0%
30804	CSO Phase III A OF 210,213,214	12,309	Jan-24	Dec-25	0%
30805	CSO Phase III A OF 217	18,910	Oct-21	Jul-23	0%
30806	CSO Phase III A OF 218	8,423	Mar-24	Dec-25	0%
30807	CSO Phase III A Regulator Modifications	1,988	Jan-21	Jun-22	0%
30808	CSO Phase III A GSI Demonstration	1,834	Sep-19	Apr-21	38%
30809	CSO Phase III A GSI Projects	5,703	Nov-19	Jul-21	20%
30810	CSO Phase III A BPWWTF Clarifiers & Flow Splitters	46,333	Apr-21	Aug-23	0%
30811	CSO Phase III A High Street Demo	199	Nov-18	Dec-19	100%
30812	CSO Phase III A Dexter St. Stormwater Infrastructure	1,481	Oct-20	Jun-21	0%
30813	CSO Phase III A Site Demolition	4,779	May-20	Nov-20	0%
<b>Total</b>		\$ 526,659			

The single largest project is the Pawtucket Tunnel and Pump Station Project (30801) at a pre-design estimated cost of \$335.8 million. Due to the technical complexity of the project, NBC is using a design-build approach as opposed to the traditional design-bid-build process. The Program Manager is assisting NBC with this process. NBC issued a Request for Qualifications in August 2019 and short-listed three firms in December 2019. These three firms were invited to participate in a Request for Proposals due in June 2020. In February 2020, one of the short-listed firms notified NBC that they were not going to participate in that process. The Board of Commissioners (the “Board”) plans to award the contract to one of the two remaining pre-qualified firms in

September 2020. The current schedule projects that selected firm will be given the Notice to Proceed near the end of calendar year 2020.

Design of all other construction projects as well as Program Management, and land acquisition is reflected separately in Project 30800. Two of the projects are under construction including the GSI Demonstration Project (30808) and the GSI Project (30809). The High Street Demolition (30811) is complete. The remaining projects are in the design phase.

NBC applied for and received a loan from the United States Environmental Protection Agency through the Water Infrastructure Financing Innovation Act (WIFIA) program for the CSO Phase III A Facilities. NBC closed on the loan in August 2019, in an original principal amount for 49% of the total project costs or \$268.7 million at a rate of 1.89%. NBC must finance the remaining 51% through other sources. The current estimated construction cost is \$24.3 million higher than the costs reflected in NBC’s WIFIA application. The most significant change is due to design work that resulted in the modification of the scope of the Bucklin Point Wastewater Treatment Facilities Clarifiers and Flow Splitters Project (30810). The change in scope increased the estimated cost for that project by \$24.2 million. These costs were offset by slightly lower costs for those projects in construction or completed construction.

### Bucklin Point Resiliency Improvements

Bucklin Point Resiliency Improvements have been identified as part of NBC’s resiliency planning process. NBC has submitted a Letter of Interest with United States Environmental Protection Agency (EPA) for Water Infrastructure Finance and Innovation (WIFIA) funding and was invited to apply for WIFIA funding. The Bucklin Point Resiliency Improvements consists of three projects as is shown in the following table.

#### Bucklin Point Resiliency Improvements

Project Number	Project Name	Costs (in Thousands)
81000	BPWWTF UV Disinfection Improvements	\$ 12,973
81600	BPWWTF Improvements	5,380
81700	BPWWTF Operations and Maintenance Buildings	28,274
		<b>\$ 46,627</b>



*Photo: Bucklin Point WWTF*

Project (81700) consists of both a new Operations Building and a new Maintenance Building. The current facilities are more than 70 years old and are inadequate. This project involves the relocation of the critical Supervisory Control and Data Acquisition (SCADA) computer system to an environmentally controlled space at a higher elevation to ensure the reliable operation of critical process streams. In addition, the new Operations building will contain office space, a training area and locker rooms. A new Maintenance Building is also needed as the existing building is too small for the growing needs of BPWWTF. The new building will provide storage and include a repair workshop for heavy equipment. It will also include new electrical, welding and instrumentation rooms along with offices and a briefing room for the maintenance staff. The Ultraviolet (UV) Disinfection Improvements Project (81000) includes replacement of the UV disinfection equipment with an energy efficient system along with the construction of a new building to house the system. Lastly, the BPWWTF Improvements Project (81600) involves the installation of a redundant power system, as well as the repair or replacement of boilers, hydronic piping systems, and isolation gates. Other improvements include modifications to HVAC systems and various electrical manhole dewatering sump pump systems.

## Wastewater Treatment Facility Improvements

This year's CIP includes \$29.8 million in programmed funding for other projects related to NBC's wastewater treatment facilities. In particular, the FPWWTF Maintenance Building Project (13200) at an estimated cost of \$11.1 million is needed to improve efficiency in maintenance support since the existing building was originally built in 1900 and is insufficient to meet the needs of operations. The FY 2020 WWTF Improvements Project (20300) focuses on improvements and upgrades to the Field's Point WWTF and Ernest Street Pump Station (ESPS). These include the evaluation and design of improvements to the disinfection and dichlorination systems at the ESPS, a new transformer south of the Pretreatment Building and replacement of the 30-year old plant water automatic. This project also includes handrail installation on the Blower/Screw Lift and Primary Pump Station buildings and the replacement of the HVAC unit at the Gravity Thickener Pump Station.



*Photo: Field's Point Electrical Facility*

This year's CIP also includes two *Photo: Water Automatic Strainer* projects to ensure the integrity of electrical equipment and facilities. The NBC Facilities Electrical Improvements Project (40100) at a cost of \$265 thousand involves the evaluation of existing electrical equipment and facilities along with the identification and implementation of improvements needed to ensure reliable, continuous operation. The FPWWTF Electrical Improvements Project (40101) at a cost of \$2.4 million consist of the assessment and installation of standby power capabilities for critical facilities and the upgrade or replacement of the electrical and control systems at Field's Point.

This year's CIP also includes the Corporate Office Building (COB) Improvements Project (90900) at a cost of \$5.0 million which encompasses improvements, renovation and reconfiguration of the COB to address aging facilities and organizational needs. This project also includes minor modifications to the Water Quality Science Building to accommodate the relocation of staff.

On a systemwide basis, NBC continues to program \$500 thousand annually for wastewater treatment facility improvements. This is to ensure resources are available in years to maintain the integrity of the treatment facilities even if specific projects are not identified.

The following table shows the total cost for the other wastewater treatment facility improvement projects.

Project Number	Project Name	Costs (in Thousands)
13200	FPWWTF Maintenance Facilities	\$ 11,060
20000	WWTF Improvements	1,500
20200	FY 2019 WWTF Improvements	5,260
20300	FY 2020 WWTF Improvements	4,384
40100	NBC Facility Electrical Improvements	265
40101	FPWWTF Electrical Improvements	2,387
90900	COB Facilities Improvements	4,991
<i>Total</i>		<u>\$ 29,847</u>



## Collection System Infrastructure

This CIP includes several collection system infrastructure projects totaling \$37.6 million. The major projects include the replacement of the Moshassuck Valley Interceptor Project (30444) at a cost of \$13.3 million and increasing the capacity of the Louisquisset Pike Interceptor Project (30421) at a cost of \$4.9 million. Also included is CSO Phase II – WCSOI OF 046 Project (30315) at \$3.9 million, which is required to eliminate surcharging from the Woonasquatucket CSO Interceptor during extreme wet weather events.



*Photo: Collection System Infrastructure Repair*

With respect to overall collection system infrastructure, Improvements to Interceptors FY 2019 Project (30467), at a cost of \$3.6 million, involves the lining of interceptors ranging in size from 8" to 42" as well as the rehabilitation of manholes throughout the NBC service area. The CIP also includes programmed allocations of \$500 thousand for interceptor inspection and cleaning and \$1.5 million for interceptor restoration and construction annually in years that do not have specific projects identified to accommodate new needs that may be identified as part of asset management and inspection.

This year's CIP also includes two projects related to NBC facilities that are required to maintain the collection system. The IM Storage Building Project (12450) at a cost of \$3.7 million is required to address aging infrastructure concerns. The IM Storage Building serves as storage for the IM department's vehicles, equipment and materials such as construction and safety equipment. This building also stores pumps, hoses, sewer plugs, confined space blowers and plant equipment for FPWWTF. The current building has water issues which is causing the facility to deteriorate. The existing structure also has dated electric, fire and security systems and issues with the overhead doors and it has been determined that construction of a new facility is the most appropriate long-term solution. The CIP also has funding programmed for the construction of a new IM Facilities Project (12400) at a cost of \$6.9 million that would be needed should NBC be required by legislation to assume ownership of lateral sewers currently owned by local municipalities within its district.

## Sewer System Improvements



*Lincoln Septage Station*

The CIP also includes funding for the Lincoln Septage Station Replacement Project (71000) at a cost of \$3.7 million to replace the existing 30 year old facility that is well beyond its useful life. The new facility will be design for automatic operation and provide preliminary treatment of septage prior to being discharged into our nearby collection system. There have been numerous technology changes over the years with regards to septage receiving and NBC intends to take advantage of the new advancements in the field and utilize an efficient state-of-the-art

packaged Septage Receiving System, complete with appropriate instrumentation and monitoring devices. The NBC Systemwide Regulator Modifications Project (30610) at \$3.0 million involves the planning, design and construction of various regulator structure modifications to address known hydraulic capacity limitations within NBC collection system and eliminate surcharging at various locations throughout the century old combined sewer system. The CIP also continues to support NBC's Easement Management program with the NBC Easement Restoration Project (30500) at a cost of \$1.3 million. This project involves verifying and clearing easements to ensure sufficient access for NBC to maintain the integrity of the collection system.

## Regulatory Compliance and Planning

Safe and cost-effective biosolids disposal is critical to NBC and this year's CIP includes the Long-Range Residual Solids Management Project (1140700) for the planning and development of a long-term biosolids management solution in anticipation of the termination date of NBC's current contract for biosolids disposal in FY 2026. This will involve the exploration of alternatives and various industry standard residual solids disposal and management practices. This study will also investigate polyfluoroalkyl substances (PFAS) concerns.

This year's CIP includes a RIPDES Compliance Improvements Project (1140600) at a cost of \$1.6 million which includes a study to address metals and an upper bay dissolved oxygen evaluation related to potential nitrogen permit reductions. This project also incorporates the development of a climate resiliency plan that may be required to protect critical functions as part of the RIPDES permit issued by RIDEM.

As part of NBC's environmental performance goals of minimizing environmental impact, NBC has programmed a Green House Gas Study which involves quantifying NBC's overall carbon footprint by measuring the gas emissions from the wastewater collection and treatment process. The results will enable NBC to respond quickly to new emissions regulatory requirements. NBC also plans to maximize energy efficiencies and renewable resources through the Energy Sustainability Program which involves the identification and implementation of conservation methods, improved efficiency and sustainable renewable energy resources.

Project (14000) NBC Solar Carport is another project which will contribute to NBC achieving 100% renewable energy resources. This involves the construction of solar carport in the Water Quality Science Building parking lot. It is estimated to generate \$3,500 from the sale of Renewable Energy Credits and generate approximately 218,282 kWh of electricity.

## Completed and New Capital Projects

### Completed Projects

NBC considers a project complete when the project has been deemed substantially complete and has only retainage and/or "punch list" items remaining. In FY 2020, NBC completed six capital projects at a cost of \$17.3 million shown in the following table:

Project Number	Project Name	Cost (in Thousands)
10908	FPWWTF Blower Improvements Phase II	\$ 8,198
30457	Providence River Siphon	7,733
30503	NBC Interceptor Easements Restoration BVI Wetlands	655
30477	Cleaning & Inspection of Selected Siphons, Various Locations	439
30811	CSO Phase III A - High Street Demolition	199
40500	RIPDES Flow Monitoring System	120
<b>Total</b>		<b>\$ 17,343</b>

The largest project completed last year was the FPWWTF Blower Improvements Phase II Project (10908). This project included the purchase and installation of four new blowers and construction of new blower building completed at a cost of \$8.2 million. The Providence River Siphon Project (30457), which involved replacement of a portion of the 78" interceptor, and repair of the inlet and outlet siphon chambers, was also completed at a cost of \$7.7 million. Several smaller projects were completed including: NBC's Interceptor Easements Restoration, BVI Wetlands Project (30503) at a cost of \$655 thousand; Cleaning and Inspection of Selected Siphons (30477) at a cost of \$439 thousand; the CSO Phase III A High Street Demolition Project (30811) at a

cost of \$199 thousand; and the RIPDES Flow Monitoring Project (40500) was also completed at a cost of \$120 thousand.

## New Projects

This year's CIP includes eight new capital projects totaling \$13.9 million. The new projects and their estimated costs are summarized in the following table and are discussed below.

Project Number	Project Name	Estimated Cost (in Thousands)
20300	FY 2020 WWTF Improvements	\$ 4,384
12450	IM Storage Building	3,657
30610	NBC System-wide Regulator Modifications	3,021
14000	NBC Solar Carport	1,064
30478	Large Diameter Interceptors Inspection and Cleaning	727
30479	Siphon Inspection and Cleaning	108
40550	RIPDES Flow Monitoring System Implementation	594
1140700	NBC Long Range Residual Solids Management Study	326
<b>Estimated Total</b>		<b>\$ 13,881</b>



*Field's Point*

The FY 2020 WWTF Improvements Project (20300) at a cost of \$4.4 million is the largest new project included in the CIP. This project includes replacement of the Gravity Thickener Building odor control unit, improvements to the disinfection and dechlorination systems, new variable frequency drive sludge pumps, the installation of handrails, a new transformer, and other improvements. The need for these improvements was identified through NBC's Asset Management Program and inspection. Construction is expected to begin May 2022.

Another newly identified project is the IM Storage Building Project (12450) at a cost of \$3.7 million. As discussed in the Collection System section of this document, this project involves the construction of a new IM Storage Building to protect the department's vehicles, equipment and material storage needs and plant equipment for Field's Point WWTF. Project (30610), NBC Systemwide Regulator Modifications involves various regulator structure modifications to address known hydraulic capacity limitations within the NBC collection system at an estimated cost of \$3.0 million. The \$1.1 million Solar Carport Project (14000) involves the installation of a solar powered charging station for electric vehicles at the Field's Point campus as part of NBC's sustainability goals. NBC's IM staff continuously performs inspections on NBC's infrastructure and collection system to evaluate pipe condition and identify infrastructure issues. As a result of these inspections, NBC has programmed \$835 thousand for a new Cleaning and Inspection of Large Diameter Interceptors Project (30478) and a Siphon and Inspection Project (30479). This year's CIP includes \$594 thousand for the RIPDES Flow Monitoring System Implementation Project (40550) which involves the replacement of flow monitoring equipment required to accurately monitor and measure systemwide flow conditions. Lastly, the CIP includes funding for Long-Range Residual Solids Management Study at a cost of \$326 thousand and involves the evaluation, planning and development of a reliable long-term sludge management strategy for sludge generated at NBC's WWTFs. The study will explore requirements and relative benefits of various industry standard residual solids disposal and management practices to address NBC's needs.

## Financial Impact

NBC recognizes the importance of planning for capital expenditures and is committed to minimizing ratepayer impact through an assessment of both operating costs and financing impacts. NBC has incorporated an expanded analysis and presentation of these impacts in the CIP. The project specific information is included in the following discussion rather than on the individual project sheets. Certain capital improvements will directly impact the operating budget either through increased revenue, increased expense, or cost savings. NBC has identified these impacts on a project by project basis. The following table describes the impact categories and should be used to interpret the figures in the detailed operating impact tables in this section of the CIP.

Impact	Description	Reflection in Tables
Savings	A reduction in operating costs resulting from no longer operating facilities, reduced energy consumption, and/or the purchase of electricity	Shown as a reduction in Operating Costs
Increased Expense	An increase in operating costs resulting from new facilities becoming operational	Shown as an increase in Operating Costs
Increased Revenue	An increase in revenue through new user charges, incentives, and/or the sale of Renewable Energy Credits	Shown as an increase in Operating Revenue or Non-Operating Revenue

### FY 2022-2026 Revenue and Expense Impacts

The following table summarizes the projected impact of new capital projects scheduled to become operational in FY 2021-2026. Projects that involve inspection, studies, cleaning and rehabilitation generally do not have operating cost impacts and are excluded from this list. In FY 2026, the estimated impact as a result of these projects is increased annual revenue of \$272,110, savings of \$224,333 and increase in expense of \$275,186. Projects with revenue, savings or expense impacts are discussed in the following section.

	Incremental CIP Impacts					
	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026
<b>Increased Revenue</b>						
NBC Solar Carport	\$ 3,500	\$ 3,500	\$ 3,500	\$ 3,500	\$ 3,500	\$ 3,500
Louisquisset Pike Interceptor Replacement	-	22,384	268,610	268,610	268,610	268,610
<b>Revenue Impact</b>	<b>\$ 3,500</b>	<b>\$ 25,884</b>	<b>\$ 272,110</b>	<b>\$ 272,110</b>	<b>\$ 272,110</b>	<b>\$ 272,110</b>
<b>Savings</b>						
BPWWTF UV Disinfection Improvements	\$ -	\$ -	\$ -	\$ (197,048)	\$ (197,048)	\$ (197,048)
NBC Solar Carport	(27,285)	(27,285)	(27,285)	(27,285)	(27,285)	(27,285)
<i>Subtotal</i>	<i>\$ (27,285)</i>	<i>\$ (27,285)</i>	<i>\$ (27,285)</i>	<i>\$ (224,333)</i>	<i>\$ (224,333)</i>	<i>\$ (224,333)</i>
<b>Increased Expense</b>						
NBC Solar Carport	2,990	2,990	2,990	2,990	2,990	2,990
New IM Facilities	-	-	-	-	-	10,859
FPWWTF Maintenance Facilities	-	-	-	10,949	65,694	65,694
BPWWTF UV Disinfection Improvements	-	-	-	8,548	8,548	8,548
BPWWTF Improvements	-	-	-	2,498	3,330	3,330
BPWWTF Operations and Maintenance Buildings	-	-	122,510	183,765	183,765	183,765
<i>Subtotal</i>	<i>2,990</i>	<i>2,990</i>	<i>125,500</i>	<i>208,750</i>	<i>264,327</i>	<i>275,186</i>
<b>Net O&amp;M Impact</b>	<b>\$ (24,295)</b>	<b>\$ (24,295)</b>	<b>\$ 98,215</b>	<b>\$ (15,583)</b>	<b>\$ 39,994</b>	<b>\$ 50,853</b>

### Louisquisset Pike Interceptor Replacement

The Louisquisset Pike Interceptor Replacement Project (30421) is scheduled to be completed in FY 2022. The project involves construction of a larger replacement interceptor in the northern section of the Town of Lincoln to accommodate additional flow. Preliminary estimates indicate that the flow will generate additional sewer user fee revenue of \$268,610 annually. The estimated operating expense is \$10,000 every 5 years for ongoing maintenance of the collection system estimated to begin in FY 2027. There are no start-up costs associated with the construction of this interceptor.

Louisquisset Pike Interceptor Replacement					
	Savings		Increased Expense		Increased Revenue
User Fees	\$	-	\$	-	\$ 268,610
Maintenance		-		10,000	-
<b>Total</b>	<b>\$</b>	<b>-</b>	<b>\$</b>	<b>10,000</b>	<b>\$ 268,610</b>

### BPWWTF UV Disinfection Improvements

The BPWWTF UV Disinfection Improvements Project (81000) involves replacement of the aging UV disinfection system with new and more efficient technology along with the design and construction of a new building to contain the system. It is estimated that the new technology will use 1.7 million kWh less per year and will also require less maintenance, resulting in estimated savings of \$197,048 annually. The estimated operating expense to heat the new building will be approximately \$8,548 annually. Completion of this project is scheduled for FY 2024.

BPWWTF UV Disinfection Improvements					
	Savings		Increased Expense		Increased Revenue
Electricity	\$	(191,648)	\$	-	\$ -
Natural Gas		-		8,548	-
Maintenance		(5,400)		-	-
<b>Total</b>	<b>\$</b>	<b>(197,048)</b>	<b>\$</b>	<b>8,548</b>	<b>\$ -</b>

### NBC Solar Carport

The NBC Solar Carport Project (14000) involves the construction of a solar carport in the Water Quality Science Building parking lot. This project would serve as an additional renewable energy source to help NBC achieve its goal of 100% renewable energy resources for NBC. It is estimated the solar carport will produce approximately 218,282 kWh of electricity annually resulting in approximately \$27,285 in electricity savings, revenue of \$3,500 from the sale of Renewable Energy Credits, and annual maintenance costs of \$2,990. Completion of this project is scheduled for FY 2021.

NBC Solar Carport					
	Savings		Increased Expense		Increased Revenue
RECs Solar	\$	-	\$	-	\$ 3,500
Electricity		(27,285)		-	-
Maintenance		-		2,990	-
<b>Total</b>	<b>\$</b>	<b>(27,285)</b>	<b>\$</b>	<b>2,990</b>	<b>\$ 3,500</b>

## IM Facilities

The IM Facilities Project (12400) is scheduled for completion in FY 2026. This project includes the construction of a new building that will be necessary if NBC is required by legislation to assume ownership of lateral sewers currently owned by local municipalities within the service area. The new building will include an administrative area, garage area and storage yard. The increased expense associated with the new building is approximately \$130,307 annually for utilities and maintenance costs. All project startup costs, such as staff and equipment relocation are included in the project cost.

New IM Facilities				
	Savings		Increased Expense	Increased Revenue
Electricity	\$ -	\$	27,750	\$ -
Natural Gas	-		60,022	-
Water	-		10,500	-
Maintenance	-		32,036	-
<b>Total</b>	<b>\$ -</b>	<b>\$</b>	<b>130,307</b>	<b>\$ -</b>

## FPWWTF Maintenance Facilities

The FPWWTF Maintenance Facilities Project (13200) involves the construction of a new maintenance building at Field's Point. While not required to meet immediate plant operation needs, it will enhance preventive and reactive maintenance capabilities, with the replacement of the current structure originally built in 1900. The new facilities are scheduled for completion in FY 2024 and estimated to result in increased expense of \$65,694 for utilities.

FPWWTF Maintenance Facilities				
	Savings		Increased Expense	Increased Revenue
Electricity	\$ -	\$	19,821	\$ -
Natural Gas	-		42,873	-
Water	-		3,000	-
<b>Total</b>	<b>\$ -</b>	<b>\$</b>	<b>65,694</b>	<b>\$ -</b>

## BPWWTF Operations and Maintenance Buildings

The BPWWTF Operations Building and Maintenance Buildings Project (81700) involves the construction of a new Operations Building and a Maintenance Building at Bucklin Point. The Operations Building will contain additional office space, training and locker rooms, and the SCADA Control Room. The Maintenance Building will include a repair workshop, electrical, welding and instrumentation rooms along with offices and storage space. This new building will improve the efficiency of the plant maintenance services necessary to ensure the reliable operation and performance of critical infrastructure systems. The increased expense associated with the new building is approximately \$183,765 annually for utilities and maintenance costs. All project startup costs, such as staff and equipment relocation are included in the project cost.

BPWWTF Operations and Maintenance Buildings				
	Savings		Increased Expense	Increased Revenue
Electricity	\$ -	\$	47,571	\$ -
Natural Gas	-		102,894	-
Water	-		6,000	-
Maintenance	-		27,300	-
<b>Total</b>	<b>\$ -</b>	<b>\$</b>	<b>183,765</b>	<b>\$ -</b>

## BPWWTF Improvements

The BPWWTF Improvements Project (81600) involves miscellaneous improvements and upgrades to the Bucklin Point WWTF and will include the installation of a new redundant standby power generator. The increased expense is approximately \$3,300 annually for maintenance of the new generator.

BPWWTF Improvements				
	Savings	Increased Expense	Increased Revenue	
Maintenance	\$ -	\$ 3,330	\$ -	-
<b>Total</b>	<b>\$ -</b>	<b>\$ 3,330</b>	<b>\$ -</b>	<b>-</b>

## CSO Phase III Facilities

CSO Phase III A operating impacts are estimated to commence in FY 2027. Increased expense of \$1.2 million includes electricity to pump flow and provide dehumidification in the tunnel pump station, natural gas for heating, screening and grit disposal, biosolids disposal, water, treatment chemicals, maintenance and labor costs. The start-up costs are included in this project phase. The operating impacts of the remaining three phases will be determined once the design plans are available.

CSO Phase III Facilities				
Capital Project	Facilities Online	Savings	Increased Expense	Increased Revenue
<b>CSO Phase III A Facilities</b>				
Electricity	FY 2027	\$ -	\$ 821,370	\$ -
Natural Gas	FY 2027	-	69,229	-
Screening & Grit	FY 2027	-	57,300	-
Biosolids	FY 2027	-	219,465	-
Water	FY 2027	-	968	-
Hypochlorite	FY 2027	-	12,110	-
Sodium Bisulfite	FY 2027	-	4,942	-
Maintenance	FY 2027	-	29,033	-
Personnel	FY 2027	-	9,811	-
	<b>Total</b>	<b>\$ -</b>	<b>\$ 1,224,227</b>	<b>\$ -</b>
<b>CSO Phase III B Facilities</b>	FY 2031	None	TBD	None
<b>CSO Phase III C Facilities</b>	FY 2037	None	TBD	None
<b>CSO Phase III D Facilities</b>	FY 2042	None	TBD	None

## Project Financing

In addition to operating cost impacts, the debt service related to financing NBC's CIP also impacts the operating budget. NBC's Operating Budget includes principal and interest payments as well as a debt service coverage line item. NBC uses a long-term financial model to identify capital funding needs and sources and to project debt issuance. The debt service and user fee projections associated with financing the CIP are identified in the Long-Term Plan section of the Operating Budget. Traditionally, NBC has financed the CIP through the issuance of debt.

The EPA's WIFIA program provides long-term, low-cost credit assistance for up to 49% of eligible project's costs. In August 2019, NBC closed on a \$268.7 million WIFIA loan, with an interest rate of 1.89%. The WIFIA loan is for construction of CSO Phase III A and will help mitigate the financial impact of the project cost on NBC ratepayers. In July 2019 the NBC submitted a Letter of Interest (LOI) for a second WIFIA loan to finance the Bucklin Point Resiliency Improvements. In October 2019, EPA informed NBC that it was invited to apply for this second WIFIA loan for up to 49% of the project cost or \$22 million. NBC also plans to include an additional \$11 million in funding, which represents 49% of the CSO Phase III A costs incurred prior to the execution of the first WIFIA loan. NBC is completing the loan application for submittal in May 2020.

## Incentives and Reimbursements

It is anticipated that NBC will receive approximately \$1.2 million in energy efficiency incentives related to the BPWWTF Biogas Reuse Project and reimbursements for portions of the CSO Phase III A GSI Projects. The funds will be deposited into the Grants and Projects Reimbursement Account in the Project Fund to be used for capital improvements. The potential incentives and reimbursements are outlined in the following table.

Capital Investment Incentives			
Contract	Project	Source	Amount
12000C	BPWWTF - Biogas Reuse	National Grid (balance of incentive)	\$ 211,000
12000C	BPWWTF - Biogas Reuse	Regional Greenhouse Gas Initiative	200,000
12000C	BPWWTF - Biogas Reuse	RI Renewable Energy Fund	80,000
30808C	CSO Phase III - 1304 High Street	Bay Watershed Restoration Fund	400,000
30809C	CSO Phase III - Macomber Field	RIDEM Recreation Grant via Central Falls	300,000
			<b>\$ 1,191,000</b>



**Capital Project Summary Fiscal Year**  
(In Thousands)

Project Number	Project Name	Project Priority	Pre-Fiscal Year 2021	Fiscal Year 2021	Fiscal Years 2022-2026	Post-Fiscal Year 2026	Total Estimated Project Cost
<b>Wastewater Treatment Facility Improvements</b>							
13200	FPWWTF Maintenance Facilities	A	\$ -	\$ 178	\$ 10,882	\$ -	\$ 11,060
20000	WWTF Improvements	B	-	-	1,000	500	1,500
20200	FY 2019 WWTF Improvements	A	871	2,216	2,173	-	5,260
20300	FY 2020 WWTF Improvements	B	6	302	4,076	-	4,384
40100	NBC Facility Electrical Improvements	B	11	238	16	-	265
40101	FPWWTF Electrical Improvements	B	23	217	2,147	-	2,387
81000	BPWWTF UV Disinfection Improvements	A	732	738	11,503	-	12,973
81600	BPWWTF Improvements	A	154	1,089	4,137	-	5,380
81700	BPWWTF Operations & Maintenance Buildings	A	490	8,338	19,446	-	28,274
90900	COB Facilities Improvements	A	3,563	1,409	19	-	4,991
	<i>Subtotal</i>		5,850	14,725	55,399	500	76,474
<b>Infrastructure Management</b>							
1140100	River Model Development	A	465	47	68	-	580
1140300	Greenhouse Gas Study	C	35	102	35	-	172
1140500	NBC Energy Sustainability	C	271	183	183	-	637
1140600	RIPDES Compliance Improvements	A	793	504	255	-	1,552
1140700	NBC Long Range Residual Solids Management Study	A	5	245	77	-	326
14000	NBC Solar Carport	D	14	1,050	-	-	1,064
30700	NBC System-wide Facilities Planning	D	-	231	218	-	448
40200	NBC System-wide Inflow Reduction	D	-	-	702	-	702
40300	Municipal Lateral Sewer Acquisition Impact	D	-	1	300	-	301
40400	FPWWTF Facilities Plan Update	B	250	142	38	-	430
40550	RIPDES Flow Monitoring System Implementation	A	4	590	-	-	594
	<i>Subtotal</i>		1,837	3,094	1,875	-	6,806
<b>CSO Phase III Facilities</b>							
30800	CSO Phase III A Facilities	A	49,255	16,457	8,443	-	74,154
30801	CSO Phase III A Facilities - Pawtucket Tunnel & Pump Station	A	-	6,140	329,624	-	335,764
30802	CSO Phase III A Facilities - Tunnel Pump Station Fit-out	A	-	-	82,193	510	82,703
30803	CSO Phase III A Facilities - OF 205	A	-	-	6,231	-	6,231
30804	CSO Phase III A Facilities - OF 210, 213, 214	A	-	-	12,309	-	12,309
30805	CSO Phase III A Facilities - OF 217	A	-	1	18,909	-	18,910
30806	CSO Phase III A Facilities - OF 218	A	-	-	8,422	-	8,422
30807	CSO Phase III A Facilities - Regulator Modifications	A	-	631	1,360	-	1,991
30808	CSO Phase III A Facilities - GSI Demonstration	A	1,733	101	-	-	1,834
30809	CSO Phase III A - GSI Projects	C	4,143	1,534	26	-	5,703
30810	CSO Phase III A Facilities - BPWWTF Clarifiers and Flow Splitters	A	-	431	45,901	-	46,332
30812	CSO Phase III A Facilities - Dexter Street Stormwater Infrastructure	A	-	1,480	-	-	1,480
30813	CSO Phase III A Facilities - Site Demolition	A	1,234	3,545	-	-	4,779
	<i>CSO Phase III A Facilities Subtotal</i>		56,365	30,320	513,418	510	600,612
30830	CSO Phase III B Facilities	A	-	-	-	28,484	28,484
30850	CSO Phase III C Facilities	A	-	-	-	164,660	164,660
30870	CSO Phase III D Facilities	A	-	-	-	83,500	83,500
	<i>CSO Phase III Facilities Subtotal</i>		56,365	30,320	513,418	277,154	877,257
<b>Sewer System Improvements</b>							
12400	IM Facilities	C	-	-	6,895	-	6,895
12450	IM Storage Building	D	8	298	3,351	-	3,657
30500	NBC Interceptor Easements Restoration, Various Locations	B	-	267	1,071	-	1,338
30610	NBC System-wide Regulator Modifications	A	13	419	2,589	-	3,021
70900	Omega Pump Station Upgrade	B	8	220	1,972	-	2,200
71000	Lincoln Septage Station Replacement	B	4	273	3,417	-	3,694
	<i>Subtotal</i>		33	1,477	19,295	-	20,805
<b>Interceptor Cleaning &amp; Restoration</b>							
30400M	Interceptor Inspection and Cleaning	B	-	-	2,500	500	3,000
30478	Large Diameter Interceptors Inspection and Cleaning	B	468	259	-	-	727
30479	Siphon Inspection and Cleaning	B	108	453	-	-	561
	<i>Subtotal</i>		576	712	2,500	500	4,288
<b>Interceptor Restoration &amp; Construction</b>							
30400C	Interceptor Restoration and Construction	B	-	-	6,000	1,500	7,500
30315	CSO Phase II - WCSOI OF 046	B	317	878	2,720	-	3,915
30421	Louisquisset Pike Interceptor Improvements	D	178	29	4,765	-	4,972
30444	Moshassuck Valley Interceptor	A	12,279	1,023	-	-	13,302
30467	Improvements to Interceptors FY 2019	A	3,133	474	-	-	3,607
	<i>Subtotal</i>		15,907	2,404	13,485	1,500	33,296
	<b>Total</b>		<b>\$ 80,568</b>	<b>\$ 52,732</b>	<b>\$ 605,972</b>	<b>\$ 279,654</b>	<b>\$ 1,018,925</b>

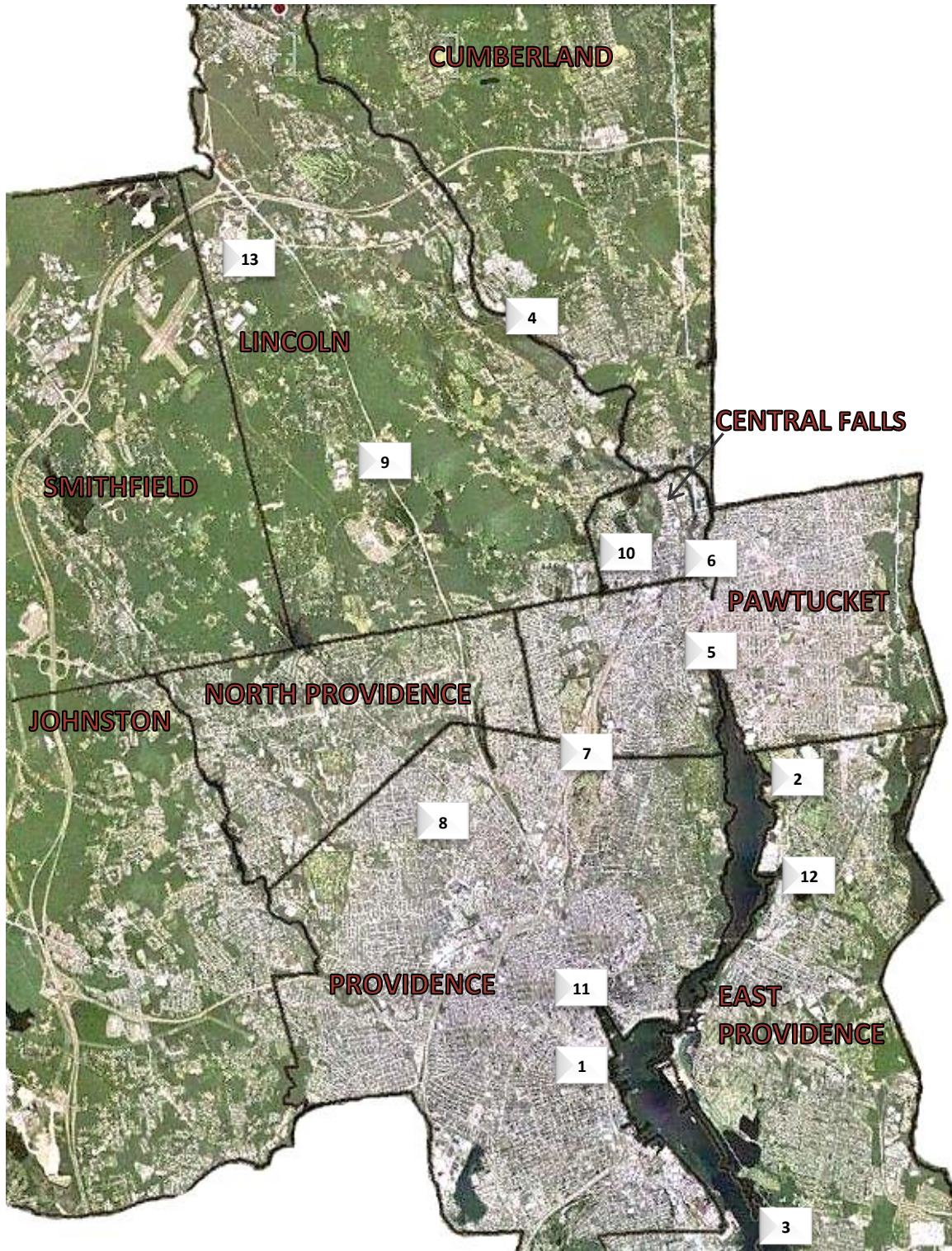
Priority	Description
A	Mandated, emergency, critical need or under construction.
B	Required to maintain system reliability and ongoing operation of facilities.
C	Project scope and requirements are dependent on futures system needs or regulatory requirements.
D	Project not critical but achieves efficiencies and/or reduces carbon footprint.

## Capital Improvement Program Project Locations

The capital projects identified in this year's CIP are shown on the map on the following page. The map highlights 13 project locations as identified below. Some projects are System-wide and noted as SW.

Legend Key	Project Number	Project Name
<b>Wastewater Treatment Facility Improvements</b>		
1	13200	FPWWTF Maintenance Facilities
1	20000	WWTF Improvements
1	20200	FY 2019 WWTF Improvements
1	20300	FY 2020 WWTF Improvements
1, 2	40100	NBC Facility Electrical Improvements
1	40101	FPWWTF Electrical Improvements
2	81000	BPWWTF UV Disinfection Improvements
2	81600	BPWWTF Improvements
2	81700	BPWWTF Operations & Maintenance Buildings
1	90900	COB Facilities Improvements
<b>Infrastructure Management</b>		
3	1140100	River Model Development
1, 2	1140300	Greenhouse Gas Study
SW	1140500	NBC Energy Sustainability
SW	1140600	RIPDES Compliance Improvements
SW	1140700	NBC Long Range Residual Solids Management Study
1	14000	NBC Solar Carport
SW	30700	NBC System-wide Facilities Planning
SW	40200	NBC System-wide Inflow Reduction
SW	40300	Municipal Lateral Sewer Acquisition Impact
1	40400	FPWWTF Facilities Plan Update
SW	40550	RIPDES Flow Monitoring System Implementation
<b>CSO Phase III Facilities</b>		
5	30800	CSO Phase III A Facilities
5	30801	CSO Phase III A Facilities - Pawtucket Tunnel & Pump Station
5	30802	CSO Phase III A Facilities - Tunnel Pump Station Fit-out
5	30803	CSO Phase III A Facilities - OF 205
5	30804	CSO Phase III A Facilities - OF 210, 213, 214
5	30805	CSO Phase III A Facilities - OF 217
5	30806	CSO Phase III A Facilities - OF 218
5	30807	CSO Phase III A Facilities - Regulator Modifications
5	30808	CSO Phase III A Facilities - GSI Demonstration
5	30809	CSO Phase III A - GSI Projects
5	30810	CSO Phase III A Facilities - BPWWTF Clarifiers and Flow Splitters
5	30812	CSO Phase III A Facilities - Dexter Street Stormwater Infrastructure
5	30813	CSO Phase III A Facilities - Site Demolition
6	30830	CSO Phase III B Facilities
7	30850	CSO Phase III C Facilities
8	30870	CSO Phase III D Facilities
<b>Sewer System Improvements</b>		
1	12400	IM Facilities
1	12450	IM Storage Building
SW	30500	NBC Interceptor Easements Restoration, Various Locations
SW	30610	NBC System-wide Regulator Modifications
12	70900	Omega Pump Station Upgrade
13	71000	Lincoln Septage Station Replacement
<b>Interceptor Cleaning/Restoration and Construction</b>		
SW	30478	Large Diameter Interceptors Inspection and Cleaning
SW	30479	Siphon Inspection and Cleaning
11	30315	CSO Phase II - WCSOI OF 046
9	30421	Louisquisset Pike Interceptor Improvements
10	30444	Moshassuck Valley Interceptor
SW	30467	Improvements to Interceptors FY 2019

# Capital Improvement Program Project Locations



# 13200

## FPWWTF Maintenance Facilities

Project Manager: David Bowen, P.E.  
 Contractor(s): N/A

Location: 2 Ernest Street, Providence, RI  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	August-20	July-22	23 Months	\$767
Construction	June-22	May-24	22 Months	10,293
<b>Total Project</b>	<b>August-20</b>	<b>May-24</b>	<b>44 Months</b>	<b>\$11,060</b>



Photo: Interior photo of the Existing Maintenance Building

This project involves the planning, design and construction of a new Maintenance Building and support facilities at the FPWWTF. Construction of a new and efficient Maintenance Building at the FPWWTF is in-line with NBC's long-range planning goals to address known resiliency concerns at the Field's Point campus and will help the Commission best manage the risk of inefficient maintenance of its critical infrastructure systems, which could result in compromised process operations and potential water quality violations. While not critical to plant operations, it will improve efficiency in maintenance support since the existing maintenance building was originally built in 1900 and is insufficient to meet the needs of operations.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ 178	\$ 547	\$ 3,617	\$ 6,718	\$ -	\$ -	\$ -	\$ 11,060

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ 61	\$ 56	\$ 3	\$ -	\$ -	\$ -	\$ -	\$ 120
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	117	468	39	-	-	-	-	624
Other	-	-	23	-	-	-	-	-	23
<b>Total</b>	<b>\$ -</b>	<b>\$ 178</b>	<b>\$ 547</b>	<b>\$ 42</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 767</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ 182	\$ 175	\$ -	\$ -	\$ -	\$ 357
A/E Professional	-	-	-	48	33	-	-	-	81
Construction	-	-	-	3,300	5,200	-	-	-	8,500
Contingency	-	-	-	-	1,275	-	-	-	1,275
Other	-	-	-	45	35	-	-	-	80
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 3,575</b>	<b>\$ 6,718</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 10,293</b>

Note: Cash Flow Basis in Thousands

## 20000

### WWTF Improvements

Project Manager: David Bowen, P.E.  
Contractor(s): N/A

Location: Field's Point & Bucklin Point WWTF's  
Project Priority: B

#### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	N/A	N/A	N/A	N/A
Construction	March-18	Ongoing	Ongoing	1,500
<b>Total Project</b>	<b>March-18</b>	<b>Ongoing</b>	<b>Ongoing</b>	<b>\$1,500</b>



Photo: Aeration Tank Pumps

This project is a placeholder for facility improvements at NBC's WWTF's to comply with current and future regulatory requirements and ensure uninterrupted wastewater treatment processing, 24 hours per day and 365 days per year. NBC programs \$500 thousand annually for improvements to ensure resources are available in years that do not have specific projects identified. As new projects are identified, they will be given a unique project number.

#### CIP Window Summary

	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 500	\$ 500	\$ 500	\$ 1,500

#### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

#### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

#### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 58	\$ 58	\$ 58	\$ 174
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	-	-	-	-	-	422	422	422	1,266
Contingency	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	20	20	20	60
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 500</b>	<b>\$ 500</b>	<b>\$ 500</b>	<b>\$ 1,500</b>

Note: Cash Flow Basis in Thousands

# 20200

## FY 2019 WWTF Improvements

Project Manager: David Bowen, P.E.  
 Contractor(s): Wright Pierce

Location: Field's Point (Providence, RI)  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	July-18	May-20	22 Months	\$860
Construction	April-20	March-22	24 Months	\$4,400
<b>Total Project</b>	<b>July-18</b>	<b>March-22</b>	<b>44 Months</b>	<b>\$5,260</b>



Photo: CSO Tunnel Odor Control Facility

This project involves improvements and upgrades to the Field's Point WWTF, Ernest Street Pump Station and the Tunnel Pump Station including the rehabilitation of various isolation gates and actuators, air handling units, biological nutrient removal system switchgear and froth spray line. Other improvements include modifications to the aeration tank, screw lift pumping station, blower building. This project also addresses enhancements to the CSO tunnel odor control facility at the tunnel pump station adjacent to the WWTF.

### CIP Window Summary

	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
	\$ 871	\$ 2,216	\$ 2,173	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 5,260

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 135	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 135
Land	-	-	-	-	-	-	-	-	-
A/E Professional	704	-	-	-	-	-	-	-	704
Other	21	-	-	-	-	-	-	-	21
<b>Total</b>	<b>\$ 860</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 860</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 11	\$ 58	\$ 46	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 115
A/E Professional	-	77	38	-	-	-	-	-	115
Construction	-	2,041	1,555	-	-	-	-	-	3,596
Contingency	-	-	524	-	-	-	-	-	524
Other	-	40	10	-	-	-	-	-	50
<b>Total</b>	<b>\$ 11</b>	<b>\$ 2,216</b>	<b>\$ 2,173</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 4,400</b>

Note: Cash Flow Basis in Thousands

# 20300

## FY 2020 WWTF Improvements

Project Manager: David Bowen, P.E.  
 Contractor(s): TBD

Location: Fields Point WWTF  
 Project Priority: B

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	June-20	April-22	22 Months	\$571
Construction	May-22	March-24	22 Months	3,813
<b>Total Project</b>	<b>June-20</b>	<b>March-24</b>	<b>45 Months</b>	<b>\$4,384</b>



Photo: RAS Pumps

This project includes improvements and upgrades to the Field's Point WWTF and Ernest Street Pump Station including the replacement of the Pepcon unit at the Gravity Thickener Building, evaluation and design of miscellaneous improvements to the WWTF's Disinfection and Dechlorination systems, a new transformer south of the Pretreatment Building and replacement of the plant water automatic strainer. Other improvements include the purchase of three individual dedicated VFD's to allow simultaneous operation of RAS Pumps #7, 8 & 9 rather than one pump at a time, handrail installation at the Blower/Screw Lift Building & the Primary Pump Station to comply with OSHA safety regulations and replacement of the HVAC unit at the Gravity Thickener Pump Station. This project also addresses the paved area south of the O&M building which should have a stormwater collection installed and may need regrading of the asphalt pavement. The retaining wall at the ESPS is leaning towards the building and needs to be remediated.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 6	\$ 302	\$ 263	\$ 2,067	\$ 1,746	\$ -	\$ -	\$ -	\$ 4,384

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 6	\$ 65	\$ 56	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 127
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	197	197	-	-	-	-	-	394
Other	-	40	10	-	-	-	-	-	50
<b>Total</b>	\$ 6	\$ 302	\$ 263	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 571

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ 71	\$ 56	\$ -	\$ -	\$ -	\$ 127
A/E Professional	-	-	-	114	96	-	-	-	210
Construction	-	-	-	1,822	804	-	-	-	2,626
Contingency	-	-	-	-	750	-	-	-	750
Other	-	-	-	60	40	-	-	-	100
<b>Total</b>	\$ -	\$ -	\$ -	\$ 2,067	\$ 1,746	\$ -	\$ -	\$ -	\$ 3,813

Note: Cash Flow Basis in Thousands

# 40100

## NBC Facility Electrical Improvements

Project Manager: David Bowen, P.E.  
 Contractor(s): N/A

Location: NBC Service Area  
 Project Priority: B

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	May-20	August-21	15 Months	\$265
Design	N/A	N/A	N/A	N/A
Construction	N/A	N/A	N/A	N/A
<b>Total Project</b>	<b>May-20</b>	<b>August-21</b>	<b>15 Months</b>	<b>\$265</b>



Photo: Field's Point Electrical Facility

This project involves the evaluation of NBC's existing electrical equipment and facilities. Upon completion of the evaluation, improvements will be performed as necessary to ensure reliable and continuous operation of facilities throughout the NBC's service area.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 11	\$ 238	\$ 16	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 265

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 11	\$ 86	\$ 3	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 100
A/E Professional	-	127	13	-	-	-	-	-	140
Other	-	25	-	-	-	-	-	-	25
<b>Total</b>	<b>\$ 11</b>	<b>\$ 238</b>	<b>\$ 16</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 265</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	-	-	-	-	-	-	-	-	-
Contingency	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

Note: Cash Flow Basis in Thousands



# 40101

## FPWWTF Facility Electrical Improvements

Project Manager: David Bowen, P.E.  
 Contractor(s): Various

Location: Providence, RI  
 Project Priority: B

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	January-16	May-20	52 Months	\$18
Design	May-20	June-21	14 Months	\$217
Construction	June-21	December-22	18 Months	2,152
<b>Total Project</b>	<b>January-16</b>	<b>December-22</b>	<b>84 Months</b>	<b>\$2,387</b>



Photo: Field's Point Electrical Facility

This project involves the evaluation and installation of standby power capabilities for critical facilities at the FPWWTF in order to maintain uninterrupted operation of treatment processes.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 23	\$ 217	\$ 1,160	\$ 987	\$ -	\$ -	\$ -	\$ -	\$ 2,387

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 8	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 8
A/E Professional	10	-	-	-	-	-	-	-	10
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ 18</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 18</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 5	\$ 27	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 32
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	175	-	-	-	-	-	-	175
Other	-	10	-	-	-	-	-	-	10
<b>Total</b>	<b>\$ 5</b>	<b>\$ 212</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 217</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ 5	\$ 53	\$ 23	\$ -	\$ -	\$ -	\$ -	\$ 81
A/E Professional	-	-	56	40	-	-	-	-	96
Construction	-	-	1,021	729	-	-	-	-	1,750
Contingency	-	-	-	175	-	-	-	-	175
Other	-	-	30	20	-	-	-	-	50
<b>Total</b>	<b>\$ -</b>	<b>\$ 5</b>	<b>\$ 1,160</b>	<b>\$ 987</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 2,152</b>

Note: Cash Flow Basis in Thousands

# 81000

## BPWWTF UV Disinfection Improvements

Project Manager: David Bowen, P.E.  
 Contractor(s): TBD

Location: Bucklin Point WWTF (East Providence, RI)  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	January-18	November-20	34 Months	\$1,355
Construction	February-21	July-23	29 Months	11,618
<b>Total Project</b>	<b>January-18</b>	<b>July-23</b>	<b>66 Months</b>	<b>\$12,973</b>



Photo: Bucklin Point UV Disinfection System

This project involves the evaluation of the current Ultraviolet (UV) Disinfection system at the Bucklin Point WWTF and implementation of a system replacement/upgrade along with the design and construction of a new building to contain the system. In order to prevent potential damage and best manage the risk of water quality violations that may arise from extreme weather events, NBC needs to address various resiliency needs including its UV disinfection system. The current UV equipment is nearing the end of its useful life and the medium pressure, high intensity lamps are expensive and less efficient than newer technologies.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 732	\$ 738	\$ 5,030	\$ 6,378	\$ 95	\$ -	\$ -	\$ -	\$ 12,973

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 101	\$ 54	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 155
Land	-	-	-	-	-	-	-	-	-
A/E Professional	566	484	-	-	-	-	-	-	1,050
Other	65	85	-	-	-	-	-	-	150
<b>Total</b>	<b>\$ 732</b>	<b>\$ 623</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 1,355</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ 30	\$ 90	\$ 73	\$ 5	\$ -	\$ -	\$ -	\$ 198
A/E Professional	-	60	410	335	15	-	-	-	820
Construction	-	-	4,450	4,975	75	-	-	-	9,500
Contingency	-	-	-	950	-	-	-	-	950
Other	-	25	80	45	-	-	-	-	150
<b>Total</b>	<b>\$ -</b>	<b>\$ 115</b>	<b>\$ 5,030</b>	<b>\$ 6,378</b>	<b>\$ 95</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 11,618</b>

Note: Cash Flow Basis in Thousands

# 81600

## BPWWTF Improvements

Project Manager: David Bowen, P.E.  
 Contractor(s): TBD

Location: BPWWTF  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	July-19	December-21	29 Months	\$476
Construction	September-19	October-22	36 Months	4,904
<b>Total Project</b>	<b>July-19</b>	<b>October-22</b>	<b>39 Months</b>	<b>\$5,380</b>



Photo: Screening and Grit Boilers

In order to mitigate and best manage the risk of potential water quality violations that may arise from extreme weather events and aging infrastructure concerns NBC must address various resiliency needs. This project involves miscellaneous improvements and upgrades to the Bucklin Point WWTF including the repair or replacement of boilers, hydronic piping systems, and isolation gates. Other improvements include modifications to HVAC systems and the installation of a redundant standby power system and various electrical manhole dewatering sump pump systems.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 154	\$ 1,089	\$ 3,090	\$ 1,047	\$ -	\$ -	\$ -	\$ -	\$ 5,380

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 45	\$ 55	\$ 27	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 127
Land	-	-	-	-	-	-	-	-	-
A/E Professional	61	210	61	-	-	-	-	-	332
Other	7	10	-	-	-	-	-	-	17
<b>Total</b>	<b>\$ 113</b>	<b>\$ 275</b>	<b>\$ 88</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 476</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ 44	\$ 63	\$ 20	\$ -	\$ -	\$ -	\$ -	\$ 127
A/E Professional	-	60	264	73	-	-	-	-	397
Construction	41	700	2,665	559	-	-	-	-	3,965
Contingency	-	-	-	397	-	-	-	-	397
Other	-	10	10	-	-	-	-	-	20
<b>Total</b>	<b>\$ 41</b>	<b>\$ 814</b>	<b>\$ 3,002</b>	<b>\$ 1,047</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 4,904</b>

Note: Cash Flow Basis in Thousands

# 81700

## BPWWTF Operations & Maintenance Building

Project Manager: David Bowen, P.E.  
 Contractor(s): TBD

Location: Bucklin Point WWTF  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	May-19	March-20	11 Months	\$482
Construction	June-20	November-22	29 Months	27,792
<b>Total Project</b>	<b>May-19</b>	<b>November-22</b>	<b>42 Months</b>	<b>\$28,274</b>



Photo: Current Operations Building

Due to aging infrastructure, climate resiliency concerns and the need for more efficient facilities there is an urgent need to design and construct a new Operations Building and a Maintenance/Storage Building at the Bucklin Point campus. The Operations Building will contain additional office space, training and locker rooms, and the WWTF's SCADA Control Room which is necessary to maintain system reliability and efficient operations. The Maintenance/Storage Building(s) will improve the efficiency of plant maintenance services necessary to ensure the reliable operation and performance of critical infrastructure systems and address various storage needs at the BPWWTF.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 490	\$ 8,338	\$ 17,366	\$ 2,080	\$ -	\$ -	\$ -	\$ -	\$ 28,274

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 102	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 102
Land	-	-	-	-	-	-	-	-	-
A/E Professional	353	-	-	-	-	-	-	-	353
Other	27	-	-	-	-	-	-	-	27
<b>Total</b>	<b>\$ 482</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 482</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 8	\$ 93	\$ 94	\$ 20	\$ -	\$ -	\$ -	\$ -	\$ 215
A/E Professional	-	490	560	210	-	-	-	-	1,260
Construction	-	7,600	13,300	1,850	-	-	-	-	22,750
Contingency	-	-	3,413	-	-	-	-	-	3,413
Other	-	155	-	-	-	-	-	-	155
<b>Total</b>	<b>\$ 8</b>	<b>\$ 8,338</b>	<b>\$ 17,366</b>	<b>\$ 2,080</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 27,792</b>

Note: Cash Flow Basis in Thousands

# 90900

## COB Facilities Improvements

Project Manager: Rich Bernier, P.E.  
 Contractor(s): Mill City

Location: COB and Lab  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	January-19	April-19	3 Months	\$87
Construction	March-19	November-21	32 Months	4,904
<b>Total Project</b>	<b>January-19</b>	<b>November-21</b>	<b>34 Months</b>	<b>\$4,991</b>



Photo: HVAC Units at COB

Replacement of carpeting, office furniture, painting and office reconfigurations for the 1st, 2nd and 3rd floors of the corporate office building which has not been updated since 2002. The office space at the Water Quality Science building will be reconfigured to accommodate the reorganization of NBC's staff. Replacement of HVAC units and sections of the roof will also be assessed and completed as part of this project.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 3,563	\$ 1,409	\$ 19	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,991

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 22	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 22
Land	-	-	-	-	-	-	-	-	-
A/E Professional	65	-	-	-	-	-	-	-	65
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ 87</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 87</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 127	\$ 55	\$ 1	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 183
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	2,447	1,204	18	-	-	-	-	-	3,669
Contingency	900	150	-	-	-	-	-	-	1,050
Other	2	-	-	-	-	-	-	-	2
<b>Total</b>	<b>\$ 3,476</b>	<b>\$ 1,409</b>	<b>\$ 19</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 4,904</b>

Note: Cash Flow Basis in Thousands

# 1140100

## River Model Development

Project Manager: Thomas Uva  
 Contractor(s): Kincaid Consulting

Location: NBC Receiving Waters  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	March-05	April-22	206 Months	\$580
Construction	N/A	N/A	N/A	N/A
<b>Total Project</b>	<b>March-05</b>	<b>April-22</b>	<b>206 Months</b>	<b>\$580</b>

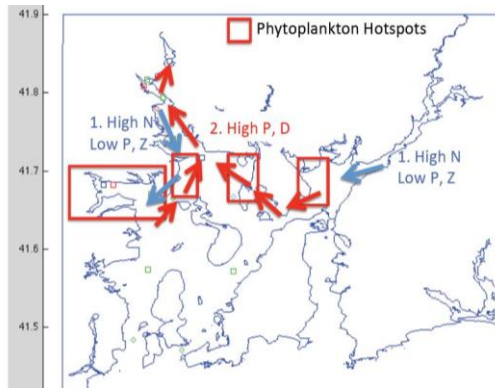


Photo: Map of phytoplankton flow dynamics seen in the ROMS biological model.

The Regional Ocean Modeling System (ROMS) for the Providence and Seekonk Rivers and Narragansett Bay tracks the circulation and transport of nutrients and determines how changing nitrogen loads affect the biology and water quality of the receiving waters. This project is for continued work on the model to improve predictions, validate accuracy, to prepare for regulatory issues and to evaluate if mandated capital expenditures are necessary to improve water quality.

### CIP Window Summary

	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
	\$ 465	\$ 47	\$ 68	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 580

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 70	\$ 12	10	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 92
Land	-	-	-	-	-	-	-	-	-
A/E Professional	329	35	38	-	-	-	-	-	402
Other	66	-	20	-	-	-	-	-	86
<b>Total</b>	<b>\$ 465</b>	<b>\$ 47</b>	<b>\$ 68</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 580</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	-	-	-	-	-	-	-	-	-
Contingency	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

Note: Cash Flow Basis in Thousands

# 1140300

## Green House Gas Study

Project Manager: James Kelly  
 Contractor(s): University of Rhode Island

Location: Field's Point (Providence, RI)  
 Project Priority: C

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	October-14	September-21	84 Months	\$172
Construction	N/A	N/A	N/A	N/A
<b>Total Project</b>	<b>October-14</b>	<b>September-21</b>	<b>84 Months</b>	<b>\$172</b>



Photo: Measuring Greehouse Gases at Field's Point

The Greenhouse Gas Study is designed to quantify NBC's overall carbon footprint by measuring greenhouse gas emissions from wastewater collection and treatment operations. The study will ensure NBC can quickly address future regulatory requirements related to greenhouse gas emissions.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 35	\$ 102	\$ 35	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 172

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 15	\$ 16	\$ 6	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 37
Land	-	-	-	-	-	-	-	-	-
A/E Professional	20	86	29	-	-	-	-	-	135
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ 35</b>	<b>\$ 102</b>	<b>\$ 35</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 172</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	-	-	-	-	-	-	-	-	-
Contingency	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

Note: Cash Flow Basis in Thousands

# 1140500

## NBC Energy Sustainability

Project Manager: James Kelly  
 Contractor(s): Various

Location: Various Locations  
 Project Priority: C

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	January-16	June-22	78 Months	\$637
Construction	N/A	N/A	N/A	N/A
<b>Total Project</b>	<b>January-16</b>	<b>June-22</b>	<b>78 Months</b>	<b>\$637</b>



Photo: WED Turbines

The Energy Sustainability Program is designed to identify, measure, and implement ways of obtaining and using energy so that energy needs are met while minimizing environmental impacts and assuring sufficient energy sources are available to meet future needs. The Energy Sustainability Program will perform feasibility studies and evaluate methods to maximize conservation, efficiencies and employment of sustainable renewable energy resources in an economically viable and reliable manner with the ultimate goal of achieving 100% renewable energy resources for NBC.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 271	\$ 183	\$ 183	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 637

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 244	\$ 176	\$ 176	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 596
Land	-	-	-	-	-	-	-	-	-
A/E Professional	10	3	3	-	-	-	-	-	16
Other	17	4	4	-	-	-	-	-	25
<b>Total</b>	<b>\$ 271</b>	<b>\$ 183</b>	<b>\$ 183</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 637</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	-	-	-	-	-	-	-	-	-
Contingency	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

Note: Cash Flow Basis in Thousands



# 1140600

## RIPDES Compliance Improvements

Project Manager: David Bowen, P.E.  
 Contractor(s): TBD

Location: NBC District  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	March-18	September-21	43 Months	\$1,567
Construction	N/A	N/A	N/A	N/A
<b>Total Project</b>	<b>March-18</b>	<b>September-21</b>	<b>43 Months</b>	<b>\$1,567</b>



Photo: Aerial of the FPWWTF and the Providence River

This project includes improvements to the wastewater treatment and collections system that may be required to comply with new permit limits and mandates. Specific improvements shall be identified through a metals translator study, a technically based Local Limits Evaluation study, a site specific study, an upper bay dissolved oxygen evaluation, and the development of a climate resiliency plan.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 793	\$ 504	\$ 255	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,552

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 492	\$ 384	\$ 195	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,071
Land	-	-	-	-	-	-	-	-	-
A/E Professional	269	75	60	-	-	-	-	-	404
Other	32	45	-	-	-	-	-	-	77
<b>Total</b>	<b>\$ 793</b>	<b>\$ 504</b>	<b>\$ 255</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 1,552</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	-	-	-	-	-	-	-	-	-
Contingency	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

Note: Cash Flow Basis in Thousands

# 1140700

## NBC Long Range Residual Solids Management Study

Project Manager: David Bowen, P.E.  
 Contractor(s): TBD

Location: Fields Point and Bucklin Point WWTFs  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	March-20	September-21	19 Months	\$326
Construction	N/A	N/A	N/A	N/A
<b>Total Project</b>	<b>March-20</b>	<b>September-21</b>	<b>19 Months</b>	<b>\$326</b>



Photo: Sludge Dewatering & Handling Facility

This project involves the evaluation, planning and development of a reliable long-term sludge management strategy for sludge generated at NBC's Field's Point and Bucklin Point WWTFs. The study will explore the requirements and relative benefits of various appropriate industry standard residual solids disposal and management practices to address NBC's needs. The study will evaluate the relative benefits of continuing with similar disposal practices on a long-term basis for both WWTFs, as well as more capital-intensive options such as constructing new sludge processing facilities.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 5	\$ 245	\$ 77	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 326

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 3	\$ 52	\$ 14	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 69
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	163	63	-	-	-	-	-	225
Other	2	30	-	-	-	-	-	-	32
<b>Total</b>	<b>\$ 5</b>	<b>\$ 245</b>	<b>\$ 77</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 326</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	-	-	-	-	-	-	-	-	-
Contingency	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

Note: Cash Flow Basis in Thousands

# 30700

## NBC System-wide Facilities Planning

Project Manager: David Bowen, P.E.  
 Contractor(s): N/A

Location: NBC Service Area  
 Project Priority: D

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	July-20	May-22	23 Months	\$448
Construction	N/A	N/A	N/A	N/A
<b>Total Project</b>	<b>July-20</b>	<b>May-22</b>	<b>23 Months</b>	<b>\$448</b>

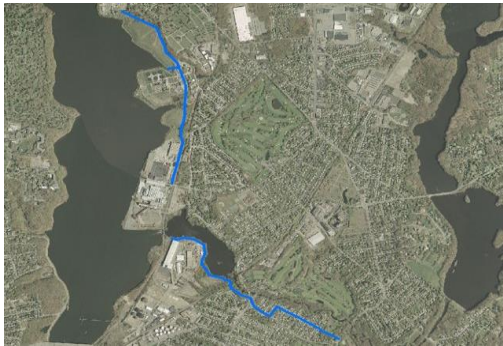


Photo: Proposed area for the East Providence Capacity Analysis

Project 30700 consists of planning activities that will determine if there is adequate system capacity for the next twenty years and will also determine if there is any excess infiltration/inflow in NBC's interceptors. As the evaluations begin for specific cities and towns, each will be given a unique project number.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ 231	\$ 218	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 448

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ 57	\$ 38	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 94
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	134	140	-	-	-	-	-	274
Other	-	40	40	-	-	-	-	-	80
<b>Total</b>	<b>\$ -</b>	<b>\$ 231</b>	<b>\$ 218</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 448</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	-	-	-	-	-	-	-	-	-
Contingency	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

Note: Cash Flow Basis in Thousands

# 40200

## NBC System-wide Inflow Reduction

Project Manager: David Bowen, P.E.  
 Contractor(s): N/A

Location: NBC Service Area  
 Project Priority: D

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	September-21	February-23	17 Months	\$247
Construction	May-23	August-24	16 Months	455
<b>Total Project</b>	<b>September-21</b>	<b>August-24</b>	<b>36 Months</b>	<b>\$702</b>



Photo: Downspouts at NBC's Corporate Office Building

This project involves the development and implementation of an inflow reduction program to remove stormwater from sanitary sewers in the NBC's service area. This project is imperative to prevent surcharging of sewers that could cause illegal sanitary sewer overflows during wet weather events.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ -	\$ 160	\$ 105	\$ 353	\$ 84	\$ -	\$ -	\$ 702

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ 40	\$ 32	\$ -	\$ -	\$ -	\$ -	\$ 72
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	120	45	-	-	-	-	165
Other	-	-	-	10	-	-	-	-	10
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 160</b>	<b>\$ 87</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 247</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ 6	\$ 71	\$ 7	\$ -	\$ -	\$ 84
A/E Professional	-	-	-	12	72	6	-	-	90
Construction	-	-	-	-	200	19	-	-	219
Contingency	-	-	-	-	-	22	-	-	22
Other	-	-	-	-	10	30	-	-	40
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 18</b>	<b>\$ 353</b>	<b>\$ 84</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 455</b>

Note: Cash Flow Basis in Thousands

# 40300

## Municipal Lateral Sewer Acquisition Impact

Project Manager: David Bowen, P.E.  
 Contractor(s): N/A

Location: NBC Service Area  
 Project Priority: D

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	June-21	June-23	24 Months	\$301
Design	N/A	N/A	N/A	N/A
Construction	N/A	N/A	N/A	N/A
<b>Total Project</b>	<b>June-21</b>	<b>June-23</b>	<b>24 Months</b>	<b>\$301</b>



Photo: Municipal Sewer Manhole Cover

This project involves the evaluation of the impact of NBC assuming ownership of lateral sewers that are currently owned by municipalities within the NBC service area. This project will be required should legislation be passed by the General Assembly requiring NBC to take over ownership and maintenance of local sewers within the NBC district.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ 1	\$ 173	\$ 127	\$ -	\$ -	\$ -	\$ -	\$ 301

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ 1	\$ 18	\$ 22	\$ -	\$ -	\$ -	\$ -	\$ 41
A/E Professional	-	-	150	100	-	-	-	-	250
Other	-	-	5	5	-	-	-	-	10
<b>Total</b>	<b>\$ -</b>	<b>\$ 1</b>	<b>\$ 173</b>	<b>\$ 127</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 301</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	-	-	-	-	-	-	-	-	-
Contingency	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

Note: Cash Flow Basis in Thousands

# 40400

## FPWWTF Facilities Plan Update

Project Manager: David Bowen, P.E.  
 Contractor(s): CH2M Hill

Location: Providence, RI  
 Project Priority: B

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	January-17	December-21	60 Months	\$430
Design	N/A	N/A	N/A	N/A
Construction	N/A	N/A	N/A	N/A
<b>Total Project</b>	<b>January-17</b>	<b>December-21</b>	<b>60 Months</b>	<b>\$430</b>



Photo: Aeration Tanks at Field's Point WWTF

This project involves the update of the FPWWTF Plan and determining the maximum nitrogen and biochemical oxygen demand loads that can be accepted at the facilities while meeting RIPDES permit limits as well as resources required to review and ensure compliance with the RIPDES permit recently issued by RIDEM.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 250	\$ 142	\$ 38	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 430

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 210	\$ 132	\$ 33	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 375
A/E Professional	35	-	-	-	-	-	-	-	35
Other	5	10	5	-	-	-	-	-	20
<b>Total</b>	<b>\$ 250</b>	<b>\$ 142</b>	<b>\$ 38</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 430</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	-	-	-	-	-	-	-	-	-
Contingency	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

Note: Cash Flow Basis in Thousands

# 40550

## RIPDES Flow Monitoring System Implementation

Project Manager: Michael Caruolo, P.E.  
 Contractor(s): ADS Environmental Services

Location: NBC Service Area  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	March-20	January-21	10 Months	N/A
Construction	N/A	N/A	N/A	594
<b>Total Project</b>	<b>March-20</b>	<b>January-21</b>	<b>10 Months</b>	<b>\$594</b>



Photo: Flow Monitor

This project involves the replacement of existing flow monitoring equipment located throughout NBC's collection system. An evaluation of the entire flow monitoring system has been completed and recommendations documented. This project will involve purchasing, installing and maintaining all equipment in order to accurately monitor flow conditions and measurements in accordance with the RIPDES permit. In addition, for an initial one year period, all flow data shall be monitored and reported to the NBC.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 4	\$ 590	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 594

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 4	\$ 106	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 110
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	-	480	-	-	-	-	-	-	480
Contingency	-	-	-	-	-	-	-	-	-
Other	-	4	-	-	-	-	-	-	4
<b>Total</b>	<b>\$ 4</b>	<b>\$ 590</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 594</b>

Note: Cash Flow Basis in Thousands

# 30800

## CSO Phase III A Facilities

Project Manager: Kathryn Kelly, P.E.  
 Contractor(s): Stantec Consulting Services

Location: Pawtucket, RI  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	April-13	December-22	117 Months	\$74
Construction	N/A	N/A	N/A	N/A
<b>Total Project</b>	<b>April-13</b>	<b>December-22</b>	<b>117 Months</b>	<b>\$74,154</b>



Photo: Proposed alignment for the Pawtucket CSO Tunnel

The purpose Phase III A is to design and construct a deep rock tunnel in Pawtucket approximately 13,000 feet in length along the Seekonk and Blackstone Rivers, a pump station to convey flow to the Bucklin Point WWTF in East Providence, drop shafts and consolidation conduits, and improvements to the Bucklin Point WWTF. In addition, GSI facilities will be constructed to reduce stormwater inflow by infiltration of stormwater into the ground.

### CIP Window Summary

Pre FY21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 49,255	\$ 16,457	\$ 8,142	\$ 301	\$ -	\$ -	\$ -	\$ -	\$ 74,154

### Projected Expenditures - Planning

Cost Category	Pre FY21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 3,004	\$ 893	\$ 600	\$ 301	\$ -	\$ -	\$ -	\$ -	\$ 4,798
Land	10,374	-	-	-	-	-	-	-	10,374
A/E Professional	35,478	15,302	7,505	-	-	-	-	-	58,286
Other	398	261	37	-	-	-	-	-	696
<b>Total</b>	<b>\$ 49,255</b>	<b>\$ 16,457</b>	<b>\$ 8,142</b>	<b>\$ 301</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 74,154</b>

### Projected Expenditures - Construction

Cost Category	Pre FY21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	-	-	-	-	-	-	-	-	-
Contingency	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

Note: Cash Flow Basis in Thousands



# 30801

## CSO Phase III A Facilities - Pawtucket Tunnel & Pump Station

Project Manager: Kathryn Kelly, P.E.  
 Contractor(s): TBD

Location: Pawtucket  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	N/A	N/A	N/A	N/A
Construction	January-20	March-26	74 Months	\$335,764
<b>Total Project</b>	<b>January-20</b>	<b>March-26</b>	<b>74 Months</b>	<b>\$335,764</b>

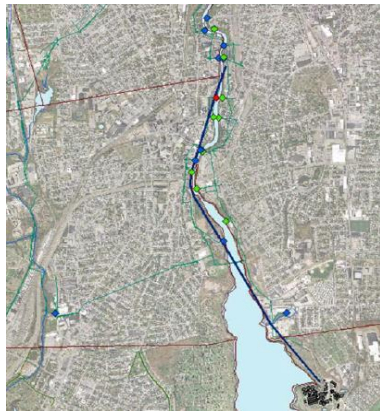


Photo: Pawtucket Tunnel - CDRA Route

This project includes the construction of a deep rock storage tunnel, launch and drop shafts, and adits. After construction of the tunnel, tunnel pump station, and associated near surface facilities, CSO flow which currently discharges to the Seekonk and Blackstone Rivers shall be diverted to the tunnel during storms smaller than or equal to a three-month design storm. The diverted CSO flow will be stored in the tunnel and will be pumped to the plant for full treatment when capacity becomes available.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ 6,140	\$ 62,782	\$ 100,521	\$ 100,314	\$ 66,007	\$ -	\$ -	\$ 335,764

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ 492	\$ 1,341	\$ 2,091	\$ 1,894	\$ 1,073	\$ -	\$ -	\$ 6,891
A/E Professional	-	531	5,793	9,281	9,281	5,637	-	-	30,523
Construction	-	4,825	52,666	84,377	84,377	56,252	-	-	282,497
Contingency	-	-	-	-	-	-	-	-	-
Other	-	292	2,982	4,772	4,762	3,045	-	-	15,853
<b>Total</b>	<b>\$ -</b>	<b>\$ 6,140</b>	<b>\$ 62,782</b>	<b>\$ 100,521</b>	<b>\$ 100,314</b>	<b>\$ 66,007</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 335,764</b>

Note: Cash Flow Basis in Thousands

# 30802

## CSO Phase III A Facilities - Tunnel Pump Station Fit-out

Project Manager: Kathryn Kelly, P.E.  
 Contractor(s): TBD

Location: Pawtucket  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	N/A	N/A	N/A	N/A
Construction	June-22	May-27	59 Months	\$82,703
<b>Total Project</b>	<b>June-22</b>	<b>May-27</b>	<b>59 Months</b>	<b>\$82,703</b>

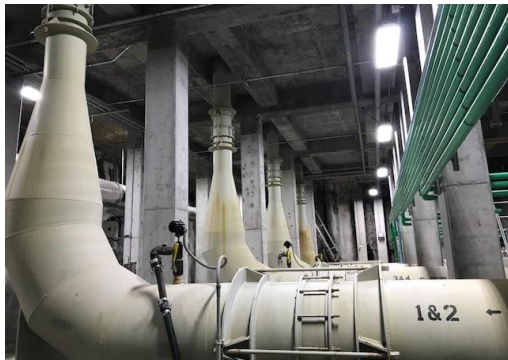


Photo: Inside Ernest St. Tunnel Pump Station

This project includes construction of the CSO Tunnel Pump Station. The TPS shall be constructed on a site in Pawtucket near the Bucklin Point Wastewater Treatment Facility.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ -	\$ -	\$ 1,541	\$ 19,264	\$ 38,603	\$ 22,785	\$ 510	\$ 82,703

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ 255	\$ 612	\$ 612	\$ 561	\$ 158	\$ 2,198
A/E Professional	-	-	-	227	1,702	3,147	1,895	284	7,255
Construction	-	-	-	1,018	15,886	32,659	19,119	-	68,682
Contingency	-	-	-	41	1,064	2,185	1,210	68	4,568
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 1,541</b>	<b>\$ 19,264</b>	<b>\$ 38,603</b>	<b>\$ 22,785</b>	<b>\$ 510</b>	<b>\$ 82,703</b>

Note: Cash Flow Basis in Thousands

30803

CSO Phase III A Facilities - OF 205

Project Manager: Kathryn Kelly, P.E.  
 Contractor(s): TBD

Location: Pawtucket  
 Project Priority: A

Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	N/A	N/A	N/A	N/A
Construction	November-22	January-26	39 Months	\$6,231
<b>Total Project</b>	<b>November-22</b>	<b>January-26</b>	<b>39 Months</b>	<b>\$6,231</b>



Photo: Outfall 205 Location

This project includes the construction of a deep rock storage tunnel, launch and drop shafts, and adits. After construction of the tunnel, tunnel pump station, and associated near surface facilities, CSO flow which currently discharges to the Seekonk and Blackstone Rivers shall be diverted to the tunnel during storms smaller than or equal to a three-month design storm. The diverted CSO flow will be stored in the tunnel and will be pumped to the plant for full treatment when capacity becomes available.

CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ -	\$ -	\$ 595	\$ 3,560	\$ 2,076	\$ -	\$ -	\$ 6,231

Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ 15	\$ 85	\$ 50	\$ -	\$ -	\$ 150
A/E Professional	-	-	-	117	700	408	-	-	1,225
Construction	-	-	-	434	2,601	1,517	-	-	4,552
Contingency	-	-	-	29	174	101	-	-	304
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 595</b>	<b>\$ 3,560</b>	<b>\$ 2,076</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 6,231</b>

Note: Cash Flow Basis in Thousands

# 30804

## CSO Phase III A Facilities - OF 210, 213, 214

Project Manager: Kathryn Kelly, P.E.  
 Contractor(s): TBD

Location: Pawtucket  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	N/A	N/A	N/A	N/A
Construction	August-23	December-25	28 Months	\$12,309
<b>Total Project</b>	<b>August-23</b>	<b>December-25</b>	<b>28 Months</b>	<b>\$12,309</b>



Photo: Outfall Locations

This project includes the construction of consolidation conduits to direct flow to the tunnel via Drop Shaft 213 from CSO outfalls 210, 211, 213, and 214. Wet weather flow from the OF-210, OF-211, and OF-213 will be diverted to a new 48-inch consolidation conduit that will direct flow to Drop Shaft 213. Wet weather flow from OF-214 will be directed through a new 48-inch consolidation conduit to a new 60-inch consolidation conduit.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ -	\$ -	\$ -	\$ 3,078	\$ 6,154	\$ 3,077	\$ -	\$ 12,309

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ 76	\$ 150	\$ 75	\$ -	\$ 301
A/E Professional	-	-	-	-	242	483	242	-	967
Construction	-	-	-	-	2,591	5,183	2,591	-	10,365
Contingency	-	-	-	-	169	338	169	-	676
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 3,078</b>	<b>\$ 6,154</b>	<b>\$ 3,077</b>	<b>\$ -</b>	<b>\$ 12,309</b>

Note: Cash Flow Basis in Thousands

# 30805

## CSO Phase III A Facilities - OF 217

Project Manager: Kathryn Kelly, P.E.  
 Contractor(s): TBD

Location: Pawtucket  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	N/A	N/A	N/A	N/A
Construction	May-21	July-23	27 Months	\$18,910
<b>Total Project</b>	<b>May-21</b>	<b>July-23</b>	<b>27 Months</b>	<b>\$18,910</b>



Photo: Outfall 217

This project includes the construction of a consolidation conduit to direct flow to the tunnel via Drop Shaft 213 from CSO outfalls 217. Wet weather flow will be diverted from OF-217 to a new 48-inch consolidation conduit that will ultimately direct flow to Drop Shaft 213.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ 1	\$ 7,735	\$ 10,313	\$ 861	\$ -	\$ -	\$ -	\$ 18,910

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ 1	\$ 195	\$ 260	\$ 22	\$ -	\$ -	\$ -	\$ 478
A/E Professional	-	-	599	799	67	-	-	-	1,465
Construction	-	-	6,525	8,700	725	-	-	-	15,950
Contingency	-	-	416	554	47	-	-	-	1,017
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ 1</b>	<b>\$ 7,735</b>	<b>\$ 10,313</b>	<b>\$ 861</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 18,910</b>

Note: Cash Flow Basis in Thousands

# 30806

## CSO Phase III A Facilities - OF 218

Project Manager: Kathryn Kelly, P.E.  
 Contractor(s): TBD

Location: Pawtucket  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	N/A	N/A	N/A	N/A
Construction	October-23	December-25	27 Months	\$8,422
<b>Total Project</b>	<b>October-23</b>	<b>December-25</b>	<b>27 Months</b>	<b>\$8,422</b>



Photo: Outfall 218 Location

This project includes the construction of a consolidation conduit to direct flow to the tunnel via Drop Shaft 218 from CSO outfall 218.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ -	\$ -	\$ -	\$ 1,540	\$ 4,591	\$ 2,291	\$ -	\$ 8,422

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ 47	\$ 111	\$ 51	\$ -	\$ 208
A/E Professional	-	-	-	-	129	386	193	-	708
Construction	-	-	-	-	1,280	3,841	1,921	-	7,042
Contingency	-	-	-	-	84	253	127	-	464
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 1,540</b>	<b>\$ 4,591</b>	<b>\$ 2,291</b>	<b>\$ -</b>	<b>\$ 8,422</b>

Note: Cash Flow Basis in Thousands

# 30807

## CSO Phase III A Facilities - Regulator Modifications

Project Manager: Kathryn Kelly, P.E.  
 Contractor(s): TBD

Location: Pawtucket  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	N/A	N/A	N/A	N/A
Construction	July-20	June-22	23 Months	\$1,991
<b>Total Project</b>	<b>July-20</b>	<b>June-22</b>	<b>23 Months</b>	<b>\$1,991</b>



Photo: Outfall Locations

This project includes modifications at regulators for CSOs 203, 204, 207, 208, 209, 212, 215, and 216. Modifications are required in order to direct flow to the tunnel through consolidation conduits constructed in other Phase III projects.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ 631	\$ 1,360	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,991

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ 18	\$ 31	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 49
A/E Professional	-	46	99	-	-	-	-	-	145
Construction	-	526	1,142	-	-	-	-	-	1,668
Contingency	-	41	88	-	-	-	-	-	129
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ 631</b>	<b>\$ 1,360</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 1,991</b>

Note: Cash Flow Basis in Thousands

**30808**

**CSO Phase III A Facilities - Green Stormwater Infrastructure Demonstration**

Project Manager: Rich Bernier, P.E.  
 Contractor(s): Cardi Corp

Location: Central Falls  
 Project Priority: A

**Total Project Duration/Cost**

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	N/A	N/A	N/A	N/A
Construction	May-19	May-21	24 Months	\$1,834
<b>Total Project</b>	<b>May-19</b>	<b>May-21</b>	<b>24 Months</b>	<b>\$1,834</b>



*Photo: Dry wells used to promote infiltration of stormwater runoff*

This project entails construction of green stormwater infrastructure at 1304 High Street in Central Falls. Catch basins and storm pipes shall be installed to convey stormwater to bioretention basins where stormwater will infiltrate to the groundwater table rather than be conveyed to the combined sewer.

**CIP Window Summary**

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 1,733	\$ 101	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,834

**Projected Expenditures - Planning**

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

**Projected Expenditures - Design**

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

**Projected Expenditures - Construction**

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 113	\$ 6	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 119
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	1,619	95	-	-	-	-	-	-	1,714
Contingency	-	-	-	-	-	-	-	-	-
Other	1	-	-	-	-	-	-	-	1
<b>Total</b>	<b>\$ 1,733</b>	<b>\$ 101</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 1,834</b>

Note: Cash Flow Basis in Thousands



# 30809

## CSO Phase III A - GSI Projects

Project Manager: Rich Bernier, P.E.  
 Contractor(s): J. H. Lynch & Sons

Location: Central Falls  
 Project Priority: C

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	N/A	N/A	N/A	N/A
Construction	September-19	July-21	21 Months	\$5,703
<b>Total Project</b>	<b>September-19</b>	<b>July-21</b>	<b>21 Months</b>	<b>\$5,703</b>



Photo: Example of Green Stormwater Infrastructure

This project entails the construction of green stormwater infrastructure in the City of Central Falls. GSI will be constructed in the CSO 101 and 103 sewersheds and will include tree box filters, bio-retention basins, infiltration chambers, and other facilities to promote infiltration of stormwater runoff to the groundwater table.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 4,143	\$ 1,534	\$ 26	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 5,703

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 135	\$ 68	\$ 1	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 204
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	3,804	1,166	25	-	-	-	-	-	4,995
Contingency	200	300	-	-	-	-	-	-	500
Other	4	-	-	-	-	-	-	-	4
<b>Total</b>	<b>\$ 4,143</b>	<b>\$ 1,534</b>	<b>\$ 26</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 5,703</b>

Note: Cash Flow Basis in Thousands

# 30810

## CSO Phase III A Facilities - BPWWTF Clarifiers and Flow Splitters

Project Manager: Kathryn Kelly, P.E.  
 Contractor(s): TBD

Location: East Providence  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	N/A	N/A	N/A	N/A
Construction	November-20	August-24	46 Months	\$46,332
<b>Total Project</b>	<b>November-20</b>	<b>August-24</b>	<b>46 Months</b>	<b>\$46,332</b>



Photo: Existing Clarifiers at Bucklin Point

This project entails the construction of two new final clarifiers, modifications to the flow splitting operation, construction of a new RAS pump station for the new final clarifiers, and improvements to the RAS piping system and influent pump station.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ 431	\$ 22,875	\$ 22,788	\$ 238	\$ -	\$ -	\$ -	\$ 46,332

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ 13	\$ 577	\$ 571	\$ 6	\$ -	\$ -	\$ -	\$ 1,167
A/E Professional	-	40	2,134	2,111	22	-	-	-	4,307
Construction	-	358	19,221	19,021	199	-	-	-	38,799
Contingency	-	20	943	1,085	11	-	-	-	2,059
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ 431</b>	<b>\$ 22,875</b>	<b>\$ 22,788</b>	<b>\$ 238</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 46,332</b>

Note: Cash Flow Basis in Thousands

# 30812

## CSO Phase III A Facilities - Dexter Street Stormwater Infrastructure

Project Manager: Kathryn Kelly, P.E.  
 Contractor(s): TBD

Location: Pawtucket, RI  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	N/A	N/A	N/A	N/A
Construction	July-20	June-21	12 Months	\$1,480
<b>Total Project</b>	<b>July-20</b>	<b>June-21</b>	<b>12 Months</b>	<b>\$1,480</b>



Photo: Permeable pavement

This project entails construction of green stormwater infrastructure at the Dexter Street parking lot in Pawtucket. Impervious pavement in the parking lot will be removed and replaced with porous pavement. Catch basins and storm pipes will be installed to convey stormwater to bio-retention basins where stormwater will infiltrate to the groundwater table rather than be conveyed to the combined sewer.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ 1,480	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,480

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ 40	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 40
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	-	1,357	-	-	-	-	-	-	1,357
Contingency	-	83	-	-	-	-	-	-	83
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ 1,480</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 1,480</b>

Note: Cash Flow Basis in Thousands

# 30813

## CSO Phase III A Facilities - Site Demolition

Project Manager: Kathryn Kelly, P.E.  
 Contractor(s): TBD

Location: Pawtucket  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	N/A	N/A	N/A	N/A
Construction	February-20	November-20	9 Months	\$4,779
<b>Total Project</b>	<b>February-20</b>	<b>November-20</b>	<b>9 Months</b>	<b>\$4,779</b>



Photo: Demolition Sites

This project entails the demolition of existing buildings to prepare sites for construction of the tunnel launch shaft, pump station shaft and drop shafts.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 1,234	\$ 3,545	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,779

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 25	\$ 65	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 90
A/E Professional	42	85	-	-	-	-	-	-	127
Construction	1,061	3,183	-	-	-	-	-	-	4,244
Contingency	106	212	-	-	-	-	-	-	318
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ 1,234</b>	<b>\$ 3,545</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 4,779</b>

Note: Cash Flow Basis in Thousands

# 30830

## CSO Phase III B Facilities

Project Manager: Kathryn Kelly, P.E.  
 Contractor(s): N/A

Location: Central Falls, RI  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	N/A	N/A	N/A	N/A
Construction	December-27	December-30	37 Months	28,484
<b>Total Project</b>	<b>December-27</b>	<b>December-30</b>	<b>156 Months</b>	<b>\$28,484</b>



Photo: Proposed CSO Phase III B Facilities

Phase III B is to design and construct two interceptors at High and Cross Street which will be approximately 4,200 feet in length and one at Middle Street approximately 2,000 feet in length. These interceptors will convey flow to the tunnel to be built in Phase III A. In addition, GSI facilities will be constructed to reduce storm inflow to the combined sewer system, and one sewer separation project will be included as part of Phase III B.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 28,484	\$ 28,484

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 615	\$ 615
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	-	-	-	-	-	-	-	26,433	26,433
Contingency	-	-	-	-	-	-	-	1,356	1,356
Other	-	-	-	-	-	-	-	80	80
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 28,484</b>	<b>\$ 28,484</b>

Note: Cash Flow Basis in Thousands

# 30850

## CSO Phase III C Facilities

Project Manager: Kathryn Kelly, P.E.  
 Contractor(s): N/A

Location: Pawtucket, RI  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	May-32	June-34	26 Months	\$23,120
Construction	April-34	June-37	39 Months	141,540
<b>Total Project</b>	<b>May-32</b>	<b>June-37</b>	<b>62 Months</b>	<b>\$164,660</b>



Photo: Proposed CSO Phase III C Facilities

Phase III C is to design and construct a stub tunnel that will convey flow from CSO 220 to the tunnel to be constructed in Phase III A. In addition, GSI facilities will be constructed to reduce storm water inflow to the combined sewers.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 164,660	\$ 164,660

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 968	\$ 968
Land	-	-	-	-	-	-	-	2,500	2,500
A/E Professional	-	-	-	-	-	-	-	14,440	14,440
Other	-	-	-	-	-	-	-	5,212	5,212
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 23,120</b>	<b>\$ 23,120</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,160	\$ 2,160
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	-	-	-	-	-	-	-	135,040	135,040
Contingency	-	-	-	-	-	-	-	3,360	3,360
Other	-	-	-	-	-	-	-	980	980
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 141,540</b>	<b>\$ 141,540</b>

Note: Cash Flow Basis in Thousands

# 30870

## CSO Phase III D Facilities

Project Manager: Kathryn Kelly, P.E.  
 Contractor(s): N/A

Location: Providence, RI  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	April-37	September-39	29 Months	\$13,180
Construction	August-39	December-41	28 Months	70,320
<b>Total Project</b>	<b>April-37</b>	<b>December-41</b>	<b>57 Months</b>	<b>\$83,500</b>



Photo: Proposed CSO Phase III D Facilities

Phase III D is to design and construct an interceptor that will store flow during a storm and later release the flow into the system as capacity allows. In addition, GSI facilities will be constructed to reduce storm water inflow to the combined sewer system. Storm sewers will be constructed to separate stormwater flow from the combined sewer.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 83,500	\$ 83,500

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,110	\$ 1,110
Land	-	-	-	-	-	-	-	1,000	1,000
A/E Professional	-	-	-	-	-	-	-	8,000	8,000
Other	-	-	-	-	-	-	-	3,070	3,070
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 13,180</b>	<b>\$ 13,180</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,010	\$ 1,010
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	-	-	-	-	-	-	-	67,760	67,760
Contingency	-	-	-	-	-	-	-	1,320	1,320
Other	-	-	-	-	-	-	-	230	230
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 70,320</b>	<b>\$ 70,320</b>

Note: Cash Flow Basis in Thousands

# 12400

## IM Facilities

Project Manager: David Bowen, P.E.  
 Contractor(s): N/A

Location: Field's Point (Providence, RI)  
 Project Priority: C

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	July-22	May-24	22 Months	\$608
Construction	April-24	June-26	26 Months	6,287
<b>Total Project</b>	<b>July-22</b>	<b>June-26</b>	<b>47 Months</b>	<b>\$6,895</b>



*Photo: Interceptor Maintenance Building*

This project involves the design and construction of a new building that would be needed if NBC is required by legislation to assume ownership of lateral sewers currently owned by local communities within its district. The building will include an administrative area as well as a garage and storage yard.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ -	\$ -	\$ 226	\$ 384	\$ 2,491	\$ 3,794	\$ -	\$ 6,895

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ 51	\$ 37	\$ -	\$ -	\$ -	\$ 88
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	175	325	-	-	-	500
Other	-	-	-	-	20	-	-	-	20
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 226</b>	<b>\$ 382</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 608</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ 2	\$ 180	\$ 180	\$ -	\$ 362
A/E Professional	-	-	-	-	-	36	29	-	65
Construction	-	-	-	-	-	2,200	2,800	-	5,000
Contingency	-	-	-	-	-	-	750	-	750
Other	-	-	-	-	-	75	35	-	110
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 2</b>	<b>\$ 2,491</b>	<b>\$ 3,794</b>	<b>\$ -</b>	<b>\$ 6,287</b>

Note: Cash Flow Basis in Thousands



# 12450

## IM Storage Building

Project Manager: David Bowen, P.E.  
 Contractor(s): TBD

Location: Fields Point WWTF  
 Project Priority: D

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	March-20	September-21	18 Months	\$354
Construction	October-21	March-23	17 Months	3,303
<b>Total Project</b>	<b>March-20</b>	<b>March-23</b>	<b>37 Months</b>	<b>\$3,657</b>



Photo: IM Storage Building

This project involves the planning, design and construction of a new IM Storage Building and related support systems at the Field's Point campus, due to aging infrastructure concerns and inefficient storage facilities for the IM department's vehicles, equipment and material storage needs. While not critical to FPWWTF operations, the new facility will improve efficiency of required collection system and pumping station maintenance support services and IM Department storage needs.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 8	\$ 298	\$ 723	\$ 2,628	\$ -	\$ -	\$ -	\$ -	\$ 3,657

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 8	\$ 36	\$ 8	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 52
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	210	40	-	-	-	-	-	250
Other	-	52	-	-	-	-	-	-	52
<b>Total</b>	<b>\$ 8</b>	<b>\$ 298</b>	<b>\$ 48</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 354</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ 77	\$ 113	\$ -	\$ -	\$ -	\$ -	\$ 190
A/E Professional	-	-	73	90	-	-	-	-	163
Construction	-	-	500	2,000	-	-	-	-	2,500
Contingency	-	-	-	375	-	-	-	-	375
Other	-	-	25	50	-	-	-	-	75
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 675</b>	<b>\$ 2,628</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 3,303</b>

Note: Cash Flow Basis in Thousands

# 30500

## NBC Interceptor Easements Restoration, Various Locations

Project Manager: David Bowen, P.E.  
 Contractor(s): N/A

Location: NBC Service Area  
 Project Priority: B

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	September-20	November-21	14 Months	\$439
Construction	November-21	March-23	15 Months	899
<b>Total Project</b>	<b>September-20</b>	<b>March-23</b>	<b>30 Months</b>	<b>\$1,338</b>



Photo: Easement clearing

This project involves verification of easement locations and clearing the easements in overland areas to ensure sufficient access and enable NBC to maintain the integrity of the collection system.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ 267	\$ 494	\$ 577	\$ -	\$ -	\$ -	\$ -	\$ 1,338

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ 47	\$ 27	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 74
Land	-	25	25	-	-	-	-	-	50
A/E Professional	-	185	115	-	-	-	-	-	300
Other	-	10	5	-	-	-	-	-	15
<b>Total</b>	<b>\$ -</b>	<b>\$ 267</b>	<b>\$ 172</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 439</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ 34	\$ 41	\$ -	\$ -	\$ -	\$ -	\$ 75
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	-	-	266	436	-	-	-	-	702
Contingency	-	-	-	75	-	-	-	-	75
Other	-	-	22	25	-	-	-	-	47
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 322</b>	<b>\$ 577</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 899</b>

Note: Cash Flow Basis in Thousands

# 30610

## NBC System-wide Regulator Modifications

Project Manager: David Bowen, P.E.  
 Contractor(s): TBD

Location: Fields Point WWTF  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	March-20	July-21	16 Months	\$449
Construction	August-21	June-23	22 Months	2,572
<b>Total Project</b>	<b>March-20</b>	<b>June-23</b>	<b>39 Months</b>	<b>\$3,021</b>



Photo: OF 056 Regulator on Vandewater Street

This project involves the planning, design and construction of various regulator structure modifications to address known hydraulic capacity limitations within the NBC collection system. Regulator structure and gravity piping system modifications are needed to eliminate surcharging at Pitman Street, Silver Spring, Vandewater and other miscellaneous locations throughout the century old combined sewer system.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 13	\$ 419	\$ 641	\$ 1,948	\$ -	\$ -	\$ -	\$ -	\$ 3,021

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 11	\$ 34	\$ 2	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 47
Land	-	150	-	-	-	-	-	-	150
A/E Professional	-	185	15	-	-	-	-	-	200
Other	2	50	-	-	-	-	-	-	52
<b>Total</b>	<b>\$ 13</b>	<b>\$ 419</b>	<b>\$ 17</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 449</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ 89	\$ 103	\$ -	\$ -	\$ -	\$ -	\$ 192
A/E Professional	-	-	55	75	-	-	-	-	130
Construction	-	-	450	1,550	-	-	-	-	2,000
Contingency	-	-	-	200	-	-	-	-	200
Other	-	-	30	20	-	-	-	-	50
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 624</b>	<b>\$ 1,948</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 2,572</b>

Note: Cash Flow Basis in Thousands

# 70900

## Omega Pump Station Upgrade

Project Manager: David Bowen, P.E.  
 Contractor(s): TBD

Location: Omega Pump Station, East Providence, RI  
 Project Priority: B

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	March-20	October-21	19 Months	\$267
Construction	October-21	July-23	21 Months	1,933
<b>Total Project</b>	<b>March-20</b>	<b>July-23</b>	<b>40 Months</b>	<b>\$2,200</b>



Photo: Omega Pump Station

This project involves the evaluation, design and replacement of pumps, piping and valves at the Omega Pump Station, which were originally built in the 1950's and are nearing the end of their useful life. New screening and grit technology will shred and reduce the size of coarse solid materials of the wastewater and facilitate transport to the wastewater treatment facility. Additionally, the new technology will provide for the upgrade of the pump station to improve reliability of the motor control center and streamline operations.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 8	\$ 220	\$ 635	\$ 1,334	\$ 3	\$ -	\$ -	\$ -	\$ 2,200

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 8	\$ 40	\$ 14	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 62
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	150	25	-	-	-	-	-	175
Other	-	30	-	-	-	-	-	-	30
<b>Total</b>	<b>\$ 8</b>	<b>\$ 220</b>	<b>\$ 39</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 267</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ 40	\$ 38	\$ -	\$ -	\$ -	\$ -	\$ 78
A/E Professional	-	-	46	51	3	-	-	-	100
Construction	-	-	500	1,000	-	-	-	-	1,500
Contingency	-	-	-	225	-	-	-	-	225
Other	-	-	10	20	-	-	-	-	30
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 596</b>	<b>\$ 1,334</b>	<b>\$ 3</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 1,933</b>

Note: Cash Flow Basis in Thousands

# 71000

## Lincoln Septage Station Replacement

Project Manager: David Bowen, P.E.  
 Contractor(s): TBD

Location: Lincoln, RI  
 Project Priority: B

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	May-20	October-21	17 Months	\$377
Construction	September-21	August-23	23 Months	3,317
<b>Total Project</b>	<b>May-20</b>	<b>August-23</b>	<b>39 Months</b>	<b>\$3,694</b>



Photo: Septage Receiving Station

The existing Lincoln Septage Receiving Station has reached the end of its useful life and needs to be replaced. This project includes design and construction of a new septage receiving station equipped with a screening mechanism and sample collection capabilities in accordance with NBC's Standard Operating Procedures for monitoring septage.

### CIP Window Summary

	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
	\$ 4	\$ 273	\$ 749	\$ 2,507	\$ 161	\$ -	\$ -	\$ -	\$ 3,694

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 4	\$ 40	\$ 9	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 53
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	188	73	-	-	-	-	-	261
Other	-	45	18	-	-	-	-	-	63
<b>Total</b>	<b>\$ 4</b>	<b>\$ 273</b>	<b>\$ 100</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 377</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ 47	\$ 69	\$ 11	\$ -	\$ -	\$ -	\$ 127
A/E Professional	-	-	42	38	-	-	-	-	80
Construction	-	-	550	2,100	150	-	-	-	2,800
Contingency	-	-	-	280	-	-	-	-	280
Other	-	-	10	20	-	-	-	-	30
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 649</b>	<b>\$ 2,507</b>	<b>\$ 161</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 3,317</b>

Note: Cash Flow Basis in Thousands

## 304 M Summary

### Interceptor Inspection and Cleaning

Project Manager: Mike Caruolo, P.E.  
Contractor(s): Various

Location: NBC Service Area  
Project Priority: B

#### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	N/A	N/A	N/A	N/A
Inspection and Cleaning	July-09	Ongoing	Ongoing	4,288
<b>Total Project</b>	<b>July-09</b>	<b>Ongoing</b>	<b>Ongoing</b>	<b>\$4,288</b>



Photo: Interceptor Grit Removal

The 304 M project includes the inspection and cleaning of interceptors in order to maintain NBC's infrastructure and collection system. The inspections determine pipe condition and identify infrastructure issues. NBC allocates \$500 thousand annually for inspections and cleaning in years that do not have specific projects identified to ensure resources are available. As new inspection and cleaning projects are identified, they will be given a unique project number.

CIP Window Summary	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
	\$ 576	\$ 712	\$ 500	\$ 500	\$ 500	\$ 500	\$ 500	\$ 500	\$ 4,288

#### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

#### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

#### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 35	\$ 49	\$ 55	\$ 55	\$ 55	\$ 55	\$ 55	\$ 55	\$ 414
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	468	542	370	370	370	370	370	370	3,230
Contingency	-	51	-	-	-	-	-	-	51
Other	73	70	75	75	75	75	75	75	593
<b>Total</b>	<b>\$ 576</b>	<b>\$ 712</b>	<b>\$ 500</b>	<b>\$ 500</b>	<b>\$ 500</b>	<b>\$ 500</b>	<b>\$ 500</b>	<b>\$ 500</b>	<b>\$ 4,288</b>

Note: Cash Flow Basis in Thousands

# 30400C

## Interceptor Restoration and Construction

Project Manager: Rich Bernier, P.E.  
 Contractor(s): Various

Location: NBC Service Area  
 Project Priority: B

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	N/A	N/A	N/A	N/A
Construction	July-01	Ongoing	Ongoing	7,500
<b>Total Project</b>	<b>July-01</b>	<b>Ongoing</b>	<b>Ongoing</b>	<b>\$7,500</b>



Photo: Proposed portion of Lincoln Interceptor Replacement

Project 30400C consists of funding programmed for potential restoration and construction to correct issues such as structural damage, aging or inaccessible infrastructure, odor control and emergency situations. NBC allocates \$1.5 million annually for interceptor restoration and construction, in years that do not have specific projects identified to ensure resources are available. As new projects are identified, they will be given a unique project number.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ -	\$ -	\$ -	\$ 1,500	\$ 1,500	\$ 1,500	\$ 1,500	\$ 1,500	\$ 7,500

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ 75	\$ 75	\$ 75	\$ 75	\$ 75	\$ 375
A/E Professional	-	-	-	5	5	5	5	5	25
Construction	-	-	-	1,250	1,250	1,250	1,250	1,250	6,250
Contingency	-	-	-	150	150	150	150	150	750
Other	-	-	-	20	20	20	20	20	100
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 1,500</b>	<b>\$ 1,500</b>	<b>\$ 1,500</b>	<b>\$ 1,500</b>	<b>\$ 1,500</b>	<b>\$ 7,500</b>

Note: Cash Flow Basis in Thousands

# 30315

## CSO Phase II - WCSOI OF 046

Project Manager: Kathryn Kelly, P.E.  
 Contractor(s): TBD

Location: Providence  
 Project Priority: B

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	N/A	N/A	N/A	N/A
Construction	April-18	April-22	49 Months	\$3,915
<b>Total Project</b>	<b>April-18</b>	<b>April-22</b>	<b>49 Months</b>	<b>\$3,915</b>



Photo: Surcharge area at Kinsley Ave, Providence

This project includes construction of facilities to eliminate surcharging from the Woonasquatucket CSO Interceptor during extreme wet weather events.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 317	\$ 878	\$ 2,720	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 3,915

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 37	\$ 47	\$ 78	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 162
A/E Professional	251	233	-	-	-	-	-	-	484
Construction	15	466	2,332	-	-	-	-	-	2,813
Contingency	-	62	310	-	-	-	-	-	372
Other	14	70	-	-	-	-	-	-	84
<b>Total</b>	<b>\$ 317</b>	<b>\$ 878</b>	<b>\$ 2,720</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 3,915</b>

Note: Cash Flow Basis in Thousands



# 30421

## Louisquisset Pike Interceptor Improvements

Project Manager: David Bowen, P.E.  
 Contractor(s): N/A

Location: Lincoln, RI  
 Project Priority: D

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	May-07	May-09	24 Months	\$178
Construction	February-21	June-22	16 Months	4,794
<b>Total Project</b>	<b>May-07</b>	<b>June-22</b>	<b>181 Months</b>	<b>\$4,972</b>



Photo: Louisquisset Pike in Lincoln

This project involves the construction of a larger diameter interceptor in the northern section of the Town of Lincoln. The larger capacity pipe will accommodate the additional flow resulting from expected development.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 178	\$ 29	\$ 4,765	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,972

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 23	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 23
Land	-	-	-	-	-	-	-	-	-
A/E Professional	155	-	-	-	-	-	-	-	155
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ 178</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 178</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ 20	\$ 121	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 141
A/E Professional	-	9	44	-	-	-	-	-	53
Construction	-	-	4,000	-	-	-	-	-	4,000
Contingency	-	-	600	-	-	-	-	-	600
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ 29</b>	<b>\$ 4,765</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 4,794</b>

Note: Cash Flow Basis in Thousands

30444

# Moshassuck Valley Interceptor

Project Manager: Rich Bernier, P.E.  
 Contractor(s): N/A

Location: Central Falls, RI  
 Project Priority: A

## Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	January-12	January-18	73 Months	\$504
Construction	February-18	October-20	32 Months	12,798
<b>Total Project</b>	<b>January-12</b>	<b>October-20</b>	<b>105 Months</b>	<b>\$13,302</b>



Photo: Construction on the Moshassuck Valley Interceptor

An inspection of the Moshassuck Valley Interceptor from Higginson Street in Central Falls to Lockbridge Street in Pawtucket revealed that this line has sunk from its original grade at numerous points by as much as 2.5 feet. This project involves the design and construction of a new sewer to replace the existing sewer and replace approximately 1,300 linear feet of 48" defective pipe, line approximately 1,400 linear feet of 48" pipe and replace approximately 1,800 linear feet of 48" drain pipe (along with site restoration).

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 12,279	\$ 1,023	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 13,302

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 79	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 79
Land	95	-	-	-	-	-	-	-	95
A/E Professional	324	-	-	-	-	-	-	-	324
Other	6	-	-	-	-	-	-	-	6
<b>Total</b>	<b>\$ 504</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 504</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 484	\$ 31	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 515
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	11,180	992	-	-	-	-	-	-	12,172
Contingency	109	-	-	-	-	-	-	-	109
Other	2	-	-	-	-	-	-	-	2
<b>Total</b>	<b>\$ 11,775</b>	<b>\$ 1,023</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 12,798</b>

Note: Cash Flow Basis in Thousands

# 30467

## Improvements to Interceptors FY 2019

Project Manager: Rich Bernier, P.E.  
 Contractor(s): Insituform

Location: Providence, East Providence and Johnston  
 Project Priority: A

### Total Project Duration/Cost

<u>Project Phase</u>	<u>Start Date</u>	<u>Completion Date</u>	<u>Project Duration</u>	<u>Cost (in Thousands)</u>
Planning	N/A	N/A	N/A	N/A
Design	N/A	N/A	N/A	N/A
Construction	January-19	April-21	27 Months	\$3,607
<b>Total Project</b>	<b>January-19</b>	<b>April-21</b>	<b>27 Months</b>	<b>\$3,607</b>



Photo: Rehabilitation of Interceptors

This project consists of lining various diameter interceptors ranging from 8" to 42" and the rehabilitation of various manholes throughout the NBC service area.

### CIP Window Summary

Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
\$ 3,133	\$ 474	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 3,607

### Projected Expenditures - Planning

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Design

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Land	-	-	-	-	-	-	-	-	-
A/E Professional	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-
<b>Total</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

### Projected Expenditures - Construction

Cost Category	Pre FY 21	FY 21	FY 22	FY 23	FY 24	FY 25	FY 26	Post FY 26	Total
Administrative	\$ 277	\$ 20	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 297
A/E Professional	-	-	-	-	-	-	-	-	-
Construction	2,850	100	-	-	-	-	-	-	2,950
Contingency	-	354	-	-	-	-	-	-	354
Other	6	-	-	-	-	-	-	-	6
<b>Total</b>	<b>\$ 3,133</b>	<b>\$ 474</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 3,607</b>

Note: Cash Flow Basis in Thousands



# CIP Impact and Long-Term Plan

This year's CIP identifies a total of 51 projects that are either in progress, to be initiated, or to be completed during FY 2021-2026. The costs for this year's CIP window are \$606.0 million, with additional expenditures of \$52.7 million in FY 2021 for a total of \$658.7 million. The majority or 85% of the expenditures are related to the third and final phase of the Combined Sewer Overflow (CSO) Abatement Facilities.

## CIP Impact on Operating Budget

Certain capital improvements will directly impact the operating budget either through increased revenue, increased expense, or savings. NBC has identified these impacts on a project by project basis. The following table describes the impact categories and should be used to interpret the figures in the detailed operating impact tables in this section of the Budget.

Impact	Description	Reflection in Tables
<b>Savings</b>	A reduction in operating costs resulting from no longer operating facilities, reduced energy consumption, and/or the purchase of electricity	Shown as a reduction in Operating Costs
<b>Increased Expense</b>	An increase in operating costs resulting from new facilities becoming operational	Shown as an increase in Operating Costs
<b>Increased Revenue</b>	An increase in revenue through new user charges, incentives, and/or the sale of Renewable Energy Credits	Shown as an increase in Operating Revenue or Non-Operating Revenue

## FY 2022-2026 Revenue and Expense Impacts

The following table summarizes the projected impact of new capital projects scheduled to become operational in FY 2022-2026. Projects that involve inspection, studies, cleaning and rehabilitation generally do not have operating cost impacts and are excluded from this list. In FY 2026, the estimated impact as a result of these projects is an increased annual revenue of \$272,110, savings of \$224,333 and an increase in expense of \$50,853. Projects with revenue, savings or expense impacts are discussed in the following section.

	Incremental CIP Impacts					
	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026
<b>Increased Revenue</b>						
NBC Solar Carport	\$ 3,500	\$ 3,500	\$ 3,500	\$ 3,500	\$ 3,500	\$ 3,500
Louisquisset Pike Interceptor Replacement	-	22,384	268,610	268,610	268,610	268,610
<b>Revenue Impact</b>	<b>\$ 3,500</b>	<b>\$ 25,884</b>	<b>\$ 272,110</b>	<b>\$ 272,110</b>	<b>\$ 272,110</b>	<b>\$ 272,110</b>
<b>Savings</b>						
BPWWTF UV Disinfection Improvements	\$ -	\$ -	\$ -	\$(197,048)	\$(197,048)	\$(197,048)
NBC Solar Carport	(27,285)	(27,285)	(27,285)	(27,285)	(27,285)	(27,285)
<b>Subtotal</b>	<b>\$(27,285)</b>	<b>\$(27,285)</b>	<b>\$(27,285)</b>	<b>\$(224,333)</b>	<b>\$(224,333)</b>	<b>\$(224,333)</b>
<b>Increased Expense</b>						
NBC Solar Carport	2,990	2,990	2,990	2,990	2,990	2,990
New IM Facilities	-	-	-	-	-	10,859
FPWWTF Maintenance Facilities	-	-	-	10,949	65,694	65,694
BPWWTF UV Disinfection Improvements	-	-	-	8,548	8,548	8,548
BPWWTF Improvements	-	-	-	2,498	3,330	3,330
BPWWTF Operations and Maintenance Buildings	-	-	122,510	183,765	183,765	183,765
<b>Subtotal</b>	<b>2,990</b>	<b>2,990</b>	<b>125,500</b>	<b>208,750</b>	<b>264,327</b>	<b>275,186</b>
<b>Expense Impact</b>	<b>\$(24,295)</b>	<b>\$(24,295)</b>	<b>\$ 98,215</b>	<b>\$ (15,583)</b>	<b>\$ 39,994</b>	<b>\$ 50,853</b>

### Louisquisset Pike Interceptor Replacement

The Louisquisset Pike Interceptor Replacement Project (30421) is scheduled to be completed in FY 2022. The project involves construction of a larger replacement interceptor in the northern section of the Town of Lincoln to accommodate additional flow. Preliminary estimates indicate that the flow will generate additional sewer user fee revenue of \$268,610 annually. The estimated annual operating expense is \$10,000 for ongoing maintenance of the collection system estimated to begin in FY 2027. There are no start-up costs associated with the construction of this interceptor.

Louisquisset Pike Interceptor Replacement					
		Savings		Increased Expense	Increased Revenue
User Fees	\$	-	\$	-	\$ 268,610
Maintenance		-		10,000	-
<b>Total</b>	<b>\$</b>	<b>-</b>	<b>\$</b>	<b>10,000</b>	<b>\$ 268,610</b>

### BPWWTF UV Disinfection Improvements

The BPWWTF UV Disinfection Improvements Project (81000) involves replacement of the aging UV disinfection system with new and more efficient technology along with the design and construction of a new building to contain the system. It is estimated that the new technology will use 1.7 million kWh less per year and will also require less maintenance, resulting in estimated savings of \$197,048 annually. The estimated operating expense to heat the new building will be approximately \$8,548 annually. Completion of this project is scheduled for FY 2024.

BPWWTF UV Disinfection Improvements					
		Savings		Increased Expense	Increased Revenue
Electricity	\$	(191,648)	\$	-	\$ -
Natural Gas		-		8,548	-
Maintenance		(5,400)		-	-
<b>Total</b>	<b>\$</b>	<b>(197,048)</b>	<b>\$</b>	<b>8,548</b>	<b>\$ -</b>

### NBC Solar Carport

The NBC Solar Carport Project (14000) involves the evaluation, design and construction of a solar carport in the Water Quality Science Building parking lot. This project would serve as an additional renewable energy sources to help NBC achieve its goal of 100% renewable energy resources for NBC. It is estimated that the solar carport will generate additional annual revenue of \$3,500 from the sale of Renewable Energy Credits and save approximately \$27,285 annually in electricity expense. Completion of this project is scheduled for FY 2021.

NBC Solar Carport					
		Savings		Increased Expense	Increased Revenue
RECs Solar	\$	-	\$	-	\$ 3,500
Electricity		(27,285)		-	-
Maintenance		-		2,990	-
<b>Total</b>	<b>\$</b>	<b>(27,285)</b>	<b>\$</b>	<b>2,990</b>	<b>\$ 3,500</b>

### New IM Facilities

The IM Facilities Project (12400) is scheduled for completion in FY 2026. This project includes the construction of a new building that will be necessary if NBC is required by legislation to assume ownership of lateral sewers currently owned by local municipalities within the service area. The new building will include an administrative area, garage area and storage yard to house the existing IM staff and equipment. The increased expense associated with the new building is approximately \$130,307 annually for utilities and maintenance costs. All project startup costs, such as staff and equipment relocation are included in the project cost.

New IM Facilities					
		Savings		Increased Expense	Increased Revenue
Electricity	\$	-	\$	27,750	\$ -
Natural Gas		-		60,022	-
Water		-		10,500	-
Maintenance		-		32,036	-
<b>Total</b>	<b>\$</b>	<b>-</b>	<b>\$</b>	<b>130,307</b>	<b>\$ -</b>

### FPWWTF Maintenance Facilities

The FPWWTF Maintenance Facilities Project (13200) involves the design and construction of a new maintenance building and facilities at Field's Point. While not critical to plant operations, it will improve efficiency in maintenance support, since the existing maintenance building was originally built in 1900 and is insufficient to meet the needs of operations. The new facilities are scheduled for completion in FY 2024 and estimated to have increased expense of \$65,694 for utilities.

FPWWTF Maintenance Facilities					
		Savings		Increased Expense	Increased Revenue
Electricity	\$	-	\$	19,821	\$ -
Natural Gas		-		42,873	-
Water		-		3,000	-
<b>Total</b>	<b>\$</b>	<b>-</b>	<b>\$</b>	<b>65,694</b>	<b>\$ -</b>

### BPWWTF Operations Building and Maintenance Storage Building

The BPWWTF Operations Building and Maintenance/Storage Building Project (81700) involves the design and construction of a new Operations Building and a Maintenance/Storage Building at the Bucklin Point campus.

The Operations Building will contain additional office space, training and locker rooms, and the SCADA Control Room. The increased expense associated with the new building is approximately \$118,071 annually for utilities and maintenance costs. All project startup costs, such as staff and equipment relocation are included in the project cost.

BPWWTF New Operations Building					
		Savings		Increased Expense	Increased Revenue
Electricity	\$	-	\$	27,750	\$ -
Natural Gas		-		60,022	-
Water		-		3,000	-
Maintenance		-		27,300	-
<b>Total</b>	<b>\$</b>	<b>-</b>	<b>\$</b>	<b>118,071</b>	<b>\$ -</b>

The Maintenance/Storage Building will improve the efficiency of the plant maintenance services necessary to ensure the reliable operation and performance of critical infrastructure systems. The increased annual expense associated with this new building is approximately \$65,694 for utilities.

BPWWTF New Maintenance/Storage Building					
		Savings		Increased Expense	Increased Revenue
Electricity	\$	-	\$	19,821	\$ -
Natural Gas		-		42,873	-
Water		-		3,000	-
<b>Total</b>	<b>\$</b>	<b>-</b>	<b>\$</b>	<b>65,694</b>	<b>\$ -</b>

### BPWWTF Improvements

The BPWWTF Improvements Project (81600) involves miscellaneous improvements and upgrades to the Bucklin Point WWTF and will include the installation of a new redundant standby power generator. The increased expense is approximately \$3,300 annually for maintenance of the new generator.

BPWWTF Improvements					
		Savings		Increased Expense	Increased Revenue
Maintenance	\$	-	\$	3,330	\$ -
<b>Total</b>	<b>\$</b>	<b>-</b>	<b>\$</b>	<b>3,330</b>	<b>\$ -</b>

### Projects in Progress or Initiated but Not Completed in FY 2022-2026

#### CSO Phase III Facilities

The CSO Phase III Facilities are to be completed in four phases including A, B, C and D. CSO Phase III A operating impacts are estimated to commence in FY 2027 when the new facilities are projected to be operational. Increased expense of \$1.2 million includes electricity to pump flow and provide dehumidification in the tunnel pump station, natural gas for heating, screening and grit disposal, biosolids disposal, water, chemicals, maintenance and labor costs. The start-up costs are included in this project phase.

The operating impacts of the remaining three phases will be determined once the design plans are available.

CSO Phase III Facilities					
Capital Project	Facilities Online	Savings		Increased Expense	Increased Revenue
<b>CSO Phase III A Facilities</b>					
Electricity	FY 2027	\$ -	\$	821,370	\$ -
Natural Gas	FY 2027	-		69,229	-
Screening & Grit	FY 2027	-		57,300	-
Biosolids	FY 2027	-		219,465	-
Water	FY 2027	-		968	-
Hypochlorite	FY 2027	-		12,110	-
Sodium Bisulfite	FY 2027	-		4,942	-
Maintenance	FY 2027	-		29,033	-
Personnel	FY 2027	-		9,811	-
<b>Total</b>		<b>\$ -</b>	<b>\$</b>	<b>1,224,227</b>	<b>\$ -</b>
<b>CSO Phase III B Facilities</b>	FY 2031	None		TBD	None
<b>CSO Phase III C Facilities</b>	FY 2037	None		TBD	None
<b>CSO Phase III D Facilities</b>	FY 2042	None		TBD	None



## Capital Funding and Debt Service Impact

In addition to operating cost impacts, the debt service related to financing the NBC’s capital improvement program also impacts the operating budget. NBC’s operating budget includes the principal and interest payments as well as a Transfer to the Project Fund - Restricted Account. While NBC has other CIP financing sources, NBC primarily finances the capital improvement program through the issuance of long-term debt.

NBC uses a long-term financial model to identify capital funding needs and sources and to project debt issuance. The debt service and user fee projections associated with financing the CIP are identified later in this section of the Operating Budget. The CIP funding sources, uses and debt service impacts are discussed in the following section.

### Funding Sources

NBC has identified eight sources of capital funding as well as unfunded items as follows:

Funding Source	Description
Restricted Account – Operating Capital	Transfers from the Stabilization Account in the Debt Service Fund
Restricted account – CIP	Transfers from the Stabilization Account in the Debt Service Fund
Grant and Project Reimbursement Account	Reimbursements of capital costs from grants, impact fees, etc.
2019 Series A (SRF)	Unspent proceeds from the 2019 Series A RIIB Loan
WIFIA – CSO Phase III A Facilities	\$268.7 million Loan from USEPA
WIFIA – Bucklin Point Resiliency Imp.	Anticipated \$33.4 million Loan from USEPA
New SRF Revenue Bonds	New borrowings through the RIIB
New Revenue Bonds	New NBC Revenue Bonds (taxable or tax-exempt)
Unfunded	Projects not considered a high priority or other unfunded CIP

#### Restricted Account – Operating Capital

In accordance with the Trust Indenture and the directives of the Rhode Island Public Utilities Commission (PUC), NBC makes monthly deposits into the Stabilization Account in the Debt Service Fund. Subsequent to fiscal year end, a calculation is performed to determine the funds that may be transferred from the Stabilization Account to the Restricted Account – Operating Capital to fund the budgeted operating capital.

#### Restricted Account – CIP

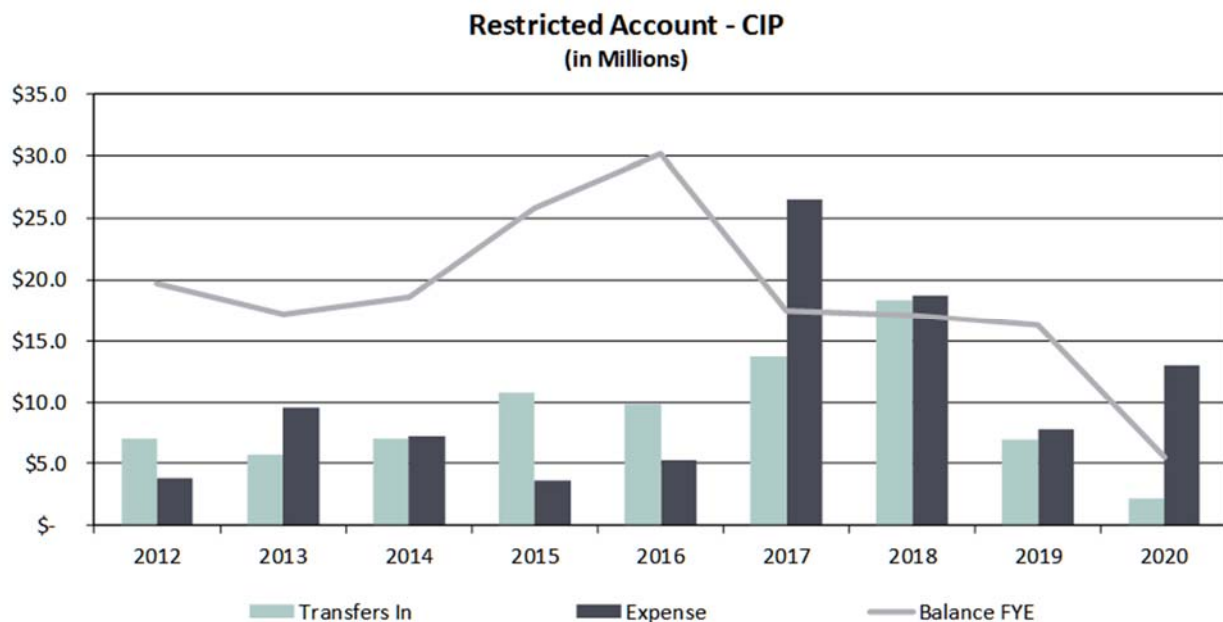
In accordance with the Trust Indenture and the directives of the PUC, NBC makes monthly deposits into the Stabilization Account in the Debt Service Fund. Subsequent to fiscal year end, a calculation is performed to determine the funds that may be transferred from the Stabilization Account to the Restricted Account – CIP in the Project Fund to finance “pay-as-you-go” capital. NBC typically uses these funds for interceptor cleaning and inspection, studies, land and other projects that may not be eligible for funding from the RIIB. NBC also plans to use these funds to meet NBC’s share of the funding requirement for the WIFIA loan for the CSO Phase III A Facilities.

Through April 2020, NBC funded approximately \$9.5 million in capital improvements from the Restricted Account - CIP. This included costs of \$2.1 million for WWTF Improvements, \$6.1 million for CSO Phase III A Facilities, \$0.8 million for collection system infrastructure and \$0.5 million on other capital projects. A listing of the projects and amounts that were funded with Restricted Account – CIP funds in FY 2020 is shown in the following table.

Restricted Account - CIP Expenditures*	
Major Project	Amount
WWTF Improvements	\$ 2,137,913
CSO Phase III A Facilities	6,119,385
Collection System Infrastructure	750,941
Other	513,080
<b>Total</b>	<b>\$ 9,521,319</b>

\* Based on 10 months, through April 2020

The projected Restricted Account – CIP balance available on July 1, 2020 is \$5.5 million. NBC estimates a transfer into the Stabilization Account of \$14.4 million in FY 2021. From this amount, \$3.8 million will be used for operating capital and NBC will retain a minimum reserve balance of \$5.0 million bringing the Restricted Account – CIP balance available for capital projects in FY 2021 to \$11.0 million. The following chart shows the investment earnings and transfers into the Restricted Account - CIP, Capital Projects expense and the Fiscal Year End (FYE) Restricted Account – CIP balance by fiscal year.



#### Grant and Project Reimbursement Account

The Grant and Project Reimbursement Account is in the Project Fund. In accordance with the Trust Indenture, Federal or State grants or reimbursements, funds withdrawn from the Renewal and Replacement Reserve Fund (not presently funded by NBC), and certain other amounts are deposited into the Grant and Project Reimbursement Account and are used to fund capital improvements. The projected balance in this account on July 1, 2020 is \$7.0 million. NBC estimates receipt of approximately \$0.9 million in grants and reimbursements in FY 2021 bringing the balance available during the year to \$7.9 million. NBC plans to use these funds for land acquisition, WIFIA Cost of Issuance, and other capital projects not eligible for RIIB or WIFIA funding.

#### State Revolving Fund Loans – RIIB

NBC's least cost of debt financing historically has been through the RIIB. The RIIB provides subsidized loans to eligible borrowers with interest rates that are 1/3 off of the market rate. In some instances, these loans include an additional subsidy through a principal forgiveness component. Typically, NBC submits a loan application in April for a loan that will be executed in June of the following year. In order for a project to be eligible for SRF

funding, the project must be listed in the application and on the RIDEM's Project Priority List. In order for a project cost to be eligible for payment, NBC must receive a Certificate of Approval (COA) from RIDEM. NBC does not directly receive the loan proceeds, rather the invoices are submitted to RIIB for payment.

The table below shows the SRF Expenditures through April 2020. In FY 2020, NBC expended the remaining 2019 Series B proceeds of \$7.3 million as well as 2019 Series A proceeds of \$19.3 million. The majority, or \$17.1 million, was spent on the CSO Phase III A Facilities. NBC projects unexpended SRF 19 Series A proceeds of \$3.5 million will be available in FY 2021.

SRF - CIP Expenditures*		
Major Project	2019 Series A	2019 Series B
CSO Phase III A Facilities	\$ 9,721,260	\$ 7,333,219
Moshassuck Valley Interceptor	3,498,436	-
Providence River Siphon Replacement	3,360,434	-
Collection System Infrastructure	2,676,429	-
WWTF Improvements	29,976	-
<b>Total</b>	<b>\$ 19,286,536</b>	<b>\$ 7,333,219</b>

\* Based on 10 months, through April 2020

In FY 2020, NBC defeased the 1999 Series and 2001 Series SRF Bonds to eliminate a spike in annual debt service and the associated coverage constraints. As of June 30, 2020, NBC has outstanding debt of \$311.3 million from the RIIB. Below is a chart that shows the outstanding loans by issue and indicates the interest rate and final maturity.

Bond Issue	Interest Rate*	Outstanding June 30, 2020	Final Maturity
2002 Series - \$57.0M	1.07850%	\$ 10,566,104	September 1, 2023
2003 Series - \$40.0M	1.34900%	11,483,000	September 1, 2025
2004 Series B - \$40.0M	1.40400%	12,851,000	September 1, 2025
2005 Series B - \$30.0M	1.39700%	10,228,000	September 1, 2026
2006 Series A - \$30.0M	1.27000%	11,718,000	September 1, 2027
2007 Series B - \$25.0M	1.47500%	13,523,000	September 1, 2029
2009 Series A - \$55.0M	0.87700%	33,990,967	September 1, 2031
2010 Series A - \$2.0M	0.52200%	969,618	September 1, 2030
2010 Series B - \$20.0M	2.14300%	12,315,000	September 1, 2031
2011 Series A - \$30.0M	2.25900%	18,766,016	September 1, 2032
2012 Series A - \$25.75M	2.08800%	17,719,710	September 1, 2033
2013 Series B - \$25.0M	2.09200%	18,449,052	September 1, 2034
2014 Series A - \$45.0M	2.46700%	35,551,000	September 1, 2035
2015 Series B - \$41.7535M	2.54900%	38,103,573	September 1, 2045
2016 Series A - \$23.0M	1.96700%	21,057,000	September 1, 2037
2019 Series A - \$35.0M	1.80000%	34,000,000	September 1, 2039
2020 Series B - \$10.0M	1.41000%	10,000,000	September 1, 2039
		<b>\$ 311,291,041</b>	

\* RIIB loans have a 0.5% service fee

### Water Infrastructure Finance and Innovation Act (WIFIA)

The WIFIA program is administered through the United States Environmental Protection Agency (EPA) and provides flexible, low-interest long-term loans for up to 49% of total project costs. NBC executed a \$268.7 million loan at a rate of 1.89% through the WIFIA program on August 27, 2019 for the CSO Phase III A Facilities. The WIFIA program does not require the initiation of loan repayment until five years after substantial project completion, flexible loan structuring and an attractive low interest rate. NBC submitted a second WIFIA loan application for the Bucklin Point Resiliency Improvements in the amount of \$33.4 million. In addition to the Bucklin Point project, this loan includes 49% of the costs that NBC incurred for the CSO Phase III A Facilities prior to the execution of the first loan and NBC may use those funds for other capital improvements.

Bond Issue	Interest Rate	Outstanding June 30, 2020	Final Maturity
WIFIA CSO Phase III A Facilities	1.89%	<u>\$ 268,710,610</u>	September 1, 2046

Both of the WIFIA loans are structured such that interest will be incurred as the funds are drawn down but payments will not commence until five years after substantial completion. This “capitalized interest” is then added to the outstanding principal and therefore the amount of the loan may be slightly different than these schedules. It is also important to note that NBC’s financial statements shall reflect the outstanding debt based upon the actual draws. The preliminary draws and amortizations of the WIFIA loans for planning purposes are shown in the following table:

Fiscal Year June 30,	CSO Phase III A WIFIA				Outstanding 320,415,528	Bucklin Point WIFIA				Outstanding 37,433,423
	Draws	Principal	Interest	Total		Draws	Principal	Interest	Total	
2021	\$ 8,131,766	\$ -	\$ -	\$ -	\$ 320,415,528	\$18,030,668	\$ -	\$ -	\$ -	\$ 37,433,423
2022	48,786,063	-	-	-	320,415,528	15,363,202	-	-	-	37,433,423
2023	128,608,219	-	-	-	320,415,528	-	-	-	-	37,433,423
2024	83,184,562	-	-	-	320,415,528	-	-	-	-	37,433,423
2025	-	-	-	-	320,415,528	-	-	-	-	37,433,423
2026	-	-	-	-	320,415,528	-	-	-	-	37,433,423
2027	-	-	-	-	320,415,528	-	-	-	-	37,433,423
2028	-	-	-	-	320,415,528	-	-	-	-	37,433,423
2029	-	-	-	-	320,415,528	-	-	-	-	37,433,423
2030	-	-	-	-	320,415,528	-	-	-	-	37,433,423
2031	-	-	-	-	320,415,528	-	-	-	-	37,433,423
2032	-	-	6,055,854	6,055,854	320,415,528	-	130,902	430,108	561,010	37,302,521
2033	-	-	6,055,854	6,055,854	320,415,528	-	130,445	428,604	559,048	37,172,076
2034	-	-	6,055,854	6,055,854	320,415,528	-	129,988	427,105	557,093	37,042,088
2035	-	-	6,055,854	6,055,854	320,415,528	-	129,534	425,611	555,145	36,912,554
2036	-	-	6,055,854	6,055,854	320,415,528	-	129,081	424,123	553,204	36,783,473
2037	-	-	6,055,854	6,055,854	320,415,528	-	128,630	422,640	551,269	36,654,844
2038	-	-	6,055,854	6,055,854	320,415,528	-	128,180	421,162	549,342	36,526,664
2039	-	256,332	6,053,431	6,309,764	320,159,195	-	1,570,669	411,378	1,982,047	34,955,995
2040	-	37,905,157	5,692,805	43,597,962	282,254,038	-	4,882,557	374,222	5,256,779	30,073,438
2041	-	40,436,440	4,952,477	45,388,917	241,817,599	-	7,810,987	301,156	8,112,143	22,262,451
2042	-	41,621,977	4,177,025	45,799,002	200,195,621	-	7,483,581	213,137	7,696,718	14,778,869
2043	-	42,839,556	3,378,863	46,218,420	157,356,065	-	9,123,828	117,552	9,241,380	5,655,041
2044	-	44,121,218	2,557,084	46,678,302	113,234,847	-	5,655,041	32,516	5,687,558	-
2045	-	54,406,557	1,625,997	56,032,553	58,828,290	-	-	-	-	-
	-	58,091,334	562,892	58,654,226	736,956	-	-	-	-	-
	-	736,956	6,964	743,920	-	-	-	-	-	-
	-	-	-	-	-	-	-	-	-	-
<b>Totals</b>	<u>\$ 268,710,610</u>	<u>\$ 320,415,528</u>	<u>\$ 71,398,513</u>	<u>\$ 391,814,041</u>			<u>\$ 37,433,423</u>	<u>\$ 4,429,313</u>	<u>\$ 41,862,736</u>	

## Revenue Bonds

Since the statewide demand for SRF loans has periodically exceeded the RIIB lending capacity, NBC has issued revenue bonds to the extent that SRF funds were not available. In FY 2020, NBC took advantage of a favorable interest rate environment to issue the \$196.34 million 2020 Series A Wastewater System Refunding Bonds (federally taxable) at a true interest cost of 2.516%. The refunding bonds refunded several series of NBC revenue bonds and as a result, NBC realized net present value savings of \$21.7 million.

NBC also took advantage of historic low interest rates to convert the 2008 Series A multi-modal revenue bonds to a fixed rate of 2.29%. The conversion to a fixed rate will eliminate interest rate risk, as well as the remarketing fees and liquidity facility expense.

As a result of these two transactions, NBC projects savings of nearly \$3.0 million in fiscal year 2020 along with lower annual future debt service of approximately \$2.0 million. The table below shows NBC's outstanding revenue bonds by issue and final maturity date.

Bond Issue	Interest Rate	Outstanding June 30, 2020	Final Maturity
2008 Series A - \$66.0M	2.29000%	\$ 56,465,000	September 1, 2034
2013 Series C - \$34.97M	4.68715%	9,300,000	September 1, 2033
2015 Series A - \$40.085M Refunding	4.94207%	3,215,000	February 1, 2037
2020 Series A - \$196.36M Refunding	2.51600%	196,360,000	September 1, 2043
		<b>\$ 265,340,000</b>	

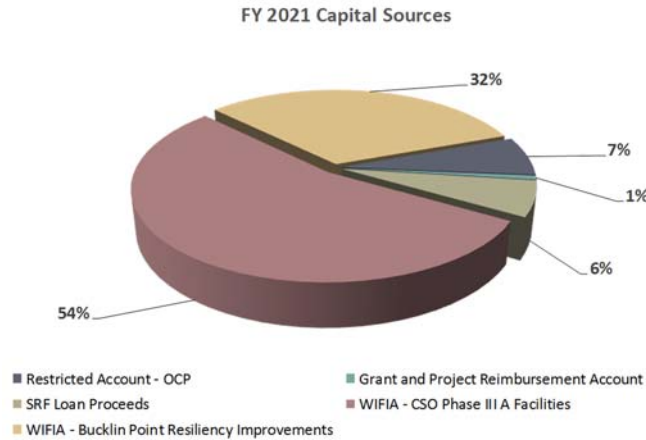
## Funding Uses

NBC must also take into consideration the appropriate uses of capital funds as part of the planning process. NBC has identified five categories of capital funding uses including the CSO Phase III A Facilities, the Bucklin Point Resiliency Improvements, and other capital improvements. For planning purposes, NBC also reflects certain low priority or uncertain projects as unfunded. Other uses categories include operating capital and cost of issuance. The Capital Improvement Program, which includes project detail, as well as the Operating Capital Program, are included in the Capital Budget section of this document. The following table lists each use and description of funds.

Funding Use	Description
Operating Capital	Asset purchases identified in the Operating Capital Program
CSO Phase III A Facilities	Design and construction of the CSO Phase III A Facilities
Bucklin Point Resiliency Improvements	Design and construction of the Bucklin Point Resiliency Project
Other Funded Capital Improvements	Projects identified in the Capital Improvement Program
Unfunded Capital Improvements/Contingency	Unfunded projects or contingency identified in the CIP
Cost of Issuance	Costs associated with debt issuance

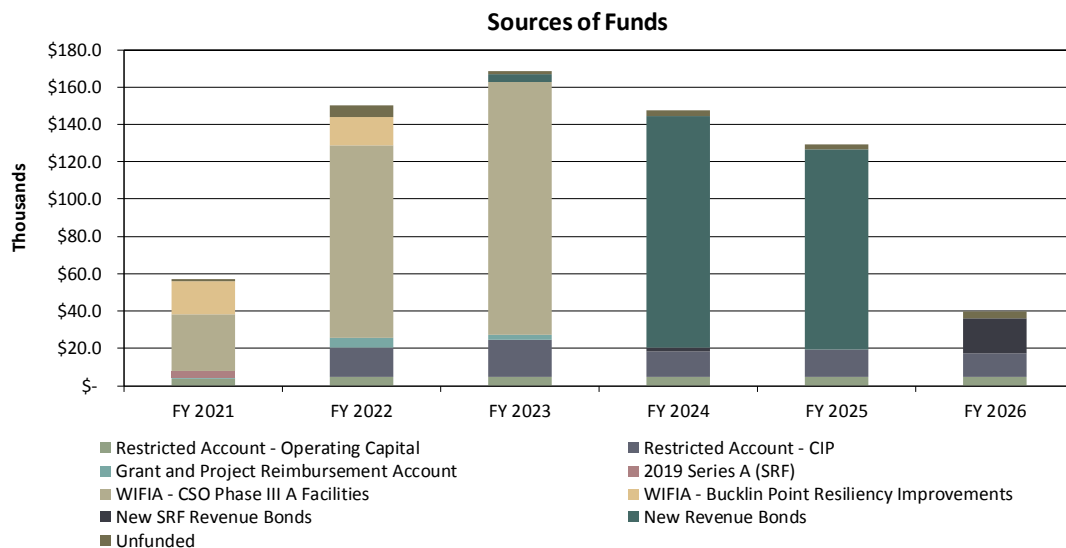
## Programmed Capital Sources

The FY 2021 funded Capital Budget is \$56.1 million. The largest funding source is WIFIA, with \$48.3 million in programmed funding in FY 2021. The following tables and charts show that in FY 2021 NBC plans to fund its Capital Budget with \$3.9 million in Restricted Account – Operating Capital Funds, \$3.5 million in 2019 Series A SRF proceeds, \$30.3 million in WIFIA CSO Phase III A proceeds and \$18.0 million in WIFIA Bucklin Point Resiliency Improvements proceeds. Lastly, \$0.9 million of contingency and/or lower priority project costs in FY 2021 are not funded.



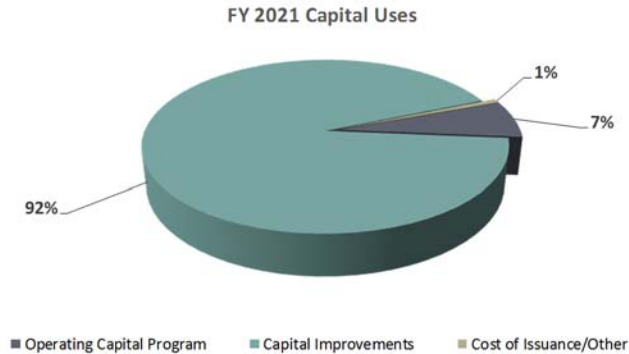
The largest funding source during the period of FY 2021-2026 period is \$302.1 million in WIFIA loans. The next largest funding source is new revenue bond proceeds of \$234.9 million. Revenue bonds were identified in the financial modeling process as having a lower rate impact due to more creative amortization strategies than those traditionally offered through the RIIB. NBC also plans to use \$75.1 million of Restricted Account – CIP funds and \$21.3 million in new SRF funds. There are also \$18.0 million of unfunded CIP projects, \$8.3 million in Grant and Project Reimbursement funds and \$3.5 million in existing SRF funds. Other identified sources of capital funds include the operating capital of \$28.9 million during the FY 2021-2026 period. The table below shows the projected sources of funds in FY 2021-2026.

Sources of Funds (Thousands)	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026	Total FY 2021-2026
<b>Restricted Account - Operating Capital</b>	\$ 3,863	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 28,863
<b>Restricted Account - CIP</b>	-	15,581	19,537	13,218	14,513	12,255	75,104
<b>Grant and Project Reimbursement Account</b>	400	5,000	2,900	-	-	-	8,300
<b>2019 Series A (SRF)</b>	3,500	-	-	-	-	-	3,500
<b>WIFIA - CSO Phase III A Facilities</b>	30,319	102,919	135,473	-	-	-	268,711
<b>WIFIA - Bucklin Point Resiliency Improvements</b>	18,031	15,364	-	-	-	-	33,395
<b>New SRF Revenue Bonds</b>	-	-	-	2,542	-	18,774	21,316
<b>New Revenue Bonds</b>	-	-	4,060	123,805	107,075	-	234,940
<b>Unfunded</b>	878	6,150	1,789	2,763	2,575	3,794	17,949
<b>Total</b>	<b>\$ 56,991</b>	<b>\$ 150,014</b>	<b>\$ 168,759</b>	<b>\$ 147,328</b>	<b>\$ 129,163</b>	<b>\$ 39,823</b>	<b>\$ 692,078</b>



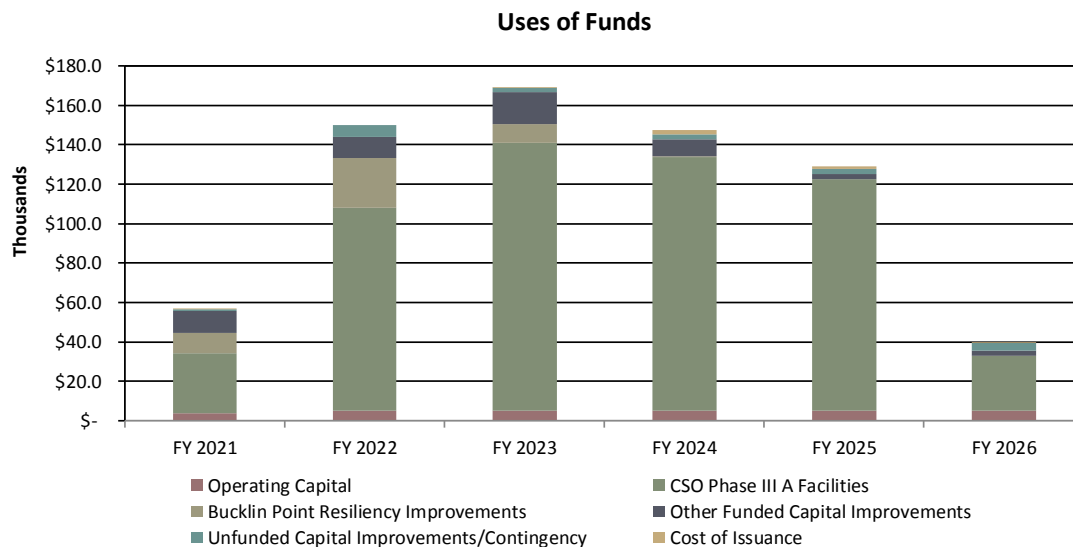
## Programmed Capital Uses

The following tables and charts show that the largest expenditures of capital funding are for capital improvements. NBC plans to spend \$57.0 million on capital projects in FY 2021 including \$30.3 million on the CSO Phase III A Facilities, \$10.2 million on Bucklin Point Resiliency Improvements, and \$11.4 million on other capital projects.



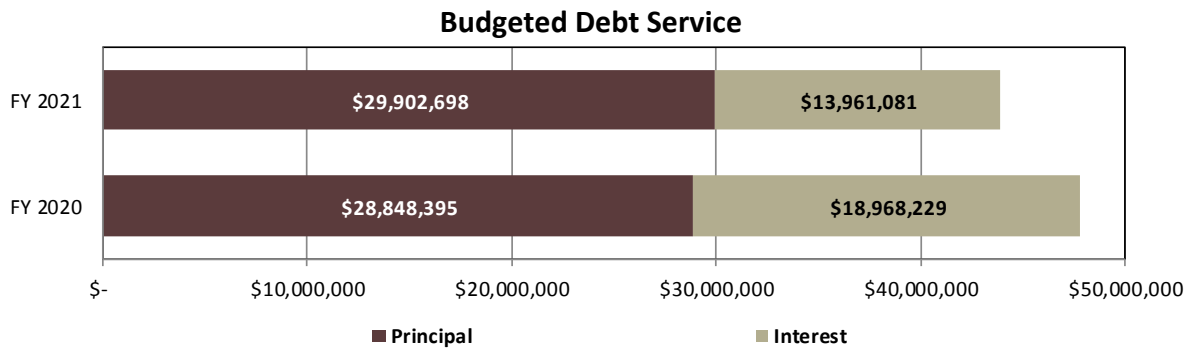
During the six-year period of fiscal years 2021 through 2026, NBC plans to spend \$543.7 million, or 79% of all capital funds on the CSO Phase III A Facilities. Other identified uses of capital funds include the operating capital of \$28.9 million during the FY 2021-2026 period. The model also shows debt issuance costs of \$400 thousand for the WIFIA loan in FY 2021 and approximately \$4.1 million for cost of issuance for NBC's other programmed borrowings. The following table and graph show the uses of capital funds in FY 2021-2026.

Uses of Funds (Thousands)	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026	Total FY 2021-2026
<b>Operating Capital</b>	\$ 3,863	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 28,863
<b>CSO Phase III A Facilities</b>	30,319	102,919	136,061	128,859	117,429	28,153	543,740
<b>Bucklin Point Resiliency Improvements</b>	10,164	25,486	9,506	95	-	-	45,251
<b>Other Funded Capital Improvements</b>	11,367	10,459	16,335	8,602	2,500	2,500	51,763
<b>Unfunded Capital Improvements/Contingency</b>	878	6,150	1,789	2,763	2,575	3,794	17,949
<b>Cost of Issuance</b>	400	-	68	2,009	1,659	376	4,512
<b>Total</b>	<b>\$ 56,991</b>	<b>\$ 150,014</b>	<b>\$ 168,759</b>	<b>\$ 147,328</b>	<b>\$ 129,163</b>	<b>\$ 39,823</b>	<b>\$ 692,078</b>



## Long-Term Debt

Since the CIP is financed primarily through the issuance of long-term debt, the capital program's primary impact on the operating budget is through the payment of principal and interest. NBC's FY 2021 budgeted debt service is \$3.9 million lower than the prior year due to the conversion of the variable rate debt to a fixed rate, refunding of certain revenue bond series and the defeasance of two SRF bond series.



The table below shows the changes in outstanding debt at fiscal year-end for fiscal years 2019, 2020 and 2021. The Additions/Principal Payments column reflects the net effect of principal payment, new borrowings, refundings, and capitalized interest. Outstanding debt is projected to increase 39% or \$237.6 million from \$608.5 million at June 30, 2019 to \$846.1 million at June 30, 2020 reflecting the new \$268.7 million WIFIA loan. NBC plans to borrow \$33.4 million through the WIFIA program in FY 2021, which is offset by SRF principal payments of \$26.8 million, with the projected net increase in outstanding debt as of June 30, 2021 of \$4.1 million for a total of \$850.2 million.

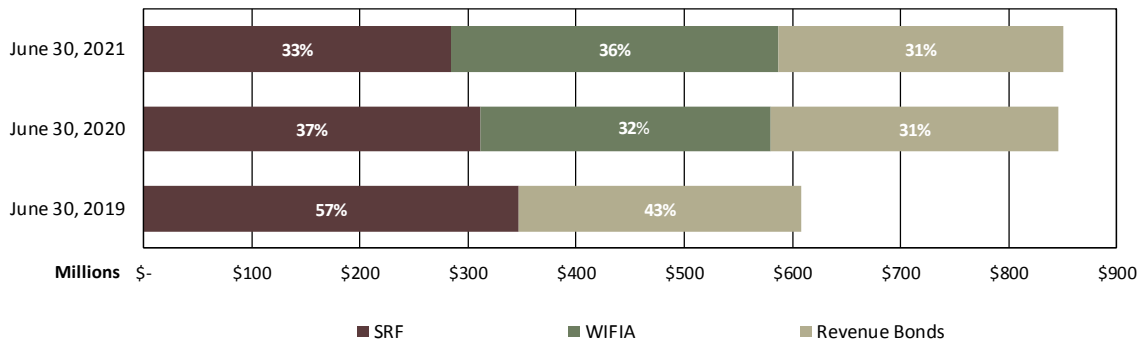
### Outstanding Debt

Issuance	Outstanding Debt as of June 30, 2019	Additions/Principal Payments	Outstanding Debt as of June 30, 2020	Additions/Principal Payments	Outstanding Debt as of June 30, 2021
<b>SRF Loans</b>					
SRF Loans	\$ 346,974,434	\$ (35,683,394)	\$ 311,291,040	\$ (26,772,698)	\$ 284,518,342
<i>Subtotal SRF</i>	<i>346,974,434</i>	<i>(35,683,394)</i>	<i>311,291,040</i>	<i>(26,772,698)</i>	<i>284,518,342</i>
<b>Revenue Bonds</b>					
2008 Series A Refunding Revenue Bonds	56,465,000	-	56,465,000	-	56,465,000
2013 Series A	71,480,000	(71,480,000)	-	-	-
2013 Series C	34,970,000	(25,670,000)	9,300,000	(560,000)	8,740,000
2014 Series B Refunding Revenue Bonds	39,820,000	(39,820,000)	-	-	-
2015 Series A Refunding Revenue Bonds	40,085,000	(36,870,000)	3,215,000	-	3,215,000
2020 Series A Refunding Revenue Bonds	-	196,360,000	196,360,000	(2,570,000)	193,790,000
<i>Subtotal Revenue Bonds</i>	<i>242,820,000</i>	<i>22,520,000</i>	<i>265,340,000</i>	<i>(3,130,000)</i>	<i>262,210,000</i>
<b>WIFIA</b>					
CSO Phase III A Facilities	-	268,710,610	268,710,610	603,861	269,314,471
Bucklin Point Resiliency Improvements	-	-	-	33,480,266	33,480,266
<i>Subtotal WIFIA</i>	<i>-</i>	<i>268,710,610</i>	<i>268,710,610</i>	<i>34,084,126</i>	<i>302,794,736</i>
<b>Subtotal Bonds</b>	<b>\$ 589,794,434</b>	<b>\$ 255,547,216</b>	<b>\$ 845,341,650</b>	<b>\$ 4,181,428</b>	<b>\$ 849,523,078</b>
<b>Premiums</b>					
2013 Series A	3,972,969	(3,972,969)	-	-	-
2013 Series C	2,132,472	(1,720,025)	412,447	(82,489)	329,958
2014 Series B Refunding Bonds	6,947,336	(6,947,336)	-	-	-
2015 Series A Refunding Bonds	5,680,529	(5,304,160)	376,369	(47,046)	329,323
<b>Subtotal Premiums</b>	<b>\$ 18,733,306</b>	<b>\$ (17,944,490)</b>	<b>\$ 788,816</b>	<b>\$ (129,535)</b>	<b>\$ 659,281</b>
<b>Total Outstanding Debt</b>	<b>\$ 608,527,740</b>	<b>\$ 237,602,726</b>	<b>\$ 846,130,466</b>	<b>\$ 4,051,893</b>	<b>\$ 850,182,359</b>



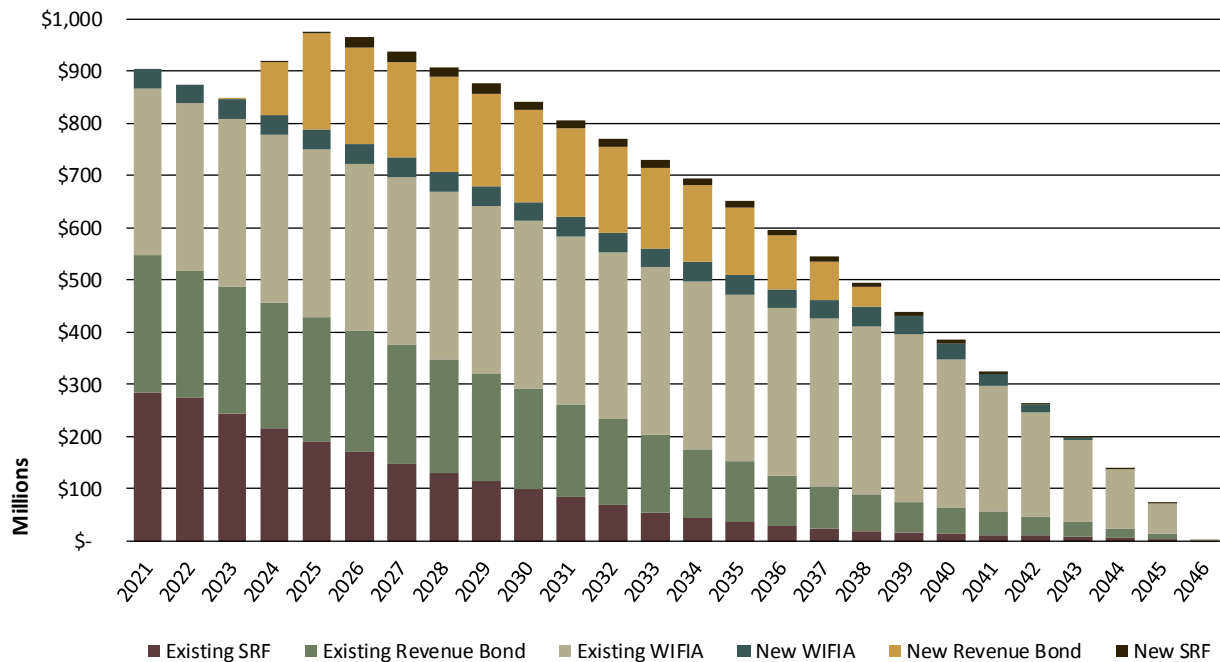
The chart below shows the projected change in outstanding debt over the next fiscal year. The WIFIA loans are projected to comprise 36% of the outstanding debt in FY 2021, followed by SRF loans at 33% and revenue bonds at 31%.

### Outstanding Debt by Issuance Type



The following graph shows NBC's projected outstanding debt through maturity in FY 2046, incorporating existing debt service and the additional debt issuance required to finance the CSO Phase III A Facilities and the Bucklin Point Resiliency Improvements. Outstanding debt is projected to peak at \$973.9 million in FY 2025. Please note that this graph is based upon the capitalization of interest in accordance with the preliminary schedules and the final outstanding amount will depend upon the amount and timing of disbursements.

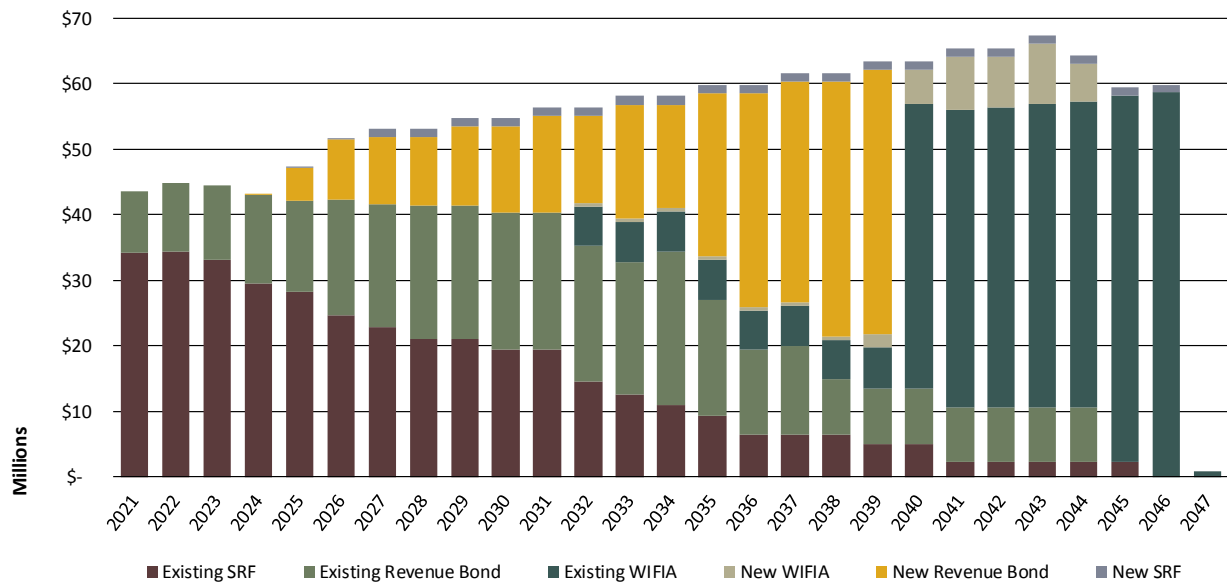
### Existing and Projected Outstanding Debt



The following table and chart show existing and projected debt service payments through maturity. Both of the WIFIA loan amortizations are wrapped around NBC's existing debt with new revenue bond amortizations wrapped around those maturities as well in an effort to mitigate ratepayer impact.

### Actual and Projected Debt Service Payments through Maturity

Fiscal Year	Existing SRF	Existing Revenue Bond	Existing WIFIA	New WIFIA	New Revenue Bond	New SRF	Total
2021	\$ 34,198,590	\$ 9,290,190	\$ -	\$ -	\$ -	\$ -	43,488,780
2022	34,364,350	10,546,929	-	-	-	-	44,911,279
2023	33,079,005	11,476,644	-	-	-	-	44,555,649
2024	29,416,080	13,689,017	-	-	168,260	-	43,273,357
2025	28,294,818	13,880,363	-	-	5,062,751	150,912	47,388,844
2026	24,613,457	17,644,339	-	-	9,208,622	150,912	51,617,330
2027	22,838,815	18,830,382	-	-	10,230,879	1,265,773	53,165,849
2028	21,082,039	20,362,558	-	-	10,455,479	1,265,773	53,165,849
2029	21,076,428	20,266,142	-	-	12,152,482	1,265,773	54,760,825
2030	19,435,602	20,968,490	-	-	13,090,959	1,265,773	54,760,824
2031	19,429,076	20,834,355	-	-	14,874,446	1,265,773	56,403,650
2032	14,509,309	20,716,780	6,055,854	561,010	13,294,924	1,265,773	56,403,650
2033	12,601,142	20,237,159	6,055,854	559,048	17,376,783	1,265,773	58,095,759
2034	10,957,411	23,456,252	6,055,854	557,093	15,803,376	1,265,773	58,095,759
2035	9,363,932	17,658,079	6,055,854	555,145	24,939,848	1,265,773	59,838,631
2036	6,431,045	12,882,085	6,055,854	553,204	32,650,672	1,265,773	59,838,633
2037	6,425,794	13,581,244	6,055,854	551,269	33,753,857	1,265,773	61,633,791
2038	6,422,253	8,388,692	6,055,854	549,342	38,951,878	1,265,773	61,633,792
2039	4,971,105	8,393,225	6,309,764	1,982,047	40,560,891	1,265,773	63,482,805
2040	4,970,693	8,391,597	43,597,962	5,256,779	-	1,265,773	63,482,804
2041	2,231,686	8,388,770	45,388,917	8,112,143	-	1,265,773	65,387,289
2042	2,231,343	8,394,453	45,799,002	7,696,718	-	1,265,773	65,387,289
2043	2,229,908	8,393,426	46,218,420	9,241,380	-	1,265,773	67,348,907
2044	2,229,325	8,390,618	46,678,302	5,687,558	-	1,265,773	64,251,576
2045	2,229,005	-	56,032,553	-	-	1,114,861	59,376,419
2046	-	-	58,654,226	-	-	1,114,861	59,769,087
2047	-	-	743,920	-	-	-	743,920



## Long-Term Plan

NBC has projected operating budget revenue and expense for FY 2021-2026 taking into consideration the Capital Improvement Program and a number of other assumptions. The FY 2021 base figures reflect the operating budget levels and the CIP impacts are incorporated into the base revenue and expense figures. NBC will continue to update and validate assumptions as part of the ongoing planning process each year.

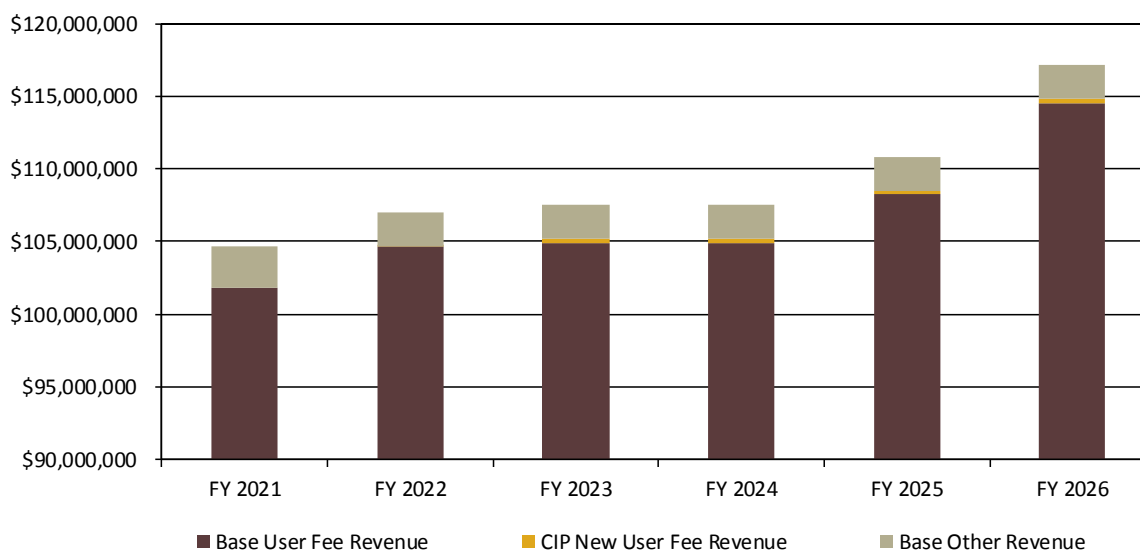
### Projected Revenue

User fees are the largest source of NBC's revenue. Significant growth in NBC's user base is not projected in terms of number of customers or consumption. Over the six-year period shown in the following table, the most significant change is the projected 12.5% increase in user fee revenue due to user fee rate increases. The increased revenue is required to meet projected increases in operations and maintenance costs and debt service. Although NBC has budgeted lower user fee revenue in FY 2021 related to potential COVID-19 impacts, this reduction is not carried through to subsequent fiscal years as it is anticipated that user fee billings will return to PUC approved levels. The table below shows projected incremental changes in revenue assuming that all budgeted FY 2021 impacts are included in the base figures. With respect to the CIP, a new solar carport project is projected to generate annual revenue of \$3,500 and the collection system expansion is anticipated to generate additional user fees of \$22,384 beginning in FY 2022 and increasing to \$268,610 in FY 2023.

REVENUE	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026
Base User Fee Revenue	\$ 101,851,912	\$ 104,646,238	\$ 104,646,238	\$ 104,646,238	\$ 104,646,238	\$ 107,977,786
CIP New User Fee Revenue	-	25,884	272,110	272,110	272,110	272,110
Rate Increase Revenue	-	-	-	-	3,331,548	6,322,020
Total User Fee Revenue	101,851,912	104,672,122	104,918,348	104,918,348	108,249,896	114,571,915
Base Other Revenue	2,797,000	2,329,776	2,329,776	2,329,776	2,329,776	2,329,776
Total Other Revenue	2,797,000	2,329,776	2,329,776	2,329,776	2,329,776	2,329,776
<b>Total Revenue</b>	<b>\$ 104,648,912</b>	<b>\$ 107,001,898</b>	<b>\$ 107,494,350</b>	<b>\$ 107,494,350</b>	<b>\$ 110,825,898</b>	<b>\$ 117,147,917</b>

Other Revenue is not anticipated to increase during the FY 2021 to FY 2026. The following chart shows the increase in revenue over the six-year period.

### Projected Revenue



## Projected Expense

With respect to projected Operation and Maintenance (O&M) expense, a number of assumptions have been incorporated into the projections. NBC has inflated annual O&M at 2.0% per year. The incremental net impact of the CIP is anticipated to reduce O&M expense by \$24,295 in FY 2022, with additional changes in FY 2024 and FY 2025, and a net increase in O&M expense in FY 2026 of \$50,853. The net result is a projected 10.5% increase in O&M over the six-year period.

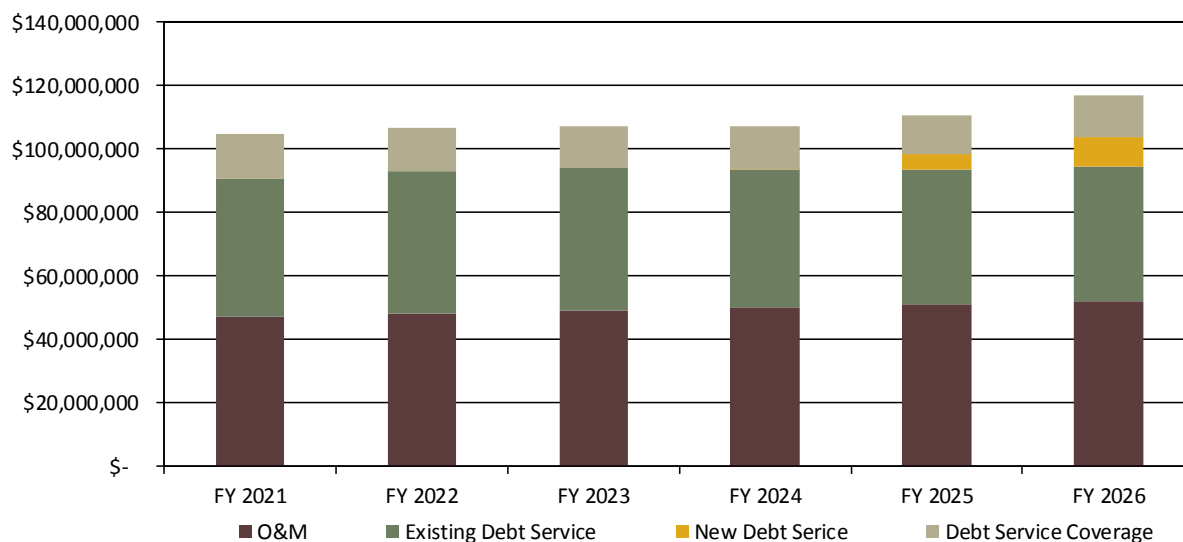
NBC's largest expense is debt service. NBC's model incorporates an additional WIFIA loan in FY 2021 for the Bucklin Point Resiliency Improvements and due to the flexibility of that program, no debt service payments on that loan are programmed until FY 2032. Overall, projected debt service is considerably lower than last year due to the debt service savings realized from the conversion of the variable rate bonds to a fixed rate, the refunding and defeasance of the 1999 Series and 2001 Series SRF bonds. The FY 2021 budget includes interest on RANs should their issuance be required to address collection impacts of COVID-19. The long-term model reflects new debt service beginning in FY 2024 associated with revenue bond issues that will be required to support NBC's share of the CSO Phase III A Facilities. Existing rates should generate coverage level in excess of the 125% through FY 2024. The modeling indicates that rate relief will be required in FY 2025.

EXPENSE	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026
Base O&M Expense with CPI @ 2%	\$ 47,372,704	\$ 48,320,158	\$ 49,286,561	\$ 50,272,292	\$ 51,277,738	\$ 52,303,293
CIP Net Expense Impact	-	(24,295)	98,215	(15,583)	39,994	50,853
<b>Total O&amp;M</b>	<b>47,372,704</b>	<b>48,295,863</b>	<b>49,384,776</b>	<b>50,256,709</b>	<b>51,317,732</b>	<b>52,354,146</b>
Existing Debt Service	43,488,780	44,911,279	44,555,649	43,105,097	42,175,181	42,257,796
New Debt Service*	375,000	-	-	168,260	5,213,663	9,359,534
<b>Total Debt Service</b>	<b>43,863,780</b>	<b>44,911,279</b>	<b>44,555,649</b>	<b>43,273,357</b>	<b>47,388,844</b>	<b>51,617,330</b>
Debt Service Coverage	13,412,428	13,794,757	13,553,925	13,964,284	12,119,321	13,176,441
<b>Total Expense</b>	<b>\$ 104,648,911</b>	<b>\$ 107,001,899</b>	<b>\$ 107,494,350</b>	<b>\$ 107,494,350</b>	<b>\$ 110,825,898</b>	<b>\$ 117,147,917</b>
<b>Coverage</b>	<b>1.31</b>	<b>1.31</b>	<b>1.30</b>	<b>1.32</b>	<b>1.25</b>	<b>1.25</b>

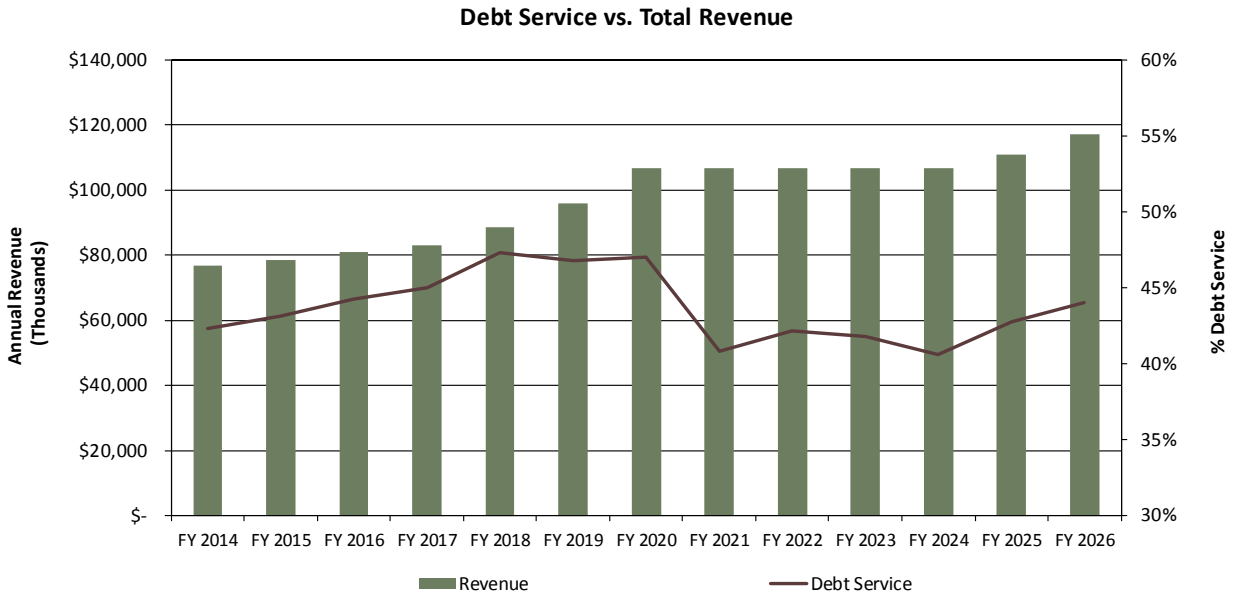
\* Revenue Anticipation Note Interest

The chart below shows that existing debt service is relatively level over the next six years with debt service for new debt beginning in FY 2025. Relatively modest increases in O&M are programmed over the six-year period.

### Projected Expense

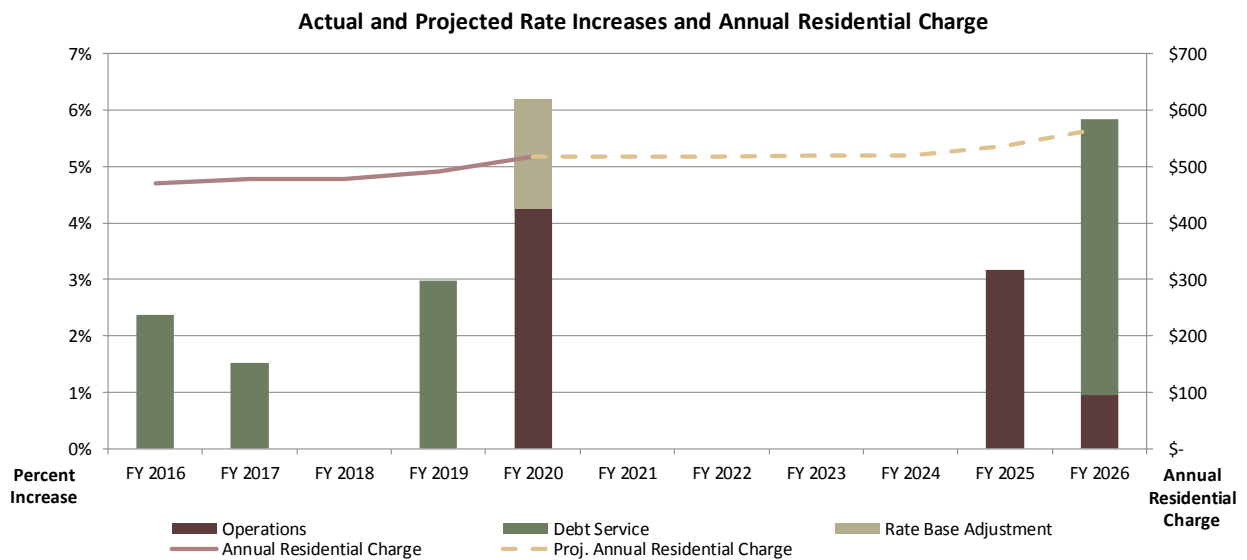


The chart below shows how debt service as a percent of projected PUC approved total revenue is projected to decrease from a peak of approximately 47.3% of total revenue in FY 2018 to 40.8% in FY 2024 and then increased to 44.1% in FY 2026. Although NBC will be financing the CSO Phase III A Facilities during this period, the flexibility offered through the WIFIA program significantly reduces the debt service impact during construction.



## Sewer User Fee Rate Projections

The following chart shows the actual and projected rate increases along with the annual residential charge for FY 2016 through FY 2026. The 6.2% rate increase in FY 2020 was for O&M costs and rate base adjustments. For modeling purposes, NBC has assumed a 2.0% inflation factor for O&M costs and has used the WIFIA proforma for debt service projections. Current modeling indicates that a rate increase of 3.2% will be needed for O&M costs in FY 2025 and an additional 5.8% will be required to support O&M and debt service in FY 2026.



NBC’s average annual residential user charge is projected to increase from \$516 in FY 2020 to \$567 in FY 2026. The largest projected rate increase over the five-year period is in FY 2026 at 5.8%. The projected rate increases are subject to change due to a number of factors including but not limited to changes in the schedule or scope of the CSO Phase III A Facilities or other capital projects, changes to operation and maintenance costs, differing CIP impacts, variances in renewable energy production, or changes in NMC or REC rates may occur. The impacts may also change if there are changes to the rate base or other factors out of NBC’s control including short and long-term interest rates, health insurance renewals, new regulatory requirements, etc.

Even with past rate increases required to support the CIP, operation and maintenance expense and rate base adjustments, NBC’s sewer rates remain competitive. As can be seen in the following table, when NBC’s 2019 rate is calculated based on consumption of 120 HCF, it is approximately 19.3% below the national average of \$795 for major U.S. Cities. Survey results for the State of Rhode Island are shown in the Operating Budget section of this document.

<b>2019 Annual Residential Sewer Charges for Major U.S. Cities</b>					
Seattle, WA	\$	1,809	Houston, TX	\$	667
San Francisco, CA		1,622	Indianapolis, IN		656
Honolulu, HI		1,264	Los Angeles, CA		649
Portland, ME		1,218	Providence, RI		642
Washington, DC		1,038	San Diego, CA		594
MWRA Service Area		1,012	Columbus, OH		569
Austin, TX		932	Fort Worth, TX		567
Flint, MI		931	Dallas, TX		545
Boston, MA		907	Saint Paul, MN		542
Saint Louis, MO		895	San Jose, CA		483
New Orleans, LA		849	San Antonio, TX		483
New York, NY		759	Philadelphia, PA		468
Detroit, MI		755	Newark, NJ		457
Jacksonville, FL		687	Milwaukee, WI		268
			Average	\$	795

# Narragansett Bay Commission

## Acronyms Glossary

### **ACA - Affordable Care Act**

Commonly referred to as **Obamacare**, is landmark health insurance legislation passed by the 111<sup>th</sup> United States Congress in March 2010.

### **AFL-CIO - American Federation of Labor-Congress of Industrial Organizations**

### **AFSCME - American Federation of State, County & Municipal Employees**

### **AMP - Asset Management Program**

A technical plan for managing infrastructure and other assets to provide continuous, effective service.

### **AMS - Asset Management System**

The computer system that incorporates all the processes, tools, data and policies needed to effectively manage assets.

### **APRA - Access to Public Records Act**

The Rhode Island state law that gives individuals the right to see and obtain records. The law provides guidelines for obtaining access to these records and also defines which records are subject to public inspection and which are exempt.

### **BLS - Bureau of Labor Statistics**

The Bureau of Labor Statistics is the principal fact-finding agency for the Federal Government in the broad field of labor economics and statistics.

### **BMP - Best Management Practices**

The EPA defines a BMP as a “technique, measure or structural control that is used for a given set of conditions to manage the quantity and improve the quality of stormwater runoff in the most cost effective manner”.

### **BNR - Biological Nutrient Removal**

A biological process to remove nitrogen from wastewater, to prohibit excessive algal growth and low oxygen levels in receiving waters.

### **BOD - Biochemical Oxygen Demand**

An indicator of the amount of oxygen being depleted from the receiving waters by sewage; the greater the BOD, the greater the degree of pollution.

### **BVDC - Blackstone Valley District Commission**

### **BVI - Blackstone Valley Interceptor**

### **CAC - Citizens’ Advisory Committee**

An advisory group to NBC, CAC represents users, the general public and environmental groups.

### **CAFR - Comprehensive Annual Financial Report**

A report completed by NBC which conveys the annual financial position and results of operations of the NBC and complies with the accounting requirements promulgated by the GASB.

**CBA - Collective Bargaining Agreement**

Agreement reached between management and union representatives as to the terms of future union contracts.

**CBOD - Carbonaceous Biochemical Oxygen Demand**

A method defined test measured by the depletion of dissolved oxygen by biological organisms in a body of water in which the contribution from nitrogenous bacteria has been suppressed.

**CDL - Commercial Driver's License**

A license that meets certain "standards" uniform to all states, as required by federal law, and is mandatory for the operation of particular commercial vehicles.

**CIP - Capital Improvement Program**

A plan for major capital expenditures to be incurred each year over a fixed period of five years to meet capital needs arising from the long-term work program. It sets forth each project and specifies the full resources estimated to be available to finance the projected expenditures.

**CMOM - Capacity Management Operation and Maintenance Program**

A dynamic and adaptable system management approach that utilizes feedback regarding system performance, variable conditions and operating & maintenance practices to direct and adjust responses, routine activities procedures, and capital investments.

**CRMC - The Coastal Resources Management Council**

A management agency with regulatory functions responsible for the preservation, protection, development, and where possible, the restoration of the coastal areas of the state via the implementation of its integrated and comprehensive coastal management plans and the issuance of permits for work with the coastal zone of the state.

**COB** - The NBC's Corporate Office Building.

**COLA - Cost of Living Adjustment**

An annual adjustment made to the salary of a union employee of NBC to maintain the level of wages against inflation.

**COVID-19** – A strain of coronavirus not previously identified in humans that has caused a global pandemic beginning in December 2019. The virus's symptoms range from mild to severe illness and death.

**CPI - Consumer Price Index**

Measures changes in the price level of a market basket of consumer goods and services purchased by households.

**CS - Customer Service**

The section in NBC that is responsible for the billing, collection and payment processing of customer accounts in NBC's service area.

**CSO - Combined Sewer Overflows**

Areas along Rhode Island rivers where combined sewers overflow during significant rain events.

**DMR - Discharge Monitoring Report**

Reports required to be submitted to the RIDEM every month; these reports summarize the findings of daily samplings conducted at each wastewater treatment facility.



## **DOH - Rhode Island Department of Health**

### **DT/day - Dry Tons per Day**

#### **EAP - Employee Assistance Program**

An arrangement between a corporation, academic institution or government agency and its employees that provides a variety of support programs for the employees.

#### **EEF - Environmental Enforcement Fund**

Includes funds recovered through administrative or civil enforcement action that are not available for normal operating expense per Chapter 46-25 of RI General Laws.

#### **EEO - Equal Employment Opportunity**

In compliance with Federal and State legislation, NBC promotes fair and equitable treatment to all employees regardless of race, color, sex, age, national origin, handicap/disability status, veteran status, sexual orientation or gender identity or expression.

#### **ELUR - Environmental Land Use Restriction**

A declaration consistent with the regulations adopted by the Rhode Island Department of Environmental Management pursuant to R.I.G.L. § 23-19.14-1 which manages environmental risks associated with property containing soil and/or groundwater which is contaminated with certain hazardous materials and/or petroleum in excess of applicable criteria pursuant to the Rules and Regulations for the Investigation and Remediation of Hazardous Material Releases.

#### **EMMA - Electronic Municipal Market Access**

EMMA is a service of the Municipal Securities Rulemaking Board, which protects investors, state and local governments, and the public interest. Portions of EMMA data provided by Standard & Poor's Securities Evaluations, Inc., CUSIP Global Services & American Bankers Association.

#### **EMPACT - Environmental Monitoring for Public Access and Community Tracking**

Evaluates the quality of the receiving water at certain buoy and fixed station sites and provides the means to measure the water quality improvements resulting from NBC's nutrient removal and CSO facilities.

#### **EPA - Environmental Protection Agency**

An agency of the federal government designated to oversee environmental protection in the United States.

#### **EPCRA - Emergency Planning and Community Right-to-Know Act**

An Act passed by Congress in 1984 in response to concerns regarding the environmental and safety hazards posed by the storage and handling of toxic chemicals. As a result, Congress imposed reporting on hazardous and toxic chemicals and emergency planning requirements for federal, state and local governments, tribes and industries.

#### **ERP - Environmental Results Program**

An innovative environmental management approach that uses compliance assistance, self-audits/certifications, and statistically based inspections and performance measurements to help educate owners and operators of regulated facilities to more effectively meet or exceed regulatory compliance obligations, while enabling regulators to obtain long-term verifiable results at less cost and effort.

**FSA - Flexible Spending Account**

Also known as a flexible spending arrangement is one of a number of tax-advantaged financial accounts that can be set up through a cafeteria plan of an employer in the United States.

**FSP - Fiscal Sustainability Plan**

A fiscal sustainability plan is a living document that is regularly reviewed, revised, expanded, and implemented as an integral part of the operation and management of the system. A plan for maintaining, repairing, and, as necessary, replacing the treatment works and a plan for funding such activities.

**FTEs - Full-time Equivalents**

The amount of hours worked being equal to a full-time employee.

**FY - Fiscal Year**

The twelve-month financial period used by the NBC, that runs from July 1st through June 30th of the following calendar year. The year is represented by the end date.

**GAAP - Generally Accepted Accounting Principles**

The concepts, principles, and procedures developed to serve as the norm for the fair presentation of financial statements.

**GASB - Governmental Accounting Standards Board**

A private not-for-profit organization that seeks to establish and improve standards of accounting and financial reporting for U.S. state and local governments.

**GFOA - Government Finance Officers Association**

GFOA is the professional association of state/provincial and local finance officers in the United States and Canada, and has served the public finance profession since 1906. Over 15,500 GFOA members are dedicated to the sound management of government financial resources.

**GIS - Geographic Information Systems**

A mapping technology that allows the user to create and interact with a variety of maps and data sources.

**GPS - Global Positioning Satellite System**

This system uses information obtained by satellites to indicate the coordinates of a specific location.

**HCF - Hundred Cubic Feet**

Unit of liquid measure, used to bill NBC's consumption fees.

**HDHP - High Deductible Health Plan**

A health insurance plan with lower premiums and higher deductibles than a traditional health plan.

**HR - Human Resources**

A section within the NBC that is responsible for the administration and processing of employee records, employee recruitment and retention, workers' compensation and equal employment opportunity for union and non-union personnel.

**HRA - Health Reimbursement Arrangement**

Employer-funded plans that reimburse employees for any incurred medical expense that is not covered by the company's standard insurance plan.

**HSA - Health Savings Account**

A tax-advantaged medical savings account available to taxpayers in the United States who are enrolled in a high-deductible health plan (HDHP).

**HVAC - Heating, Ventilating and Air Conditioning**

The mechanical systems that provide temperature and air quality control in an office space and are generally interconnected.

**IFAS - Integrated Fixed Film Activated Sludge**

A process of adding media, usually plastic, to aeration tanks to increase surface area for bacterial growth.

**IT - Information Technology**

The section in NBC that is responsible for NBC's networks, communications, hardware, software and databases.

**kWh - Kilowatt hour**

A unit of energy used to measure electricity usage and 1 kWh is equal to 1,000 watt hours and powers a 100 watt light bulb for 10 hours.

**LED - Light-emitting Diode**

A two-lead semiconductor light source, which emits light when activated. When a fitting voltage is applied to the leads, electrons are able to recombine with electron holes within the device, releasing energy in the form of photons.

**LEED - Leadership in Energy and Environmental Design**

A high performance green building's certification program created by the U.S. Green Building Council which focuses primarily on new, commercial building projects and based upon a points system. The more points you earn, the higher your rating.

**LID - Low Impact Design**

An approach to land development (or re-development) that works with nature to manage stormwater as close to its source as possible.

**LIMs - Laboratory Information Management System**

A software-based laboratory and information management system that supports a modern laboratory's operations. The system allows a way of tracking samples to be tested from the point of acquisition through the process of entering the results into the database.

**LIUNA - Laborers' International Union of North America****LOC - Letter of Credit**

A guarantee of payment issued by a bank on behalf of a client that is used as "payment of last resort" should the client fail to fulfill a contractual commitment with a third party.

**LOI - Letter of Interest**

A prospective borrower's demonstration of eligibility for a WIFIA loan administered through the EPA.

**LRP - Long Range Planning****Mgd/MGD - Million Gallons per Day**

**Mg/L - Milligrams per Liter. 1 mg/L can also be expressed as 1 part per million**

**ml - Milliliter**

A metric unit of volume that is equal to one thousandth of a liter.

**MPN - Most Probable Number**

Expressed as the number of organisms which are most likely to have produced the laboratory results noted in a particular test.

**MVI - Moshassuck Valley Interceptor**

**MW - Megawatt**

A megawatt is a unit of measure of electricity and one MW is equal to one million (10<sup>6</sup>) watts.

**MSRB - Municipal Securities Rulemaking Board**

The Municipal Securities Rulemaking Board (MSRB) protects investors, state and local governments and other municipal entities, and the public interest by promoting a fair and efficient municipal securities market.

**MWRA - Massachusetts Water Resource Authority**

**N/A** - The information is *Not Available* or *Not Applicable*.

**NACWA - National Association of Clean Water Agencies**

An organization which represents the interests of over 300 public agencies and organizations involved with wastewater treatment.

**NBEP - Narragansett Bay Estuary Program**

As part of the National Estuary Program, created in 1987 under the Clean Water Act, NBEP serves to protect and preserve Narragansett Bay and its watershed through partnerships that conserve and restore natural resources, enhance water quality and promote community involvement.

**NEWEA - New England Water Environment Association**

An organization of over 2,100 Water and Wastewater Professionals, who volunteer their time, energy and expertise in order to preserve, protect and manage New England's water environment.

**NESGFOA – New England States Government Finance Officers Association**

An association designed to cooperate with the Government Finance Officers Association of the United States and Canada, and similar organizations, in order to promote and encourage a closer relationship among those engaged in finance in the municipal, state and federal service. The association fosters understanding among public officials whose responsibilities and duties involve state and municipal problems; and to facilitate discussion, analysis and solutions of such problems under the laws existing in the New England States.

**NMC - Net Metering Credit**

**NWPCA - Narragansett Water Pollution Control Association**

Established in 1952, the NWPCA is a non-profit organization created to promote the advancement of knowledge concerning the nature, collection, treatment, and disposal of domestic and industrial wastewaters.

**O & M - Operations and Maintenance**

Expense related to performing the functions required to safely and effectively operate and maintain NBC's wastewater treatment and collection services.

**OCP - Operating Capital Program**

A plan for programmed asset purchases for the current budget year and subsequent four years. The OCP is based primarily on information from NBC's Asset Management Program and includes new assets, asset replacements, asset renovations and betterments.

**OSE - Operating Supplies and Expense****OSHA - Occupational Safety and Health Act of 1970**

OSHA's role is to set and enforce standards that assist employers with their responsibility to promote workplace safety and the health of their employees.

**PFAS** - Polyfluoroalkyl substances are a group of man-made chemicals that have been manufactured and used in a variety of industries since the 1940s. These chemicals do not break down and they can accumulate over time and there is evidence that exposure can lead to adverse human health effects.

**PFMB - Rhode Island Public Finance Management Board**

The Rhode Island Public Finance Management Board (PFMB) is a nine-member volunteer body with a goal of promoting transparency in government and improving the financial health of municipal entities and quasi-public corporations in Rhode Island, the PFMB provides debt-related information which can be used to determine the feasibility of issuing bonds.

**PLC - Programmable Logic Controller**

An industrial computer control system that continuously monitors the state of input devices and makes decisions based upon a custom program to control the state of output devices

**PUC - Public Utilities Commission**

In accordance with RIGL, this state agency regulates certain public utilities in the State of Rhode Island, including the NBC.

**PPA - Power Purchase Agreement**

An agreement between two parties, one who generates electricity for the purpose (the seller) and one who is looking to purchase electricity (the buyer).

**RAS - Return Activated Sludge**

The settled activated sludge (which contains bacteria that feeds on the organic content in sewage) collected in the secondary clarifiers then returned to the aeration basins to re-seed the process for the incoming wastewater.

**REC - Renewable Energy Credits**

Tradable, non-tangible energy commodities in the United States that represent proof that 1 megawatt-hour (MWh) of electricity was generated from an eligible renewable energy resource (renewable electricity).

**RGGI - Regional Greenhouse Gas Initiative**

The first mandatory market-based program in the United States to reduce greenhouse gas emissions. RGGI is a cooperative effort among the states of Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New York, Rhode Island, and Vermont to cap and reduce CO2 emissions from the power sector.

**RIIB - Rhode Island Infrastructure Bank**

Formerly known as the Rhode Island Clean Water Finance Agency, this state agency administers the State Revolving Fund which finances wastewater related projects and other programs.

**RIDEM - Rhode Island Department of Environmental Management**

The environmental regulatory department of the State and serves as a delegated authority of the USEPA with respect to the federal Clean Water Act and other programs.

**RIGL - Rhode Island General Laws****RIPDES Permit - Rhode Island Pollution Discharge Elimination System**

A permit issued by the RIDEM which sets discharge limitation requirements for wastewater utilities.

**RIPEC - Rhode Island Public Expenditure Council**

An independent, nonprofit and nonpartisan public policy research and education organization.

**RIRRC - Rhode Island Resource Recovery Corporation****RIWARN - Rhode Island Water/Wastewater Agency Response Network**

A mutual aid agreement between cities, towns or agencies to provide assistance in the event of an emergency.

**ROMS - Regional Ocean Model System**

A numerical hydrodynamic computer model in the public domain that is being applied to the Narragansett Bay by the URI-Graduate School of Oceanography. This model will predict circulation, thermal and pollutant transport for Narragansett Bay, including the Providence and Seekonk river systems.

**S&P - Standard & Poor's Stock Market Index****SEC - Security and Exchange Commission**

An independent agency of the United States Government that holds primary responsibility for enforcing the federal securities laws, proposing securities rules, and regulating the securities industry.

**SIUs - Significant Industrial Users**

NBC's largest industrial customers.

**SMART - SMART Goals**

S.M.A.R.T. is a framework for goal setting. Follow the framework to ensure the best chance of success for achieving goals. (Specific. Measurable. Attainable. Results-oriented. Time-limited.)

**SOP - Standard Operating Procedure**

An SOP is a written procedure that promotes uniformity in operations and provides individuals with the information necessary to perform a task properly and facilitates consistency in the quality and integrity of the end result.

**SRF - State Revolving Fund**

The Rhode Island Infrastructure Bank program which offers low cost financing to eligible qualified borrowers.

**TAC - Technical Analysis & Compliance****TMDL - Total Maximum Daily Load**

A calculation of the maximum amount of a pollutant that a body of water can receive and still meet water quality standards as established by the Clean Water Act, Section 303.

**TSS - Total Suspended Solids**

The ratio of solid matter in the effluent in parts per million.

**URI - University of Rhode Island****UV - Ultraviolet**

Of or relating to a light bulb that emits ultraviolet radiation

**VFD - Variable Frequency Drive**

A device that adjusts the speed of a pump in response to the amount of flow entering the pump station.

**VRDB - Variable Rate Demand Bonds**

NBC's long-term revenue bond that is multi-modal and currently is in weekly mode and backed with a direct pay letter of credit.

**VRDO - Variable Rate Demand Obligation**

A variable rate demand obligation (VRDO) is a municipal security for which the interest rate resets on a periodic basis and holders are able to liquidate their security through a "put" or "tender" feature, at par.

**W-2** - A wage and tax statement form used to report wages paid to employees and the taxes withheld from them for the year that they will use to file federal and state taxes.

**WIFIA - Water Infrastructure Finance and Innovation Act**

The WIFIA program accelerates investment in our nation's water infrastructure by providing long-term, low-cost supplemental loans for regionally and nationally significant projects.

**WEFTEC - Water Environment Federation Technical Exhibition and Conference**

An annual conference providing extensive education opportunities and unparalleled access to the field's most cutting-edge technologies and services.

**WQSB - Water Quality Science Building**

In FY 2017 (Project 11900), the 36,790 square foot was completed at a cost of \$21.9 million. Staff moved into the new state-of-the-art laboratory and environmental analysis facility, in July 2016. This project will unify NBC's efforts for environmental sampling and related analysis by including the necessary laboratory equipment and monitoring capability required by the RIPDES permits and EPA.

**WWTF - Wastewater Treatment Facility**

A facility used to treat wastewater, so that the release of effluent poses no adverse impact on public health or the ecology.





# Narragansett Bay Commission

## Glossary of Terms

**Abatement** - A user charge credit for customers who can demonstrate that more than 15% of their measured water usage does not enter NBC's sewer system.

**Abatement Fee** - The fee charged as part of the Sewer User Fee Abatement Application.

**Abbreviated Rate Filing** - A simplified filing process with the Public Utilities Commission for a revenue increase available to non-investor owned utilities under certain circumstances.

**Accounting System** - A system of financial recordkeeping that records, classifies, and reports information on the financial status and operation of an organization.

**Accrual Basis of Accounting** - A method of accounting that recognizes the financial effect of transactions when they occur, regardless of the timing of related cash flows.

**Adopted Budget** - The operating budget approved by the NBC's Board of Commissioners.

**Allocation** - The distribution of available funds, personnel, buildings and equipment among various Commission divisions and/or cost centers.

**Amortization** - The allocation of the cost of an asset over its useful life.

**Anaerobic Biosolids Digestion** - A process by which microorganisms break down organic matter, producing various gases and a reduced volume of semi-solid residue. The gases produced, called "biogas" or "digester gas," include a high percentage of methane, which can be burned to produce heat and/or electricity.

**Annual Budget** - An estimate of expense to be used for specific purposes during the fiscal year (July 1 - June 30) along with the proposed means (estimated revenues) for financing those activities.

**Approved Budget** - The budget that has been approved by the NBC's Board of Commissioners.

**Arbitrage** - The investment of tax-exempt bond proceeds in higher yielding taxable securities, resulting in a profit.

**Asset Management Program** - A technical plan for managing infrastructure and other assets to provide continuous, effective service.

**Audit** - An independent systematic examination of the financial records to obtain reasonable assurance about whether the financial statements are free of material misstatement.

**Balanced Budget** - A budget in which revenue equal expense.

**Baynet** - NBC's internal webpage.

**Biosolids** (also referred to as Sludge) - The solids (heavy organic waste matter) resulting from the wastewater treatment process. This material is separated from the effluent, treated and appropriately discarded.

**Bioassay** - A method for the quantification of the effects on a biological system by its exposure to a substance.

**Biogas** - A renewal energy source comprised from a mixture of different gases produced by the breakdown of organic matter in the absence of oxygen, produced from sewage.

**Bisulfite** - Chemical used to adjust the alkalinity of wastewater.

**Board of Commissioners (Board)** - NBC's 19 member governing board comprised of nine representatives of the municipalities in the service area and ten gubernatorial appointments.

**Bond** - A certificate of debt containing a promise to pay a specified sum of money (face value or principal) on specified date/dates in the future (maturity date) together with periodic interest at a specified rate.

**Bond Trustee** - A bond trustee is hired by a bond issuer and oversees the implementation of a bond or trust indenture, which is a contract between a bond issuer and a bondholder. The trustee has a fiduciary responsibility to act on behalf of the issuer, rather than in its own interests.

**Budget** - A financial operating plan of all expected revenue and expense for a fiscal year.

**Budget Message** - A general discussion of the submitted budget presented in writing by the Executive Director as part of the budget document.

**Capital Budget** - A plan for the investment in long-term assets and the means of financing those acquisitions during the current fiscal period.

**Capital Expenditures** - Expense related to the Capital Improvement Program (CIP) projects and Operating Capital Program (OCP) assets.

**Capital Improvement Program (CIP)** - A plan that identifies programmed investments necessary to comply with current and future regulatory requirements, take advantage of technological advancements, and ensure the integrity of NBC's infrastructure. Capital needs are identified by project and fiscal year over a five-year period.

**Capital Reimbursements** - Labor and other expense related to capital improvement projects paid from NBC's Operating Fund and later reimbursed from the Project Fund.

**Carbon Feed** - A substance added to the treatment process to reduce total nitrogen.

**Cash Basis** - Basis of accounting that recognizes transactions or events when related cash amounts are received or disbursed.

**Catch Basin** - A structure designed to collect and retain solid runoff matter from streets to allow unobstructed flow of surface water into a storm sewer.

**Clarifiers** - The components of the wastewater treatment plant that separates sludge and scum from wastewater flows, also called sedimentation tanks.

**Clean Room** - A controlled laboratory testing environment that has a low level of pollutants such as dust, airborne microbes, aerosol particles, and chemical vapors.

**Collection System** - System of NBC owned wastewater collection and conveyance facilities that ties into NBC's wastewater treatment system including interceptors, pipes, tide gates, pumping stations, manholes, regulators, and catch basins.

**Combined Sewage** - A mixture of stormwater and wastewater.

**Combined Sewers** - Sewer systems in which stormwater and sanitary waste from industrial, commercial or residential sources are combined.

**Consent Agreement** - An agreement between the Rhode Island Department of Environmental Management and NBC, which identifies specific compliance issues and stipulates corrective measures to resolve such issues.

**Consumption Revenue** - Revenue derived from sewer user fees based upon water usage.

**Coventry Wind Turbine** - Three 1.5 MW wind turbines purchased by NBC in 2016 at a remote site located in Coventry, RI

**Covid-19** – A strain of coronavirus not previously identified in humans that has caused a global pandemic beginning in December 2019. The virus's symptoms range from mild to severe illness and death.

**Debt Service** - Principal and interest payments on outstanding bonds.

**Debt Service Coverage** - Requirement of NBC's Trust Indenture that provides that net annual revenue available to pay debt service must exceed annual debt service by 25%.

**Debt Service Coverage Ratio** - A ratio that expresses the relationship of net revenue to debt service.

**Deionized Water Purification System** - Removes any impurities in the water, forming pure water (H<sub>2</sub>O).

**Depreciation** - Allocation of the expense of an asset over its useful life in a systematic or rational manner.

**Digester** - A component of the wastewater treatment facility where organic matter is broken down as part of the treatment process.

**Discharge Permit** - A permit issued by NBC's Pretreatment Program to regulate the users discharging into NBC's collection system. The permits ensure compliance with all EPA and State mandates and the protection of the treatment facilities and receiving waters.

**Dissolved Oxygen** - The level of oxygen dissolved in the water which is an important indicator of the health of the ecosystem.

**Diversion Chamber** - A chamber or box, which contains a device for diverting or drawing off all or part of a flow or for discharging portions of the total flow to various outlets.

**Dry Polymer** – In wastewater treatment processes, polymers are used to coagulate suspended solids and produce large curds of solid materials. This state of polymer is stored on site at Bucklin Point as backup if the liquid polymer system fails or to use as supplementation when liquid polymer cannot adequately support the final clarification process.

**Effluent** - The "cleaned" wastewater, or final liquid by-product of the wastewater treatment process, that flows out of a treatment facility.

**Enterprise Fund** - A fund established to account for operations that are financed and operated in a manner similar to private business enterprises. The intent is that the full expense of providing the goods or services be financed primarily through user charges and fees.

**Expense** - Costs incurred for goods and services received.

**Facilities Plan** - An improvement plan that integrates new facilities, major rehabilitation, ongoing repairs, or the renewal of existing facilities.

**Financing Plan** - The estimate of revenues and their sources that will pay for the service programs outlined in the annual budget.

**Fiscal Sustainability Plan (FSP)** - A fiscal sustainability plan is a living document that is regularly reviewed, revised, expanded, and implemented as an integral part of the operation and management of the system. A plan for maintaining, repairing, and, as necessary, replacing the treatment works and a plan for funding such activities.

**Flat Fee Revenue** - Revenue derived from sewer user charges based on the number of dwelling units for residential customers and the meter size for non-residential customers.

**Flow Meter** - A meter used to measure the flow of water.

**Force Main** - A sewer line fed by a lift station which carries pumped wastewater to a point where additional pumps or gravity can continue to convey the flow.

**Fringe Benefit** - A component of personnel costs other than salaries that include health insurance, retirement, payroll taxes and other employee benefits.

**Fund Accounting** - Governmental accounting systems are organized and operated on a fund basis. A fund is defined as a fiscal and accounting entity with a self-balancing set of accounts recording cash and other financial resources, together with all related liabilities and residual equities or balances, and changes therein, which are segregated for the purpose of carrying on specific activities or attaining certain objectives in accordance with special regulations, restrictions, or limitations.

**Fund Balance (net position)** - Total assets and deferred outflows less liabilities and deferred inflows.

**GASB 67** - Government Auditing Standards Board Statement 67 – Financial Reporting for Pension Plans which replaces the requirements of Statement 25 as they relate to pension plans that are administered through trusts or similar arrangements meeting certain criteria.

**GASB 68** - Government Auditing Standards Board Statement 68 – Accounting and Financial Reporting for Pensions which replaces Statement 27 and requires governments providing defined benefit pensions to recognize their long-term obligation for pension benefits as a liability for the first time, and to more comprehensively and comparably measure the annual expense of pension benefits. The Statement also enhances accountability and transparency through revised and new note disclosures and required supplementary information.

**GASB 82** - Government Auditing Standards Board Statement 82 - an amendment of GASB Statements No. 67, No. 68, and No. 73 (GASB 82), providing guidance on three practice issues raised during the implementation period of the new pension standards issued in 2012. The presentation of payroll-related measures in required supplementary information (RSI), the selection of assumptions and treatment of deviations from the guidance

in Actuarial Standards of Practice (ASP) issued by the Actuarial Standards Board (ASB), and the classification of payments made by employers to satisfy employee contribution requirements.

**Grant** - Financial contributions received from the state and federal government.

**Grit Chambers** - Grit chambers are part of the wastewater treatment process where flows are slowed long enough for the grit, gravel and sand to fall to the bottom. This is one of the primary treatment steps to physically remove large particles before biological treatment begins.

**Hypochlorite** - A disinfectant, commonly known as bleach, used to treat effluent and control bacteria and odors.

**Hypoxia** - A condition in which there is inadequate dissolved oxygen in the water. This condition has a negative impact on the health of the ecosystem.

**Infiltration** - The seepage of groundwater into a sewer system which may occur through defective or cracked pipes, pipe joints and connections, interceptor access risers and covers, or manhole walls.

**Inflow** - Water discharged into a sewer system and service connections from sources other than regular connections. This includes flow from yard drains, foundation drains and around manhole covers. Inflow differs from infiltration in that it is a direct discharge into the sewer rather than a leak in the sewer itself.

**Influent** - Water that flows into the treatment plant.

**Interceptor** - A large sewer that receives flow from several smaller sewers and conveys flow to a sewage treatment plant.

**Late Charge** - Compounded interest of 1% per month assessed on unpaid sewer user fee balances 30 days after the billing date.

**Letter of Interest** - A prospective borrower's demonstration of eligibility for a WIFIA loan administered through the EPA.

**Line-Item Budget** - A format of budgeting which organizes expense by type, such as supplies, equipment, maintenance or salaries.

**Liquid Polymer** - In wastewater treatment processes, polymers are used to coagulate suspended solids and produce large curds of solid materials. Bucklin Point began using this particular state of polymer in 2019 to achieve a more effective and better mixed solution to safely disperse into Final Clarifiers.

**Mission Statement** - Summation of NBC's purpose and goals.

**Modified Accrual Basis** - Basis of accounting that focuses on current financial resources. Revenues are recognized when they become measurable and available to finance expenditures of the fiscal period. Debt service expenditures and other accrued liabilities that are not normally liquidated with expendable available financial resources are not recognized until due. In addition, inventories and prepayments may be recognized when incurred rather than when used or during the period benefited by the prepayment.

**Net Metering** - A policy by which certain renewable energy electricity generators may deduct energy outflows from metered energy inflows.

**Net Metering Credit** - A reduction in electricity expense due to renewable electricity energy produced off-site resulting in credits applied to National Grid invoices.

**Net Position (Fund Balance)** - Total assets and deferred outflows less liabilities and deferred inflows.

**Net Revenue** - Total revenue less total operation and maintenance expense.

**Nitrogen Removal** - The removal of nitrogen from effluent of a wastewater treatment facility prior to discharge into receiving waters.

**Nutrient** - An organic or inorganic compound essential for the growth of organisms.

**Operating Capital Expenditure** - An expense in excess of \$5,000 for the acquisition or replacement of long-term assets that does not include repairs (unless extending the life of the asset by at least 3 years), land or CIP projects.

**Operating Capital Program (OCP)** - A plan for programmed asset purchases for the current budget year and subsequent four years. The OCP is based primarily on information from NBC's Asset Management Program and includes new assets, asset replacements, asset renovations and betterments.

**Operating Reserve for Revenue Stability Fund** - Reserve Fund established at a level of \$4,500,000 to support Operations & Maintenance expense in the event that actual revenue is less than the PUC authorized levels.

**Outfall** - A discrete location where quantities of water and/or wastewater are discharged into receiving waters generally through a pipe.

**Overflow** - Sewage flow that discharges directly from a sewer into receiving water because the total sewage flow exceeds the capacity of the sewer.

**Performance Budget** - A budget that bases expense primarily upon measurable performance of activities and work programs. A performance budget may also incorporate other bases of expense classifications, such as character and object class, but these are secondary to activity performance.

**Permit Fees** - Charges for NBC permits to connect to NBC's sewer system.

**Pipeline** - NBC's monthly publication designed to keep Narragansett Bay Commission staff up to date on internal current affairs.

**Planning** - The management function of preparing a set of objectives for future action.

**Policy** - A definite course of action adopted after a review of information, and directed at the realization of goals.

**Polyfluoroalkyl substances** - A group of man-made chemicals that have been manufactured and used in a variety of industries since the 1940s. These chemicals do not break down and they can accumulate over time and there is evidence that exposure can lead to adverse human health effects.

**Power Purchase Agreement** - A contract between two parties, one who generates electricity for the purchase (the seller) and one who is looking to purchase electricity (the buyer).

**Pretreatment** - Reduction or elimination of pollutants from regulated wastewater dischargers prior to discharge into the sewer system.

**Priority** - A value that ranks goals and objectives in order of importance relative to one another.

**Procedure** - A method used in carrying out a policy or plan of action.

**Program** - Group activities, operations or organizational units directed to attaining specific purposes or objectives.

**Program Measures** - Variables measuring the degree of goal fulfillment achieved by programs.

**Projected Expense** - Estimate of what will be expensed, based on year-to-date performance.

**Pump Station** - An installation of pumps used to lift wastewater to a higher elevation in places where flat land would require excessively deep sewer trenches or to raise wastewater from areas too low to drain into available collection lines. These stations may be equipped with air operated ejectors or centrifugal pumps.

**Purchase Order** - A document issued to authorize a vendor or vendors to deliver specified merchandise or render a specified service for a stated or estimated price.

**Rate Filing** - An application filed with the Public Utilities Commission to request approval of adjustments to NBC's rates.

**Ratepayer** - NBC customer who pays a user fee for wastewater treatment and collection services.

**Rating Agencies** - This term refers to the major agencies which issue credit ratings on municipal bonds.

**Receiving Water** - A body of water such as a stream, river, or ocean which receives stormwater and/or wastewater.

**Regulator Structures** - An underground structure which regulates the amount of flow entering interceptors.

**Renewable Energy Credit** - Credits obtained due to energy being produced from renewable sources such as wind and solar energy resulting in lower electricity expenses.

**Restricted Accounts** - Accounts that are restricted by the Public Utilities Commission for a specific purpose and are not available to directly fund operations and maintenance.

**Revenue** - An increase in financial resources and included as income to NBC.

**Sampling** - The act of taking water samples in order to determine water quality.

**Section** - NBC's lowest hierarchical level of allocating monies.

**Septage** - Waste that is disposed into a septage tank, and ultimately transported to a wastewater treatment facility center for treatment.

**Settling Tanks** - A holding area in the wastewater treatment process where heavier particles sink to the bottom for removal and disposal.

**Sewer User Fee** - Fees assessed to NBC customers for wastewater treatment collection and treatment services.

**Sludge** - See Biosolids.

**Soda Ash (Sodium Carbonate)** - A chemical used in the wastewater treatment process to adjust the alkalinity levels, as part of the nitrogen removal process.

**Sodium Hydroxide** - A chemical used in the wastewater treatment process to adjust the alkalinity levels, as part of the nitrogen removal process.

**Sodium Hypochlorite** - A chemical compound used for water purification.

**Sondes** - A collection of instruments that are used to profile and monitor water conditions in wastewater effluents and receiving waters.

**Special Master** - A PUC restricted cash account originally designated to be used to fund the hiring of a “Special Master” or overseer of the CSO Phase I Facilities by the PUC. NBC was not required to hire the overseer and the project has long been completed.

**Stormwater Runoff** - The portion of rainfall, melted snow or other precipitation that flows across the ground surface to a drain, sewer, lake, or river.

**Strategic Plan** - A plan created to outline the long-term goals and objectives of NBC.

**Supplemental Indenture** - A supplemental indenture is executed in connection with the issuance of one or more series of additional bonds under the master or bond contract. In some cases, a supplemental indenture amends terms of the master or bond contract without providing for the issuance of additional bonds.

**Therm** - A unit of measurement for natural gas used to monitor usage and determine usage related charges.

**Tide-gate** - A gate which opens and closes with tidal height to prohibit river water from entering the sewer system.

**Tertiary treatment** - The final cleaning process that improves wastewater quality before it is reused, recycled or discharged to the environment. The treatment removes remaining inorganic compounds, and substances, such as the nitrogen and phosphorus.

**Trust Indenture** - A contract between an issuer and a bond trustee for the benefit of bondholders.

**Ultraviolet Disinfection** - A wastewater disinfection method in which final effluent is exposed to ultraviolet light to kill pathogens and microorganisms.

**Wastewater** - The liquid-borne waste products of domestic, commercial and industrial activities.

**Wet Weather Flow** - The untreated discharges from wastewater treatment plants that occur during storm events.

**Wetland** - Any area in which the water table stands near, at, or above the land surface for at least part of the year. Such areas are characterized by plants that are adapted to wet soil conditions.

**Wind Turbine** - A device that converts the wind's kinetic energy and generates it into electrical energy for use.